



NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

June 1, 2021

Honorable 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, 2020 through March 31, 2021. 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/2021-june-nyserda-semi-annual-report.pdf>

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

Sincerely,

Doreen M. Harris
President and CEO

New York State Energy Research and Development Authority

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New York City
1359 Broadway
19th Floor
New York, NY
10018-7842
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**West Valley Site
Management Program**
9030-B Route 219
West Valley, NY
14171-9500
(P) 716-942-9960
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NYSERDA

Revenues Collected - October 1, 2020 through March 31, 2021

Revenue Source	Amount (\$000's)
State Appropriation	8,705
Utility Surcharge Assessments	383,076
Clean Energy Standard Proceeds	273,969
Allowance Proceeds	78,611
Third-party reimbursements	29,835
Federal grants	2,783
Interest subsidy	172
Project repayments	347
Rentals from leases	547
Fees and other income	8,737
Loans and financing receivables interest	17,199
Investment income	273
Total revenues	804,253

NYSERDA
Public Authority Law Report
October 1, 2020 to March 31, 2021

Section Break

Solicitation Summary October 1, 2020 to March 31, 2021

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Dollar Award
PON 4614	Community Heat Pump Systems	The goal of NYSERDA's Community Heat Pump Systems Program is to prove the value proposition of connecting a cluster of buildings via a community-style heat pump system, as compared to serving buildings individually via "thermally islanded" heat pumps. NYSERDA will support studies and construction projects that explore and demonstrate the widely replicable use cases for this community-style approach.	2/4/2021	11/15/2022	\$15,000,000.00
T2RFP21-1	Purchase of New York Competitive Tier 2 Eligible Renewable Energy Certificates High Performing Grid Program	NYSERDA is procuring Tier 2 eligible Renewable Energy Certificates (RECs) from wind and non-state-owned run-of-river hydroelectric generating facilities located within New York State that entered commercial operation prior to January 1, 2015.	1/22/2021	2/24/2021	No value was stated in solicitation
PON 4595	NYS Offshore Wind Training Institute - Workforce	NYSERDA is seeking proposals for training initiatives focused on advancing skills and preparing workers for jobs in New York's offshore wind (OSW) industry.	1/13/2021	3/16/2021	\$3,000,000.00
T4RFP21-1	Purchase of New York Tier 4 Eligible Renewable Energy Certificates (RECs)	NYSERDA is procuring the unbundled environmental attributes in the form of Tier 4 Renewable Energy Certificates (RECs) associated with renewable generation delivered into New York City. These environmental attributes include the avoidance of greenhouse gas emissions, as well as the avoidance of local pollutants such as NOx, Sox, and fine particulate matter.	1/13/2021	5/12/2021	No value was stated in solicitation
RFI 4590	NYSStretch 2023	New York State Energy Research Development Authority (NYSERDA) developed NYSStretch as a statewide model code for use by New York municipalities to meet their energy and climate goals by accelerating the savings obtained through their local building energy codes. NYSERDA seeks information to support New York State's efforts to update the NYSStretch 2023.	12/29/2020	2/16/2021	No value was stated in solicitation
RFP 4620	Implementation and Outreach Support for NYS Clean Transportation Prizes	NYSERDA needs support from one or more contractors, or teams of contractors, to assist with various aspects of the management and execution of three upcoming clean transportation prize competitions. Services to be provided include implementation support, such as project management and resource materials development, and outreach and engagement support to increase program awareness and ensure ongoing community engagement.	12/16/2020	1/15/2021	\$2,850,000.00
PON 4509	DCFC Program	This Program is intended to reduce the cost of purchasing and installing Direct Current Fast Charging (DCFC) Electric Vehicle Supply Equipment (EVSE) for use in New York State and ultimately accelerate electric vehicle (EV) adoption	11/12/2020	7/5/2021	\$11,000,000.00
RFP 4596	Prize Administrator for NYS Clean Transportation Prizes Program	NYSERDA is seeking an experienced contractor, or team of contractors, to implement and administer three upcoming NYS clean transportation prizes. Implementation and administration services to be provided include developing and maintaining the prize web presence, administering the prize, supporting potential applicants, marketing and outreach, data collection and other general administrative functions	11/3/2020	12/1/2020	\$3,000,000.00
RFI 4598	Large-Scale Tier 4 Renewable Energy Certificates	NYSERDA is developing a Request for Proposals (RFP) for Tier 4 Renewable Energy Certificates (RECs) to help reduce the reliance of fossil-fueled generation in New York City, pursuant to the New York State Public Service Commission (PSC) Order Adopting Modifications to the Clean Energy Standard	10/29/2020	11/5/2020	No value was stated in solicitation
PON 4534	New York Climate Progress	New York Climate Progress provides bridge funding to early stage, in market, climate technology companies in New York State that, while adversely affected by the pandemic, have demonstrated potential to scale their products and services in the State as economic challenges subside. Up to \$500k is available per company to de-risk technology, extend runway, and receive operational support to continue on your commercialization pathways.	11/13/2020	4/14/2021	\$10,000,000.00
RFP 4453	Home Energy Savings Program	The Home Energy Savings Program, a pay for performance initiative, is an innovative collaboration between the New York State Energy Research and Development Authority (NYSERDA).	11/5/2021	2/22/2021	\$6,000,000.00
RFP 4563	Just Transition Technical Assistance and Planning Services	NYSERDA is seeking proposals under two categories. Under Category A, NYSERDA will retain multiple contractors to provide planning and technical support for individual municipalities that are navigating power plant retirement and site reuse opportunities. Under Category B, NYSERDA will directly procure a single contractor to assist NYSERDA to create a Just Transition Site Reuse Toolkit, including related tools, resources, and processes to support municipalities across New York State.	12/1/2020	1/13/2021	\$5,000,000.00
PON 3298	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.	1/26/20/2021	12/31/2025	

RFP 4645	Residential Heat Pump and Building Envelope Supply Chain Roundtables	NYSERDA seeks a contractor to conduct market research in the residential and small commercial heating ventilating and air conditioning (HVAC) and building envelope supply chains operating in New York State. The purpose of this project is to better understand and support mapping the business relationships and value propositions, from the perspective of each these market actors, related to the adoption of strategies to expand and scale the sales and installation of residential-sized heat pumps and associated building envelope improvements.	2/2/2021	3/2/2021	\$300,000.00
RFQL 4382	NYS Healthy Homes Value-Based Payment Pilot Residential Service Providers	<p>□</p> <p>The New York State Healthy Homes Value-Based Payment Pilot (Pilot) is being implemented as a partnership between the New York State Energy Research and Development Authority (NYSERDA) and the New York State Department of Health (DOH). The Pilot seeks to deliver residential healthy homes interventions to 500 households in targeted regions of New York State over a two-year period.</p>	2/19/2021	3/18/2021	\$6,100,000.00
PON 4337	New Construction Housing	The New Construction – Housing (NC-Housing) program aims to accelerate the design, development and construction of reduced or zero carbon emitting buildings, reducing their energy consumption and per capita carbon emissions while increasing passive survivability and climate change resilience.	2/23/2021	2/3/2022	\$23,744,000.00
RFQL 4551	RetrofitNY Component Manufacturer Qualification	<p>Whole-building high-performance envelope treatments</p> <p>Integrated mechanical systems</p> <p>Monitoring system</p> <p>Component Manufacturers whose components are qualified through this RFQL can then partner with Solution Providers qualified through RFQL 4553 to furnish and install a high performance retrofit solution. Pilot building candidates will be submitted by building owners qualified through RFQL 4552</p>	3/5/2021	12/31/2025	No value was stated in solicitation
RFQL 4552	RetrofitNY Building Owners Qualification	<p>Through this Request for Qualifications (RFQL), NYSERDA will qualify building owners for their buildings to receive a high performance retrofit solution that approaches or achieves net-zero energy performance.</p> <p>Owners of Buildings qualified through this RFQL can then partner with a Solution Provider qualified through RFQL 4553 to install a high performance retrofits comprised of components qualified through RFQL 4551 for Component Manufacturers.</p>	3/5/2021	12/31/2025	No value was stated in solicitation
RFQL 4553	RetrofitNY Solution Provider Qualifications	Through this Request for Qualification (RFQL), NYSERDA will qualify Solution Providers to design, furnish and install a high performance retrofit solution that approaches or achieves net-zero energy performance.	3/5/2021	12/31/2025	No value was stated in solicitation
RFI 4619	NY-Sun Inclusive Community Solar Added Incentive	NYSERDA seeks to engage with stakeholders across New York State to garner feedback and insights on the design of a new Inclusive Community Solar Adder for community solar projects that serve low-to-moderate income (LMI) households and disadvantaged communities. The guiding principles of the proposed Inclusive Community Solar Adder are first and foremost, to refocus the community solar market to increase the number of LMI households that receive electric bill discounts; second, reduce barriers to serving LMI households and disadvantaged communities for community solar providers; and third, provide a transparent and inclusive program design.	12/2/2020	1/28/2021	No value was stated in solicitation
RFP 4569	NY Green Bank Financial Market Transformation Evaluation	NYSERDA is issuing this Request for Proposals (RFP) for the implementation of the NY Green Bank Financial Market Transformation Evaluation. This evaluation is the first update to the 2019 NY Green Bank Financial Market Transformation Baseline Study, which included Case Studies. In order to determine the market transformation resulting from NY Green Bank ("NYGB") activities, the selected Contractor will be expected to: (a) establish a baseline where a baseline does not already exist; and (b) establish updates to an existing baseline to reflect a new evaluation time horizon.	12/30/2020	2/10/2021	No value was stated in solicitation
RFP 4597	Statewide Industrial Facilities Stock Study	NYSERDA intends to procure a single contractor to conduct the Statewide Industrial Facilities Stock Study. The selected contractor may subcontract out portions of the work but will be responsible for the complete work product. For purposes of this RFP, the broad definition of the industrial sector is primary industrials that use primary and secondary inputs to manufacture end-use products and components for end-use products and processes. The results may be further disaggregated.	12/30/2020	2/8/2021	\$2,000,000.00

RESVCO20 Voluntary Conversion of Eligible New York
21 Renewable Portfolio Standard or Renewable
Energy Standard Agreements

This Request for Interest (RFI) is open only to eligible agreement-holders of certain Renewable Portfolio Standard (RPS) and Renewable Energy Standard (RES) agreements. NYSERDA is soliciting responses from existing eligible RPS and RES agreement-holders (REC Counterparties) whose projects had not yet begun commercial operation as of August 10, 2020, as to voluntarily modifying their existing Tier 1 Renewable Energy Certificate (REC) agreements from a fixed as-bid REC price (Fixed REC) to a variable-priced Index REC pricing structure.

1/20/2021

2/9/2021

No value was
stated in
solicitation

Revised Solicitations October 1, 2020 to March 31, 2021

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Dollar Award
RFP T4RFP21-1 Revised	Purchase of NY Tier 4 Eligible Renewable Energy Certificate	As a result, NYSERDA is procuring the unbundled environmental attributes in the form of Tier 4 Renewable Energy Certificates (RECs) associated with renewable generation delivered into New York City. These environmental attributes include the avoidance of greenhouse gas emissions, as well as the avoidance of local pollutants such as NOx, Sox, and fine particulate matter.	3/29/2020	5/12/2021	No value was stated in solicitation
PON 4463 Revised	Career Pathway Training Partnerships for High Efficiency HVAC and Heat Pumps	NYSERDA is seeking proposals for hands-on, entry level training programs designed to help develop a talent pipeline of new workers (e.g., technicians, installers, technical sales) that are aligned with the basic, technical, and advanced skills needed by employers to work in high efficiency heating, ventilation, and air conditioning (HVAC) careers specializing in heat pump technologies including cold climate heat pump applications.	3/15/2021	5/25/2021	\$6,300,000.00
RFQL 4550 Revised	Fiscal Agent for an Offshore Wind Wildlife and Science Entity	NYSERDA and MassCEC are looking to secure a qualified entity to serve as the fiscal agent and a director for a regional wildlife science entity (RWSE). This fiscal agent will financially manage multi-sectoral, regional collaboration and science around offshore wind and wildlife for the East Coast of the United States.	3/8/2021	3/11/2021	\$60,000.00
PON 3982 Revised	On-the-Job Training for Energy Efficiency and Clean Technology	(NYSERDA) is seeking applications to advance the goals of the Clean Energy Fund (CEF) by developing a workforce equipped to perform jobs in energy efficiency and clean technology. NYSERDA will provide incentives to eligible energy efficiency and clean technology businesses throughout the supply chain to hire and provide on-the-job training for new workers.	2/25/2021	10/31/2023	\$12,500,000.00
PON 3981 Revised	Energy Efficiency and Clean Technology Training	NYSERDA is seeking proposals for training initiatives focused on advancing skills and preparing workers for jobs in New York's energy efficiency and clean technology industry. Funding is available for proposals that meet the requirements of any one or both of two categories: (1) Energy Efficiency and Clean Technology Training for Incumbent (Existing) Workers; (2) Energy Efficiency and Clean Technology Career Pathways for New Workers.	1/22/2021	5/4/2022	\$6,700,000.00
PON 4509 Revised	DCFC Program	This Program is intended to reduce the cost of purchasing and installing Direct Current Fast Charging (DCFC) Electric Vehicle Supply Equipment (EVSE) for use in New York State and ultimately accelerate electric vehicle (EV) adoption	12/30/2020	7/15/2021	\$11,000,000.00
NYT-VIP Revised	The New York Truck-Voucher Incentive Program	The New York Truck Voucher Incentive Program (NYTVIP) helps make it easier for fleets to adopt clean vehicle technologies while removing the oldest, dirtiest diesel engines from New York roads. NYTVIP provides vouchers, or discounts, to fleets across New York State that purchase or lease all-electric (BEV), hydrogen fuel cell electric (FCEV) plug-in hybrid electric (PHEV), conventional hybrid electric (HEV), compressed natural gas (CNG), or propane medium- and heavy-duty vehicles	12/29/2020	2/28/2026	No value was stated in solicitation
PON 3923 Revised	Charge Ready NY	Charge Ready NY (PON 3923) provides \$4,000 per installed electric vehicle (EV) charging port to applicants who purchase and install qualified Level 2 EV charging equipment at New York State locations. These locations must provide public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (for-profit and not-for-profit) entities may participate in the Program.	12/10/2020	12/31/2021	\$16,827,609.00
PON 4371 Revised	Strategic Energy Management Program	The Strategic Energy Management program supports businesses interested in adopting SEM practices by offering two options: SEM On Demand and virtual treasure hunts.	11/17/2020	12/31/2025	No value was stated in solicitation
PON 4000 Revised	New York State Clean Energy Internship Program	Provides funding to eligible clean energy businesses, organizations, and local municipalities hiring interns to perform meaningful work in the clean energy sector.	10/26/2020	12/30/2024	\$7,500,000.00
PON 4192 Revised	FlexTech Program	The Flexible Technical Assistance (FlexTech) Program supports New York State Commercial, Industrial and Multifamily customers who pay into the Systems Benefit Charge by providing a cost-share for credible, objective technical assistance services.	10/9/2020	12/31/2025	No value was stated in solicitation

PON 4359 Revised	Innovation Market Strategies	NYSERDA's Innovative Market Strategies Program is seeking to fund market tests that have the potential to accelerate uptake or increase the value proposition of building decarbonization solutions. The goal of this Program is to identify and fund projects that demonstrate promising approaches to building decarbonization that have a pathway to scale after NYSERDA support	2/3/2021	12/30/2022	14,000,000.00
PON 4072 Revised	Commercial Tenant Program	□ The goal of NYSERDA's Commercial Tenant Program is to integrate energy efficiency in leased commercial spaces. This program is open to all commercial tenants and their landlords who wish to improve the efficiency of their leased spaces	1/22/2021	3/31/2021	\$8,750,000.00
RFP 4478 Revised	Clean Energy Communities Voluntary Benchmarking Software Tool	□ The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to select a vendor to configure and maintain a Benchmarking Software Tool for an upcoming Clean Energy Communities voluntary benchmarking program. This RFP seeks an "off-the-shelf" software tool that can be configured to meet NYSERDA's reporting and dashboard display needs.	11/9/2020	12/2/2020	\$1,000,000.00
PON 3609 Revised	Commercial New Construction	The Commercial New Construction Program is available for eligible customers to design and build projects that achieve Carbon Neutral Ready levels of performance in new construction, substantial renovations and change of use for commercial, industrial and institutional buildings in New York State.	2/8/2021	1/31/2022	\$14,135,940.00

Revised solicitations for the period of October 1, 2020 to March 31, 2021

Multiple revisions may have occurred for the same solicitations during this time frame, however, only one entry is listed.

Energy-Related Air Quality and Health Effects Research

Program Opportunity Notice/Request for Proposal (PON) 4230

\$2,000,000 Available

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

Proposals Due: May 20, 2020 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) has developed a long-term research plan for the Environmental Program ([Air Quality and Health Effects Plan components are available through NYSERDA’s website](#)). This Program Opportunity Notice (PON) is guided by the Air Quality and Health Effects Research Plan and supports research to improve the scientific and technical foundation for addressing key policy-relevant questions related to air quality and health effects research. Targeted research Categories are listed below with the research plan topic number and include:

	PON categories	Research Plan Topic	Available Funds	Per Project Cap
A.	Methane and Co-Pollutant Emissions from Landfills and Oil/Gas Systems	B.2.a	\$ 1,000,000	\$350,000
B.	Pollutant Trend Analyses and Related Accountability Studies	B.1.c and B.3	\$500,000	\$500,000
C.	Low-cost Techniques for Measuring Spatial Variation of Local Air Quality	B.3.c	\$500,000	\$500,000

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

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

No communication intended to influence this procurement is permitted except by contacting Ellen Burkhard – primary designated contact at (518) 862-1090, ext. 3332 or environment@nyserda.ny.gov or Gregory Lampman – secondary contact (Designated Contact) at (518) 862-1090, ext. 3372(for technical questions). If you have

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

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

I. Introduction

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

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

Energy policies in NYS and elsewhere are expected to change how and where electricity is generated, how buildings are heated and cooled, and how people and goods are transported. Many of these transformations will result in changes in the emissions profiles of energy sources and their proximity to where people live and work. Some technologies, such as zero-emissions technologies (energy efficiency, solar, wind, hydroelectric power, and electric vehicles) will result in significant emissions reductions. However, given the intermittency of solar and wind energy, they may require some level of backup by other generation sources or energy storage. Similarly, electric vehicles, while non-emitting during operation, do require charging from the grid. Where and when charging takes place will also alter emissions profiles. Combustion technologies are similarly complex. Finally, energy storage technologies will allow for more strategic dispatch of both renewable and conventional energy.

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

Together they have the following goals to be accomplished:

- 40% reduction in greenhouse gas (GHG) emissions from 1990 levels by 2030;
- 85% reduction in GHG by 2050;
- 70% of energy generation from renewable energy sources by 2030 and 100% carbon neutral by 2040;
- 185 TBtu on-site energy savings

Collectively, these objectives will influence energy-related emissions with respect to their spatial and temporal patterns and will also affect ambient concentrations of ozone (O₃), particulate matter (PM), their precursors, co-

pollutants and air toxics (which include hazardous air pollutants) as well as GHGs. Human exposure to these energy-related pollutants and associated public health effects will change as well. Overall public health and environmental benefits are anticipated by reducing fossil fuel use. However, local and site-specific impacts are more challenging to estimate.

Governor Cuomo's 2017 State of the State Address called for "[Health Across All Policies](#)," and directs NYS agencies to consider public health in all decision and policy making. Use of zero and low emissions technologies should promote a healthy and safe environment and may reduce chronic disease in burdened communities in NYS by improving outdoor air quality by reducing exposures to PM_{2.5}, O₃, and air toxics. More information may be found [here](#).

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

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

Proposals will be considered responsive to this solicitation only if they address the targeted research areas described below. Preferred projects are those that (in no particular order): provide data in a form that is useable by policy analysts and policymakers; utilize research/analytical capabilities in New York State; are comprised of interdisciplinary teams including environmental, health and social scientists, and public policy analysts; and leverage out-of-State, federal, or other resources to address critical environmental issues in New York State. Projects should support research that helps improve the scientific and technological foundation to address key policy-relevant questions related to air quality and health effects research. They should build upon or coordinate with existing efforts, and not duplicate work by others. When appropriate, selected projects may be asked to work with a Project Advisory Committee assigned by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

II. Program Requirements—Targeted Research Areas

A. Methane and Co-Pollutant Emissions from Landfills and Oil/Gas Systems (Topic B.2.a)

Problem Statement

Much of the current NYS GHG emissions inventory is based on emission factors that in some cases are more than 20 years old. Due to changes in technology, activity patterns, and emissions of interest, there is a need to evaluate the current emission factors and activity data to identify those source categories that are poorly characterized and to improve the inventory by improving emissions factors and activity data. The need to improve and append the emissions estimates to inform the NYS GHG Inventory is highlighted in the CLCPA. The emissions estimates will inform policies to meet NYS's GHG goals. This research category focuses on methane and co-pollutants from the oil and gas sector and from landfills.

Background

Methane: In 2018, the National Academy of Sciences (NAS) Committee developed a report on anthropogenic methane emissions in the U.S. (funded by EPA, DOE, NOAA, and NASA) with a focus to improve measurement, monitoring, reporting, and development of methane inventories. There remains a need to combine strategies for improving air quality and reducing greenhouse gases by improving the methane inventory in NY. This need may be addressed by understanding methane emissions as well as identifying the quantity and types of sources which emit methane. Furthermore, benefits may be realized by identifying the appropriate technology to measure and/or detect methane emissions with different attributes (e.g. leaks, planned emissions, low volume, high volume, etc.) as each may require different technology.

Landfill: Perform field measurements of landfill emissions that could be used to develop emissions factors and the GHG inventory. The field studies should consider the type of landfill (ex. municipal solid waste, construction and demolition, or industrial), whether it is active or inactive, the type of cover system and landfill gas capture, the age of the landfill or cells, and seasonal changes. Emissions should be reported in terms of rate and normalized per ton of placed waste. Measurements should be compared to emission estimates that have been submitted or modeled. It would be helpful if measurements were analyzed to identify which variables have a stronger correlation to landfill emissions.

Oil and Gas: In 2019, NYSERDA released a report, "[The New York State Oil and Gas Sector Methane Emissions Inventory](#)," that made recommendations for future inventory improvements and identified limitations and uncertainties for each component.

Table S-1 describes areas of research opportunity and improvements. While all recommendations will result in value, recommendations 1 and 2 are prioritized as resulting in the greatest benefit to inventories in the immediate future.

✓	<p>Recommendation #1 New York State should develop a more detailed set of activity data, including site- and component-level data, for its CH₄ inventory in order to create an inventory with the detail needed to capture the impacts of CH₄ mitigation strategies targeted at the site- or component-level.</p> <p>Implementation in Current Inventory: Applied the best available activity data, using publicly available inputs as well as data provided by New York State agencies.</p> <p>Areas for Future Improvement:</p> <ul style="list-style-type: none"> • Collect/compile data on the number and location of transmission and storage compressor stations in New York State, including stations that only have electric compressors. • Collect/compile data on the county-level miles of distribution pipeline by pipeline material. • Collect/compile data on the county-level number of residential and commercial/industrial gas meters.
✓	<p>Recommendation #2 New York State should estimate and apply EFs for upstream and downstream oil and gas activities in the State using best available data, validated by both bottom-up and top-down studies, and specific to geographic location.</p> <p>Implementation in Current Inventory: Applied the best available EFs from the published literature.</p> <p>Areas for Future Improvement:</p> <ul style="list-style-type: none"> • Develop New York State-specific EFs for well pads during production. • Develop New York State-specific EFs for transmission and storage compressor stations. • Develop an EF for fugitive emissions from storage reservoirs.

Research is needed that results in a better characterization of the types of emissions which come from the oil and natural gas sector specifically in New York State. It is anticipated that studies will include all or a portion of the subsectors within the oil and natural gas sector including:

- Oil and natural gas extraction,
- Storage and transport systems including compressor stations, and/or
- Distribution systems.

It would be useful if emissions data and activities are categorized with the appropriate source classification codes (SCC).

- Useful inventory types
 - Pollution emissions inventory – which pollutants and at what rate out of each process, characterization of leaks and other emissions.
 - Equipment inventory – for example, separators, storage vessels, compressors, gas-drying systems (glycol or desiccant), and pneumatic devices (driven by gas or air),
 - An assessment of “small” facilities vs. “large” facilities. Several studies show a phenomenon called a “fat tail” meaning most emissions come from a limited number of facilities.
 - Determine the extent of emissions after the city gate (i.e., going to the homes and businesses) vs. before the city gate.
 - What is the nature and magnitude of methane losses downstream of the customer meter in commercial and residential settings? What are the losses associated with customer utilization?
 - Identify reasonably available methane detection technology and develop a list of oil and gas sector equipment and which technology may be used to identify leaks or measure emissions from that equipment. Differentiate between leak detection technology used to identify leaks vs. technology used to measure leaks. Perform side-by-side field comparison of methane detection equipment in key applications.

Methane Detection Technology: The Interstate Technology & Regulatory Council developed [guidance](#) that provides an overview of existing and emerging methane detection technologies and their applications. Methane detection technologies have been evolving but have different applications and capabilities depending on the source and attributes of the emissions.

Research Focus

Research should focus on methane and co-pollutants from the oil and gas sector and from landfills. Field studies are anticipated to provide improved measurements of temporal variability in emissions and top-down estimates for comparison with bottom-up emission inventory estimates and measurements. Characterization includes understanding emissions outside the average operation such as upsets, start-ups, and shutdowns.

B. Pollutant Trend Analyses and Related Accountability Studies (Topic B.1.c)

Problem Statement

Recent trends analyses have demonstrated that SO₂, NO_x, PM_{2.5} and aerosol sulfate have been decreasing significantly over the past decade across NYS due to state and federal air quality and energy policies and changes in energy markets. In contrast, annual ozone has not shown a significant decrease, however there are fewer extreme-high levels in summer and an elongated ozone season starting in spring. At the local level, NYC has experienced very large decreases in SO₂ emissions due to phasing out of #6 oil. Continued studies are needed to assess how air quality regulatory programs, energy policies, and electricity, heating, and transportation market trends impact air quality and public health. Analyses should include the most recent data available to extend the trends record and include relevant up to date NYS and/or NYC health endpoints.

Research Focus

- Analyze changes in PM_{2.5}, PM components, and trace gases to determine trends resulting from regulatory programs, energy policies, and changes in energy markets. Analysis should have sufficient temporal and spatial scope to capture the possible impacts of the regulatory or policy implementation, or market change, on ambient concentrations and exposure levels for New York State residents. A large database of measurements exists for Whiteface Mountain, Rochester, Pinnacle State Park, and Queens College, which is available for trends analysis. Studies should analyze trends through at least 2019 to evaluate if trends of recent studies have continued or changed ([Blanchard et al., 2019](#) and [Squizzato et al. 2018](#)).
 - Investigate why long-term measurements indicate a decrease in certain components of PM_{2.5}, (e.g., sulfate, and nitrate) but an increase in others, such as organic carbon (OC). What are likely sources or atmospheric processes that have resulted in this observation ([Rattigan et al., 2016](#) and [Masiol et al, 2019](#))?
- Perform accountability analyses to evaluate how changes in regulations, policies, technology or energy use patterns change emissions, and affect local or regional air quality, exposure, and public health. One consideration is to follow a population during a period of this change. Accountability studies to evaluate changes in health endpoints for pollutant trends and source-specific pollutants are needed through at least 2019 ([Jin et al., 2019](#) and [Rich et al 2016](#))

C. Low-cost Techniques for Measuring Spatial Variation of Local Air Quality (Topic B.3.c)

Problem Statement

The regulatory monitoring network is not designed to capture spatial variation in air quality at sub-regional scales. On a neighborhood scale, inexpensive sensing can change how we think about emissions and air quality. Installing higher numbers of low-cost but less precise stationary monitors relative to fewer but more precise regulatory monitors can improve flux estimates of air pollutants for comparison to emission inventories. This has important application to local scale exposures as the spatial extent of urban plumes has significantly decreased over the years, thus increasing pollution gradients within urban cores.

Research Focus

Explore approaches in applying low-cost techniques to improve measurements in spatial variation of air quality at the local scale. The goal of this research area is to develop an understanding of how to interpret data collected by a dense network of many individual instruments in a manner that informs planning needs. It would entail learning to think about daily variability in ways that inform planners in developing more effective approaches to assessing and reducing local exposures.

III. Proposal Requirements for Targeted Research Areas

Proposers must submit a complete proposal for each targeted research category (Category A, B, or C) that they are proposing to. The proposals must be in either PDF or MS Word format. Proposals must be submitted as two separate files. One file shall be the budget and the other file shall be inclusive of the proposal narrative (Parts 1-3) and all other supporting documents. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the ["Current Opportunities"](#) section of NYSERDA's website.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, "PON 4230" and the page number.

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

Proposal Format & Submission: Proposals must be submitted as two files. One file shall be the budget and the other file shall be inclusive of the proposal narrative (Parts 1-3) and all other supporting documents. The proposal file should be 100MB or less in file size.

PART 1: Project Summary (Four pages total)

- A. Project Summary and Policy Relevance: Summarize the proposed project and its policy implications. Clearly indicate how each of the main goals of the project relates to one of the Targeted Research Areas. Describe any energy, air quality, or public health policy issues this research would potentially inform. Detail the project goals and major objectives. Explain how the project results will address, in a timely manner, a problem/opportunity facing New York State with respect to pollutants associated with the generation, transport, use, storage or distribution of energy. Coordination with other national, state or local cooperative environmental research initiatives is desirable. Explain how the project will make use of other relevant data and coordinate with other initiatives where possible to provide maximum value to New York State. (Two pages)

- B. Summary of Project Methods: Summarize the proposed project methods and overall research design. Explain why the equipment, models, methods, and other aspects of the work are expected to be capable of meeting objectives. Describe the extent to which these have been accepted by the scientific community and policy making organizations, or otherwise demonstrated to be valid. The methods must be outlined in detail and clearly designed to meet the project objectives including spatial and temporal resolution. The methodology for statistical analysis of the data from all aspects of the project must be clearly presented. (Two pages)

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

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

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

- C. Master Schedule: Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation. Include major milestones and meetings, tests, demonstrations, reports, and other key deliverables. The Schedule should be realistic and reflect the nature of environmental research. (One Page)
- D. Budget Form: Complete the attached Budget Form (Attachment A) for the entire project, including any in-kind contributions and other cost-sharing. The degree of cost-sharing will be considered in the evaluation of proposals. **Cost-sharing of at least 25% is preferred.** Leveraging of other research funding is preferable. In-kind cost-sharing is acceptable. Proposers must provide sufficient detail in the

supporting schedule for each cost element, its description, and amount to justify the budget and allow for evaluation. (Not included in page count).

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

A. Management Plan and Qualifications:

- Organizational Chart - Prepare an organizational chart listing all key personnel by name. The role for each of the team members must be clearly described in the proposal. Include any subcontractors, postdoctoral or graduate students if known, and other sponsors involved in the project, showing their roles and responsibilities. (One page)
- Tasking Chart - Prepare a tasking chart, describing approximately in hours or days the effort contributed by each of the key personnel to each task and the total effort. (One page)
- Related Projects – Provide a sample of related projects that have been undertaken by the proposer and/or subcontractors. For each project, provide a brief summary, describing its title, scope, funding amount and client contact numbers. NYSERDA may contact listed clients. (One page)
- Resumes - Submit relevant portions of resumes of all key project personnel, including those of proposed subcontractors, and postdoctoral or graduate students if known. Include education and experience that are relevant to the proposed work. (One page each - not included in page count)

B. Letters of Commitment or Support: If you are relying on other organizations or businesses to do work, provide services, equipment, or data, or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. If the use of unpublished data from other researchers is necessary for the project to be successful, letters of support showing the availability of these data must be included. **Absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.** (One page each - not included in page count)

C. Cost Sharing: A cost-share of at least 25% of the total project cost is preferred. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts that have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. If applicable, show the cost-sharing plan in the following format (expand table as needed, maximum 1 page).

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

Attach supporting documentation to support indirect cost (overhead) rate(s) included in your proposal as follows:

- Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.
- Provide a detailed budget for the overall project.
- Include a detailed budget for each of the subcontractors/consultants that justifies the amount proposed.

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

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

IV. Proposal Evaluation

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

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

- Usefulness and Value of Project Results** – Does the project indicate how each of the main goals of the project relate to the Targeted Research Area? How useful are the project results expected to be in validating or improving New York State policies, regulations, impact assessments, models, or mitigation methods? Will the results be available in a timely manner? To what extent will the project use and integrate other relevant data and coordinate with other research/monitoring initiatives (e.g., with field sampling and data analysis) to provide maximum value to New York State?
- Soundness of Project Methods and Research Design/Statement of Work and Schedule** – How suitable are the proposed project methods and overall research design for meeting the project objectives and yielding accepted results? How comprehensive, realistic, and explicit is the Statement

of Work with respect to the project objectives and proposal requirements? Are specific measurable targets of success provided where applicable? Are the Tasks reasonable and clearly described? Are the methods outlined in detail and clearly designed to meet the project objectives? Are the deliverables for each task clearly presented? Is there a coherent plan for synthesizing the data set?

- c. **Management Plan and Qualifications** – How well has the proposer organized a management plan and a project team with the necessary educational, technical, operations, technology transfer, financing, and administrative experience for successfully completing the project? Are all roles and responsibilities clearly defined? Does the team include partnerships with other research groups? Has an interdisciplinary team been assembled including environmental scientists, social scientists/public policy analysts, and technologists, as appropriate? How many of the team members are located in New York State? Have letters of support demonstrating the availability of data and agreement to participate been included?
- d. **Communication of Results** – How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project? Has the proposer described a comprehensive final technical report, and articles for submission to peer-reviewed journals? Does the proposer have a well-crafted plan and partnerships to prepare a short paper summarizing the usefulness of their research findings for environmental and or energy policy formulation and identified an interested audience? Has the proposer included a review of the draft final report by a technical editor? Has the proposer planned to present results to NYSERDA’s Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff? Has the proposer acknowledged the project may be assigned a Project Advisory Committee by NYSERDA?
- e. **Cost Criteria** – How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results and the level of effort and duration of the project? How justified and reasonable are the proposer's cost allocations and co-funding contributions (cash, in-kind services, etc.)? To what degree does the proposal include meaningful cost-sharing from other key organizations important for the success of the project? Is there a detailed budget provided for the overall project including sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget?

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

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

II. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

Tax Law Section 5-a – 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 contracting 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 – NYSEDA anticipates making multiple awards under this solicitation. NYSEDA anticipates a contract duration of one to three years, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 12 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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

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

III. Attachments:

- Attachment A – Budget Form
- Attachment B – Sample Agreement
- Attachment C – 2019 Publication List
- Attachment D – 2019 Project List
- Attachment E – Information Dissemination Metrics

“NextGen HVAC Innovation Challenges”
 Program Opportunity Notice (PON) 3519
Up to \$15 Million Available
Round 4 of 4

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

Important Dates* by: Rounds 1 & 2: 5:00 pm Eastern Time Rounds 3 & 4: 3:00 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 14, 2018
3	Heat Pumps, Thermal Distribution, Open	December 6, 2018	January 17, 2019	May 9, 2019
4	Heat Pumps, Thermal Distribution, Energy Pod, Technology Transfer	October 17, 2019	December 12, 2019	February 27, 2020
<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

In June 2019, the New York State legislature passed the Climate Leadership and Community Protection Act (CLCPA) which codifies the requirement that New York achieve a carbon neutral economy, with at least an 85% reduction of greenhouse gasses (from a 1990 baseline) by 2050. The CLCPA sets an interim greenhouse gas (GHG) goal of a 40% reduction by 2030, along with goals of 70% renewable electricity generation by 2030, and 100% clean electricity generation by 2040. The CLCPA requires at least 35% of the funding spent on the state’s clean energy transition to benefit disadvantaged, low- and moderate-income communities (which includes affordable housing communities). The CLCPA codifies the New Efficiency NY target of 185 trillion BTUs of on-site energy efficiency by 2025, with a sub-target of 5 trillion BTUs through heat pump conversions.

In May 2019, New York City (NYC) introduced Local Law 97 as part of the Climate Mobilization Act (CMA). The CMA sets declining carbon emissions intensity caps for 2024 and 2030 covering buildings over 25,000 square feet in NYC. Failure to meet the caps carries significant financial penalties. To avoid those penalties, carbon intensive buildings will require comprehensive energy retrofits or alternate compliance through the purchase of renewable energy credits, if available. Meeting the CMA emission caps will reduce GHG emissions from NYC’s building stock 40% by 2030. The CMA calls for an advisory council to establish lower emissions caps every 5 years beyond 2030, ultimately resulting in the reduction of GHG emissions from NYC’s building stock of 80% by 2050.

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 occupant 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 4 must address one of the following Innovation Challenge Areas: Heat Pumps; Thermal Distribution; Energy Pod, or Technology Transfer. . For detailed discussion of each area, refer to Attachments E1 – E4 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**.

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>).

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 EricaNextGen@nyserda.ny.gov.
- For contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or by email VeniceSolicitations@nyserda.ny.gov.

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

***All proposals must be received by 3 p.m. 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 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. 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>).

II. Innovation Challenge Areas

All submissions for Round 4 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 (RobertNextGen@nyserda.ny.gov).
2. **Innovation Challenge Area 2: Thermal Distribution** – See Attachment E2
Technical questions concerning Thermal Distribution should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email (MichaelNextGen@nyserda.ny.gov).
3. **Innovation Challenge Area 3: Energy Pod** – See Attachment E3
Technical questions concerning Energy Pod should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email (MichaelNextGen@nyserda.ny.gov) or Saul Brown (Designated Contact) at (518) 862-1090 ext. 3028 or by email (SaulNextGen@nyserda.ny.gov).
4. **Innovation Challenge Area 4: Technology Transfer**
Technical questions concerning Technology Transfer 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 (JosephNextGen@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.nyserda.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.

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

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 \$100,000 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 \$100,000 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 \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

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

VII. General Conditions

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

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

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

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

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

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

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

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

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at

http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making one or multiple awards under this solicitation. NYSERDA anticipates a contract duration of a maximum of 3 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers 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.

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.

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

Due Diligence – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants' target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors including members of the scoring committee, before, during, or after a scoring process, and



prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal.

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% of sales/ten percent (10%) of all license revenue accruing to the Contractor for products produced (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).

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 – Thermal Distribution
- Attachment E3 – Energy Pod
 - Attachment E3a – Appendix 2
 - Attachment E3b – Appendix 3
- Attachment E4 – Technology Transfer
- Attachment F – Sample Agreement



Ground Source Heat Pumps Rebate Program¹
Program Opportunity Notice (PON) 3620
\$ 26,500,000 Available

NYSEERDA reserves the rights to extend and/or add funding to this Solicitation should other Program funding become available.

Applications accepted through March 31, 2020² by 3:00 PM Eastern Time, or until funds are fully committed, whichever occurs first.

Program Summary: The Ground Source Heat Pumps Rebate Program (“the Program”) will provide up to \$26,500,000 for the installation of ground source heat pump (GSHP) systems.³ Funding for GSHP systems has been allocated by the New York Public Service Commission through the Clean Energy Fund (CEF) and is available only for projects located on sites that pay, or, in the case of systems installed as part of new construction projects, will pay the System Benefits Charge (SBC) surcharge on their electric bill. Rebates must be passed along to Site Owners.

Rebates are available on a first-come, first-served basis as follows:

- Projects comprising small-scale GSHP systems (\leq 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,500 per cooling ton; and
- Projects comprising large-scale GSHP systems ($>$ 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,200 per cooling ton

subject to the following incentive caps, regardless of the actual installed capacity:

- Rebates for single family residences are limited to \$15,000
- Rebates for large scale GSHP systems installed in a single building are limited to \$500,000
- Rebates for large scale GSHP systems installed at a single site with multiple buildings are limited to \$1,000,000

Rebates will be paid to the Participating Designer or Participating Installer, but 100% of the rebate amount must be passed along or credited to the GSHP system owner without any right of setoff or deduction.

¹ Capitalized terms used but not defined herein have the meanings assigned to them in the Manual, which can be found at <https://beta.nyserda.ny.gov/All-Programs/Programs/Become-a-Contractor/Renewable-Heating-and-Cooling/GroundSource-Heat-Pump-Installers>

² The NYS Public Service Commission has directed NYSEERDA and the State’s utilities to develop a common state-wide heat pump program. NYSEERDA anticipates that the state-wide program will be available in 2020. Should launch of the state-wide program be delayed NYSEERDA may extend the open date for this PON.

³ NYSEERDA may supplement or revise the funding available through this PON or any successor at any time.

Customers in areas affected by a utility natural gas moratorium who pay the SBC surcharge may be eligible for enhanced programs in the recently announced Clean Energy Action Plan. This includes Consolidated Edison Company of New York, Inc. (“Con Ed”) customers in Southern Westchester County and New York State Electric and Gas Corporation (“NYSEG”) customers in Lansing, NY. Please use the tool located at <http://www.nyserdera.ny.gov/action-plan> to determine your eligibility. Rebates for eligible customers in an area affected by a natural gas moratorium are as follows:

- Projects comprising small-scale GSHP systems (≤ 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,875 per cooling ton; and
- Projects comprising large-scale GSHP systems (> 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,500 per cooling ton.

subject to the following incentives caps, regardless of the actual installed capacity:

- Rebates for single family residences are limited to \$18,750
- Rebates for large scale GSHP systems are limited to \$5,000,000 per project.

NYSERDA reserves the right to further limit the number and amounts of Rebates per Participating Installer, Participating Designer, Site Owner, site, or meter. No single Participant can receive more than 50% (\$13,250,000) of the funding available through this Program.

Eligible Participants in the Program are limited to GSHP system designers, installers, and drillers who meet Program requirements as specified in the Ground Source Heat Pump Rebate Manual (Manual), found here: <https://nyserdera.ny.gov/All-Programs/Programs/Become-a-Contractor/Renewable-Heating-and-Cooling/Ground-Source-Heat-Pump-Installers> and have submitted a completed Participation Agreement.

Although not eligible to apply for or receive Rebates under the Program, any driller that wants to participate on Projects receiving a Rebate under this Solicitation must apply to become a Participating Driller.

Additional Program descriptions and Program requirements are provided in the Manual.

Participant and Rebate Application Submission: Prospective Participants can find, complete, and submit a Participation Application, Participation Agreement and, once approved, in the case of Participating Designers and Participating Installers, Rebate Applications (including uploading any required attachments and documents thereto) via NYSERDA’s Salesforce application <https://portal.nyserdera.ny.gov/login>

Incomplete or inaccurate applications will not be accepted. Faxed or e-mailed applications will not be accepted. Applications will not be accepted unless completed and delivered via NYSERDA’s Salesforce application <https://portal.nyserdera.ny.gov/login>.

Contact Information: For all program questions, please contact Program staff at gshp@nyserderda.ny.gov. or Elizabeth Markham at (518) 862-1090 ext. 3386.

All Contractual questions should be directed to: Nancy Marucci at Nancy.Marucci@nyserderda.ny.gov or 518-8621090 ext. 3335.

If changes are made to this Solicitation, notification will be posted on <https://www.nyserderda.ny.gov/FundingOpportunities/Current-Funding-Opportunities>.

NYSERDA reserves the right to make changes in the Rebate amount or availability (including the per Project Rebate cap and the total amount available) at any time. NYSERDA will make reasonable effort not to decrease Rebate levels within the term of this Program. If it becomes necessary to decrease the Rebate levels, NYSERDA will attempt to give as much notice as possible to Program Participants. Program changes will be posted on the NYSERDA website and can be found at the following web page:
<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

I. Introduction

Thermal energy used in the residential and commercial sectors for space heating and cooling and hot water accounts for 37% of net energy consumption and 32% of all combustion-based GHG emissions in New York State. Today, renewable heating and cooling (RH&C) technologies, in general, and GSHP systems, in particular, occupy a niche position in New York State, penetrating less than 1% of the heating and cooling market.

The Ground Source Heat Pump Rebate Program (the "Program") will provide up to \$26,500,000 for the installation of ground source heat pump (GSHP) systems. Funding for GSHP systems has been allocated by the New York Public Service Commission through the Clean Energy Fund (CEF) and is available only for projects located on sites that pay, or, in the case of systems installed as part of new construction projects, will pay the SBC surcharge.

Rebates are available on a first-come, first-served basis as follows:

- Projects comprising small-scale GSHP systems (≤ 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,500 per cooling ton; and
- Projects comprising large-scale GSHP systems (> 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,200 per cooling ton, subject to the following incentive caps:
 - Rebates for single family residences are limited to \$15,000
 - Rebates for large scale GSHP systems installed in a single building are limited to \$500,000
 - Rebates for large scale GSHP systems installed at a single site with multiple buildings are limited to \$1,000,000

Customers in areas affected by a utility natural gas moratorium who pay the SBC surcharge may be eligible for enhanced programs in the recently announced Clean Energy Action Plan. This includes Consolidated Edison Company of New York, Inc.

(“Con Ed”) customers in Southern Westchester County and New York State Electric and Gas Corporation (“NYSEG”) customers in Lansing, NY. Please use the tool located at <http://www.nyseda.ny.gov/action-plan> to determine whether the customer is eligible. Rebates for eligible customers in an area affected by a natural gas moratorium are as follows:

- Projects comprising small-scale GSHP systems (≤ 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,875 per cooling ton; and
- Projects comprising large-scale GSHP systems (> 10 AHRI rated cooling tons) are eligible for a Rebate of \$1,500 per cooling ton,

subject to the following incentive caps:

- Rebates for single family residences are limited to \$18,750
- Rebates for large scale GSHP systems are limited to \$5,000,000 per project

NYSERDA reserves the right to further limit the number and amounts of Rebates per Participating Installer, Participating Designer, Site Owner, site, or meter. No single Participant can receive more than 50% (\$13,250,000) of the funding available through this Program.

Rebates will be paid to the Participating Designer or Participating Installer, but 100% of the rebate amount must be passed along or credited to the GSHP system owner without any right of setoff or deduction.

Additional Program descriptions and requirements are provided in the Manual.

II. Program Requirements

Eligible Applicants for Program Participation and Rebates

Qualified entities can apply to become a Participating Installer, Participating Designer, and / or Participating Driller by completing and submitting a [Participation Application](#) and a [Participation Agreement](#). Applicants must indicate the Program tier (small-scale GSHP system and/or large GSHP system) for which they intend to submit Rebate Applications.

If applicant’s Participation Application and Participation Agreement are approved by NYSERDA, the applicant will become a Participant (e.g., Participating Installer, Participating Designer, and / or Participating Driller).⁴

Only Participating Designers and Participating Installers are eligible to submit Rebate Applications. Participants need to be separately qualified for each tier and will be listed

⁴ If a Participant acts as more than one type of Participant, it should only complete and submit one Participation Agreement.

separately on NYSERDA's website. Each GSHP system MUST be installed by a Participating Installer.

A Participating Designer and Participating Installer (but not Participating Drillers) will initially be classified as provisional and may advance to full status by either:

- (i) Including in its Participation Application three projects it has either installed or designed during the prior year that are deemed satisfactory by NYSERDA; or
- (ii) Completing three projects under the Program that NYSERDA deems satisfactory.

Participants that fail to perform in accordance with or adhere to the Program requirements may be placed on probation, suspended, or terminated depending upon the severity and scope of non-performance, at NYSERDA's discretion.

Further participation eligibility requirements are specified in the [Manual](#).

Eligible Project Requirements

To be eligible to receive a Rebate under this Solicitation, the Rebate Application and Project referenced in the Rebate Application must meet certain requirements, including, but not limited to, the following:

- All components installed as part of an approved GSHP system must be new. The use of used or refurbished equipment is not permitted under the Program.
- All approved GSHP systems, system components, and installations must comply with any and all manufacturers' installation requirements, applicable laws, regulations, codes, licensing and permit requirements including, but not limited to, the New York State Environmental Quality Review (SEQR), the New York State Building Code, New York State Plumbing Code, the National Electric Code, Fire Codes and all applicable State, city, town, or local ordinances or permit requirements.
- All GSHP systems must be designed to pre-defined standards as described in the Manual.
- Equipment must meet efficiency requirements as described in the Manual.
- All projects must provide equipment, design, and labor warranties to customers.

Each Project that is referenced in a Rebate Application is subject to NYSERDA-mandated quality assurance and performance verification standards.

Additional information regarding these and additional Project application and Project eligibility and technical requirements are described in the Manual.

The purpose of these requirements is to ensure that GSHP systems installed under the Program are high performing and high quality. High-performing, high-quality installations are critical to enabling market growth. However, NYSERDA encourages innovation in design and installation practices that improve performance and lower costs. If an applicant for a Rebate can substantiate to NYSERDA's satisfaction that a deviation from a specific Program requirement will maintain

or improve Project performance at a similar or lower cost, NYSERDA will consider granting a waiver for that specific requirement.

How to participate in the Program

Becoming a Participating Designer, Installer or Driller

Step 1 – Confirm eligibility: In order to be approved to participate in the Program, designers, installers and drillers must demonstrate that they meet the qualifications identified in Section 3 of the Manual.

Step 2 – Review Manual and Complete Participation Agreement: Prior to submitting a Participation Application, interested Participants must review the Manual and sign the Participation Agreement.

Step 3 – Submit Participation Application: To enroll, Participants must submit all required documentation, including the signed Participation Application and Participation Agreement.

A list of Participating Designers, Participating Installers, and Participating Drillers will be posted to NYSERDA's website, here: <https://www.nyserda.ny.gov/Contractors/Find-a-Contractor/Ground-Source-Heat-Pump-Systems>.

Submitting Rebate Applications

Step 1-Confirm Project Site Eligibility: All Sites must currently pay or, in the case of new construction, will pay the SBC surcharge. The charge will appear on the Site Owner's utility bill. Rebate applicants installing large systems must not start construction of the GSHP loop field until approval of the application by NYSERDA.

To receive enhanced rebates a site must be located in an area affected by a utility company natural gas moratorium as announced in the Clean Energy Action Plan. This includes Consolidated Edison Company of New York, Inc. ("Con Ed") customers in Southern Westchester County and New York State Electric and Gas Corporation ("NYSEG") customers in Lansing, NY. Please use the tool located at <http://www.nyserda.ny.gov/action-plan> to determine your eligibility.

Step 2- For Large-scale systems (>10 tons capacity) only: Complete Preliminary Technical Analysis: *Before applying for a Rebate*, the Participating Designer must complete a technical analysis and system design that meets the requirements outlined in the Manual.

Step 3-Apply for Rebate: Rebate Applications may only be submitted by the Participating Designer or Participating Installer involved in the Project referenced in the Rebate Application. The GSHP must be installed by a Participating Installer.

Step 4-Receive Award:

NYSERDA will notify the Participating Designer or Participating Installer of the status of each Rebate Application within thirty (30) Business Days of receipt, barring extenuating circumstances. If the Rebate Application meets all Program requirements and funding is available, NYSERDA will issue an approval email (for small-scale GSHP systems) or Award letter (for large-scale GSHP systems) to the Participant that submitted the Rebate Application via email that will provide details on the Rebate amount.

Step 5-Complete Project Milestones:**For small systems** (≤ 10 tons capacity or installed in single-family residences):

Upon Project Completion, the Participant in cooperation with the System Owner will complete and submit the Project Completion Form in Salesforce and a completed GSHP manufacturer or distributor start-up sheet. If available, a summary of design software output, customer savings and economic summary and a summary of performance monitoring installed should also be submitted.

For large systems (> 10 tons capacity):

Subject to NYSERDA's review and approval, a Participant will be eligible to receive a portion of the total Rebate amount (a "Milestone Payment") based upon the completion of intermediate milestones and submission of Milestone Deliverables, as described in the Manual. NYSERDA will review and either approve or deny each Milestone Deliverable.

Step 6- Receive Rebate Payment: Rebates will be paid to the Participant who submitted the Rebate Application. Upon approval of the Milestone Deliverables, payment will be issued according to NYSERDA's prompt payment policy (see Participation Agreement).

General Conditions

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

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the

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

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

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

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

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

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

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

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

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

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

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

Attachments:

- GSHP Rebate Manual
- GSHP Rebate Participation Agreement
- GSHP Rebate Large Project Technical Analysis Form
- GSHP Rebate Small Project Completion Form
- GSHP Rebate Large Project Completion Form
- Guidance on M&V Practices
- Best Practices
- GSHP Rebate Large System Application Guide
- GSHP Rebate Small System Application Guide
- GSHP Contractor Application Guide
- What to Expect When You Are Being Inspected
- Quality Assurance and Technical Requirements Lists
- Quality Assurance Templates
- Setback Requirements



Air-Source Heat Pump Program¹
Program Opportunity Notice (PON) 3653
\$ 14,950,000 Available

NYSEDA reserves the right to extend and/or add funding to this Solicitation should additional Program funding become available.

Applications accepted through March 31, 2020² by 5:00 PM Eastern Time, or until funds are fully committed, whichever occurs first.

Program Summary: NYSEDA’s Air-Source Heat Pump Program (“the Program”) will provide up to \$14,950,000 in incentives to Participating Installers for the installation of Program Qualified Air Source Heat Pump (ASHP) systems.³ The New York State Public Service Commission has allocated funding for this program through the Clean Energy Fund (CEF) to expand the ASHP market in New York and to support installations for customers who pay (or will pay in the case of new construction) the SBC/CEF surcharge on their electricity bills.

Incentives are available per installed Program Qualified ASHP system and are available only to Participating Installers on a first-come, first-served basis. Incentives include those that may be retained by the Participating Installer as well as additional incentives that will be paid to the Participating Installer but must be credited to site owners. Complete Program requirements, incentive levels and additional descriptions can be found in the Air Source Heat Pump Program Manual (Manual).

Participating Installer and Incentive Application Submission: Participating Installer Eligibility Applications and Incentive Applications (including uploading any required attachments and documents thereto) must be completed and submitted online at <https://nyserda.ny.gov/ashp>. Incomplete or inaccurate applications will not be accepted. Faxed or e-mailed applications will not be accepted.

Contact Information: For all program questions, please contact Program staff at products@nyserda.ny.gov or Kerry Hogan at (518) 862-1090 ext. 3509.

¹ Capitalized terms used but not defined herein have the meanings assigned to them in the Manual, which can be found as an attachment in this PON or online at <https://nyserda.ny.gov/ashp>.

² The NYS Public Service Commission has directed NYSEDA and the State’s utilities to develop a common state-wide heat pump program. NYSEDA anticipates that the state-wide program will be available in 2020. Should launch of the state-wide program be delayed NYSEDA may extend the open date for this PON.

³ NYSEDA may supplement or revise the funding available through this PON or any successor at any time.

All Contractual questions should be directed to: Nancy Marucci at Nancy.Marucci@nyserdera.ny.gov or 518-862-1090 ext. 3335.

If changes are made to this Solicitation, notification will be posted on <https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

NYSERDA reserves the right to make changes in the incentive offering (including but not limited to amount, timing, recipient, structure, incentive caps and total budget available) at any time. NYSERDA will make reasonable effort not to decrease incentive level within the term of this Program. If it becomes necessary to change the incentive offering, NYSERDA will attempt to give reasonable notice to Program Participants. Program changes will be posted on the NYSERDA website and can be found at the following web page: <https://www.nyserdera.ny.gov/FundingOpportunities/Current-Funding-Opportunities>.

I. Introduction

NYSERDA seeks to accelerate the adoption of ASHPs by working to develop supply chains and expand service networks so that they are available in the market and supported by key actors, such as ASHP installation contractors.

ASHPs offer customers improved performance over other code-compliant HVAC technologies, reduced energy bills and a lower carbon footprint, but have not been widely adopted in the state. While ASHPs have been used consistently in warmer climates as an efficient cooling system, recent advances in technology have been incorporated into new ASHP models allowing them to meet both the heating and cooling needs for customers in Northern climates. Market demand has begun to increase in New York, but action is needed to accelerate widespread adoption. Through PON 3653, incentives will be available to Program Installers to reduce the wholesale cost of the products and encourage sales, stocking, and service expansions.

The Program will provide up to \$14,950,000 in incentives for the installation of ASHP systems.⁴ The New York State Public Service Commission has allocated the funds for this program through the Clean Energy Fund (CEF) to support installations for customers who pay (or will pay in the case of new construction) the SBC/CEF surcharge on their electricity bills.

Incentives are available per installed Program Qualified ASHP system and are available only to Participating Installers on a first-come, first-served basis. Incentives include those that may be retained by the Participating Installer; additional incentives will be paid to the Participating Installer but must be credited to site owners. Complete Program requirements, incentive levels and additional descriptions can be found in the Air Source Heat Pump Program Manual (Manual) which can be found as an attachment in this PON or online at <https://nyserdera.ny.gov/ashp>.

⁴ NYSERDA may supplement or revise the funding available through this PON or any successor at any time.

II. Program Requirements

Eligible Applicants for Program Participation and Incentives

ASHP Installers interested in applying for eligibility to participate in the Program must complete and submit a Participating Installer Application, which can be found online at <https://nyserda.ny.gov/ashp>. Only Participating Installers are eligible to submit Incentive Applications.

Eligible Project Requirements

To be eligible to apply for and receive any Incentives under this Program, the ASHP(s) identified in each Incentive Application must be listed on the [ccASHP Specification Listing](#) at the time of installation.⁵ Each Incentive Application must demonstrate certain requirements, including, but not limited to, the following:

- All components installed as part of an ASHP system must be new; the use of used or refurbished equipment is not permitted under the Program.
- All ASHP systems, system components, and installations comply with all manufacturers' installation requirements, applicable laws, regulations, codes, licensing and permit requirements including, but not limited to, the New York State Environmental Quality Review (SEQR), the New York State Building Code, New York State Plumbing Code, the National Electric Code, Fire Codes and all applicable State, city, town, or local ordinances or permit requirements.
- All ASHP equipment, design, and labor warranties have been provided to the customer.
- Provide installation specific data (i.e., qualifying ASHP Manufacturer, Indoor and Outdoor Unit Model Numbers, Installation Address, Utility, Primary Fuel Type, Displaced Heating System).

Each ASHP that is referenced in an Incentive Application is subject to NYSERDA-mandated quality assurance and performance verification standards.

Additional information regarding these and additional Project application and Project eligibility and technical requirements are described in the Manual.

⁵ The Northeast/Mid-Atlantic Air Source Heat Pump Working Group (facilitated by the Northeast Energy Efficiency Partnership), developed this Cold Climate Air-Source Heat Pump (ccASHP) Specification intended to identify ASHPs that are best suited to heat efficiently in cold climates (IECC climate zone 4 and higher).

These requirements help to ensure quality and performance for ASHP installations, which are critical to enable market growth. However, NYSERDA encourages innovation in design and installation practices that improve performance and lower costs. If an applicant for an Incentive can substantiate to NYSERDA's satisfaction that a deviation from a specific Program requirement will maintain or improve ASHP performance at a similar or lower cost, NYSERDA will consider granting a waiver for that specific requirement. All waivers must be approved in advance of the submission of the specific incentive application.

Becoming a Participating Installer

Step 1 – Review Manual and Program Participation Agreement: ASHP Installers must review the Manual and Participation Agreement identifying all Program procedures, terms and conditions.

Step 2 – Confirm eligibility: To be approved to participate in the Program, ASHP Installers must demonstrate that they meet the qualifications identified in the Manual.

Step 3 – Submit Participating Installer Application and Agreement: To enroll, Participants must submit all required documentation, including the signed Participating Installer Application and the Participation Agreement.

A list of Participating Installers is posted to NYSERDA's website at <https://nyserdera.ny.gov/ashp>.

Once NYSERDA approves your status as a Participating Installer, you may begin installing qualifying systems and submitting Incentive Applications.

Submitting Incentive Applications

Step 1 – Confirm Project Site Eligibility: All ASHP installation sites must currently pay or, in the case of new construction, will pay the SBC/CEF surcharge on their electricity bill. The charge will appear on the installation site owner's utility bill.

Step 2 – Install the ASHP.

Step 3 – Apply for Incentive: The ASHP must be installed by a Participating Installer, who submits the Incentive Application once installation is complete and customer has been invoiced.

Step 4 – Receive Confirmation of Award: NYSERDA will notify the Participating Installer on the status of each Incentive Application within thirty (30) Business Days of receipt, barring extenuating circumstances. If the Incentive Application meets all Program requirements and

funding is available, NYSERDA will issue an approval email to the Participating Installer with details on the Incentive amount.

Step 5 – Receive Incentive Payment: Incentives will be paid to the Participating Installer. Payment will be issued according to NYSERDA’s prompt payment policy (see Participation Agreement).

III. General Conditions

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

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501

<http://www.nyserda.ny.gov/About//media/Files/About/Contact/NYSERDA-Regulations.ashx>.

However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

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

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

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

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

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

IV. Attachments:

- Attachment A – Air-Source Heat Pump Program Manual
- Attachment B – Air-Source Heat Pump Program Participation Agreement



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

IMPLEMENTATION MANUAL

Last Updated: November 13, 2019

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1.0 BACKGROUND

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

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

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

1.1 PROGRAM OVERVIEW

The Program is an incentive program that reduces the cost of purchasing and installing qualified Level 2 charging equipment at a New York State location that provides public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (both for-profit and not-for-profit) entities may participate in the Program. NYSERDA intends to provide incentives of \$4,000 per charging port installed upon completion of the installation of charging equipment and the provision of appropriate documentation. Applicants replacing existing charging equipment with new charging equipment are eligible to receive \$1,500 per charging port replaced. Equipment owners must install a minimum of two (2) charging ports at each site.

The Program is offering \$7 million in funding for incentives and **will accept applications until December 31, 2021 or until the program runs out of funds, whichever comes first.**

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

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

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

submit all required documentation. Upon approval of all documentation, NYSERDA will issue an incentive payment directly to the Equipment Owner in the form of a paper check or by electronic payment.

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

1.2 PROGRAM CONTACTS

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

Center for Sustainable Energy
195 Montague Street, 14th Floor
Brooklyn, NY 11201
Phone: 866-595-7917
Email: ChargeReadyNY@energycenter.org

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

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

2.0 DEFINITIONS

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

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

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

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

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

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

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

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

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

Pre-Approval Date is the date that NYSERDA approves the Equipment Owner's application for pre-approval for a Charge Ready NY incentive.

Program Administrator is the Center for Sustainable Energy or other NYSERDA designee responsible for receiving and reviewing applications to the Program, responding to questions from Program participants, and conducting other administrative tasks related to the Program.

Program Effective Date is September 18, 2018. This is the date the Charge Ready NY program launched.

Qualified Charging Equipment is Charging Equipment that has been approved for use in the Program. The offering Charging Equipment Vendor must apply for and receive approval through RFQL 3902 to qualify for the Program.

Qualified Network Services are network services that have been approved for use in the Program. The offering Network Services Vendor must apply for and receive approval through RFQL 3902 to qualify for the Program.

Replacement Charging Equipment is new Qualified Charging Equipment that replaces existing charging equipment that is more than five (5) years old. Replacement Charging Equipment must replace the entire existing Charging Equipment beyond the electrical stub and wall mount or pedestal base. New replacement parts installed on existing Charging Equipment are not considered to be Replacement Charging Equipment.

RFQL 3902 refers to NYSERDA's Charge Ready NY Equipment and Network Qualification Process solicitation, through which NYSERDA qualifies charging equipment and network services for eligibility in the Program.

Site Owner is the owner of the site at which the Charging Equipment is installed. The Site Owner may or may not be the same as the Equipment Owner.

3.0 PROGRAM ELIGIBILITY

3.1 CHARGING EQUIPMENT AND NETWORK SERVICE ELIGIBILITY

To receive an incentive payment through the Program, Equipment Owners must purchase and install one or more units of Qualified Charging Equipment. To qualify their equipment for the Program, Charging Equipment Vendors and Network Services Vendors must submit an application to RFQL 3902, Charge Ready NY Equipment and Network Qualification Process, and NYSERDA must confirm that the equipment meets all requirements for qualified charging equipment described in RFQL 3902. Qualified charging equipment will be listed on NYSERDA's website and updated as needed. Charging Equipment Vendors and Network Services Vendors may submit new applications or update information about existing qualified equipment throughout the time that the Program is active, no more than once every three months.

As part of the equipment and network qualification process, Charging Equipment Vendors and Network Services Vendors will provide technical information about the qualified equipment and networks and will provide a list of distributors and vendors who sell the equipment and networks in New York State, with contact information so Equipment Owners can contact these entities to request quotes. Charging Equipment Vendors and Network Services Vendors must agree to the terms and conditions required for participating in the Program. Charging Equipment Vendors and Network Services Vendors are encouraged to attend an available training on how the Program works. A recording of the trainings will be posted on the Charge Ready NY website.

3.2 EQUIPMENT OWNER ELIGIBILITY

To be eligible for a Program incentive payment, an Equipment Owner must meet the following conditions:

1. Be licensed to do business in New York State, including not-for-profit corporations; a State agency or political subdivision of the State, including municipalities, school districts, and other local government entities.
2. Be an organization with an Employer Identification Number (EIN).
3. Purchase and install new qualified charging equipment at a site in New York State that meets site eligibility requirements (see Section 3.3).
4. Projects that have received funding for charging equipment from any of the below programs are ineligible for Charge Ready NY.
 - a. NYSDEC's Municipal Zero-Emission Vehicle (ZEV) and ZEV Infrastructure Rebate Program
 - b. Community-based EV Charging and EV Rebate Program administered by EV Connect
 - c. Calstart/ChargePoint's Charge to Work NY Program

- d. NYPA's ReCharge NY Workplace Charging Program
 - e. Any other NYSERDA initiatives that provide incentives for installing charging equipment, such as the Clean Energy Communities program.
- Projects participating in Charge Ready NY may also claim the New York State tax credit for installing charging stations (more information at https://www.tax.ny.gov/pit/credits/alt_fuels_elec_vehicles.htm). The tax credit is applied after taking out the amount received from NYSERDA.
5. Charging Equipment funded entirely by third parties is not eligible to receive a rebate. This includes Charging Equipment provided to the Equipment Owner by automakers, Electrify America, and other entities.

3.3 SITE ELIGIBILITY RULES

Equipment Owners must install charging equipment at one of the following types of sites:

Public Site: A public site is a parking facility with at least ten (10) parking spaces that is open to the general public at least twelve (12) hours per day, at least five (5) days per week. Examples of public sites include municipal or privately operated parking lots or garages, parking at retail locations, restaurants, parks, transit stations, schools, destination locations, motels/hotels, etc. Charging Equipment at public sites may be intended primarily for patrons but should be available to any visitor to use. Charging Equipment installed at public sites must be networked charging equipment.

Workplace Site: A workplace site is a parking facility with at least ten (10) parking spaces that primarily serves employees who work at or nearby the facility. Workplace sites must have a minimum of 15 employees regularly working at the site. The Charging Equipment must either be installed at parking spaces reserved for employees or be installed in a general use parking facility at which at least 50 percent of people parking at a workplace site on a typical business day are employees of an organization doing business on or adjacent to the premises. Workplace sites may be employee-only parking lots or parking areas. Charging Equipment at workplace sites may be restricted to use by employees only or may be open to a broader user group. Examples of workplace sites include office buildings, universities, schools, hospitals, and other similar facilities. Charging Equipment installed at workplace sites must be networked charging equipment.

Multi-Unit Dwelling (MUD) Site: A MUD site is a parking facility with at least eight (8) parking spaces that primarily serves a MUD with five (5) or more housing units. More than 50 percent of vehicles regularly parked at a MUD site between 7 PM and 7 AM must be resident-owned. Examples of MUD sites include apartment buildings, condominiums, and co-ops. Motels/hotels are public locations and will not be considered a MUD site. Individual residents or tenants who are not the building owner may not be the Equipment Owner at a MUD site. Charging Equipment at MUD sites may be restricted to use by residents only or may be open to a broader user group. Charging Equipment installed at MUD sites may be either networked or non-networked charging equipment.

4. INCENTIVE AMOUNTS

Equipment Owners may receive an incentive payment of \$4,000 per charging port installed. Charging equipment with a single charging port is eligible for an incentive of \$4,000. Charging equipment with two charging ports (a dual charging station) is eligible for an incentive of \$8,000. Equipment owners must install a minimum of two (2) charging ports at each site.

Equipment Owners who are replacing existing charging equipment that is more than five (5) years old with new Qualified Charging Equipment may receive an incentive payment of \$1,500 per existing charging port replaced with new Qualified Charging Equipment.

Equipment Owners may apply for a maximum of 20 charging ports per site. Any request for more than 10 charging ports per site will be reviewed by NYSERDA to determine if the number of charging ports is appropriate for the site, based on the site size, usage, and number of current and prospective EV drivers. NYSERDA reserves the right to limit the number of charging ports for a specific site at its own discretion. No entity may receive more than \$200,000 in Charge Ready NY incentives in a single calendar year. NYSERDA may choose to limit rebates to companies owned by or affiliated with the same entity to \$200,000 per year.

Note: Incentive amounts and the criteria used to determine them are subject to change at NYSERDA's sole discretion. NYSERDA will provide at least 30 days' notice to all program participants before new incentive amounts take effect.

5. INCENTIVE APPLICATION PROCESS

The incentive application process is described in a flow diagram in Appendix A.

NYSERDA will pay the Incentive once the Equipment Owner has met the requirements of the Program as described in the Manual. This includes but is not limited to (1) Agreeing to all Program requirements, (2) Installing all Qualified Charging Equipment in accordance with program rules and all applicable federal, state, and local rules and regulations, and (3) Providing accurate and complete documentation of the Qualified Charging Equipment purchase and installation to NYSERDA.

To qualify for an incentive, Equipment Owners may either pre-apply for incentives or apply for incentives within 90 days after the Installation Date, as described below. Incentives are available on a first-come, first-served basis.

To participate in the Program, the Equipment Owner must first complete a Contractor Application, which can be completed at http://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Innovation&programName=Public_Electric_Vehicle_Supply_Equipment. The Program Administrator shall review contractor applications for completeness and eligibility and respond to applicants within five (5) business days. Upon approval of the contractor application, the Equipment Owner will receive a link to log into the NYSERDA Portal. The first time the Equipment Owner logs into the NYSERDA Portal, they will be prompted to update their password. The Equipment Owner can

then proceed to complete the incentive application, either as a pre-approval or post-installation approval.

If Equipment Owners pre-apply for incentive approval, NYSERDA will reserve program funds for the Equipment Owner upon successful review by the Program Administrator and NYSERDA of the Equipment Owner's pre-approval application. The Equipment Owner shall have one-hundred eighty (180) calendar days from the Pre-Approval Date to submit final documentation for their incentive. If final documentation is not received within one-hundred eighty (180) calendar days after the Pre-Approval Date, the pre-approval will be cancelled, the reserved funds will be released, and the Equipment Owner must reapply. The Equipment Owner will be notified of the cancellation via email. Equipment Owners who initially receive a pre-approval that is cancelled may apply again for pre-approval if their Charging Equipment is not yet installed or may apply for incentive approval after completion of their installation, if they meet the requirements for post-installation applications. Pre-approval does not guarantee an Equipment Owner will receive any funds from the Program. Pre-approval only reserves funds in the Program budget for the Equipment Owner, who can receive them contingent upon completing the pre-approved Charging Equipment installation, completing all Program requirements, and submitting all required documentation. If an Applicant reaches the end of its 180-day installation window twice for the same installation site without completing the installation, it may not reapply for that site but may still apply for other sites.

If an Equipment Owner decides to purchase different charging equipment from the make and model initially selected in the pre-application, the approved pre-application will be cancelled and the Equipment Owner must reapply. The Equipment Owner may change installers after applying for pre-approval without having to reapply.

Equipment Owners who choose to apply for incentive approval after they complete their installations shall have ninety (90) calendar days from the Installation Date to submit final documentation for their incentive. Charging Equipment with an Installation Date prior to the Program Effective Date are not eligible for an incentive.

Equipment Owners shall submit incentive applications through NYSERDA's web portal (nyserda-portal.force.com).

The Program Administrator shall have ten (10) calendar days to review submitted incentive applications. Submitted applications that are complete and accurate and include all required documents will be approved.

If an application or its required documents are determined to be incomplete, illegible, or missing required information, the Equipment Owner will be notified of the error via email and shall have fifteen (15) calendar days from the date of notification to correct any errors. If the errors are not corrected within fifteen (15) calendar days, the application will be cancelled and the reserved funds will be released. If an application is submitted but determined to be ineligible, it will be cancelled, the reserved funds will be released, and the Equipment Owner will be notified via email.

If an incentive application is cancelled, Equipment Owners can reapply for an incentive for that Charging Equipment as long as it is still within ninety (90) calendar days of the Installation Date.

Participation in the Program does NOT constitute a competitive bid process in place of an Equipment Owner's required competitive bid processes. Equipment Owners must follow their own procurement rules for selecting a vendor for charging equipment, if applicable. Other competitive bid processes, such as state procurement contracts, may be available for Equipment Owners to use. Contact the Program Administrator for more information.

6. PROGRAM REQUIREMENTS

To participate in the Program, Equipment Owners must meet or agree to the following conditions:

1. Sign and agree to the Equipment Owner Agreement
2. Provide all required documentation about the charging equipment and installation to NYSERDA.
3. Install at least two (2) charging ports at each site.
4. Operate the charging equipment for at least four (4) years from the Installation Date.
5. If the installed charging equipment is networked, the Equipment Owner must purchase at least one (1) year of network service provision at the time of installation. The Equipment Owner can change network providers at a later date but must provide NYSERDA access to charging data through a Network Services Vendor for the four (4) years of operation. The Equipment Owner must add NYSERDA to its network account as an administrator with limited rights to access charging data (preferred) or establish regular recurring data transfers to NYSERDA for the duration of the four (4) years, as described in Section 7.
6. Allow NYSERDA to share the charging equipment information, Equipment Owner contact information, and the installation address with the electric distribution utility serving that location, for the purpose of informing the utilities' system planning efforts, and with the U.S. Department of Energy, which compiles information about charging equipment to share with EV drivers through the Alternative Fuels Data Center (AFDC).
7. Agree to participate in online surveys and other research efforts that support Program goals.
8. Replacement Charging Equipment must replace the entire existing Charging Equipment beyond the electrical stub and wall mount or pedestal base. New replacement parts installed on existing Charging Equipment do not qualify for the rebate.

7. REQUIRED DOCUMENTS

Equipment Owners must submit required documents for each incentive application. To receive pre-approval for an incentive application, Equipment Owners must submit:

- Completed application form (completed online)
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required
- **Site Host Agreement:** Scan of signed Site Host Agreement

- Scan of quote(s) from installers for the installation of Charging Equipment

Following charging equipment installation, all Equipment Owners must submit the following required documents, at a minimum, to receive their incentive payment:

- Completed application form (completed online)
- Serial numbers and GPS coordinates for all charging equipment (submitted as part of completed application)
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required
- **Installed Site Photo:** Photo of the charging equipment installed so the equipment is visible at its site
- **Serial Number Photo:** Photo of the serial number on each piece of charging equipment
- **Charging Equipment Installer Certification:** Scan of signed Charging Equipment Installer Certification. If the Equipment Owner self-installed the Charging Equipment, the Owner must still complete this form.
- **Site Host Agreement:** Scan of signed Site Host Agreement. If the Equipment Owner is also the property owner of the installation site, the Owner must still complete this form.
- **Network Service Agreement:** Scan of proof of payment for one (1) year of network services (where applicable)
- **Proof of payment for equipment:** Scan of proof of payment for Qualified Charging Equipment. The proof of payment for the equipment should list information about the vendor (name, company, contact information), the make and model name of the specific equipment purchased, per-unit costs, any accessories purchased along with their costs, and the total cost.
- **Proof of payment for installation services:** Scan of proof of payment from installer for the installation of Qualified Charging Equipment. The proof of payment should include information about the installer (name, company, contact information), a breakdown of costs by materials (as specific as possible, on a per-unit cost basis and total cost basis) and labor (hourly rates and number of hours at each rate), other expenses such as permits, and the total cost.

Equipment Owners must submit scanned versions of the documents through the NYSERDA web portal, which can be found at nyserderda-portal.force.com. NYSERDA reserves the right to require additional documentation if needed for verification of any element of incentive eligibility.

8. OPERATION OF EQUIPMENT AND DATA PROVISION

Equipment Owners must continue to own and operate the charging equipment for a period of no less than four (4) years from the date of installation. If the Equipment Owner ceases to operate the charging equipment before the end of this term, NYSERDA may require repayment of a portion of the incentive payment proportional to the amount of time the equipment was not in operation compared to the required period of operation unless the equipment is sold to a buyer who commits to operating the equipment at the same location for the full four-year term and maintaining reporting requirements. For instance, if the equipment was in operation for only three years, NYSERDA may require repayment of 25 percent of the incentive payment.

As part of the operation of equipment, the Equipment Owner must provide all data requested to NYSERDA on a regular basis. For networked stations, the Equipment Owner must set up access to usage data through the Network Services Vendor, either by providing NYSERDA with limited administrative access to the network data (preferred) or by establishing regular recurring data transfers to NYSERDA for the duration of the four (4) years, no less than quarterly. Network Service Vendors, NYSERDA, or the Program Administrator will be able to provide instructions for establishing NYSERDA as an administrator with data access. For non-networked stations, the Equipment Owner must provide NYSERDA with regular data reporting on electricity use and number of regular users, to the best extent possible.

9. INCENTIVE DISTRIBUTION PROCESS

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

10. APPEALS PROCESS

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

11. RESEARCH PARTICIPATION

NYSERDA may require Equipment Owners to participate in surveys and may request participation from Equipment Owners in other research efforts that support Program goals.

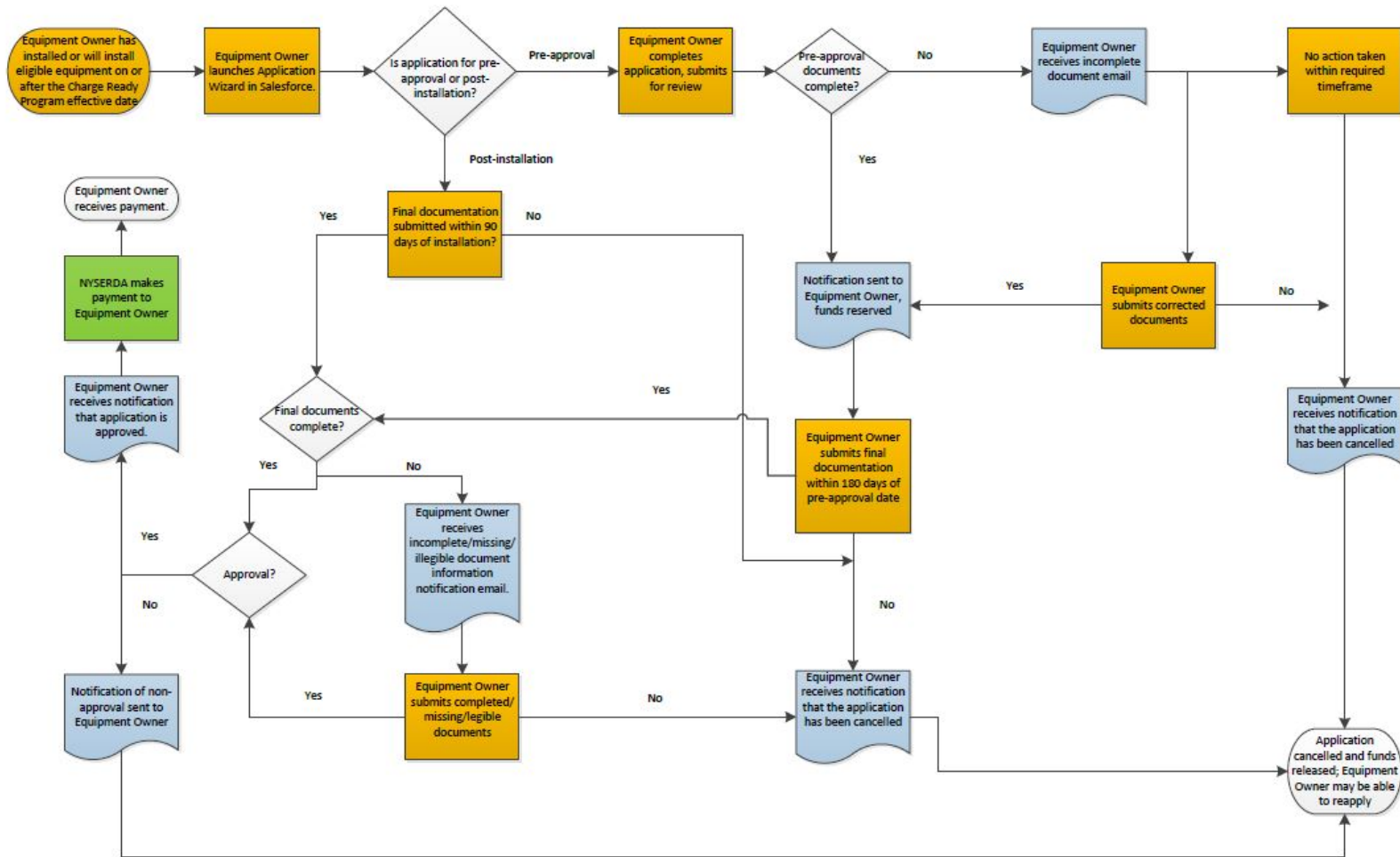
12. PUBLICITY

The Equipment Owner shall collaborate with NYSERDA's Director of Communications to prepare any press release and to plan for any news conference concerning work related to the Program. In addition the Equipment Owner shall notify NYSERDA's Director of Communications regarding any media interview in which work related to this Program is referred to or discussed.

The Equipment Owner shall not use NYSERDA's corporate name, logo, identity, any affiliation, or any related logo, without NYSERDA's prior written consent.

Appendix A

Incentive Application Process Flow Chart





P-12 Schools: Green and Clean Energy Solutions

Program Opportunity Notice (PON) 4157

\$4,000,000 Available

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 dependent on resource availability until December 30, 2022 by 3:00 PM Eastern Time*

The goal of NYSERDA's Pre-Kindergarten through Grade 12 (P-12) Schools – Green and Clean Energy Solutions (“the Program”) is to reduce school energy loads and assist in the conversion to carbon free fuels.

Funding: The Program provides cost-sharing for **Energy Studies** to assist schools with analyzing energy load reduction measures, conversion to carbon free fuels, cost-sharing for **Clean Heating and Cooling and Net Zero Design**, and **Direct Incentives** for eligible energy load reduction projects. The Program will also provide complimentary services such as free **Clean Heating and Cooling Technology Screenings** and free **Benchmarking**.

Eligibility: Eligible project sites include publicly or privately-owned buildings that provide P-12 education. All space within the buildings must be solely occupied by P-12 students and staff. Buildings must be located in New York State and pay into the Systems Benefit Charge (SBC) on their electric utility bill.

Application Submission: Completed application packages will be accepted via email to P12Schools@nyserda.ny.gov through December 30th, 2022 or until funds are fully committed. For ease of identification, all electronic files should be named using the applicant's name in the title of the document. Application PDFs should be searchable. Files should not be scanned. NYSERDA will also accept Applications by mail or hand-delivery if online submission is not possible.

Schools may contact a pre-approved NYSERDA Consultant to help prepare a Green and Clean Energy Solutions Application on their behalf. These P-12 Benchmarking Consultants are regionally assigned and can be found on the [P-12 Webpage](#).

Questions: For program questions, please contact P12Schools@nyserda.ny.gov. No communication intended to influence this procurement is permitted except by contacting P12Schools@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or ElsydaSolicitations@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 3 p.m. Eastern Time on the date noted above. Late or faxed Applications will not be accepted.** Incomplete Applications may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the Application. 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's [P-12 Schools Initiative](#) promotes clean energy efforts by educating, guiding, and assisting school staff with clean energy projects and encouraging sustainability principles at facilities and in classrooms. As part of the P-12 Schools Initiative, this Program provides cost-sharing for energy studies to assist schools with analyzing energy load reduction measures and conversion to carbon free fuels, cost-sharing for clean heating and cooling and net zero design, and direct incentives for eligible energy load reduction projects. The Program will also provide complimentary services that include free clean heating and cooling technology screenings and registration for free [benchmarking through the P-12 Benchmarking Program](#).

Complimentary Services

Clean Heating and Cooling Technology Screenings

Schools will receive a free clean heating and cooling technology screening to evaluate the installation of ground source heat pumps (GSHP), air source heat pumps (ASHP), and variable refrigerant flow (VRF) systems. These screenings will help schools make intelligent, fact-based decisions on if, how, and where to take next steps to pursue GSHP, ASHP, and VRF investments. The screenings will outline the benefits and potential savings of installing clean energy systems. Upon submission of a Program Application (Attachment A), schools will be contacted by a consultant under contract to NYSERDA to provide a free Clean Heating and Cooling (CHC) Technology Screening.

Benchmarking

Schools will be registered to receive free benchmarking through NYSERDA's P-12 Schools Initiative Benchmarking Program ([PON 3908](#)). Benchmarking serves as a mechanism to stimulate demand for investments in clean energy improvements and allow schools to gain positive public recognition for the impact of their clean energy projects. Participating schools can also receive an optional Operational Assessment which provides building-specific energy and cost-saving recommendations. Energy and cost savings from measures implemented through the Green and Clean Energy Solutions Program can be tracked through this free benchmarking service. Schools will be contacted by a consultant under contract to NYSERDA upon submission of a Program Application (Attachment A).

Cost-Sharing

NYSERDA will cost-share eligible [Energy and Carbon Saving Studies](#) as well as [Clean Heating and Cooling and Net Zero Design](#) projects up to 75%. Schools categorized as High-Need¹ may receive up to 100%. For full project eligibility requirements, please see [Section IV. Cost-Sharing](#). Cost-sharing for each of these efforts is capped at \$250,000 per project.

Direct Incentives

A list of pre-qualified [Direct Incentives](#) is available on NYSERDA's [P-12 website](#). NYSERDA will provide Direct Incentives for energy savings associated with installed projects that result in an energy load reduction through mechanical, equipment, and building envelope efficiency efforts. Eligible Direct Incentive projects are listed on the pre-qualified measure list and include, but are not limited to, building envelope, controls, and operation and maintenance, and energy load reduction. For projects with measures not included in the pre-qualified measure list, a custom incentive may be available. Projects eligible for existing investor owned utility incentives are ineligible for incentives through the Program. For full project eligibility requirements, please see [Section V. Direct Incentives](#).

¹ For the Program definition of High-Need please see section II. Program Definitions.

II. PROGRAM DEFINITIONS

- **Applicant** - A school, school district, or representative authorized to act on behalf of the school.
- **Pre-kindergarten** - Pre-kindergarten level education serves three to five-year-old students.
- **Net Zero Energy** - Where energy efficient design paired with energy generated by on-site renewables or distributed generation resources matches a building's energy consumption.
- **Clean Heating and Cooling Technologies** - Clean heating and cooling technologies produce space and/or water heating or cooling without the use of fossil fuels and include, but are not limited to:
 - **Ground Source Heat Pump System (GSHP)** - Ground-source heat pump systems (also referred to as geothermal heat pumps) provide space heating and cooling, as well as hot water in some cases. The indoor heat pump unit and underground (or underwater) heat exchanging loop transfers thermal energy between and amongst the ground and the building.
 - **Air Source Heat Pump System (ASHP)** - Air source heat pumps transfer heat between inside and outside air while creating a more comfortable indoor environment.
 - **Variable Refrigerant Flow System (VRF)** - Variable refrigerant flow heat pump systems modulate refrigerant flow as needed to maximize compressor efficiency. Where an ASHP systems requires separate refrigerant lines for each indoor unit, VRF systems allows multiple indoor units to connect to a single compressor.
- **Energy Load Reduction** - Energy load reduction refers to reducing the base amount of energy required for regular operation of a facility to meet occupant needs. A focus on energy load reduction serves as a precursor to cost-effective decarbonization.
- **High-Need** - [New York State Education Department](#) categorization of school districts using a need-to-resource capacity (N/RC) index. The N/RC index is a measure of a school district's ability to meet the needs of its students with local resources, based on a ratio of the estimated poverty percentage to the combined wealth ratio. High-Need categories include High N/RC: Large City Districts, High N/RC: Urban-Suburban Districts, and High N/RC: Rural Districts.

III. PROGRAM ELIGIBILITY

Eligible project sites include publicly or privately-owned buildings that provide P-12 education. All space within the buildings must be solely occupied by P-12 students and staff. Buildings must be located in New York State and pay into the Systems Benefit Charge (SBC) on their electric utility bill.

IV. COST-SHARING

Energy Studies

The Program provides cost-sharing to assist with covering eligible study costs for schools working with a third-party consultant to complete energy study projects. Eligible studies will focus on energy and carbon savings through load reduction, load shifting, and opportunities for conversion to carbon free fuels.

Eligible studies include, but are not limited to, evaluation of energy efficiency measures, central heating and cooling systems for conversion to carbon free fuels, clean energy projects, load shedding and shifting, renewable generation, retro-commissioning, and strategic planning to reduce carbon footprint.

Incentive

Studies may receive a cost-share of up to 75% of eligible study costs. Schools categorized as High-Need may receive up to 100% cost-sharing of eligible study costs. Cost-sharing is capped at \$250,000 per project.

Consultant Requirements

Customers may select their own consultant to perform energy studies. Customers in need of a consultant may choose from NYSERDA's FlexTech Consultant list on the FlexTech Program [website](#). Energy consultants, engineering companies, energy service companies (ESCOs), and other eligible firms interested in becoming a NYSERDA FlexTech Consultant should refer to [RFP 3628](#).

Scope of Work Requirements

The Scope of Work for energy studies shall include the following:

- *Goal of Study*
- *Consultant Information*
- *Tasks and Deliverables*
 - *Building(s) included*
 - *Equipment to be reviewed*
 - *Method and type of data collected*
 - *Number and access needed for site visits*
 - *Method of analysis*
 - *Interim deliverables (if applicable)*
 - *Draft deliverables*
 - *Final deliverables*
- *Assumptions/Responsibilities of each party*
- *Itemized Schedule (by task)*
- *Itemized Budget (by task)*

Deliverable Requirements

The energy study final deliverable shall include the following:

- *Concise summary of measures evaluated*
- *Brief overview of study*
- *Background*
- *Study description*
- *Study results and recommendations*
 - *Indicate reasoning for recommendations*
 - *Economic analysis*
 - *Additional benefits of recommendations*
- *Appendices*
 - *Historic energy usage and costs (12 months minimum)*
 - *Calculations for all studied measures and/or retro-commissioning deficiencies. For software modeling, include software type, inputs, and outputs of analysis.*
- *Itemized project implementation costs (at minimum material and labor costs associated with each measure with sources of cost estimates and/or vendor quotes as applicable)*

The *concise summary of measures evaluated* shall include recommendation status, an overview of payback, costs, and savings in dollars, MMBtus, and kWh, and kW where appropriate. An example summary has been provided for reference on NYSERDA's [P-12 website](#).

The *brief overview of study* shall include intent, findings, recommendations, and the economics of the recommendations. Final deliverables shall include analysis for projects evaluated and not recommended including

quantified estimated energy savings expected for all analyzed measures. The Program supports site-specific analysis and therefore, rule of thumb assumptions and percentage savings calculations are not acceptable.

Clean Heating and Cooling and Net Zero Design

The Program provides cost-sharing to assist with covering eligible design costs for schools working with a third-party consultant for Clean Heating and Cooling and/or Net Zero design.

Eligible Clean Heating and Cooling design projects include, but are not limited to, GSHP, ASHP, and VRF system designs. Other projects demonstrating space and/or water heating or cooling without the use of fossil fuels may be eligible. Eligible project activities include, but are not limited to, the development of heating and cooling load calculations, equipment schedules, drawings, mechanical plans, and test boreholes.

Eligible Net Zero design projects must evaluate reduced energy use of 20% better than current New York State Energy Code and estimate the impact of the design against the school's net zero energy potential. Eligible Net Zero design costs include, but are not limited to, design of clean energy and energy efficiency improvements, energy modeling and analysis, and integrated project delivery. Provided the design scope of work includes tasks supporting major components of moving towards Net Zero, on-site renewable energy (PV, wind, solar thermal) and battery storage may also be included. Cost-sharing is also available for an initial Net Zero design charrette.

If the Applicant intends to seek funding for project installation through other NYSERDA or utility programs, Applicants are recommended to verify specific technology and program requirements. Compliance with this Program does not necessitate compliance for local codes and regulations, nor program requirements of other NYSERDA or utility programs.

Incentive

Eligible projects may receive a cost share of up to 75% of eligible design costs. Schools categorized as High-Need may receive up to 100% cost-sharing of eligible design costs. Cost-sharing is capped at \$250,000 per project.

Consultant Requirements

Customers may select their own qualified consultant to perform design development. Consultant qualification must be demonstrated through one of the following:

- Enrollment in NYSERDA's FlexTech Consultant [list](#) with indication of appropriate specialties. Energy consultants, engineering companies, energy service companies (ESCOs), and other eligible firms interested in becoming a NYSERDA FlexTech Consultant should refer to [RFP 3628](#).
- For GSHP designs, demonstration may include enrollment in NYSERDA or utility GSHP designer lists.
- Other qualified NYSERDA and utility consultant lists may be eligible.
- Consultants not currently listed under approved NYSERDA programs will be required to submit examples of two previous successful designs of similar scope as part of the Scope of Work.
- Qualification may be demonstrated through industry accepted credentials specific to appropriate design technologies as approved by NYSERDA on a case by case basis.

Please contact the P12Schools@nyserda.ny.gov with specific consultant qualification questions.

Scope of Work Requirements

The Scope of Work for design cost-sharing shall include the following:

- *Goal of design*
 - *For Net Zero design:*
 - *Discussion of the long-term plan to achieve Net Zero*
- *Consultant Information*
 - *Demonstration of qualifications (see Consultant Requirements)*

- *Tasks and Deliverables*
 - *Building(s) included*
 - *Technologies to be designed*
 - *Method and type of data collected*
 - *Number and access needed for site visits*
 - *Method of analysis and design*
 - *Interim deliverables (if applicable)*
 - *Draft deliverables*
 - *Final deliverables*
- *Assumptions/Responsibilities of each party*
- *Itemized Schedule (by task)*
- *Itemized Budget (by task)*

Deliverable Requirements

Design deliverables must communicate type and quality of Clean Heating and Cooling and/or Net Zero designs for technical review. Design must demonstrate compliance with applicable local codes and regulations. NYSERDA reserves the right to request additional documentation as needed.

The design final deliverables shall include, but not be limited to, the following:

- *Concise summary of recommended next steps*
- *Brief overview of design work*
- *Background*
- *Design description*
- *Design results and recommendations*
 - *Indicate reasoning for recommendations*
 - *For Net Zero design:*
 - *Review of remaining Net Zero potential: estimated impact of project savings against remaining opportunities for energy load reduction on the path towards Net Zero.*
 - *Analysis*
- *Detailed schedules*
- *Layouts/drawing/plans*
- *Appendices*
 - *Historic energy usage and costs (12 months minimum)*
 - *Load calculations*
 - *Refined and itemized project implementation costs (with sources of cost estimates and/or vendor quotes as applicable)*

Application Requirements

In addition to the Program Application (Attachment A), a Scope of Work, project schedule, and itemized budget must be provided for cost-sharing projects. The Scope of Work must provide justification for the cost-share request based on site-specific descriptions and a clear account of potential solutions that will be evaluated. Multiple sites, studies, and/or technologies may be included in one Scope of Work if objectives and site differences are clearly accounted for. Applicants are encouraged to streamline work processes by developing one Scope of Work for client and NYSERDA review. A sample Scope of Work template has been provided for reference on NYSERDA's [P-12 website](#).

Deliverables Submission

Submit draft and final deliverables as attachments to P12Schools@nyserda.ny.gov. For ease of identification, all electronic files should be named using the applicant's name in the title of the document. Do not include utility account numbers within or attached to email submission. NYSERDA reserves the right to perform technical review on all submittals. Deliverables found by NYSERDA to not fulfill deliverable requirements may receive a reduced cost-share or may not be reimbursed by NYSERDA. Applicants are encouraged to streamline work processes by developing one deliverable for client and NYSERDA review.

Payment

Program incentives will be distributed to the Applicant based on time and material invoices. Applicants will work with their designated NYSERDA Project Manager to approve interim payments. Interim payment requests may be made in accordance to approved budget and timeline outlined in the NYSERDA approved Scope of Work. Interim payments are capped at 50% of final cost-share amount.

Upon approval of final deliverables, the Applicant will submit an invoice from the Applicant to NYSERDA, including a copy of the third-party consultant's invoice(s) to the applicant indicating the total study cost and a copy of metering equipment invoice(s), if applicable. The third-party consultant's invoice(s) will include labor and non-labor costs, staff titles, hourly rates, dates and hours for each task. All invoices including reimbursement documentation must be submitted through <https://services.nyserda.ny.gov/Invoices/>.

Eligibility

Applicants enrolling in programs for the same analysis through their investor owned utility are ineligible. Work completed prior to NYSERDA's receipt of a completed Application package is ineligible. NYSERDA is not committed to cost-sharing an Application until a Purchase Order (PO) is issued. Applicants and consultants are encouraged to commence work after NYSERDA issues a PO. Commencement of work prior to receiving a PO is at their own risk.

Funds may be used for studies or design development only and may not be used toward implementation or equipment purchase, with the exception of permanent meters or permanent sub-meters as a component of a larger project to inform results. Travel costs are limited to 3% of the total project cost. At its sole discretion, NYSERDA may limit the cost-share.

V. DIRECT INCENTIVES

A list of pre-qualified Direct Incentives is available on NYSERDA's [P-12 website](#). NYSERDA will provide Direct Incentives for the installation of measures that result in an energy load reduction through mechanical, equipment, and building envelope efficiency efforts. Direct Incentive projects include, but are not limited to, eligible building envelope, controls, operation and maintenance, and energy load reduction projects.

Incentive

All pre-qualified measures have a fixed incentive. For measures not included in the pre-qualified measure list, a custom incentive may be available. All measure incentive values are calculated based on industry-deemed savings, up to \$50 per MMBtu, not to exceed 50% of project costs based on industry standards.

Application Requirements

A complete application package for direct incentives includes the Program Application (Attachment A), indication of which [Direct Incentives](#) the Applicant is applying (ex. measure number), specification sheets showing manufacturer and model number, and proof of purchase. For custom incentives, an application package shall include supplemental attachments outlining building description, general description of existing related equipment, and specification sheets of new equipment to be installed. Calculations are not required for custom measure submissions.

Proof of purchase may include, but not be limited to, a copy of a paid in full dated work order, invoice, or receipt including equipment or measures installed, material costs, paid in full or zero balance, quantity installed, manufacturer, installer name (if contractor installed), labor costs, and model number. NYSERDA reserves the right to request additional documentation as needed.

Payment

Program incentives will be distributed to the Applicant. Direct deposits or checks may be processed within 2 weeks of Application approval. If necessary, a copy of the Applicant's W-9 may be requested for payment.

Project Eligibility

Fossil fuel-based efficiency projects must be performed on systems with a remaining useful life of at least 6 years. System conversion to natural gas is ineligible. Full system replacements to new fossil fuel-based systems are ineligible. Measures with available investor owned utility incentives are ineligible. Projects that have been installed prior to Program launch are ineligible. Further measure specific eligibility requirements are found on the list of pre-qualified measures available on NYSERDA's [P-12 website](#).

VI. PARTICIPATION PROCESS

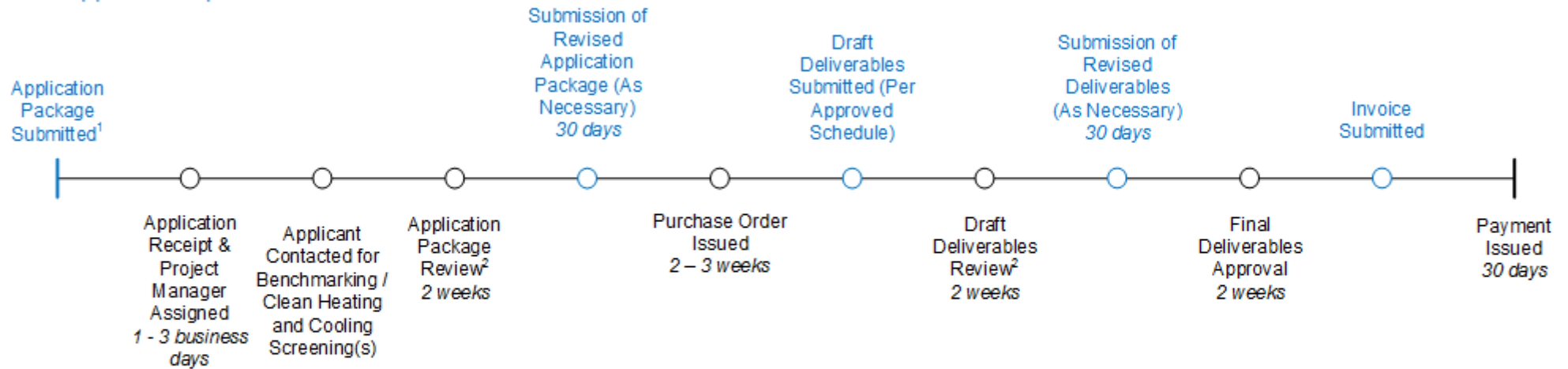
Application

- Submit complete application packages, as defined per the Application requirements outlined in [Section IV: Cost-Sharing](#) and [Section V: Direct Incentives](#), as attachments to P12Schools@nyserda.ny.gov. For ease of identification, all electronic files should be named using the applicant's name in the title of the document. NYSERDA will also accept Applications by mail or hand-delivery if online e-mail submission is not possible.
- Applications may be submitted by the school, school district, or by a representative authorized by the school.
- Schools may contact a pre-approved NYSERDA Consultant to help prepare a Green and Clean Energy Solutions Application on their behalf. These P-12 Benchmarking Consultants are regionally assigned and can be found on the [P-12 website](#).
- Applicants may submit one Application on behalf of multiple school buildings within a district.
- Simultaneous enrollment in multiple Program offerings is allowed.
- Applicants are approved on a first-come, first-served basis.

Participation Process and Timeline:

Energy Studies and Design Cost-Sharing

Applicant Responsibilities

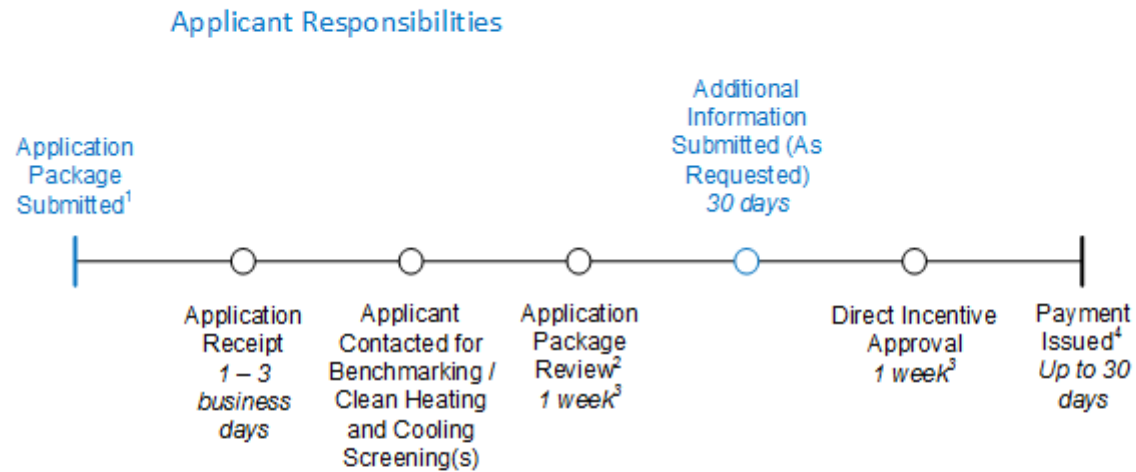


NYSERDA Responsibilities

Footnotes:

- 1. Schools may email the P-12 Schools email to request a Benchmarking Consultant to prepare an application on their behalf.
- 2. NYSERDA may require more than one round of comments.

Direct Incentive Participation Timeline



NYSERDA Responsibilities

Footnotes:

1. Schools may email the P-12 Schools email to request a Benchmarking Consultant to prepare an application on their behalf.
2. NYSERDA may require more than one round of additional information.
3. Custom measures may require 2 – 3 weeks of review.
4. Payment time is dependent on form of payment.

VII. GENERAL CONDITIONS

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of four years, unless NYSERDA management determines a different structure is more efficient based upon

Applications 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 Applications. 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 2 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.

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

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

VIII. LIST OF ATTACHMENTS

- Attachment A) Program Application
- Attachment B) Terms and Conditions



Flexible Technical Assistance (FlexTech) Program Opportunity Notice (PON) 4192

Applications accepted on a first-come, first-serve basis dependent on funding availability until December 31, 2025 by 3:00 PM Eastern Time.

The NYSERDA Flexible Technical Assistance (FlexTech) Program supports New York State Commercial, Industrial and Multifamily customers who pay into the Systems Benefit Charge by providing a cost-share for credible, objective technical assistance services. These services encompass a wide range of activities to help customers make informed clean energy investment and sustainability decisions. Customers faced with unprecedented new challenges, opportunities and technological change can use the FlexTech Program to pinpoint which clean energy investments are right for them.

Customers have the option of selecting either a NYSERDA qualified FlexTech Consultant from the following list (<https://www.nyserderda.ny.gov/Contractors/Find-a-Contractor/FlexTech-Consultants>) or an Independent Service Provider of their choosing. The Consultant or Service Provider will identify, analyze and prioritize energy efficiency or carbon reduction recommendations. The recommendations are tailored to the customer's site and business needs. Implementation of these recommendations may lead to lower annual utility costs, reduced operation and maintenance costs, extended equipment life, and increased occupant comfort.

The primary Technical Assistance Service areas available through the Program include:

- Targeted or comprehensive technical analysis including energy studies and/or energy planning (refer to Section II);
- Feasibility studies for distributed energy resources (DERs):
 - Combined Heat and Power (CHP) feasibility studies (refer to Section VI)
 - Energy Storage feasibility studies (refer to Section VII)
- Investigation of Clean Heating and Cooling Systems including Air Source Heat Pumps (ASHP), Ground Source Heat Pumps (GSHP), Variable Refrigerant Flow (VRF), and Solar Heating and Cooling

Program Summary:

A one-page synopsis of the FlexTech Program is available for download: <https://www.nyserderda.ny.gov/flextech-documents>

How to Apply:

1. A FlexTech program application **must** be submitted to FlexTech@nyserderda.ny.gov, consisting of the following documentation:
 - FlexTech Program Application Form (Attachment A)
 - Scope of Work, Schedule and Budget; see sample templates (<https://www.nyserderda.ny.gov/flextech-documents>)

Program Questions:

Customers, Service Providers, or FlexTech Consultants with Program questions should contact FlexTech@nyserderda.ny.gov. No communication intended to influence this procurement is permitted except by contacting the Designated Contact at FlexTech@nyserderda.ny.gov. All contractual questions should be directed to Elsyda Sheldon (866-NYSERDA ext.3232, FlexTech@nyserderda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*NYSERDA reserves the right to extend and/or adjust funding to this solicitation. * All applications must be received by 3pm Eastern Time on the date noted above. Incomplete or unsigned applications will be returned. If changes are made to this solicitation, notification will be posted on NYSEERDA's website at www.nyserderda.ny.gov.

I. INTRODUCTION

This solicitation is divided into the following Sections:

- Section II: Program Cost-Share
- Section III: Eligibility
- Section IV: Program Parameters
- Section V: Program Participation
- Section VI: CHP Studies (Traditional and Premium)
- Section VII: Energy Storage Studies
- Section VIII: General Conditions
- Section IX: Attachments

PROGRAM TERMINOLOGY

Term	Definition
Customer	New York State Commercial, Industrial and Multifamily electricity customers who pay into the System Benefits Charge (SBC) through their electric utility company. The entity paying for FlexTech services.
FlexTech Consultant (FTC)	Third-party, NYSERDA qualified firms that provide objective customized technical assistance services to inform the Customer's clean energy management and investment decisions. A list of qualified FlexTech Consultants can be found here: https://www.nyserda.ny.gov/Contractors/Find-a-Contractor/FlexTech-Consultants
Independent Service Provider (ISP)	A third-party firm, selected by the Customer, that provides technical services to inform the customer's clean energy management and investment decisions.
Technical Assistance Services	Activities (found in Section II. Program Cost-Share) that inform a Customer's decision-making process with respect to clean energy efficiency and sustainability.
Project	The set of proposed activities and tasks to be completed as described in the Technical Assistance Services Scope of Work submitted to the Program.
Distributed Energy Resource – (DER)	Behind the meter electrical generation and energy storage resources. These technologies can be coupled with a traditional CHP study to form a premium CHP study. For more information refer to Section VI.

II. PROGRAM COST-SHARE

For definitions of the Technical Assistance Services listed below and further examples of eligible Projects, please refer to the FlexTech Program website. Additional templates and reference documents are also available to streamline the application process.: (<https://www.nyserra.ny.gov/flextech-documents>)

	Technical Assistance Services	Standard NYSERDA: Cost Share	REV Campus Challenge Member: NYSERDA Cost Share ^{1,2}	NYSERDA Cost Share Cap per Project
Primary Services	Level 1+ Energy Study	50%	60%	up to \$10,000 per building
	Targeted or Comprehensive Energy Study Targeted or Comprehensive RCx Study Climate Action Plan or Sustainability Plan Clean Heating and Cooling Study Energy Master Planning Energy Advisor Services			up to \$500,000 or 10% Annual Energy Expenditure, whichever is less
	Traditional Combined Heat and Power (CHP) Study Represents a single-technology solution that simultaneously provides thermal and electrical energy at a host site.	50%	50%	up to \$500,000 or 10% Annual Energy Expenditure, whichever is less
	Premium Combined Heat and Power (CHP) Study Includes an evaluation of CHP coupled with other distributed energy resources (DER). The intent is to evaluate optimized (integrated) solutions that capitalize on advances in technology, control analytics and deliver on-site power with resiliency benefits.	75%	75%	
	Energy Storage (ES)	75%	75%	up to \$100,000 or 10% Annual Energy Expenditure, whichever is less
<i>The following Supporting Services are eligible if combined with any of the above Primary Services.</i>				
Supporting Services ³	Investigation of renewable energy technologies	50%	60%	
	Complete greenhouse gas emission inventory			
	Installation of permanent meters or permanent sub-meters			\$10,000
	Establish reporting protocol and report to voluntary third-party certification organizations	REV CC Only		
	Utilize a student intern	REV CC Only	Up to \$4,000 of intern fees	10% of NYSERDA cost share

1. Colleges and Universities must be [REV Campus Challenge](#) members to receive a cost-share of any kind.

2. Limited funds are available for [REV Campus Challenge](#) members who are Long Island Power Authority customers, who do not pay into the SBC.

3. Supporting Services are only eligible for a NYSERDA cost share if completed in combination with a Primary Service.

III. ELIGIBILITY

Projects that display a potential for energy savings, carbon savings, or process improvement will be considered for eligibility.

Eligible participants include New York State Commercial, Multifamily and Industrial facilities that are New York State electricity customers who pay into the System Benefits Charge (SBC) through their electric utility company.

IV. PROGRAM PARAMETERS

- A third-party technical assistance service provider is required for all projects.
 - Customers in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprising of firms who have demonstrated experience and thorough understanding of technical assistance services. Visit the website at: www.nyserdera.ny.gov/FlexTech for the current listing of FlexTech Consultants.
 - Energy consultants, engineering companies, energy service companies (ESCOs) and other eligible firms interested in becoming a NYSERDA FlexTech Consultant should refer to [RFP 3628](#) for additional information.
 - Customers have the option to select their own Independent Service Provider to perform the study.
 - Independent Service Providers and FlexTech Consultants may undergo additional review before being approved to perform certain FlexTech studies. Examples of such studies include but are not limited to CHP, energy storage, energy advisor projects, and industrial and process efficiency analysis.
- Applications must provide a justification for the NYSERDA cost-share request based on site-specific facility descriptions along with the potential solutions that will be investigated.
- Project deliverables shall identify and quantify estimated energy impacts including savings expected as a result of all evaluated measures.
 - Rule of thumb assumptions and percentage savings calculations are not acceptable. Exceptions may be made for Level 1+ Energy Studies in NYSERDA's sole discretion.
- NYSERDA is not committed to cost-sharing a project identified in an application until a Purchase Order (PO) is issued. The commencement of work covered by the FlexTech Program by the FlexTech Consultant, the Independent Service Provider or Customer prior to the issuance of a PO is at their own risk.
- Completed FlexTech studies lacking recommended energy efficiency or process improvement opportunities or quantified energy or carbon savings may receive a reduced cost-share or may not be reimbursed by NYSERDA.
- NYSERDA reserves the right to add or modify technical assistance services areas and the associated cost-share from 0-100%. Funds may be used for technical assistance only and may not be used toward implementation, equipment purchase (except for eligible metering expenses), or any labor costs outside of the technical assistance effort. At its sole discretion, NYSERDA may limit the cost share associated with a study.
- Travel costs are limited to 3% of the total project cost.
- Unless otherwise negotiated, all work funded under this program must be completed within two (2) years of issuance of the PO.

- Student interns, eligible for REV Campus Challenge members only, are required to provide a written report on the tasks they completed relevant to the approved Scope of Work, and the report must be submitted as part of the final report. Requests for the student intern bonus should be included as a separate task in the Scope of Work.
- New facilities or those that have undergone substantial renovations must be in operation for more than one year prior to submission of the FlexTech Program Application to be eligible for energy efficiency (excluding Clean Heating and Cooling, CHP and Energy Storage studies) or retro commissioning analysis funding under this solicitation.
- New Independent Service Providers and FlexTech Consultants are limited to five (5) open applications at any given time until they have demonstrated the ability to meet program requirements.

The following are **ineligible** for funding:

- Work completed prior to NYSERDA’s receipt of a completed application (which includes the FlexTech application, Scope of Work, schedule and budget)
- Retro commissioning (RCx) study applications **that do not have an energy efficiency impact** and do not address RCx-specific tasks in the FlexTech Scope of Work & budget template (<https://www.nysерda.ny.gov/flextech-documents>).
- DER studies where the potential for energy savings from energy efficiency or energy management measures have not been previously investigated.
- Technical assistance, studies or assessments whose need is not supported by existing site-specific conditions as documented in the Scope of Work
- Detailed engineering design
- Lighting only studies and analyses
- Power quality, power factor, and power conditioning studies
- Utility billing error analysis

V. PROGRAM PARTICIPATION

APPLYING TO THE PROGRAM

To apply to the Program, the following must be completed. The FlexTech Consultant or Independent Service Provider may assist in completion of the documents.

A FlexTech program application **must** be submitted to FlexTech@nysерda.ny.gov, consisting of the following documentation:

- FlexTech Program Application Form (Attachment A)
- Scope of Work, Schedule and Budget; see sample templates (<https://www.nysерda.ny.gov/flextech-documents>)

A Consolidated Funding Application (CFA) must be completed. By checking “Yes” to the CFA authorization statement on the FlexTech Application the Customer is authorizing NYSERDA to complete the CFA on their behalf. By checking “No” the FlexTech Consultant, Independent Service Provider or Customer must complete the CFA as part of the application submittal.

All applications will be reviewed on a first come, first-served basis dependent on funding availability. A complete application

package comprises the FlexTech Program Application, a complete Scope of Work with a detailed budget and schedule, and the CFA. Incomplete project application packages will be rejected.

SCOPE OF WORK REQUIREMENTS

The Scope of Work is a stand-alone document describing the existing conditions of a facility and the Technical Assistance Services to be conducted. The Services should be listed as tasks required to conduct the Project and make clean energy technology and system recommendations. A Scope of Work generally ranges from four to eight pages and should clearly outline where potential energy efficiency and carbon opportunities exist and why a study or third-party service provider assistance is needed. **A Scope of Work template has been provided for reference (<https://www.nyscrda.ny.gov/flextech-documents>).** **While the exact format of the Scope of Work template is not required, all information requested within the Scope of Work template must be included in some form in the project Scope of Work.** Failure to provide all required information may result in NYSCRDA rejecting the scope of work.

CHP and Energy Storage project applications containing scopes of work that do not expand upon the requirements outlined in Sections VI and VII, or that do not include site and project specific issues, may be rejected. Requirements for studies on CHP plus energy storage are in Section VI and are considered CHP Premium studies.

Separate submittals are required for energy efficiency and DER studies. Energy analyses on systems or measures that are conducive to the success of load modeling CHP, i.e. absorption chilling, are allowed within the CHP submission. CHP and energy storage studies may undergo review by an independent panel to determine eligibility for acceptance into this solicitation. The minimum criteria that must be met for NYSCRDA to review CHP applications are listed in Section VI: CHP Studies (Traditional and Premium). The minimum criteria that must be met for NYSCRDA to review energy storage applications are listed in Section VII: Energy Storage Studies. Requirements for studies on CHP plus energy storage are in Section VI and are considered CHP Premium studies.

- For customers seeking a preliminary CHP study, NYSCRDA recommends contacting the EPA's CHP Partners at <http://www.epa.gov/chp> or DOE's Northeast Clean Energy Application Center at www.northeastcleanenergy.org

PARTICIPATION PROCESS

**Complete
Application
Package
Received**

1 Week

- PM Issues Scope of Work Comments & Schedules a Project Scoping Call

1 Week

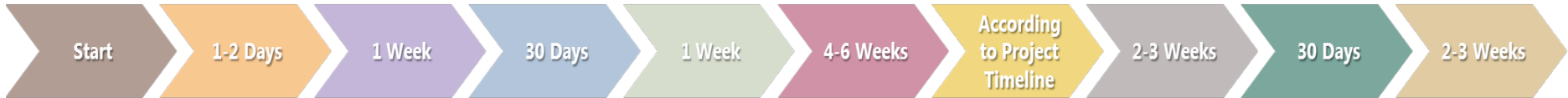
- PM Reviews & Approves Revised Scope of Work

**According to
Project Timeline**

- Draft Report Submitted

30 Days

- Deadline to Submit Revised Draft Report



Start

1-2 Days

1 Week

30 Days

1 Week

4-6 Weeks

According to
Project
Timeline

2-3 Weeks

30 Days

2-3 Weeks

1-2 Days

- Application Receipt Email Sent
- Project Manager (PM) Assigned

30 Days

- Deadline to Submit Revised Scope of Work

4-6 Weeks

- NYSERDA Issues Purchase Order

2-3 Weeks

- PM Issues Draft Report Comments

2-3 Weeks

- PM Reviews & Approves Revised Report

Please note:

- Scopes of Work and Draft Reports may require more than one round of comments
- Failure to submit items within specified timeline may result in cancellation
- CHP (Traditional and Premium) and Energy Storage study requests may first undergo review by a technical review committee. Applicants will be notified of acceptance or rejection 2-3 weeks after a complete application package is received.

PROJECT PAYMENTS

For customers using a NYSERDA FlexTech Consultant

NYSERDA will contribute its share of the actual study cost, not to exceed the amount agreed upon in the Purchase Order, towards the allowable FlexTech Consultant fees, directly to the FlexTech Consultant per the approved Scope of Work. Customers will pay the remaining balance of the FlexTech Consultant fees directly to the FlexTech Consultant under the terms and conditions to be negotiated by the Customer and FlexTech Consultant. Progress payments are available at the discretion of the NYSERDA Project Manager.

Required Documentation:

The FlexTech Consultant's invoice(s) should be broken out by non-labor costs, individual/staff titles, hourly rates, dates and hours worked on each task. Invoices should also indicate the amount that is being invoiced concurrently to the Customer. In addition, if applicable, NYSERDA may also require a copy of the customer's canceled check showing payment of their cost-share.

For customers using their own independent service provider

At the conclusion of a successful project and upon receipt of all required documentation, NYSERDA will reimburse Customer its share of the cost incurred, not to exceed the cost-share agreed upon in the Purchase Order. Reimbursement will be based on services provided as defined in the Scope of Work and as documented by the approved final report, invoices and other documentation deemed necessary by NYSERDA. Unless otherwise noted, payments will be sent to the authorized Customer listed in the FlexTech Program Application. Progress payments are available at the discretion of the NYSERDA Project Manager, not-to-exceed 50% of NYSERDA's total financial commitment.

Required Documentation:

Reimbursement will be processed after receipt of an invoice from the Customer to NYSERDA, a copy of the service provider's invoice(s) to the Customer indicating the total study cost, and a copy of the metering equipment/software invoice(s), if applicable. The service provider's invoice(s) should be broken out by non-labor costs, individuals/staff titles, hourly rates, dates and hours worked on each task. If applicable, NYSERDA may also require a copy of the Customer's canceled check(s) showing the total study cost amount payed to the service provider. At NYSERDA's discretion, a copy of the canceled check(s) from the Customer to the service provider showing the total study cost and a copy of the lump-sum invoice may be accepted in lieu of a detailed invoice.

All projects must include cost-sharing in the form of matching cash support from the Customer. In-kind contributions of any type are not allowed as matching funds with the exception of REV Campus Challenge Members that are allowed up to 15% of the institutions cost share. All invoices including reimbursement documentation must be submitted through <https://services.nyserda.ny.gov/Invoices/>.

VI. CHP STUDIES (Traditional and Premium)

Premium Combined Heat and Power (CHP) studies include an evaluation of CHP coupled with other DER. The intent is to evaluate optimized (integrated) solutions that capitalize on advances in technology, control analytics and deliver on-site power with resiliency benefits. Applications for Premium CHP studies will be considered for behind-the-meter system solutions that include a mixture of generation. Clean gaseous fuel includes pipeline natural gas, compressed natural gas, or propane. For most Premium CHP studies, NYSERDA will contribute seventy five percent (75%) of the eligible study costs, up to the lesser of either \$500,000 or ten percent (10%) of the participating facility's annual energy costs, per year, based on an approved Scope of Work.

Traditional CHP Systems represent a single-technology solution that simultaneously provides thermal and electrical energy at a host site. To be eligible for a study, the system must have a design intent to meet the requirement for efficient CHP, defined as an application of technology that achieves an average, annual, fuel-conversion efficiency meeting or exceeding an efficiency of 60% based on Higher Heating Value (HHV). For most single technology CHP studies, NYSERDA will contribute fifty percent (50%) of the eligible study costs, up to the lesser of either \$500,000 or ten percent (10%) of the participating facility's annual energy costs, per year, based on an approved Scope of Work.

Scopes of work submitted under the CHP category are subject, at a minimum, to all CHP requirements within this PON. For those investigating CHP coupled with energy storage, the Scope of Work must include the additional requirements set forth within Section VII: Energy Storage Studies.

Please note, all projects may be subject to review by an independent panel of experts to determine acceptance into the FlexTech Program.

The following items are **ineligible** for funding:

- Scope of Work for studies of generation without a heat recovery component;
- Scopes of Work to evaluate CHP systems utilizing fuel sources other than clean gaseous fuel;
- Scopes of Work seeking assistance with evaluating systems using highly processed or treated materials (including materials painted or pressure treated with chromium, chlorine and arsenic bearing compounds);
- Scopes of Work seeking assistance with evaluating systems using Municipal Solid Waste;
- Scopes of Work seeking assistance with studies for which the potential CHP system would be larger in total prime mover capacity than 50 MW; and
- Scopes of Work seeking assistance with evaluating Traditional CHP systems for which less than 75% of the electricity generated would be used on-site. This requirement may be waived for Premium CHP systems where a combination of generation, storage, and/or load curtailment can modulate a facility's energy withdrawal and potentially inject energy into the grid.

CHP SCOPE OF WORK REQUIREMENTS

All submissions with a CHP component must follow the FlexTech requirements as outlined in Sections IV and V and comply with the requirements below and in Attachment B-3 Detailed CHP Final Study Requirements. Scopes of work shall expand upon the below CHP study requirements by including site and project specific information. Applications lacking the necessary detail to justify why a site may be a viable candidate for CHP may be rejected. Consultant staff, contractors, sub-contractors, etc. involved in the study must demonstrate at least three completed and related projects.

Scopes of work must:

- Be reasonable, organized and demonstrate an economically justified project.
- Identify the current site conditions and assumptions as well as include site specific supporting detail that includes, but is not limited to, utility service descriptions and facility maps.
- Provide a description of the building(s) including, but not limited to, location, usage, size (square footage and a size metric appropriate for the usage such as units in an apartment building).
- Include sufficient documentation to prove the host site has been evaluated and found to be a legitimate candidate for the study. This can be accomplished by providing results from a preliminary feasibility study or other similar type investigations.
- Methods to analyze the thermal and electric usage on an hourly profile per year, including utility data available and methodology behind obtaining incremental electric and thermal consumption in the space being studied.
- For existing buildings, modeled profiles must be based on actual hourly coincident electric and thermal measurements for a period not less than 14 continuous days during which no unusual events occur. For new construction, describe the anticipated use of building energy software for modeling purposes.

- Identify current tariffs and their impacts that would result from installation of the system and describe how such impacts will be incorporated into the energy and economic models. For Premium CHP studies this may include a traditional economic dispatch versus reliability dispatch and/or a real-time dispatch scenario to a non-dispatchable scenario.
- Compare only black start capability CHP system options. Systems must be able to operate during a grid outage.
- Describe the engineering analysis (i.e. DOE2 modeling software, spreadsheet, etc.) that will be used to identify the match between the electric and thermal load profiles at the site. Elaborate on potential model assumptions to be used. There must be at least a potential for a 60% Fuel Conversion Efficiency based on Higher Heating Value (HHV).
- Also identify the generating technologies and combinations that would be studied. Only clean gaseous fuel-fired reciprocating engines, turbines, microturbines, and fuel cells are to be considered for CHP. Proposals evaluating fuel cells and microturbines may also need to evaluate reciprocating engines. Fuel cell proposals will be evaluated against performance thresholds as defined within the Fuel Cell solicitation.
- Include sufficient detail that will support the methodology proposed for each of the required items as outlined in Attachment B-3 Detailed CHP Final Study Requirements.
- Demonstrate sufficient consultant staff allocations and schedule to meet the objectives of the Scope of Work cost effectively.

VII. ENERGY STORAGE STUDIES

Eligible energy storage studies will examine and size distributed energy storage systems in New York State. Distributed energy storage systems are electrochemical, thermal, or mechanical systems located either with load (e.g., at a customer site), co-located with a distributed energy resource (solar PV), or connected directly to the distribution system (i.e. located with utility equipment). Applications for energy storage studies will be considered for solutions that include a mixture of generation and storage, however the focus of the study must be the energy storage system. Studies that are predicated on business models that are not allowable, viable, or accessible in the New York energy market will not be eligible for funding.

The intended energy storage system installation described in the Scope of Work must meet the following criteria:

- The energy storage systems under consideration must be a commercially available technology that fulfills the technical requirements in the current version of NYSERDA's Retail Energy Storage Incentive Program manual with proven performance at the system size proposed. This must be demonstrated by prior commercial deployments, the product carrying a commercial warranty, and any safety certifications required by the local permitting authorities. Contact NYSERDA at energystorage@nyserra.ny.gov if you have questions as to which standards are required in specific jurisdictions.
- If the system integrates storage plus solar PV, the solar PV system must be in compliance with the System Requirements detailed in the NY-Sun Initiative Program Manuals.
- Systems designed to help defer utility distribution system upgrades, or paired with an intermittent renewable such as solar, are encouraged.
- Studies for systems intended for backup power/resilience are eligible for funding only if the backup function is secondary to the storage system's primary purpose of load management or dispatchable grid injections.

- If the energy storage is used at a customer site for building load management (a behind the meter use-case), a description of the building's load profile must be provided (as best as can be ascertained prior to FlexTech work beginning) to determine if peak reduction is feasible. If available, one year of historical hourly electric load data must be provided for interval metered customers. If a year of data is not available to fully show seasonal peaks and usage, Customers should provide representative data and any supplemental information sufficient to characterize a facility's annual load.
- Studies to evaluate business models under hypothetical tariffs or market rules are ineligible. Customers should refer to the NYSERDA energy storage webpage for resources on retail and wholesale revenue opportunities available to energy storage. Customers may also contact NYSERDA for assistance regarding proposed business models and value maximization at energystorage@nyserda.ny.gov.

ENERGY STORAGE SCOPE OF WORK REQUIREMENTS

A Customer must submit a Scope of Work per the NYSERDA FlexTech Scope of Work and budget template (link to website). The Scope of Work should be written as a series of tasks with specific deliverables, budget, and timeframe. All energy storage submissions must follow the FlexTech requirements as outlined in Sections IV, V and VII as well Attachment B-4 (Detailed Energy Storage Final Study Requirements). Scopes of work shall expand upon the below energy storage study requirements by including site and project specific information. Applications lacking the necessary detail to justify why a site may be a viable candidate for energy storage may be rejected. Consultant staff, contractors, sub-contractors, etc. involved in the study must demonstrate, in the introduction or as an addendum to the Scope of Work, the necessary expertise and resources to execute the proposed study. This may be demonstrated by evidence of engagement in NY markets applicable to the study, prior experience, an accurate representation of the opportunities and risks for the project to be studied, and any relevant letters of support.

Required tasks to be completed and reported on over the course of the FlexTech feasibility study:

- Provide information on the following data: customer load profile (peak load, duration of peak load, etc.), use case and power/energy requirements, energy storage systems considered (type/chemistry, rated and usable power and energy capacity requirements, charge and discharge rates (C rates and ramp rates)) and state of charge minimums for the system, proposed kW and kWh of peak reduction achieved by the system (daily, frequency, annual), roundtrip AC system efficiency, estimated revenue and cost savings such as peak demand savings and energy arbitrage savings, and estimated number of cycles/timeframe before components of the energy storage system will require replacement (e.g., batteries, power electronics). For non-interval metered customers, data logging may be included as a first task in the study.
- For systems located at a customer site, examine pairing the storage with solar PV, enrolling the customer in a utility demand response program, switching the customer to a standby tariff rate or enrolling under the compensation under the value of distributed energy resources (VDER) tariff to maximize savings and/or bill credits.
- Examine and compare alternative siting arrangements, including exterior site placement adjacent to the target building as part of the study as compared to indoor permitting, maintenance and operation costs and lost rental revenue, if applicable, associated with exterior or interior placement.
- Customers will describe in their application for FlexTech funding how the system being evaluated has been designed to provide value. Customers will provide information on how the system will be optimized and deployed for value stacking if possible, including demand charge reduction, retail or wholesale demand response participation, compensation under the VDER tariff, other wholesale market participation, or non-wires alternative utility procurement funding. For customer-sited projects, projected peak load reduction by time of day and season should be included. Include any limitations on the system's operations that highlight how maximizing one value may limit another value (e.g. utility peak load not being coincident with facility peak load).
- Include a return on investment calculation in the study that identifies capital costs (hardware, hardware replacements (e.g., battery, pump, power electronic swaps), major categories of soft costs, energy cost, operating costs, etc.) and present revenue/cost saving streams over the system's lifetime. The soft costs would include estimates on siting,

permitting, interconnection, financing, etc. NYSERDA staff will work with the technical consultant to identify any opportunities for maximizing revenue certainty over the life of the project.

- Ensure that necessary permitting requirements and anticipated timeframes are included in the final project schedule. NYSERDA will also work with the technical consultant to share experience and best practices.

VIII. GENERAL CONDITIONS

PROPRIETARY INFORMATION

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

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain 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 https://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/st220td_fill_in.pdf). The Department has developed guidance for contractors which is available at https://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf.

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 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.

CONTRACT AWARDS

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. NYSERDA will use the FlexTech Program Application (Attachment A) and Scope of Work and Budget Template (<https://www.nyserda.ny.gov/flextech-documents>) to contract successful 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. NYSERDA may notify the customer's utility of participation in the FlexTech Program in order to facilitate information sharing about potential utility implementation incentives available.

IX. ATTACHMENTS

- Attachment A: FlexTech Program Application
- Attachment B-1: Report Requirements
- Attachment B-2: Project Summary Sheet
- Attachment B-3: Detailed CHP Study Requirements
- Attachment B-4: Detailed Energy Storage Study Requirements
- Attachment B-5: Terms and Conditions



**Environmental Research - PV Site Design, Information Gaps, and Mitigation Opportunities
Program Opportunity Notice (PON) 4270
Approximately \$1,000,000 Available**

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

Proposals Due: February 26, 2020, by 3:00 PM Eastern Time*

The Climate Leadership and Community Protection Act (CLCPA) requires 100% carbon-free electricity by 2040 and identifies that a minimum of 6,000 megawatts (MW) of distributed solar energy capacity be installed by 2025 to serve New York State. To meet these mandates, the New York State Energy Research and Development Authority (NYSERDA) is advancing the development of solar energy in a manner that is cost-effective while also being sensitive to environmental, economic, and social issues. This Program Opportunity Notice (PON) supports independent research to improve the scientific and technical foundation for addressing key policy-relevant questions related to the development of solar energy sites and stakeholder-identified environmental and community concerns.

NYSERDA seeks proposals to conduct research to better understand non-residential (commercial and utility scale) solar photovoltaic (PV) site design implications, mitigation options, and associated costs for addressing the effects of PV on the environment and the community. Selected projects will describe potential effects non-residential PV systems may have on the environment and community and assess site design, management, and mitigation options for addressing these concerns and maximizing the benefits. Results of these projects aim to inform PV developers, local officials, and regulators of how potential environmental and societal concerns can be avoided, minimized, and mitigated with the goal of advancing the responsible development of non-residential PV systems throughout New York State. This solicitation seeks proposals to identify and describe what design and management strategies may be used to minimize an environmental or societal impact associated with solar development and garner additional community support.

Approximately **\$1,000,000 is being made available** through this solicitation. Project budgets are limited to \$200,000. NYSEDA anticipates making multiple awards for projects to be completed in less than three years. Total funds available may not be sufficient to fund all proposals received. Cost-sharing by proposers of at least 25% is encouraged but not required. In-kind cost-sharing is acceptable. Leveraging of other research funding and projects is strongly encouraged. NYSEDA may fund selected proposals in phases or assign a Project Advisory Committee to help guide the project. NYSEDA reserves the right to negotiate changes to the proposed project approach, deliverables, and deliverable formats with the selected proposer.

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 \[PDF\]](https://www.nyseda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" located in the "Current Opportunities" section of NYSEDA's website (<https://www.nyseda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Diane Bertok (Primary Designated Contact) at (518) 862-1090, ext. 3608 or environment@nyserda.ny.gov or Gregory Lampman (Secondary Designated Contact) at (518) 862-1090, ext. 3372 (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

In the beginning of 2019, Governor Cuomo announced the Green New Deal, which included a plan to increase New York's Clean Energy Standard (CES) so that 70% of electricity will come from renewable resources by 2030. Later that same year, the CLCPA was signed, which codified the 70 by 30 goal as called for under the Green New Deal, as well as New York State's commitment to installing 6,000 MW of distributed solar energy capacity by 2025. It has been recognized that in order to meet these mandates the rate of developing commercial-scale wind and solar power across New York State must increase significantly. NYSERDA is working to ensure that wind and solar projects throughout the State are developed cost-effectively and in a responsible manner that is sensitive to the environment as well as the community in which these systems are being developed.

Although there is great interest by New York State residents to develop clean energy sources, there are limited published studies on potential effects the installation of non-residential (commercial and utility scale) PV systems may have on the State's wildlife, habitat, land, and host communities. As a result, inferences or concerns about risks are either derived from studies conducted in other parts of the United States or the world, which may or may not be directly applicable to New York State. These comparisons can provide some perspective, but data gaps and research needs exist and hinder the ability to assess the actual effects, which can hamper efforts to identify appropriate mitigation methods to reduce these concerns.

Proposals will be considered responsive to this solicitation only if they address all three components of this solicitation described below. Preferred projects are those that (in no particular order): provide data and information in a timely manner that is in a form that is useable by the public, including policy analysts and policymakers; use research/analytical capabilities in New York State; use or build upon previous research already conducted; and leverage out-of-State, federal, or other resources to address environmental and societal concerns resulting from non-residential PV development in New York State.

II. Program Requirements

This solicitation seeks proposals designed to analyze environmental and societal concerns and develop site management options and mitigation strategies that can help inform PV developers, local officials, and regulators about design and construction options for non-residential PV systems at a selected site. Results of a project need to show how the management option or mitigation strategy chosen will help reduce the overall environmental or societal impact at and around a site, assist in the permitting process, and enhance public acceptance of solar, an important renewable resource in New York State. It is important to note that this solicitation is not seeking proposals to identify or evaluate where within the State PV systems should be sited; rather proposals must identify and describe what design and management strategies may be used to minimize an environmental or societal impact associated with solar development and garner additional support from the community.

All proposals must include the following three components:

1. Problem Statement – Proposals must either:
 - a. Identify and describe at least one environmental (e.g., wildlife behavioral changes, effects on adjacent wetlands or plants, water or soil quality) and/or societal (e.g., visual, noise, property values, agricultural conflicts) concern that may be affected by a non-residential PV system installation; or
 - b. Identify and describe at least one anticipated benefit (e.g., diversity of wildlife and/or plants, co-location supporting continued or new agricultural use) that may be created through the development of a non-residential PV system and describe how this benefit(s) may be maximized.

Proposals must justify the need for more research around the concern or benefit identified and provide potential site design, management, and/or mitigation strategies to address the concern(s) or maximize the benefit(s). Topics that have been identified more frequently in New York State as those that are hindering the development of non-residential PV systems or those that bring the greatest benefits, may be prioritized.

2. Research to be Conducted – Describe the process by which the proposed site design, management, and/or mitigation action will be assessed to minimize the concern(s) or maximize the benefit(s) described in Component 1. Detail the research (e.g., desktop study, field study) that will be conducted to better understand the concern(s) or benefit(s) identified in Component 1.

Proposals through this solicitation may be comprised of a desktop study, such as those that use data from other project(s) that can be built upon, modeling, synthesis of data, or a comprehensive literature search; a field study that aims to gain data through the monitoring and measurement of the effects of PV systems; or a combination of both a desktop study and a field study.

Proposals must detail their proposed methodology and approach to how a PV system may be designed or what type of management or mitigation strategy could be implemented to minimize (Section II.1.a.) or maximize (Section II.1.b.) the environmental or societal effect(s) of a PV system at and around a site.

3. Reporting – Proposals must identify and describe how the findings of their project will be presented (e.g., data, reports, summary documents, peer-reviewed publications) and how information will be made accessible to policy makers and other key audiences during the course of the project.

The proposer will be required to ensure that the results of a selected project will be made publicly available. The actual reporting requirements for each project should be reflective of the size of the project, the type of project and expected outcomes, and the ultimate goal of the project. At a minimum, a final deliverable (e.g., comprehensive technical report, publication, dataset) must be completed. In addition, the following reporting and information transfer work should be considered: presentations at workshops and meetings, additional report(s), and articles for submission to peer-reviewed journals or general media.

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

III. Proposal Requirements

Proposals must follow the format provided below and should include succinct information to support the proposed approach, confirm the requirements, and answer the questions described in the Proposal Evaluation Criteria listed in Section IV. Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The maximum length of each proposal section is shown and should not be exceeded. NYSERDA reserves the right to negotiate changes to the proposed project approach, teaming arrangements, deliverables, and deliverable formats with the selected proposer.

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. Approximately \$1,000,000 is available to support the efforts of this PON. Each project budget is limited to a maximum of \$200,000 to cover staffing costs and project expenses for the duration of the project, which is estimated to be up to three years. Proposers may elect to submit a proposal to:

- Address an environmental or societal concern(s) resulting from the development of non-residential PV systems in New York State and describe how this concern(s) may be minimized through an improved site design, management, or mitigation option, or
- Describe a benefit(s) resulting from the development of non-residential PV systems in New York State and describe how this benefit(s) may be maximized through an improved site design, management, or mitigation option.

Proposal Submittal

For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this PON's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nysERDA.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). **Proposers may contact Diane Bertok at 518-862-1090 ext. 3608 before preparing a proposal to discuss proposal requirements.**

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission,

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

Proposal Format

Proposals must be submitted as a single file, inclusive of all supporting documents. The file should be 100MB or less in file size. Proposers must submit a complete proposal in either PDF or MS Word format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. Each page of the proposal should state the name of the proposer, "PON 4270" and the page number. Proposals should follow the format below and provide sufficient and succinct information to complete the required descriptions and answer the questions described in the "Proposal Evaluation" criteria listed in Section IV. The preferred length of each proposal section is shown.

Project Summary (two to three pages total)

- A. Project Summary Background, Objectives, and Outcomes: Summarize the proposed project approach and proposer qualifications as they pertain to this PON (see Section II, 1. Problem Statement and 2. Research to be Conducted). Identify and describe (a) the environmental or societal concern(s) being researched and provide the potential site design, management, and/or mitigation strategy(ies) to address the concern(s) or (b) the benefit(s) being researched and provide the potential site design, management, and/or mitigation strategy(ies) to maximize the benefit(s). Explain how the results from your project will guide future PV development in New York State. Detail the project goals and major objectives. Provide context for the approach and experience in relation to completed and ongoing relevant work in the region and around the world. Describe the outcome or products and how they will be disseminated (see Section II, 3. Reporting). Proposals are encouraged to include coordination with other national, state or local cooperative research initiatives. Include a description of the limitations of the project.
- B. Summary of Project Methods: Summarize the proposed project methods and overall research design (Section II, 2. Research to be Conducted). Explain why the equipment, models, methods, and other aspects of the work are expected to be capable of meeting objectives. Describe the extent to which these have been accepted by the scientific community and policy making organizations, or otherwise demonstrated to be valid. The methods must be outlined in detail and clearly designed to meet the project objectives. Proposals should identify existing datasets as well as other research that has addressed the same concern or impact. If applicable, the methodology for statistical analysis of the data from all aspects of the project must be clearly presented.

Statement of Work (three to five pages total)

- A. Tasks: The Statement of Work is the primary contractual document that identifies the task sequence, deliverables, and provides the basis for progress payments. It is an action document, divided by the individual tasks or procedures required to accomplish the project objectives. Each task should be identified with a description of its objective, how it will be performed, and the anticipated deliverables and milestones. As appropriate, tasks should include a clear description of general operating procedures, quality control and quality assurance measures, analytical procedures, data analysis, evaluation, and statistical analysis to be used to optimize the quality of the data and project results.

- B. Information Transfer and Dissemination Plan: The Statement of Work must include a task for reporting and information transfer (see Section II, 3. Reporting). The completion of monthly or quarterly progress reports including a substantive description of project progress as well as a final deliverable (e.g., comprehensive technical report, publication, dataset) will be required for each project and should be considered in allocating resources for this task. The following reporting and information transfer work may be required for each project and should be considered in allocating resources as well: presentations at workshops and/or meetings, additional report(s), and an article for submission to a peer-reviewed journal (if applicable). Some projects may be assigned a Project Advisory Committee by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

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

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

Supporting Documentation (four pages total, + supporting documents not included within the page count)

- A. Management Plan and Qualifications:
- Organizational Chart — Prepare an organizational chart listing all key personnel by name. The role for each team member must be clearly described in the proposal. Include any subcontractors, postdoctoral or graduate students if known, and other sponsors involved in the project, showing their roles and responsibilities. (One page)
 - Tasking Chart — Prepare a tasking chart, describing approximately in hours or days the effort contributed by each of the key personnel to each task and the total effort. (One page)
 - Related Projects — Provide a sample of related projects undertaken by the proposer and/or subcontractors. For each project provide a brief summary, describing its title, scope, funding amount, and client contact numbers. NYSERDA may contact listed clients (One page).
 - Resumes — Submit relevant portions of resumes of all key project personnel, including those of proposed subcontractors, and postdoctoral or graduate students if known. Include education and experience that are relevant to the proposed work. (One page each — not included in page count)

- B. Letters of Commitment or Support: If you are relying on other organizations or businesses to do work, provide services, equipment, or data, or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. If the use of unpublished data from other researchers is necessary for the project to be successful, letters of support showing the availability of these data must be included. **Absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.** (One page each — not included in page count)
- C. Cost Sharing: A cost-share of at least 25% of the total project cost is preferred. Cost-sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts that have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. If applicable, show the cost-sharing plan in the following format (expand table as needed, maximum one page).

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

Attach supporting documentation to support indirect cost (overhead) rate(s) included in your proposal as follows:

- Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) is consistent with generally accepted accounting principles for indirect costs.
- Provide a detailed budget for the overall project.
- Include a detailed budget for each of the subcontractors/consultants that justifies the amount proposed.

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

Annual Metrics Reports – If awarded, the proposer will be required to submit to NYSERDA's Project Manager, on an annual basis, a prepared analysis and summary of metrics addressing the anticipated

energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Publications, presentations, posters, and briefings are common metrics for projects supported by this PON. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e. reporting period). Please see Attachment C: Sample Metrics Reporting Guides for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

IV. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. **If an investigator(s) identified in a proposal is an investigator on one (1) or more current or previous NYSERDA-funded projects, performance on these projects will be considered in the evaluation of the current proposal.**

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

- a. **Management Plan and Qualifications** – How well has the proposer organized a management plan and a project team with the necessary educational, technical, operations, technology transfer, financing, and administrative experience for successfully completing the project? Are all roles and responsibilities clearly defined? Does the team include partnerships with other research groups? Has an interdisciplinary team been assembled including environmental scientists, social scientists/public policy analysts, and technologists, as appropriate? How many of the team members are located in New York State? Have letters of support demonstrating the availability of data and agreement to participate been included?
- b. **Soundness of Project Methods and Research Design/Statement of Work and Schedule** – How suitable are the proposed project methods and overall research design for meeting the project objectives? How comprehensive, realistic, and explicit is the Statement of Work with respect to the project objectives and proposal requirements? Are specific measurable targets of success provided where applicable? Are the Tasks reasonable and clearly described? Are the methods outlined in detail and clearly designed to meet the project objectives? Are the deliverables for each task clearly presented? Is the schedule appropriate to the level of effort?
- c. **Usefulness and Value of Project Results** – Does the proposal include a response to all three components listed in Section II of the PON? How useful are the project results expected to be in validating or improving New York State policies, permitting, regulations, impact assessments, models, or mitigation methods? Will the results be available in a timely manner? To what extent will the project use and integrate other relevant data and coordinate with other research/monitoring initiatives (e.g., with field sampling and data analysis) to provide maximum value to New York State?
- d. **Communication of Results** – How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project? Has the proposer described a comprehensive final deliverable? Have other types of information dissemination and transfer methods, such as presentations, reports, or articles in peer-reviewed journals been identified? Does the proposer have a well-crafted plan and partnerships to prepare

a short paper summarizing the usefulness of their research findings for environmental and or energy policy formulation and identified an interested audience, if applicable? Has the proposer acknowledged the project may be assigned a Project Advisory Committee by NYSERDA?

- e. **Cost Criteria** – How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results and the level of effort and duration of the project? How justified and reasonable are the proposer's cost allocations and co-funding contributions (cash, in-kind services, etc.)? To what degree does the proposal include meaningful cost-sharing from other key organizations important for the success of the project? Is there a detailed budget provided for the overall project including sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget?

B. **Program Policy Factors:** NYSERDA may consider the following program policy factors in making award selection decisions:

- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
- The degree to which there is diversity in topics, approaches, and methods for best achieving the overall goals and objectives of NYSERDA's programs.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The ways in which the proposed project fits with currently funded projects.
- The ease of measuring project success in quantifiable ways.
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded 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. NYSERDA anticipates a contract duration of two to three years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must

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

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

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law - For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a

period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

VI. Attachments:

Attachment A – Budget

Attachment B – Sample Agreement including Exhibit A - Template Statement of Work

Attachment C – Sample Metrics Reporting Guide





NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Industrial Strategic Energy Management Program Opportunity Notice (PON) 4371

**Applications due July 8, 2020*
by 3:00 PM Eastern Time**

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 4371 seeks applications from industrial facilities that are interested in participating in a fully funded Strategic Energy Management (“SEM”) training program (the “Program”). By participating in the Program, the industrial facility will gain access to training, coaching, and peer-to-peer knowledge sharing to continuously enhance energy efficiency at their facilities. Participation will be offered to industrial sites with an annual energy spend of \$500,000 or more (all fuels). Participants must be willing to share results and lessons learned to further the program’s objective of increasing the penetration of Strategic Energy Management at industrial facilities.

Application Submission:

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

All Program questions should be directed to Kathleen Dooley, 518-862-1090 x3475,
Energymanagement@nyserdera.ny.gov.

All Contractual questions should be directed to: Nancy Marucci, at 518-862-1090 x3335,
NancySolicitations@nyserdera.ny.gov.

*** All applications must be received by 3pm Eastern Standard Time on the date noted above. Late, faxed, or emailed applications will not be accepted.** Incomplete applications may be subject to disqualification. It is the applicant’s responsibility to ensure that all pages have been included in the application. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The electronic application system closes promptly at 5pm, files in process or attempted edits or submission after 5pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA’s web site at <https://www.nyserdera.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: General Considerations
7. Section VII: Attachments

Strategic Energy Management (SEM) is a long-term systematic approach to managing energy use which goes beyond the sporadic implementation of energy-related capital project improvements. This Program works with Participants to implement SEM at their 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 will, among other things, receive and develop tools for continuous SEM integration including:

- an energy assessment specific to their facility;
- a list of identified energy savings opportunities and assistance developing an implementation plan;
- a metering toolkit to assist in energy savings calculations;
- an employee engagement toolkit;
- long term energy savings goals; and
- an energy performance model for their plant or process.

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

NYSERDA funds the Program, which consists of 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 participating in an Industrial SEM Cohort. 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.

Data Master: The Participant staff member responsible for the collection of, and sharing of production, energy, and other relevant data to the Energy Coach.

Energy Coach: The firm under contract with NYSERDA through RFP 3352 to provide SEM training at each cohort session and technical assistance to Participants throughout the Program. 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 Participant's involvement with the NYSERDA Program.

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 NYSERDA-funded initiative takes place over the course of two years, the core of which is a structured series of '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 first year of the SEM Program consists of ten (10) training sessions, led by the Energy Coach, over twelve (12) months, with the second year being an additional year of coaching support. The training sessions are a combination of in-person and web-based events. Participants learn to identify areas for improvement, drive managerial and corporate behavioral changes with respect to energy, and develop the mechanisms to track and evaluate energy optimization efforts versus other business investment opportunities.

The training 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 is 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		Training on the Treasure Hunt process

			Jumpstart SEM adoption through a list of actionable energy savings opportunities
5	Tracking Energy Performance	Full 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
8-9	Onsite Employee Engagement		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:

Year 1

- Participation in all 10 training sessions over 12 months;
- 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 Performance 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.

Year 2

- Bi-monthly Office Hour check-ins, Bi-monthly SEM Implementation check-ins, and Bi-monthly Energy Performance Model Maintenance check-ins with NYSERDA and the Energy Coach via teleconference for one year;

- 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 evaluation.

IV. ELIGIBILITY

Eligible 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.

Additional factors that lead to a Participant's success include the availability of energy and production data, strong executive support for participation, an existing culture around continuous improvement, and an enthusiastic energy champion. If you have any questions related to your eligibility or if your facility is a good fit for the program, please reach out to the program contact listed on the front page.

Customers may participate in both NYSERDA's Industrial On-site Energy Manager and SEM 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

Accepted Applications: All applications will be reviewed and accepted or rejected at NYSERDA's discretion. Applicants may be required to provide NYSERDA with additional information necessary to complete evaluation of the application.

Selected Participants will be notified no later than 6 weeks after application submittal, and the Participation Agreement (Attachment B) will be co-signed by NYSERDA and sent back to the Participant for their records.

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSEERDA 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 - NYSEERDA 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. NYSEERDA may request additional data or material to support applications. NYSEERDA 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 NYSEERDA to award a contract, pay any costs incurred in preparing an application, or to procure or contract for services or supplies. NYSEERDA 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 NYSEERDA'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 NYSEERDA after the award of a contract, NYSEERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VII. ATTACHMENTS

Attachment A: Strategic Energy Management Cohort Participant Application

Attachment B: Participation Agreement

Attachment C: Letter of Commitment Requirements



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

IMPLEMENTATION MANUAL

Last Updated: March 3, 2020

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1.0 BACKGROUND

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

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

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

1.1 PROGRAM OVERVIEW

The Program is an incentive program that reduces the cost of purchasing and installing qualified Level 2 charging equipment at a New York State location that provides public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (both for-profit and not-for-profit) entities may participate in the Program. NYSERDA intends to provide incentives of \$4,000 per charging port installed upon completion of the installation of charging equipment and the provision of appropriate documentation. Applicants replacing existing charging equipment with new charging equipment are eligible to receive \$1,500 per charging port replaced. Equipment owners must install a minimum of two (2) charging ports at each site.

The Program is offering \$12 million in funding for incentives and **will accept applications until December 31, 2021 or until the program runs out of funds, whichever comes first.**

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

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

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

submit all required documentation. Upon approval of all documentation, NYSERDA will issue an incentive payment directly to the Equipment Owner in the form of a paper check or by electronic payment.

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

1.2 PROGRAM CONTACTS

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

Center for Sustainable Energy
195 Montague Street, 14th Floor
Brooklyn, NY 11201
Phone: 866-595-7917
Email: ChargeReadyNY@energycenter.org

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

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

2.0 DEFINITIONS

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

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

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

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

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

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

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

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

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

Pre-Approval Date is the date that NYSERDA approves the Equipment Owner's application for pre-approval for a Charge Ready NY incentive.

Program Administrator is the Center for Sustainable Energy or other NYSERDA designee responsible for receiving and reviewing applications to the Program, responding to questions from Program participants, and conducting other administrative tasks related to the Program.

Program Effective Date is September 18, 2018. This is the date the Charge Ready NY program launched.

Qualified Charging Equipment is Charging Equipment that has been approved for use in the Program. The offering Charging Equipment Vendor must apply for and receive approval through RFQL 3902 to qualify for the Program.

Qualified Network Services are network services that have been approved for use in the Program. The offering Network Services Vendor must apply for and receive approval through RFQL 3902 to qualify for the Program.

Replacement Charging Equipment is new Qualified Charging Equipment that replaces existing charging equipment that is more than five (5) years old. Replacement Charging Equipment must replace the entire existing Charging Equipment beyond the electrical stub and wall mount or pedestal base. New replacement parts installed on existing Charging Equipment are not considered to be Replacement Charging Equipment.

RFQL 3902 refers to NYSERDA's Charge Ready NY Equipment and Network Qualification Process solicitation, through which NYSERDA qualifies charging equipment and network services for eligibility in the Program.

Site Owner is the owner of the site at which the Charging Equipment is installed. The Site Owner may or may not be the same as the Equipment Owner.

3.0 PROGRAM ELIGIBILITY

3.1 CHARGING EQUIPMENT AND NETWORK SERVICE ELIGIBILITY

To receive an incentive payment through the Program, Equipment Owners must purchase and install one or more units of Qualified Charging Equipment. To qualify their equipment for the Program, Charging Equipment Vendors and Network Services Vendors must submit an application to RFQL 3902, Charge Ready NY Equipment and Network Qualification Process, and NYSERDA must confirm that the equipment meets all requirements for qualified charging equipment described in RFQL 3902. Qualified charging equipment will be listed on NYSERDA's website and updated as needed. Charging Equipment Vendors and Network Services Vendors may submit new applications or update information about existing qualified equipment throughout the time that the Program is active, no more than once every three months.

As part of the equipment and network qualification process, Charging Equipment Vendors and Network Services Vendors will provide technical information about the qualified equipment and networks and will provide a list of distributors and vendors who sell the equipment and networks in New York State, with contact information so Equipment Owners can contact these entities to request quotes. Charging Equipment Vendors and Network Services Vendors must agree to the terms and conditions required for participating in the Program. Charging Equipment Vendors and Network Services Vendors are encouraged to attend an available training on how the Program works. A recording of the trainings will be posted on the Charge Ready NY website.

3.2 EQUIPMENT OWNER ELIGIBILITY

To be eligible for a Program incentive payment, an Equipment Owner must meet the following conditions:

1. Be licensed to do business in New York State, including not-for-profit corporations; a State agency or political subdivision of the State, including municipalities, school districts, and other local government entities.
2. Be an organization with an Employer Identification Number (EIN).
3. Purchase and install new qualified charging equipment at a site in New York State that meets site eligibility requirements (see Section 3.3).
4. Projects that have received funding for charging equipment from any of the below programs are ineligible for Charge Ready NY.
 - a. NYSDEC's Municipal Zero-Emission Vehicle (ZEV) and ZEV Infrastructure Rebate Program
 - b. Community-based EV Charging and EV Rebate Program administered by EV Connect
 - c. Calstart/ChargePoint's Charge to Work NY Program

- d. NYPA's ReCharge NY Workplace Charging Program
 - e. Any other NYSERDA initiatives that provide incentives for installing charging equipment, such as the Clean Energy Communities program.
- Projects participating in Charge Ready NY may also claim the New York State tax credit for installing charging stations (more information at https://www.tax.ny.gov/pit/credits/alt_fuels_elec_vehicles.htm). The tax credit is applied after taking out the amount received from NYSERDA.
5. Charging Equipment funded entirely by third parties is not eligible to receive a rebate. This includes Charging Equipment provided to the Equipment Owner by automakers, Electrify America, and other entities.

3.3 SITE ELIGIBILITY RULES

Equipment Owners must install charging equipment at one of the following types of sites:

Public Site: A public site is a parking facility with at least ten (10) parking spaces that is open to the general public at least twelve (12) hours per day, at least five (5) days per week. Examples of public sites include municipal or privately operated parking lots or garages, parking at retail locations, restaurants, parks, transit stations, schools, destination locations, motels/hotels, etc. Charging Equipment at public sites may be intended primarily for patrons but should be available to any visitor to use. Charging Equipment installed at public sites must be networked charging equipment.

Workplace Site: A workplace site is a parking facility with at least ten (10) parking spaces that primarily serves employees who work at or nearby the facility. Workplace sites must have a minimum of 15 employees regularly working at the site. The Charging Equipment must either be installed at parking spaces reserved for employees or be installed in a general use parking facility at which at least 50 percent of people parking at a workplace site on a typical business day are employees of an organization doing business on or adjacent to the premises. Workplace sites may be employee-only parking lots or parking areas. Charging Equipment at workplace sites may be restricted to use by employees only or may be open to a broader user group. Examples of workplace sites include office buildings, universities, schools, hospitals, and other similar facilities. Charging Equipment installed at workplace sites must be networked charging equipment.

Multi-Unit Dwelling (MUD) Site: A MUD site is a parking facility with at least eight (8) parking spaces that primarily serves a MUD with five (5) or more housing units. More than 50 percent of vehicles regularly parked at a MUD site between 7 PM and 7 AM must be resident-owned. Examples of MUD sites include apartment buildings, condominiums, and co-ops. Motels/hotels are public locations and will not be considered a MUD site. Individual residents or tenants who are not the building owner may not be the Equipment Owner at a MUD site. Charging Equipment at MUD sites may be restricted to use by residents only or may be open to a broader user group. Charging Equipment installed at MUD sites may be either networked or non-networked charging equipment.

4. INCENTIVE AMOUNTS

Equipment Owners may receive an incentive payment of \$4,000 per charging port installed. Charging equipment with a single charging port is eligible for an incentive of \$4,000. Charging equipment with two charging ports (a dual charging station) is eligible for an incentive of \$8,000. Equipment owners must install a minimum of two (2) charging ports at each site.

Equipment Owners who are replacing existing charging equipment that is more than five (5) years old with new Qualified Charging Equipment may receive an incentive payment of \$1,500 per existing charging port replaced with new Qualified Charging Equipment.

Equipment Owners may apply for a maximum of 20 charging ports per site. Any request for more than 10 charging ports per site will be reviewed by NYSERDA to determine if the number of charging ports is appropriate for the site, based on the site size, usage, and number of current and prospective EV drivers. NYSERDA reserves the right to limit the number of charging ports for a specific site at its own discretion. No entity may receive more than \$200,000 in Charge Ready NY incentives in a single calendar year. NYSERDA may choose to limit rebates to companies owned by or affiliated with the same entity to \$200,000 per year.

Note: Incentive amounts and the criteria used to determine them are subject to change at NYSERDA's sole discretion. NYSERDA will provide at least 30 days' notice to all program participants before new incentive amounts take effect.

5. INCENTIVE APPLICATION PROCESS

The incentive application process is described in a flow diagram in Appendix A.

NYSERDA will pay the Incentive once the Equipment Owner has met the requirements of the Program as described in the Manual. This includes but is not limited to (1) Agreeing to all Program requirements, (2) Installing all Qualified Charging Equipment in accordance with program rules and all applicable federal, state, and local rules and regulations, and (3) Providing accurate and complete documentation of the Qualified Charging Equipment purchase and installation to NYSERDA.

To qualify for an incentive, Equipment Owners may either pre-apply for incentives or apply for incentives within 90 days after the Installation Date, as described below. Incentives are available on a first-come, first-served basis.

To participate in the Program, the Equipment Owner must first complete a Contractor Application, which can be completed at [http://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Innovation&programName=Public Electric Vehicle Supply Equipment](http://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Innovation&programName=Public%20Electric%20Vehicle%20Supply%20Equipment). The Program Administrator shall review contractor applications for completeness and eligibility and respond to applicants within five (5) business days. Upon approval of the contractor application, the Equipment Owner will receive a link to log into the NYSERDA Portal. The first time the Equipment Owner logs into the NYSERDA Portal, they will be prompted to update their password. The Equipment Owner can

then proceed to complete the incentive application, either as a pre-approval or post-installation approval.

If Equipment Owners pre-apply for incentive approval, NYSERDA will reserve program funds for the Equipment Owner upon successful review by the Program Administrator and NYSERDA of the Equipment Owner's pre-approval application. The Equipment Owner shall have one-hundred eighty (180) calendar days from the Pre-Approval Date to submit final documentation for their incentive. If final documentation is not received within one-hundred eighty (180) calendar days after the Pre-Approval Date, the pre-approval will be cancelled, the reserved funds will be released, and the Equipment Owner must reapply. The Equipment Owner will be notified of the cancellation via email. Equipment Owners who initially receive a pre-approval that is cancelled may apply again for pre-approval if their Charging Equipment is not yet installed or may apply for incentive approval after completion of their installation, if they meet the requirements for post-installation applications. Pre-approval does not guarantee an Equipment Owner will receive any funds from the Program. Pre-approval only reserves funds in the Program budget for the Equipment Owner, who can receive them contingent upon completing the pre-approved Charging Equipment installation, completing all Program requirements, and submitting all required documentation. If an Applicant reaches the end of its 180-day installation window twice for the same installation site without completing the installation, it may not reapply for that site but may still apply for other sites.

If an Equipment Owner decides to purchase different charging equipment from the make and model initially selected in the pre-application, the approved pre-application will be cancelled and the Equipment Owner must reapply. The Equipment Owner may change installers after applying for pre-approval without having to reapply.

Equipment Owners who choose to apply for incentive approval after they complete their installations shall have ninety (90) calendar days from the Installation Date to submit final documentation for their incentive. Charging Equipment with an Installation Date prior to the Program Effective Date are not eligible for an incentive.

Equipment Owners shall submit incentive applications through NYSERDA's web portal (nyserda-portal.force.com).

The Program Administrator shall have ten (10) calendar days to review submitted incentive applications. Submitted applications that are complete and accurate and include all required documents will be approved.

If an application or its required documents are determined to be incomplete, illegible, or missing required information, the Equipment Owner will be notified of the error via email and shall have fifteen (15) calendar days from the date of notification to correct any errors. If the errors are not corrected within fifteen (15) calendar days, the application will be cancelled and the reserved funds will be released. If an application is submitted but determined to be ineligible, it will be cancelled, the reserved funds will be released, and the Equipment Owner will be notified via email.

If an incentive application is cancelled, Equipment Owners can reapply for an incentive for that Charging Equipment as long as it is still within ninety (90) calendar days of the Installation Date.

Participation in the Program does NOT constitute a competitive bid process in place of an Equipment Owner's required competitive bid processes. Equipment Owners must follow their own procurement rules for selecting a vendor for charging equipment, if applicable. Other competitive bid processes, such as state procurement contracts, may be available for Equipment Owners to use. Contact the Program Administrator for more information.

6. PROGRAM REQUIREMENTS

To participate in the Program, Equipment Owners must meet or agree to the following conditions:

1. Sign and agree to the Equipment Owner Agreement
2. Provide all required documentation about the charging equipment and installation to NYSERDA.
3. Install at least two (2) charging ports at each site.
4. Operate the charging equipment for at least four (4) years from the Installation Date.
5. If the installed charging equipment is networked, the Equipment Owner must purchase at least one (1) year of network service provision at the time of installation. The Equipment Owner can change network providers at a later date but must provide NYSERDA access to charging data through a Network Services Vendor for the four (4) years of operation. The Equipment Owner must add NYSERDA to its network account as an administrator with limited rights to access charging data (preferred) or establish regular recurring data transfers to NYSERDA for the duration of the four (4) years, as described in Section 7.
6. Allow NYSERDA to share the charging equipment information, Equipment Owner contact information, and the installation address with the electric distribution utility serving that location, for the purpose of informing the utilities' system planning efforts, and with the U.S. Department of Energy, which compiles information about charging equipment to share with EV drivers through the Alternative Fuels Data Center (AFDC).
7. Agree to participate in online surveys and other research efforts that support Program goals.
8. Replacement Charging Equipment must replace the entire existing Charging Equipment beyond the electrical stub and wall mount or pedestal base. New replacement parts installed on existing Charging Equipment do not qualify for the rebate.

7. REQUIRED DOCUMENTS

Equipment Owners must submit required documents for each incentive application. To receive pre-approval for an incentive application, Equipment Owners must submit:

- Completed application form (completed online)
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required
- **Site Host Agreement:** Scan of signed Site Host Agreement

- Scan of quote(s) from installers for the installation of Charging Equipment

Following charging equipment installation, all Equipment Owners must submit the following required documents, at a minimum, to receive their incentive payment:

- Completed application form (completed online)
- Serial numbers and GPS coordinates for all charging equipment (submitted as part of completed application)
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required
- **Installed Site Photo:** Photo of the charging equipment installed so the equipment is visible at its site
- **Serial Number Photo:** Photo of the serial number on each piece of charging equipment
- **Charging Equipment Installer Certification:** Scan of signed Charging Equipment Installer Certification. If the Equipment Owner self-installed the Charging Equipment, the Owner must still complete this form.
- **Site Host Agreement:** Scan of signed Site Host Agreement. If the Equipment Owner is also the property owner of the installation site, the Owner must still complete this form.
- **Network Service Agreement:** Scan of proof of payment for one (1) year of network services (where applicable)
- **Proof of payment for equipment:** Scan of proof of payment for Qualified Charging Equipment. The proof of payment for the equipment should list information about the vendor (name, company, contact information), the make and model name of the specific equipment purchased, per-unit costs, any accessories purchased along with their costs, and the total cost.
- **Proof of payment for installation services:** Scan of proof of payment from installer for the installation of Qualified Charging Equipment. The proof of payment should include information about the installer (name, company, contact information), a breakdown of costs by materials (as specific as possible, on a per-unit cost basis and total cost basis) and labor (hourly rates and number of hours at each rate), other expenses such as permits, and the total cost.

Equipment Owners must submit scanned versions of the documents through the NYSERDA web portal, which can be found at nyserderda-portal.force.com. NYSERDA reserves the right to require additional documentation if needed for verification of any element of incentive eligibility.

8. OPERATION OF EQUIPMENT AND DATA PROVISION

Equipment Owners must continue to own and operate the charging equipment for a period of no less than four (4) years from the date of installation. If the Equipment Owner ceases to operate the charging equipment before the end of this term, NYSERDA may require repayment of a portion of the incentive payment proportional to the amount of time the equipment was not in operation compared to the required period of operation unless the equipment is sold to a buyer who commits to operating the equipment at the same location for the full four-year term and maintaining reporting requirements. For instance, if the equipment was in operation for only three years, NYSERDA may require repayment of 25 percent of the incentive payment.

As part of the operation of equipment, the Equipment Owner must provide all data requested to NYSERDA on a regular basis. For networked stations, the Equipment Owner must set up access to usage data through the Network Services Vendor, either by providing NYSERDA with limited administrative access to the network data (preferred) or by establishing regular recurring data transfers to NYSERDA for the duration of the four (4) years, no less than quarterly. Network Service Vendors, NYSERDA, or the Program Administrator will be able to provide instructions for establishing NYSERDA as an administrator with data access. For non-networked stations, the Equipment Owner must provide NYSERDA with regular data reporting on electricity use and number of regular users, to the best extent possible.

9. INCENTIVE DISTRIBUTION PROCESS

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

10. APPEALS PROCESS

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

11. RESEARCH PARTICIPATION

NYSERDA may require Equipment Owners to participate in surveys and may request participation from Equipment Owners in other research efforts that support Program goals.

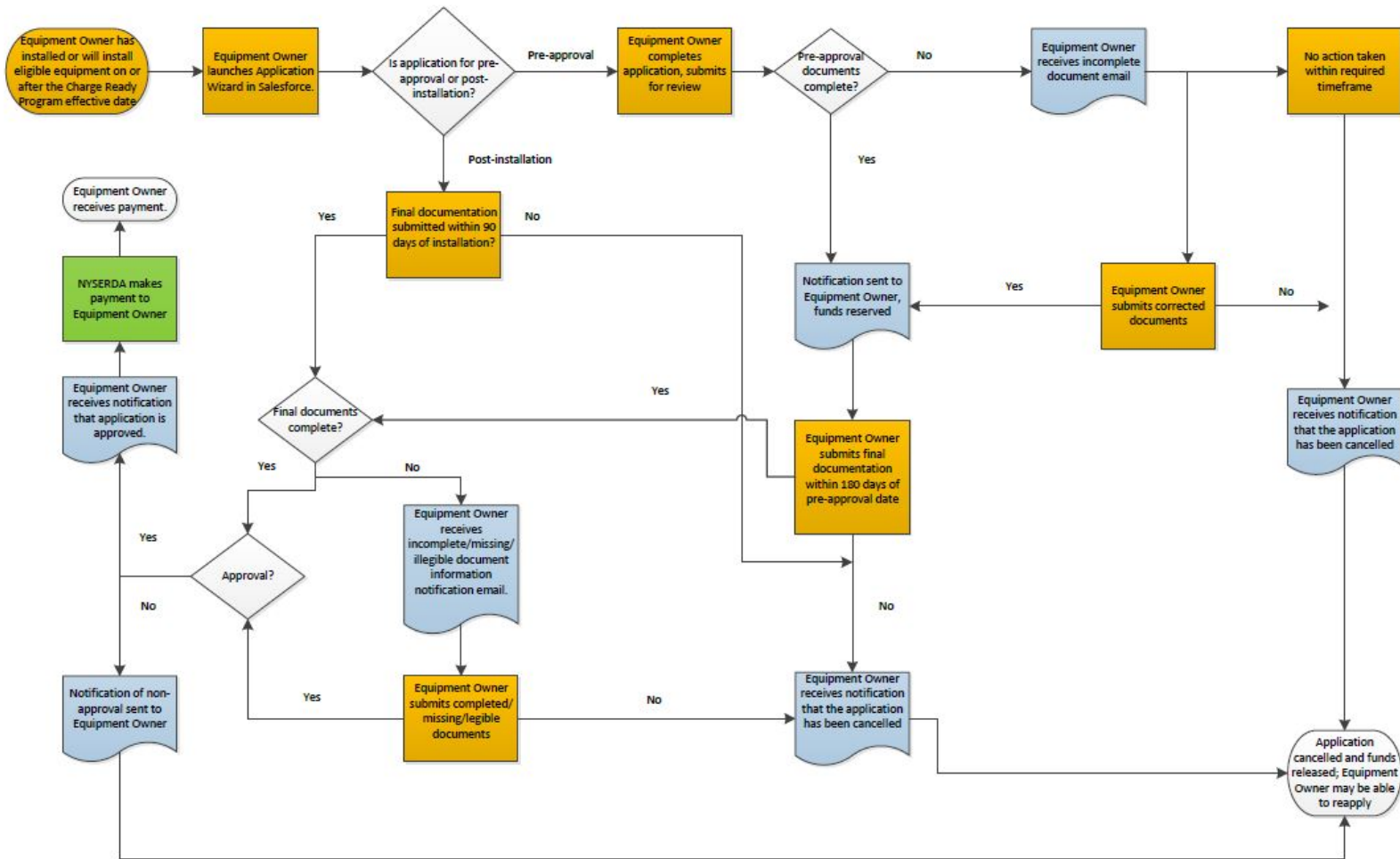
12. PUBLICITY

The Equipment Owner shall collaborate with NYSERDA's Director of Communications to prepare any press release and to plan for any news conference concerning work related to the Program. In addition the Equipment Owner shall notify NYSERDA's Director of Communications regarding any media interview in which work related to this Program is referred to or discussed.

The Equipment Owner shall not use NYSERDA's corporate name, logo, identity, any affiliation, or any related logo, without NYSERDA's prior written consent.

Appendix A

Incentive Application Process Flow Chart





ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

**On-the-job Training for Energy Efficiency and Clean Technology
Program Opportunity Notice PON 3982
\$9 Million Available**
*NYSERDA reserves the right to extend and/or add funding to the
Solicitation should other program funding sources become available*

**Applications accepted through October 31, 2023 by 3:00 PM Eastern Time,
or until funds are fully committed, whichever occurs first**

Program Summary

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals to advance the goals of the Clean Energy Fund (CEF) by developing a workforce equipped to perform jobs in energy efficiency and clean technology, including training workers with skills and credentials to design, manufacture, specify, sell/distribute, install, operate, maintain, repair, audit, and inspect clean energy technology and systems. For the purposes of this solicitation:

- “Workers” include those individuals who design, manufacture, specify, sell/distribute, install, operate, maintain, repair, audit, inspect, and train people on energy efficiency and clean energy technologies and systems.
- “Priority populations” of potential hires (or Priority Workers) include the following groups:
 - o Veterans
 - o Native Americans
 - o Individuals with disabilities
 - o Low-income individuals at or below 60% of State median income, including those participating in Temporary Assistance for Needy Families (TANF), Supplemental Nutrition Assistance Program (SNAP), Home Energy Assistance Program.
 - o Unemployed power plant workers
 - o Previously incarcerated individuals
 - o 18- to 24-year-olds participating in work preparedness training programs, that include energy related technical training, such as BOCES, technical high schools, Conservation Corps, Youthbuild, AmeriCorps, etc.

In addition to the priority populations identified above, NYSERDA seeks to advance efforts to connect New Yorkers living in Potential Environmental Justice (EJ) Areas, as defined by the New York State Department of Environmental Conservation (NYSDEC)¹, with job opportunities. In addition to the health and other negative impacts to quality of

¹ As established in [DEC Commissioner Policy 29 on Environmental Justice and Permitting](#) (CP-29), Potential EJ Areas are U.S. Census block groups of 250 to 500 households each that, in the Census, had populations that met or exceeded at least one of the following statistical

life caused by these environmental burdens, residents of Potential EJ Areas typically face multiple barriers of access to stable, living-wage employment. NYSERDA encourages proposers to include efforts to recruit residents from Potential EJ Areas, as defined by NYSDEC.

“Eligible Applicants” are energy efficiency and clean technology businesses and business or labor management organizations working on behalf of energy efficiency or clean technology businesses located in New York State. Such businesses must provide services in the following areas: high efficiency heating, ventilation, and air conditioning (HVAC); renewable heating and cooling; high efficiency water heating; insulation and air sealing; high efficiency lighting and controls; building automation and controls; smart grid; energy storage; solar electric (e.g., solar photovoltaic)*; and related areas. Additional targeted areas related to energy efficiency and clean technology areas may be included in the future. Energy efficiency and clean technology training providers also may apply for OJT support to expand their clean energy training staff.

NYSERDA is requesting proposals from eligible applicants seeking incentives to hire and provide on-the-job training (OJT) for new workers for energy efficiency and clean technology jobs. Additional incentives are available for priority populations, as identified above.

Eligible applicants that are training entities must be: a private for-profit business (including LLPs and LLCs), a private not-for-profit business, or a private for-profit or private not-for-profit training provider (including private colleges and universities).

Applications will be accepted on a continuous first-come, first-served basis until funds are expended. For eligible energy efficiency and clean technology businesses with 100 employees or less, NYSERDA will pay 50 percent of a new employee’s hourly wage for 16 weeks. If the employer hires an employee from one of the priority populations defined above, NYSERDA will pay 50 percent of a new employee’s hourly wage for 24 weeks. Businesses with 101 employees or more are eligible for OJT incentives for an individual in a priority population only, at 50 percent of a new employee’s hourly wage, for 24 weeks.* Eligible Applicants will be required to provide a 50 percent cost share, and NYSERDA funding is capped at \$100,000 per business/applicant and a maximum of \$16 per hour for the NYSERDA cost share for each hire.

***Eligible Applicants seeking to hire workers related to solar electric technology (e.g., solar photovoltaics), regardless of the number of employees, are eligible for OJT incentives for an individual in a priority population only, at 50 percent of a new employee’s hourly wage, for 24 weeks.**

PON 3982 application begins with the submission of a notice of “Intent to Apply” by the Eligible Applicant via email to NYSERDA (PONOJT@nyserda.ny.gov). Please see application details within.

All program questions should be directed to: Darina Mayfield, Designated Contact, PONOJT@nyserda.ny.gov, (518) 862-1090, ext. 3672, or Adele Ferranti, (518) 862-1090, ext. 3206. All contractual questions should be directed to: Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov.

I. Introduction

NYSERDA’s On-the-Job Training (OJT) for Energy Efficiency and Clean Technology program will provide incentives to Eligible Applicants for OJT to reduce the financial risk of hiring and training new workers. NYSERDA is working closely with the New York State Department of Labor (NYS DOL) to deliver this OJT program to develop job skills for

thresholds: (1) At least 51.1% of the population in an urban area reported themselves to be members of minority groups; or (2) At least 33.8% of the population in a rural area reported themselves to be members of minority groups; or (3) At least 23.59% of the population in an urban or rural area had household incomes below the federal poverty level. See <https://www.dec.ny.gov/public/911.html>.

new workers in energy efficiency and clean technology businesses. This program is intended to advance the goals of the Clean Energy Fund (CEF) by developing a workforce equipped to perform jobs in energy efficiency and clean technology, including providing workers with skills and credentials to design, manufacture, specify, sell/distribute, install, operate, maintain, repair, inspect, and train on clean energy technology and systems.

NYS DOL will assist Eligible Applicants with developing OJT training plans as well as assessing necessary skills and available workers that match those skills. OJT initiatives that advance the goals of the CEF by developing a workforce equipped to implement energy efficiency and clean technology jobs are eligible for funding. The goals are to advance the occupational skills of new workers through OJT without undermining pay structures for skilled workers. Incentives will be provided to businesses that hire workers for OJT so that new workers obtain field experience that cannot be gained by classroom training alone.

For the purposes of this solicitation, OJT is defined as training provided by an Eligible Applicant to a new employee while the employee is engaged in productive work in a job. **The primary purpose of OJT funding is to train new hires for clean energy work.** An individual's skills are assessed (with the assistance of NYSDOL's Business Services or Apprenticeship Representatives (BSR), as described below) prior to employment, and the gap between their skills and those required to perform the full job duties is identified. Working with NYSDOL, a training plan is developed to address skill gaps. OJT, for the purposes of this solicitation, must teach the new trainee occupational skills (skills that apply to the specific job the trainee is entering, such as conducting an audit, installing insulation, smart grid technologies, heat pumps, etc.).

Eligibility

Eligible Applicants as defined above must meet these additional basic requirements:

1. The Eligible Applicant must have at least one physical business location in New York State at the time of application.
2. The Eligible Applicant must conduct OJT at a NYS job location and must be able to demonstrate that the OJT is related to CEF goals of increasing energy efficiency and the use of clean energy technologies and decreasing greenhouse gas emissions.
3. The Eligible Applicant must have met all requirements and completed all deliverables under any prior NYSERDA contracts or NYSDOL grants.
4. The Eligible Applicant must provide all information requested in the Application Process outlined in this PON and have clearly set objectives for the use of funds.
5. The Eligible Applicant who enters into an OJT agreement must attest to compliance with all applicable labor laws, and that it has not failed to file any applicable local, state or federal tax returns, nor failed to pay New York State Unemployment Insurance. NYSDOL will conduct a due diligence search to confirm this information.
6. The Eligible Applicant must have at least two or more employees or the equivalent of two full-time employees. Principals of corporations and owners of businesses such as sole proprietors or partners are not considered to be employees for this eligibility requirement. If the applicant has no employees or if the workers are independent contractors, subcontractors or contract employees, they are not eligible.
7. The candidate being hired under the incentive program must reside in NYS.

Funding

Up to \$9million is being made available to advance worker skills through OJT by facilitating worker recruitment and hiring of new clean energy workers, including priority populations as described in the Program Summary. NYSERDA reserves the right to extend and/or add funding should other program funding sources become available.

The maximum OJT award amount for a business is \$100,000. For eligible energy efficiency and clean technology businesses with 100 employees or less, NYSERDA will pay 50 percent of a new employee's hourly wage for 16 weeks. If the employer hires an employee from one of the priority populations defined above, NYSERDA will pay 50 percent of a new employee's hourly wage for 24 weeks. Businesses with 101 employees or more are eligible for OJT incentives only for an individual in a priority population, at 50 percent of a new employee's hourly wage for 24 weeks.* Applicants will be required to provide a 50 percent cost share, and NYSERDA funding is capped at \$100,000 per business/applicant and a maximum of \$16 per hour for the NYSERDA cost share for each hire. There is no minimum award amount per applicant. All awards are subject to funding availability.

***Eligible Applicants seeking to hire workers related to solar electric technology (e.g., solar photovoltaics), regardless of the number of employees, are eligible for OJT incentives for an individual in a priority population only, at 50 percent of a new employee's hourly wage, for 24 weeks.**

Eligible Applicants may apply for funding more than once to add OJT positions, if the total requested is under the \$100,000 cap. Additional awards will be made on a first-come first-served basis and are subject to funding availability.

For the purposes of determining the maximum award, the term "Eligible Applicant" includes all entities in which the Eligible Applicant has a 10 percent or greater interest in ownership or control. Eligible Applicants with multiple branches, locations and/or related companies under separate names with unique Federal Employer Identification Numbers (FEINs) will generally be considered separate Eligible Applicants but may be considered a single Eligible Applicant at the sole discretion of NYSERDA. National or chain accounts are considered a single "Eligible Applicant" and subject to the maximum incentive per applicant.

Contract payments will be made to Eligible Applicants only and will be on a reimbursable basis (i.e., the employee must be paid full wages before the Applicant requests an allowable reimbursement payment from NYSERDA). The Eligible Applicant must submit requests for reimbursement of wages and training support that have been paid in accordance with the approved contract budget.

Please note: If funding becomes limited, if interest is limited as evidenced by lack of response to this PON, or if there is no longer a valid need for the services, the program will be suspended with notice in the New York Contract Reporter and posted on NYSERDA's web site:

<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>

Those applications that are received after the suspension date will not be considered for funding.

NYSERDA and NYSDOL will work with Applicants on OJT applications, training plans and program monitoring.

Program requirements contained in this PON may change at any time and notification will be sent to all companies under contract with NYSERDA to inform them of any changes that will apply to their agreement.

II. Application and Evaluation Process

The OJT program application begins with the submission of an "Intent to Apply" via e-mail to NYSERDA to PONOJT@nyserda.ny.gov and then requires the submission of a detailed application, which will be prepared with assistance from a NYSDOL Business Services Representative. **The resulting OJT contract will be between NYSERDA and the Applicant.**

To submit an “Intent to Apply” under this solicitation, the Applicant must send an e-mail to PONOJT@nyserda.ny.gov. Please write “**PONOJT Intent to Apply**” in the subject line and include the following information in the body of the e-mail:

- Applicant name
- Utility Service Provider
- Address
- Federal Employer Identification Number (FEIN). Your FEIN is NOT your Social Security Number (SSN). Do NOT submit an SSN to NYSERDA via email. If you do not have a FEIN, or if you think your FEIN is an SSN, please submit all other information requested except for the FEIN and call Kelli Herndon at 518-862-1090, ext. 3392 for alternative options.
- Existing NYSERDA partnership agreement or contract (if the applicant has one)
- Contact Person:
 - Name
 - Title
 - Phone Number
 - E-mail Address
- Job title, job description/list of job duties, and salary range for each anticipated position (hourly wage)
- Current number of full-time employees in company (does not include company owners/principals)

Preliminary Evaluation by NYSERDA – Upon receipt of the “Intent to Apply” email, the Applicant will be screened for eligibility by NYSERDA.

“Intent to Apply” e-mails will be accepted on a continuous basis until all funds for this program have been committed. Application reviews and award decisions will be made on an ongoing basis until all funds available for this program have been fully committed. Unsuccessful applicants will be notified of their application’s status along with reasons for the decision. Applicants will be able to address deficiencies and reapply.

1. **Contact and Evaluation by NYSDOL** – For Applicants who meet eligibility criteria or resolve unmet eligibility criteria, NYSERDA will forward the “Intent to Apply” information to NYSDOL for further processing. The Applicant will then be contacted by a NYSDOL Business Services Representative (BSR). **The NYSDOL Representative will work with the applicant on recruitment, skills assessment and the application process, described below.**
2. **Identify List of Candidates** – The BSR will identify a list of candidates to meet each Applicant’s hiring needs. The BSR will share the list of candidates with the Applicant, schedule an in-person meeting with the Applicant to discuss desired candidates to be interviewed, and review the interview schedule. The meeting will also include an assessment of the potential OJT needs of the candidates, and applicable benefits available to the Applicant through Work Opportunity Tax Credits and other available hiring benefits. The BSR also will develop a training plan with the Applicant, obtain required signatures and submit the plan to NYSERDA for contract development.
3. **Interviewing and Identification of Desired Candidates** – Applicants will conduct interviews and determine the candidate(s) they are interested in hiring.

4. **Application Development** – The BSR will work closely with the Applicant to develop OJT applications for desired candidate(s). **The application is not completed until a candidate is chosen for hire.**
 - a. Applicants will work with NYSDOL to design and describe an OJT program to teach workers the skills needed to perform clean energy/energy services work effectively.
 - b. The final application will require original signatures on all documents (copies will be made by the BSR).
5. **Application Review and Contract Development** – Once the application is complete, the application will be submitted to NYSERDA by the Applicant for final review.
 - If approved, an award letter will be issued and a contract between the Applicant and NYSERDA will be sent for review and signature. The approved application will be used as the basis for the contract.
 - If not approved, the Applicant will receive a letter of explanation and will be referred to the BSR for additional assistance in resubmitting an application.
6. **Hiring of Desired Candidate** – The new hire may begin his or her employment at any time after the date the award letter is issued to the business. The Applicant must submit reimbursement requests to NYSERDA for wage reimbursements per the terms of the contract.
7. **Documentation of OJT Activity** - Applicants must provide documentation of OJT activities within the first four (4) weeks of executing a contract. NYSERDA reserves the right, in its sole discretion, to terminate any agreement with a business that does not meet this obligation, in accordance with the terms of the attached Sample Agreement. The Applicant can invoice for reimbursement four weeks after the new employee's start date
8. **Follow-up and Monitoring** –NYSERDA staff or Business Services Representatives will conduct monitoring over the term of the contract.

III. Requirements and Assurances

1. The Applicant must have the legal authority to hire employees and conduct business in New York State.
2. The OJT must occur at a physical business location in New York State. The maximum duration of OJT is four months, or up to a maximum of six months for priority populations.
3. The OJT must be for a new full-time job (defined as 35 hours or more per week).
4. Wage calculations to determine OJT reimbursement cannot include payment for holiday or overtime hours worked.
5. The new hires must become employees of the Applicant and not independent contractors or contract employees.
6. The Applicant may not apply for positions based on the addition of commission or tips to a sub-minimum wage base salary.
7. The Applicant receiving OJT funds must be and remain in good standing regarding the following for the duration of their participating in the program: Unemployment Insurance records; WARN notices²; ongoing

² Information on WARN notices can be found here:

investigations with NYSDOL's Public Works, Labor Standards and/or Safety and Health Divisions; registration with the NYS Department of State's Division of Corporations; Workers Compensation Insurance and Disability Insurance coverage; federal OSHA records; and contracts/agreements from NYSDOL and NYSERDA received during the past three years. Applicants that are on probation in other NYSERDA programs are not eligible to participate in the program while on probation.

The Applicant must be willing to assure the following:

1. The Applicant's intention in participating is for the newly hired employee to remain employed with the business upon completion of the OJT.
2. OJT will take place during the new employee's work hours (i.e., during the shift/hours for which the worker was hired), and the employee will be compensated at no less than their normal rate of pay.
3. No worker shall be displaced by the OJT employee, including a partial displacement such as a reduction in hours, wages, or employment benefits.
4. The business will comply with New York State labor law and federal law for the protection of workers.

Reporting

If an Applicant is awarded a contract, it becomes the "Contractor." The Contractor must agree to the following terms and conditions regarding OJT expenses:

1. The Contractor must maintain a copy of all applications/training plans applicable to this contract and must make the agreements/training plans available to NYSERDA upon request.
2. The Contractor must keep records of the trainee's progress according to the application/training plan and must make these records available to NYSERDA and NYSDOL upon request.
3. The Contractor must acknowledge that failure to maintain the required OJT records will result in disallowance of OJT costs.
4. The Contractor also must acknowledge that on-site fiscal and programmatic monitoring of contract activities will take place at regular intervals during the contract by either NYSERDA or NYSDOL staff. Requested records must be made available to representatives during these monitoring visits.
5. The Contractor must complete and submit mid-point and final evaluations of each OJT hire to NYSERDA and NYSDOL. Failure to submit completed evaluations in a timely manner may result in disallowance of OJT funds.
6. The Contractor must notify NYSERDA, in writing, if any approved OJT candidate is terminated or quits, within two weeks of the change in employment status.
7. If a Contractor does not invoice NYSERDA within ten weeks after a candidate starts, the agreement can be terminated.
8. Based on past experience with OJT programs, NYSERDA anticipates job retention rates for new hires to be 70 to 80 percent. Contractors that are unable to retain a minimum of 70 percent of their new hires may be terminated from the program or subject to additional requirements related to reporting, monitoring, and minimum employment periods before wages will be reimbursed.
9. Contractors that are placed on probation in other NYSERDA programs may not be eligible to participate in the program while on probation.
10. The Contractor must invoice NYSERDA within ten weeks after the OJT hire date. The OJT hire must complete four weeks of work before the Contractor can invoice. The Contractor will be given 30 days after the contracted OJT end date to invoice for the remaining awarded amount. After the 30 days, NYSERDA

reserves the right to terminate or close the agreement and release any remaining funds back into the program budget.

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 <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 award(s) under this solicitation. NYSERDA anticipates a contract duration of up to six months, unless NYSERDA management determines a different structure is more efficient based upon applications 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 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 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: Business Application

Attachment B: Sample Agreement

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, portfolio owners and managers and service providers of Real Time Energy Management (“RTEM”) to become a RTEM Qualified Vendor. NYSEDA is seeking installers (“RTEM System Providers”), energy management consultants (“RTEM Service Providers”) and stakeholders (“RTEM Portfolio Owners and Managers”). 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
 - 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 for RTEM system and/or service qualifications must submit an online RTEM Qualified Vendor Application via:

https://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial_Real_Time_Energy_Management

If you have questions concerning this solicitation, contact Alexander Jahn 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.

Introduction

This RFQ contains the following sections:

Section I	RTEM Initiatives Overview
Section II	Eligibility
Section III	Qualified Vendor Responsibilities
Section IV	Application and Evaluation Process
Section V	Required Information

I. RTEM Initiatives Overview

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 through NYSERDA PON 3689 Real Time Energy Management Program.

As NYSERDA service offerings change over time, qualified RTEM providers will have the opportunity to participate in new initiatives, based on their interest, capabilities, and areas of expertise. Qualified RTEM vendors may also be engaged to provide technical expertise to assist NYSERDA in program development and other program support activities.

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.

II: Eligibility

NYSERDA is seeking to qualify RTEM vendors, installers, portfolio owners and managers, 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, engineering companies, portfolio owners and managers. Applicants 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

Proposers 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 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 based 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

RTEM Portfolio Owners and Managers Eligibility Requirements

Real estate portfolio owners and managers who control energy-related decisions for multiple buildings have been early adopters of RTEM systems and services. Portfolio owners and managers employ building operators and engineers and are well positioned to integrate RTEM systems and services into the ongoing operations of their portfolio of buildings. Portfolio owners and managers who can demonstrate that they have the internal expertise required to be the lead on an RTEM project, can apply to be qualified as an “RTEM Portfolio Owner/Manager”.

To be eligible to qualify as an RTEM Portfolio Owner/Manager, proposers must:

- 1) Own or manage a minimum of 3,000,000 square feet of buildings that pay the Electric Systems Benefit Charge in New York State
- 2) Provide resumes and certification copies of Portfolio Owner/Manager staff that demonstrates expertise in RTEM system and service. **Must meet at least one of the following criteria:**
 - a. One team member who is a certified Professional Engineer
 - b. Two team members who hold energy management certifications (e.g. Superior Energy Performance 5000, Certified Energy Manager, etc.)
 - c. Three team members who hold energy efficiency certifications (e.g. LEED AP, BOMA Energy Efficiency Program, Urban Green Council GPRO, etc.).

III. 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 RTEM project 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.

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.

IV. Application and Evaluation Process

To submit to this solicitation today:

1. Application: Applicants for RTEM system and/or service vendors must submit an online RTEM Qualified Vendor Application via:

https://portal.nyserda.ny.gov/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.

Note: Applicants for RTEM Portfolio Owners/Managers qualification should email RTEM@nyserda.ny.gov to verify your firm meets the minimum criteria necessary. Please include a signed PDF document on company letterhead detailing eligibility, the planned intent for seeking this qualification, and personnel who will be engaged. This letter must be no longer than two pages in length.

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.

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:

- 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.



New York State Flexible Energy Technical Analysis
Request for Qualifications (RFQL) 3685

No Funding is Associated with this Solicitation

Proposals Due: December 30, 2022 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation (RFQL 3685) to establish a pool of consulting firms qualified to provide NYSERDA with diverse technical, energy, economic, and environmental analytical capacity, some of which may be requests for services on short notice (with exceptions, short notice is typically considered to be three to six months). NYSERDA's mission includes the provision of research, analytic and modeling support on a range of topics, often with finite time horizons. Access to a pool of consultants with wide-ranging high-quality technical expertise established through this solicitation will augment and enhance NYSERDA's expertise when undertaking individual, discrete projects with firm timelines. These retained resources will be made available to all NYSERDA Programs, providing technical expertise when such services are needed and appropriate.

NYSERDA anticipates entering into zero-dollar Task Work Order Agreements with successful proposers. As needs arise, individual Task Work Orders will emanate from these Agreements and will clearly define the Contractors' required obligations that, if fulfilled, would result in payment. Work issued under this solicitation will vary in scope and budget. The earliest expected start date for any potential work under this effort is January 2018, and December 31, 2023 is the anticipated end date. RFQL 3685 will also allow for an "open enrollment" mechanism whereby potential contractors may submit additional proposals until December 30, 2022. Further information regarding the process for participation in the open enrollment mechanism is provided in this document.

NYSERDA has broadly defined potential needs across the following Support Areas, which are described in greater detail in this solicitation document:

- | | |
|--|---|
| A. Electric System Analysis | J. Policy Analysis and Technology Assessment |
| B. Life-Cycle Assessment | K. Facilitation Services |
| C. Macroeconomic Analysis and Modeling | L. Workforce Assessment and Labor Economics |
| D. Forecasting of Energy Use, Prices, and Greenhouse Gas Emissions | M. Climate Change Impacts and Adaptation Analysis |
| E. Benefit Cost Analysis | N. Large Scale Renewables Technical Review |
| F. Transportation Systems Analysis | |
| G. Health and Environmental Impacts | |
| H. Fossil Fuel Infrastructure | |
| I. Nuclear Safety | |

Proposers may submit a proposal to provide services in one, multiple, or all of the above Support Areas. **Proposers should clearly identify which of the Support Areas the proposal is intended to address.**

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

Communication related to this procurement is permitted by contacting Frank Ciampa (Designated Contact) at (518) 862-1090, ext. 3087 or by e-mail FrankFlexergy@nyserda.ny.gov or Mark Decker (Secondary Contact) at (518) 862-1090, ext. 3494 or by e-mail MarkFlexergy@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3pm Eastern Standard Time on December 30, 2022, as noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 3pm, files in process or attempted edits or submission after 3pm 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/>.

Introduction

NYSERDA Program areas engage in policy and technical analysis support to groups within NYSERDA and to other external State energy policy and decision-makers. NYSERDA also routinely works collaboratively with other State agencies and entities to develop, implement, and evaluate energy policies and programs. Often, NYSERDA is called upon to support these efforts by undertaking research and analytic work to advance deliberations on general or specific energy and environmental proposals. NYSERDA also has the lead in conducting analysis for the *New York State Energy Plan*.

RFQL 3685 establishes a pool of consulting firms qualified to support NYSERDA's program areas, with diverse technical, energy, economic, and environmental analytical capacity, and which can provide some services on short notice. NYSERDA frequently provides research, analytic, and modeling support on a

range of topics, often with constrained time horizons. Access to the pool of consultants, with wide-ranging, high-quality technical expertise, established through this RFQL will augment and enhance NYSERDA's ability to undertake individual, time-sensitive projects. These retained resources will also be available to all NYSERDA Programs, providing technical expertise, as needed. The Support Areas described in this solicitation illustrate NYSERDA's current and anticipated mission.

Program Requirements

Services Requested

As a result of RFQL 3685, NYSERDA expects to retain qualified contractors to provide services in each of the specified Support Areas. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, the volume and frequency of the services requested by NYSERDA, the contractor's past performance and the absence of conflicts of interest. NYSERDA does not guarantee that all types of services will be requested or that all selected contractors will receive work pursuant to executed Task Work Order Agreements.

Upon a successful demonstration within a proposal, NYSERDA may designate contractors that have demonstrated "specialized capabilities" in specific areas. For example, a contractor may be designated as having specialized capabilities for a particular type of service requested if it demonstrates that it possesses exceptionally scarce qualifications or experience; specialized equipment or facilities not readily available from other sources; or proprietary data or methods. Submitted proposals should clearly articulate any proposed specialized capabilities, supported by a justification as to why these attributes may be exceptionally scarce, specialized or proprietary. NYSERDA reserves the right to make all decisions regarding a successful demonstration of a specialized capability.

Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the identified Support Areas.

Support Areas¹

Proposers are invited to submit a proposal, describing their qualifications, skills, expertise with documented references, and personnel rates in any or all the support areas described below.

- A. Electric System Analysis: Assistance may be requested for analysis and modeling of the electric power system. Assessments may include the economic and physical impacts of changes and additions to elements of the electricity system such as generation, transmission, and distribution. Analyses may include electricity system optimization, simulation modeling, and thermal, voltage, and stability power flow analyses; and any other similar activities.

¹It is important to note that NYSERDA's listing of representative software packages in this solicitation is **not** an endorsement of any of the listed products; does not imply that NYSERDA believes the listed products to be superior to any other similar products (listed or not listed); nor is it a guarantee that NYSERDA intends to use any of the listed software products or to not use additional, unlisted products.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Network Reliability

GE Multi-Area Reliability Simulation (MARS), GE Positive Sequence Load Flow (PSLF), Siemens/PTI Power System Simulator for Engineering (PSS/E), PowerGEM TARA, and ASPEN.

Production Cost (Unit Commitment and Dispatch)

GE Multi-Area Production Simulation Software program (MAPS), PROMOD, GridView, and PLEXOS.

Capacity Expansion Models

National Energy Modeling System (NEMS), Regional Energy Deployment System (ReEDS), Integrated Planning Model (IPM), and PLEXOS.

- B. Life-Cycle Assessment: Assistance may be requested to perform life cycle assessments for clean technologies and products as well as life cycle analysis, including total fuel cycle analysis, for all relevant fuel pathways and energy end-uses in New York. Fuels of interest may include, but not be limited to, fossil fuels, nuclear power, renewable fuels, and energy carriers (*e.g.* electricity and hydrogen). Fuel cycle analysis may include, but not be limited to, the following processes: energy feedstock production; feedstock transportation and storage; fuel production; fuel transportation, storage and distribution; provision of energy service involving a conversion process (*e.g.* combustion in an engine or boiler). The primary analytic outputs of interest may include: embodied energy by fuel type, energy required to produce a fuel, energy required to perform a service (*e.g.* miles of travel or space heating), fossil fuel energy requirements, emission levels of the major greenhouse gases, criteria air pollutants, particle characterization (size, number, composition), particle and ozone precursors, and air toxics; and any other similar activities.

For illustration, modeling systems may include, but are not limited to, the following: Argonne National Laboratory's Greenhouse Gases, Regulated Emissions, and Energy Use in Transportation (GREET) Model.

- C. Macroeconomic Analysis and Modeling: Assistance may be requested to assess the impacts of energy and environmental policies on New York's employment, income, output, mobility, and other parameters. Analyses may be required to account for changes in investment and incremental costs of new technologies, energy savings from use of new technologies, changes in the price of electricity and other fuels, changes in energy expenditures and revenue to energy providers, opportunity costs, and changes from consumer and business expenditure patterns due to revenue that may be collected to cover the costs of the policies. Analyses may be conducted on a net impact basis; and any other similar activities.

For illustration, software may include, but are not limited to, the following:

Macroeconomic Modeling

Regional Economic Models, Inc. (REMI) and IMPLAN, Decision Time and SYSTAT 9 software created by SPSS Inc.

- D. Forecasting of Energy Use, Prices, & Greenhouse Gas Emissions: Assistance may be requested to model New York State's energy system on a "bottom-up" or "top-down" basis and produce long-term scenarios and forecasts. Output may include projections of energy demand by sector, subsector, technology, and fuel/energy carrier; projections of energy supply by technology and fuel; and projections of fuel and electricity prices. Outputs may also include emissions associated with these scenarios and forecasts. Fuels may include natural gas; distillate and residual oil with varying sulfur content; various types and grades of coal; renewable resources including wind, biomass, landfill gas, and photovoltaic systems; and nuclear power. Sectors may include electricity, commercial, industrial, residential, and transportation. Prices for each fuel and customer sector may include commodity prices (*e.g.*, the price at Henry Hub for natural gas or the price of crude oil for petroleum products) and transportation prices to various New York delivery points; and any other similar activities.
- E. Benefit Cost Analysis (BCA): Assistance may be requested to develop inputs necessary to conduct BCA of NYSEERDA's public benefits programs including programs that target electric energy efficiency, natural gas and fuel oil efficiency, demand response, renewable electricity and fuels, distributed generation, and transportation efficiency. Inputs to BCA include estimation of benefits such as avoided energy and capacity costs, avoided distribution and transmission costs, wholesale price suppression, system reliability benefits, options benefits, macroeconomic impacts, and monetization of non-market goods such as comfort, health, and environmental impacts. In addition, the proposer must have experience with monetizing impacts of innovative building technologies as well as experience with estimating positive and negative impacts on operations and maintenance (O&M), water use, waste, and labor costs associated with the energy efficiency and other programs. Proposers must also have experience in identifying appropriate baselines, development of incremental measure costs, use of appropriate discount rates and time horizons, and life cycle analysis. Specific types of benefit-cost analyses will follow those in the New York State BCA Handbook for Total Resource Cost Test, and may also include Societal Cost Test, Utility Cost Test, Participant Cost Test, and Ratepayer Impact Measure; and any other similar activities.
- F. Transportation Systems Analysis: Assistance may be requested to analyze the effects of transportation programs and policies on energy efficiency and consumption and the effects of energy policies and pricing on transportation demand and use. The proposer should be knowledgeable about alternative fuels and vehicle technologies; transportation demand; advanced transportation technologies, such as intelligent transportation systems; transportation systems management and operations; and travel demand modeling. Examples of possible requests could include: evaluation of the regional or statewide impact of alternative transportation fuel facilities such as liquefied or compressed natural gas and other alternative transportation fuel facilities; conducting projects related to energy and fuel supply infrastructure; systems modeling and

assessment; safety issues; fuel supply adequacy studies; and electric vehicle infrastructure deployment; and any other similar activities.

- G. Health and Environmental Impacts: Assistance may be requested to perform environmental and health impact assessments related to energy policy options in support of a multi-pollutant policy analysis framework. This may include but not be limited to emissions measurements, emission inventory estimates, regional or micro-scale air quality modeling, or health impacts analysis. An example could be the use of the U.S. Environmental Protection Agency (U.S. EPA) Benefits Modeling and Analysis Program (BenMAP) or the use of health data for NYS populations. Activities may include compiling and analyzing best practices for energy technology deployment; development of realistic test-methods for technology energy efficiency and emissions performance characterization and developing representative emissions inventories; measuring or modeling air quality with high time resolutions or performing health impact assessments due to emissions from existing and emerging energy technologies. Successful proposers may be requested to conduct analyses of environmental issues associated with energy policy and planning and development including:
- Technology operational duty-cycle characterization;
 - Emissions estimates (e.g., PM_{2.5} and precursors, SO₂, CO, NO_x, CO₂, CH₄ and other greenhouse gases, NH₃, mercury, particulate number, size, and composition, volatile organic compounds, particulate matter, ozone precursors, and air toxics);
 - Air quality monitoring or modeling using various existing and emerging tools for ozone, secondary PM, and the pollutants listed above;
 - Estimates of the direct and indirect effects of energy production, use, transport, and storage on:
 - o local, regional, national, or global air quality including climate
 - o human exposure health effects, and public health impacts
 - o wildlife,
 - o performance and costs of technologies,
 - o water quality,
 - o changes in ecosystems, and
 - o economic impacts of ecosystem degradation and recovery
 - Impacts of climate change;
 - Costs and benefits of mitigation of environmental impacts; and
 - Costs and benefits of incumbent and emerging energy technologies on health impacts.
- Activities could also include reviewing and commenting on draft environmental or energy regulations; draft environmental impact assessments and statements, as well as State and federal licensing and permitting actions; providing technical analysis to support the review and development of studies related to such actions; and identifying viable alternatives to proposed activities addressed in the assessments and categorizing and developing responses to public comments; and any other similar activities.
- H. Fossil Fuel Infrastructure: Assistance may be requested to undertake projects analyzing fuel supply and associated infrastructure in New York. These projects may include, but are not limited to, assessments of current and possible future supply and demand of natural gas, petroleum products, coal, renewable fuels (e.g. gaseous and liquid biofuels as well as solid biomass), and

alternative energy sources that may replace existing fossil fuel supply (example: hydrogen). Firms may specialize in different fossil fuel sources (natural gas, petroleum, coal) or technologies in analyzing supply. Additionally, expertise in New York State fossil fuel supply chain and associated infrastructure should be highlighted. Firms should specify the fuel sources, technologies, and/or specialties in which they specialize and are able to provide assistance.

With regard to natural gas projects, assistance may be requested for (1) evaluating changes in domestic gas supply and pipeline projects on the cost, reliability and capabilities of the natural gas infrastructure serving New York and the Northeast, (2) customizing and running hydraulic models to produce simulations of pipeline operating conditions, (3) customizing and running modeling software to analyze regional supply/demand, (4) using the Contractor's database of gas pipelines operating in New York to analyze the effects of increasing demand, new supply sources, and limited transportation capacity, and (5) identifying the potential natural gas system impact from emerging end-use applications such as, but not limited to, compressed natural gas (CNG) and liquefied natural gas (LNG) for transportation related uses.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Natural Gas Infrastructure Analysis

Gregg Engineering's WinFlow and Gregg Engineering's WinTran

Assessments of petroleum products may include fuel specific analysis of production costs, characterization of technological change (i.e. extraction or conversion technologies), and market dynamics affecting supply, demand, and prices. Analyses may also include an assessment of the current and future required infrastructure to develop, produce, process, refine, transport, and deliver these fuels to end-users in New York. The contractor may be requested to identify possible energy assurance issues such as supply disruption scenarios and strategies to respond to such events; and any other similar activities.

- I. Nuclear Safety: Assistance may be requested related to nuclear power plants that are operating or undergoing decommissioning. Assistance may be requested for: (1) review and evaluation of license amendment, exemption, and relief requests, as they relate to plant safety, design, and engineering issues; (2) review and evaluation of decommissioning reports, submittals, and activities; (3) review and evaluation of reports, initiatives, rulemakings, and guidance from industry and the state and federal government pertaining to nuclear safety, security, or environmental impact of nuclear generating and other nuclear fuel cycle facilities; (4) decommissioning fund evaluation and analysis including sufficiency of funds and appropriate use; and (5) providing technical expertise and advice on nuclear power matters as they may relate to potential health, radiological, economic, and environmental risks and impacts; and any other similar activities.
- J. Policy Analysis and Technology Assessment: Assistance may be requested to perform analyses and

assessments of energy-related public policy initiatives and novel technologies. Analyses sought may be qualitative or quantitative and include: assessments of best practices regarding regulatory and market-based policies to promote clean energy goals and objectives; analysis of proposed policy initiatives in regards to energy supply and costs, estimated effects on businesses in the State, impacts on consumers (i.e., ratepayers or taxpayers), direct job impacts, and fiscal and tax implications for the State's general fund; technology assessments of energy efficiency and clean energy measures; and penetration studies including analysis of market activity of specific energy technologies, relative to other technologies, and changes over time, including historic information and forecasting of future activity; and any other similar activities.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Energy, Economic, and Environmental
MARKet Allocation (MARKAL) Model

- K. Facilitation Services: Assistance may be requested to develop strategic engagement plans, create collaborative processes for problem solving, moderate, mediate, or facilitate meetings or workshops. Proposers may be asked to support the identification of appropriate stakeholders to invite to meetings, draft meeting agendas and briefing documents, conduct issue-specific research and interviews, as well as summarize meeting outcomes. Proposers must have experience in strategic facilitation, project management and planning, and encouraging dialogue to advance common understanding and problem solving among diverse groups of stakeholders. These stakeholder groups commonly include, but are not limited to, project developers, economic development organizations, the public, labor and workforce development organizations, non-governmental organizations, and local, state and federal government entities.
- L. Workforce Assessment and Labor Economics: Assistance may be requested to estimate and characterize features of New York State's energy economy and workforce. Estimates might include: numbers of firms and workers engaged in activity directly or indirectly related to the energy sector, both statewide and for smaller geographies within the State; levels of investment and spending by firms, workers, and supply chains; levels of activity by firms and workers on different types of energy-related projects and training in different regions. Characterization might include: the skills, certifications, and educational backgrounds of workers by occupation, technology, and intra-state region; the size of firms and their connections with educational and governmental institutions; workers' levels of compensation and benefits by firm size, occupation, technology, or region; and worker demographics and affiliations, such as veteran status and union membership. Contractors may be asked to assess the effects of policies focused directly or indirectly on workforce outcomes and develop recommendations for programmatic changes or novel interventions in the energy sector and related labor markets. In addition, contractors may be asked to support implementing various workforce strategies and programs across a wide range of areas including but not limited to offshore wind, energy storage, energy efficiency, etc.

- M. Climate Change Impacts and Adaptation Analysis: Assistance may be requested to analyze the impacts of climate change in New York State, as well as adaptation and resilience strategies. Requests could be either quantitative (e.g., energy system modeling) or qualitative (e.g., literature review and synthesis). Proposers should be knowledgeable about climate change in New York and demonstrate climate-related experience in one or more of the following sectors: agriculture, buildings, coastal zones, ecosystems, energy, health, telecommunications, transportation, or water resources. Proposers should note if they have experience with climate-related equity issues. Examples of types of requests could include: climate impacts to vulnerable populations; impacts to the physical energy system; financial impacts to the energy market(s), benefit-cost analysis of adaptation or resilience measures; case studies of adaptation implementation; economic impacts on a specific sector; and any other similar activities.
- N. Large Scale Renewables Technical Review: Assistance may be requested to support technical and engineering review and/or policy support of commercial/industrial, large distributed (~5 MW AC), and utility-scale renewable energy projects to strengthen NYSERDA's engagement in advancing clean energy projects and industry development in New York. Such support and review services may include, among others, environmental impact studies, resource assessments, permitting and planning approaches, grid interconnection issues, filings to regulatory proceedings, and project schedules and timelines. Among all renewable technologies, particular focus will be given to offshore wind, land-based wind, and PV solar as well as the combination of renewable energy with storage and other so-called "Power-to-X" complementary technologies.

Proposers may submit a proposal to provide services in one, multiple, or all the above Support Areas. Proposers should clearly identify which of the Support Areas the proposal is intended to address.

NYSERDA reserves the right to create new Support Areas to address any needs that arise outside of the defined support areas included in the issuance of this RFQL. In this instance, all existing firms in the Task Work Order Agreement pool, along with any new proposers will be eligible to submit a proposal for the new Support Area(s).

Task Work Order Agreements & Task Work Orders

A pool of qualified proposers will be selected through this RFQL to fulfill the needs of each of the identified Support Areas. NYSERDA will enter into zero-dollar Task Work Order Agreements with the qualified contractor(s) for each Support Area, enabling NYSERDA to retain services as needs arise. A Task Work Order Agreement is used because no estimate can be made in advance as to the type, amount, and complexity of the work each contractor will be requested to perform. A Task Work Agreement is not a guarantee for any specific amount of future work.

There will be no initial cap to the number of proposers in any one subject matter area. However, NYSERDA may subsequently institute a cap for any or all Support Areas as a means of managing the number of resultant contracts. NYSERDA anticipates the Scoring Committee to convene periodically, as frequently as quarterly, to review and evaluate new proposals on a schedule depending on NYSERDA's

needs and on the number of new proposals that are received. Upon appropriate notice, NYSERDA may forego or discontinue the rolling open enrollments to manage the number of resultant contracts. In deference to the established end of the contract period of December 31, 2023, the open enrollment mechanism will be active through December 31, 2022, barring an earlier discontinuance upon appropriate notice.

When NYSERDA identifies a specific need under any of the Support Areas, the process options for retaining services include: 1) issuing a mini-bid to all of the qualified firms within the Support Area; 2) selecting any qualified firm in the Support Area for projects with a funding amount of \$50,000 or less; or 3) selecting a qualified firm that has successfully demonstrated specialized capabilities, as determined by NYSERDA.

The amount of work assigned to each contractor will depend on the contractor's particular expertise, the amount of work requested in the contractor's support area, past performance, current workload, actual or perceived conflicts of interest, references, deadline requirements, and the ability of the contractor to fulfill a Support Area, provide high quality, cost-effective, and timely services.

The Task Work Order is representative of a discrete project (typically, a series of tasks) which requires external support and is assigned to a qualified contractor under the terms of the executed Task Work Order Agreement between NYSERDA and that contractor. A direct contract or mini-bid process may be employed, at NYSERDA's discretion, to select the appropriate contractor(s) within a given support area. In response to a Task Work Order Request issued by NYSERDA, respondents provide a detailed response to the request, including staffing, hours, budget, and scope of work. A Task Work Order will not guarantee any specific amount of work but may contain a maximum dollar amount.

Funding & Schedule

Funding will be identified on a project-specific basis, and will be determined, in part, on the scope and subject matter of the Task Work Orders as they are developed according to needs expressed by NYSERDA. NYSERDA cannot anticipate whether the need will arise or if funding will be available for any, or all, of the Support Areas listed above.

The general Task Work Agreements that result from this RFQL will remain in effect until December 31, 2023, and no new Task Work Orders will be issued after this date. Task Work Orders initiated prior to December 31, 2023 are intended to remain in effect until all tasks are completed, final work products are delivered to NYSERDA, and payment is issued.

Contractor Responsibilities & Compensation

NYSERDA expects to issue, to selected Contractors, requests for services, in the form of a Task Work Order Request, in one or more of the Support Areas. For each such Request, the selected contractor shall be required to:

- Prepare a Task Work Order Plan with budget, for each project for review and approval by

NYSERDA;

- Negotiate the scope and cost of the technical assistance with NYSERDA;
- Upon agreement by all parties to the Task Work Order Plan, provide the required assistance within the required time frame;
- Submit any deliverables to NYSERDA for review and approval; NYSERDA's review will ensure that the deliverable conforms to the Task Work Order Plan, and;
- Provide required documentation of expenditures by Task, based on the Task Work Order Plan, when seeking reimbursement from NYSERDA.

Compensation will be based on the contractor's direct and indirect personal services costs (included in the proposal) plus allowable expenses. Fees will be based on the contractor's hourly rates for the appropriate level of staff as well as for any subcontractors listed in the proposal. NYSERDA will negotiate each Task Work Order on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title, including subcontractors. Proposers are asked to consider the length of the Task Work Order (five years) in proposing their fee schedules and annual escalation rates. Budgets for all work conducted will be included in the Task Work Order Plan and approved by NYSERDA. The Task Work Order Plan will also place a ceiling, or not-to-exceed amount, for each project.

Contractors who accrue billable hours beyond the ceiling in the Task Work Order Plan, without approval in writing by NYSERDA, will do so at their own risk. **Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan.** Preparation of the Task Work Order Plan is considered to be covered by the contractor's overhead expense.

Proposal Requirements

Identified Support Areas

Proposers are invited to submit, in the format described in this solicitation, proposals describing their skills, expertise, qualifications, and personnel rates in any or all of the Support Areas listed in this solicitation. Proposers must clearly identify Support Area(s) to which the proposal responds. Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the Support Areas:

- A. Electric System Analysis
- B. Life-Cycle Assessment
- C. Macroeconomic Analysis, Modeling
- D. Forecasting of Energy Use, Prices and Greenhouse Gas Emissions
- E. Benefit Cost Analysis
- F. Transportation Systems Analysis
- G. Health and Environmental Impacts
- H. Fossil Fuel Infrastructure
- I. Nuclear Safety

- J. Policy Analysis and Technology Assessment
- K. Facilitation Services
- L. Workforce Assessment and Labor Economics
- M. Climate Change Impacts and Adaptation Analysis
- N. Large Scale Renewables Technical Review

This RFQL allows for new support areas to be created when unforeseen and ongoing needs are desired by NYSERDA. The ability to create new support areas will be restricted to the first two years of the contract, until December 30, 2020. Firms may submit up to two proposals to new and existing support areas over the course of the open enrollment period to accommodate any changes of in-house capabilities. This open-enrollment allows contractors to submit proposals up to a defined due date of December 30, 2022 to reflect the planned end date of the anticipated term of the Task Work Order Agreements of December 31, 2023.

Length & Format

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, RFQL 3685, and the page number.

Outline

Each Support Area proposal shall be uploaded into Salesforce as three separate documents: (1) Proposal and Supporting Documents; (2) Attachment A: Project Personnel and Rates Form; and (3) Attachment B: Sample Agreement. These three documents should contain, at a minimum, the following:

Document 1: Cover Letter and Main Body of Proposal

Cover Letter(s) (1 page suggested)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 3685
- Specifies the Support Area, by name and letter, 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 included in each Support Area proposal and include the same information included in the proposer's cover letter.

Table of Contents (1 page)

Proposers should present a comprehensive table of contents that outlines the proposal format. For each Support Area offered, the items listed below must be provided, regardless of whether they have been presented in another proposal:

- (a) Overall Experience, Capabilities, and References
- (b) Personnel and Qualifications
- (c) Cost Proposal

Support Area Proposal(s)

Proposals will be evaluated independently for each Support Area. Salesforce requires each proposer to submit a separate proposal for each Support Area with distinct language for each. Salesforce allows proposers to save and restart solicitations to allow for ample time to complete before the deadline.

Each Support Area proposal must include the following subsections:

- a) **Overall Experience, Capabilities, and References (2-4 pages)**
Proposers must describe their expertise and ability as a team/firm to deliver services in the proposed Support Area(s). This should include the aggregate number of years working in this Support Area(s) and a brief summary of at least one, and no more than three, similar projects. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project. For at least one of the projects mentioned, proposers must include customer contact names and phone numbers. Proposers with specialized capabilities are encouraged to articulate those capabilities in the proposal to assist NYSERDA's understanding of them and the capabilities that may be available to address specific needs identified among broader support areas. Proposers can reference Support Area section of this RFQL for further explanation.

- b) **Personnel and Qualifications Summary (2 pages)** Proposers must: identify and describe the company or organization that will be the prime contractor under this RFQL and identify all staff members, teams, and subcontractors that are to be involved in providing services in the Support Area(s), with descriptions of qualifications and past working relationships among team members and subcontractors. Proposals should include an organizational chart, if necessary. Proposers must identify the project manager who will serve as the single point of contact under this RFQL. Proposals must describe the accomplishments, experiences, and expertise of the individuals comprising the proposing team relevant to the Support Area and reference one-page résumés (provided as an attachment) that highlight recent experiences of all individuals who would be directly involved in providing services.

- c) **Conflicts (1 page)** The firm, its principals, subcontractors, and any personnel of the firm must

be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Proposers must submit a statement of conflict of interest and on a yearly basis if a TWO is assigned following the previous year's conflict of interest form. If any affiliations exist, a statement must be provided verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

- d) **Résumés** Include one-page résumés that highlight recent experiences of all individuals (proposer and any subcontractors) who would be directly involved in providing services. For ease of reference, organize the résumés in alphabetical order by last name of the individuals providing services, referencing in each résumé header the Support Area(s) they will be directly involved with. Individual résumés shall not exceed one (1) page each.

Document 2: Attachment A: Project Personnel and Rates Form

Proposers must provide a Project Personnel and Rate form (Attachment A) and submit the name, job title, and fully-burdened hourly salary for each individual in the proposal and all subcontractors who would perform the work under an Agreement with NYSERDA. Note: Any escalation rates must be identified for the full five-year contract term.

Indirect Cost

With the Project Personnel and Rates Form, include supporting documentation to describe indirect cost (overhead) rate(s) included in your proposal as follows:

- (a) Describe the basis for the rates proposed (i.e., based on prior period actual results; projections; federal government or other independently approved rates).
- (b) If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- (c) If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

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

NYSERDA is not requiring proposers to estimate travel or other direct costs as part of proposals, but reasonable costs for these may be included as an element of TWOs, as appropriate.

Document 3: Attachment B: Sample Agreement

Self-explanatory.

Proposal Materials & Effort

All material submitted as part of this RFQL process becomes the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

Proposal Evaluation

All proposals that meet the submission requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff, whether submitted in accordance with the initial due date as provided in this document or in response to the open enrollment period that allows new prospective contractors to submit proposals beyond the first RFQL deadline. NYSERDA Staff will evaluate all proposals based on the same pre-established evaluation criteria of the initial RFQL.

Proposals will be evaluated based on the pre-established qualitative criteria that will require a minimum score in order to be accepted as a successful proposer in any one Support Area. Firms may apply to any number of Support Areas. The criterion for firms to successfully demonstrate a specialized capability will be determined by the evaluation criteria, the Scoring Committee recommendation, and NYSERDA's discretion. At NYSERDA's discretion, as part of the evaluation process, proposers may be asked to have appropriate representatives participate in an in-person interview in Albany, New York, through a webinar, or by conference call prior to final selection. Proposers will be notified if they are requested to participate in an interview.

Responses to this RFQL will be reviewed and assigned scores based on the criteria highlighted below, as well as other programmatic and management factors deemed appropriate by NYSERDA.

Overall Experience, Capabilities, and References

- Previous experience in the conduct and delivery of similar or related services.
- Demonstrated ability to complete projects on schedule.
- Quality and relevance of previous work as evidenced by sample projects.
- References substantiating with evidence the contractor's abilities and past performance.
- Responsiveness to NYSERDA's request as specified in this RFQL, including overall clarity and organization of the proposal.

Personnel and Qualifications

- Adequacy/depth of corporate resources to provide requested services.
- Qualifications and expertise of the personnel/team in relevant Support Areas
- Clear identification of staff that will be assigned to various project types.

Other Considerations

- Past experiences with contractor, notable position within the firm’s industry, accomplishments on similar projects.
- Combination of contractors needed to deliver all services needed in a timely and professional manner.
- Demonstrated specialized unique capability that is considered a priority to a specific TWO which cannot be predetermined. Therefore, contractors must articulate specialized capabilities (e.g., unique or exceptionally scarce qualifications or experience, specialized equipment, or facilities).

Fee Schedule

- Reasonableness and relative competitiveness of labor rates, associated fees, escalation rates and overhead.

General Conditions

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

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

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

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

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

Empire State Development
 Minority and Women's Business Development Division

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

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

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 selections under this RFQL. In addition, this RFQL has an open enrollment mechanism that allows for new contractors to submit proposals on a quarterly basis. The open enrollment period has an ongoing evaluation process up to a defined due date of December 31, 2022. Upon appropriate notice, NYSERDA may forego or discontinue the rolling open enrollments to manage the number of resultant contracts. NYSERDA may award a contract based on initial proposals without discussion, or following limited discussion or negotiations pertaining to the Task Work Order Agreement. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Attachment B Sample Agreement to those specifically identified during the proposal submission process. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers following a convening of the Scoring Committee (approximately 3-4 times per year) whether their proposals have been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This RFQL does not commit NYSERDA to award a contract, pay any costs incurred in

preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the RFQL when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to cancel the open RFQL evaluation process prior to December 31, 2022.

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

Attachments

Attachment A: Project Personnel and Rates Form

Attachment B: Sample Agreement



NYSERDA

**Workforce Training: Building Operations and Maintenance
Program Opportunity Notice (PON) 3715
\$8,000,000 Available**

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

Proposal Due Dates: April 9, 2020 (Round 1), May 21, 2020 (Round 2), August 20, 2020 (Round 3), November 19, 2020 (Round 4), February 25, 2021 (Round 5), May 20, 2021 (Round 6)
Due Dates beyond are subject to funding availability.

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 employee retention, 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;

plumbers; 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.

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.nyserdera.ny.gov/FundingOpportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Davetta Thacher – primary contact (Designated Contact) at (518) 862-1090, ext. 3603 or by e-mail Wfinfo@nyserdera.ny.gov; or Adele Ferranti – secondary contact (Designated Contact) at (518) 862-1090, ext. 3206 or by e-mail Wfinfo@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or by email NancySolicitations@nyserdera.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserdera.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 employee retention, 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; plumbers; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

Proposals should 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 based or operations and maintenance based.

Equipment-based skills training can target categories such as, but not limited to, the following:

- Lighting and controls
- Boilers and hot water/steam distribution systems
- Air and ground-source heat pump systems
- Chillers and chilled water distribution systems
- Cooling towers
- Ventilation and controls

- HVAC economizers
- Motors and drives
- Cooling towers
- Water and other fluid pumps
- Pneumatic system and controls
- Building envelope
- Solar water heating
- Photovoltaics
- Energy storage (chemical, thermal or mechanical)
- Building diagnostics
- Energy and building management systems
- Demand management
- Whole building/building science
- Digital monitoring and control

Operations and maintenance-based skills training can target general or very specific areas such as, but not limited to, the following:

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

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 within the proposing facilities or 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.

The following are some examples that are not eligible for training funds under this solicitation:

- Training contractors outside of those employed by the proposer or subcontractors
- Work focused on the new construction of buildings.
- Projects that train on system installation techniques.

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). 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 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 that have total energy expenditures of \$1 million or more annually (all fuels and all uses).
- Preference will be given to proposals that exceed the minimum requirements outlined below and funding requests should be commensurate with the project's impact.

Program Budget:

Total funding currently available for this solicitation is \$8,000,000. 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; 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.

NYSERDA will retain 5% of the total contract amount as a final payment. This retainage will be paid when all reporting requirements have been met, including the submission of impacted buildings' energy use data for a period of one year following the conclusion of NYSERDA-funded training activities.

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.

III. PROPOSAL REQUIREMENTS

Successful Proposals will include or address the following:

- Include a list of buildings, their square footage, and annual energy costs.
- Identify the job titles and numbers of workers being training in each training task and overall.
- 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.

- Identify measurable impacts on the workers trained, including advancing the skills of existing workers and providing applicable skills to new workers.
- Clearly define the skills gaps being addressed, the training initiatives to address those gaps, and how those training initiatives will be integrated into standard business procedures.
- Demonstrate how the proposer(s) will leverage existing training materials available in-house or in the marketplace. 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.
- Include a workforce development and training plan which will contain 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.
- Result in a training program that will be self-sustaining (within the facilities of the participating employers) after NYSERDA support has ended.
- Result in training initiatives and outcomes that can be replicated and sustained beyond the project scope and shared across the portfolio of building in the proposer's portfolio, as well as with NYSERDA and, as appropriate, with similar organizations or building types.
- Include energy savings targets and tasks to measure and verify savings. Projects must identify energy savings goals based on their specific building(s) and training activities (basic estimates are acceptable in applications, but more detailed estimates will be viewed more favorably). Projects must outline plans to monitor and verify energy savings during the project and for a minimum of one year following project completion. Depending on the scope and scale of the project, energy savings may be verified through bill analyses or data monitoring equipment.
- 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).
- 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.

Scope of Work Requirements

Proposers must include a detailed Scope of Work with their Application. The Scope of Work must include project goals, objectives, tasks, deliverables, and outcomes. See Attachment B for a Sample Scope of Work.

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 fill a current gap in the market? How is it different from curriculum already available?
- **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 and if so, which ones? 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.

Schedule Requirements

Include a schedule for all tasks and deliverables, completion dates, or other detail, as applicable. Training activities should be completed within 24 months or less from contract execution. Projects should include a 12-month outcoming monitoring period beginning at the conclusion of NYSERDA-funded training activities. Final project reporting must include building energy data and other training outcomes from that 12-month outcome monitoring period. See Attachment A – Project Application for an example format.

Budget Requirements

Include a detailed budget for the proposal that shows hours, hourly rates and dollars allocated to each task of the Scope of Work. 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 execution of a contract are ineligible for funding or for consideration as cost share.

IV. PROPOSAL EVALUATION

Evaluation Process

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarify items outlined in the proposals. Proposers will be notified if they are requested to attend an interview. NYSERDA may request additional data or material to support proposals.

After the proposals are reviewed, NYSERDA will inform each proposer of the results within approximately eight weeks. Applicants receiving favorable evaluations may 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.

Successful Proposals:

After review by the Scoring Committee, 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.

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

- Is the project likely to have a measurable impact on energy use?
- Does the project identify energy savings goals? (Well identified and detailed goals will be viewed more favorably than citations of industry standards.)
- Does the project include a plan (and a Scope of Work task) to monitor and verify energy savings for 12 months after the conclusion of training activities?
- 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
 - To what extent will the project be replicated throughout the proposing organization that employs building operation and maintenance workers?
 - 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 available resources, such as subject matter experts, curriculum and training tools, equipment, training facilities, etc.)?
- Are there teaming arrangements between employers, across multiple properties, or with training providers?

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 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.

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they

personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

XI. ATTACHMENTS:

Attachment A – Project Application
Attachment B – Sample Scope of Work
Attachment C – Sample Agreement
Attachment D – Budget and Instructions



New York State Flexible Energy Technical Analysis
Request for Qualifications (RFQL) 3685

No Funding is Associated with this Solicitation

Proposals Due: December 30, 2022 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation (RFQL 3685) to establish a pool of consulting firms qualified to provide NYSERDA with diverse technical, energy, economic, and environmental analytical capacity, some of which may be requests for services on short notice (with exceptions, short notice is typically considered to be three to six months). NYSERDA's mission includes the provision of research, analytic and modeling support on a range of topics, often with finite time horizons. Access to a pool of consultants with wide-ranging high-quality technical expertise established through this solicitation will augment and enhance NYSERDA's expertise when undertaking individual, discrete projects with firm timelines. These retained resources will be made available to all NYSERDA Programs, providing technical expertise when such services are needed and appropriate.

NYSERDA anticipates entering into zero-dollar Task Work Order Agreements with successful proposers. As needs arise, individual Task Work Orders will emanate from these Agreements and will clearly define the Contractors' required obligations that, if fulfilled, would result in payment. Work issued under this solicitation will vary in scope and budget. The earliest expected start date for any potential work under this effort is January 2018, and December 31, 2023 is the anticipated end date. RFQL 3685 will also allow for an "open enrollment" mechanism whereby potential contractors may submit additional proposals until December 30, 2022. Further information regarding the process for participation in the open enrollment mechanism is provided in this document.

NYSERDA has broadly defined potential needs across the following Support Areas, which are described in greater detail in this solicitation document:

- | | |
|--|---|
| A. Electric System Analysis | J. Policy Analysis and Technology Assessment |
| B. Life-Cycle Assessment | K. Facilitation Services |
| C. Macroeconomic Analysis and Modeling | L. Workforce Assessment and Labor Economics |
| D. Forecasting of Energy Use, Prices, and Greenhouse Gas Emissions | M. Climate Change Impacts and Adaptation Analysis |
| E. Benefit Cost Analysis | N. Large Scale Renewables Technical Review |
| F. Transportation Systems Analysis | |
| G. Health and Environmental Impacts | |
| H. Fossil Fuel Infrastructure | |
| I. Nuclear Safety | |

Proposers may submit a proposal to provide services in one, multiple, or all of the above Support Areas. **Proposers should clearly identify which of the Support Areas the proposal is intended to address.**

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

Communication related to this procurement is permitted by contacting Frank Ciampa (Designated Contact) at (518) 862-1090, ext. 3087 or by e-mail FrankFlexergy@nyserdera.ny.gov or Mark Decker (Secondary Contact) at (518) 862-1090, ext. 3494 or by e-mail MarkFlexergy@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserdera.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3pm Eastern Standard Time on December 30, 2022, as noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for electronic submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 3pm, files in process or attempted edits or submission after 3pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserdera.ny.gov/>.

Introduction

NYSERDA Program areas engage in policy and technical analysis support to groups within NYSERDA and to other external State energy policy and decision-makers. NYSERDA also routinely works collaboratively with other State agencies and entities to develop, implement, and evaluate energy policies and programs. Often, NYSERDA is called upon to support these efforts by undertaking research and analytic work to advance deliberations on general or specific energy and environmental proposals. NYSERDA also has the lead in conducting analysis for the *New York State Energy Plan*.

RFQL 3685 establishes a pool of consulting firms qualified to support NYSERDA's program areas, with diverse technical, energy, economic, and environmental analytical capacity, and which can provide some services on short notice. NYSERDA frequently provides research, analytic, and modeling support on a

range of topics, often with constrained time horizons. Access to the pool of consultants, with wide-ranging, high-quality technical expertise, established through this RFQL will augment and enhance NYSERDA's ability to undertake individual, time-sensitive projects. These retained resources will also be available to all NYSERDA Programs, providing technical expertise, as needed. The Support Areas described in this solicitation illustrate NYSERDA's current and anticipated mission.

Program Requirements

Services Requested

As a result of RFQL 3685, NYSERDA expects to retain qualified contractors to provide services in each of the specified Support Areas. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, the volume and frequency of the services requested by NYSERDA, the contractor's past performance and the absence of conflicts of interest. NYSERDA does not guarantee that all types of services will be requested or that all selected contractors will receive work pursuant to executed Task Work Order Agreements.

Upon a successful demonstration within a proposal, NYSERDA may designate contractors that have demonstrated "specialized capabilities" in specific areas. For example, a contractor may be designated as having specialized capabilities for a particular type of service requested if it demonstrates that it possesses exceptionally scarce qualifications or experience; specialized equipment or facilities not readily available from other sources; or proprietary data or methods. Submitted proposals should clearly articulate any proposed specialized capabilities, supported by a justification as to why these attributes may be exceptionally scarce, specialized or proprietary. NYSERDA reserves the right to make all decisions regarding a successful demonstration of a specialized capability.

Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the identified Support Areas.

Support Areas¹

Proposers are invited to submit a proposal, describing their qualifications, skills, expertise with documented references, and personnel rates in any or all the support areas described below.

- A. Electric System Analysis: Assistance may be requested for analysis and modeling of the electric power system. Assessments may include the economic and physical impacts of changes and additions to elements of the electricity system such as generation, transmission, and distribution. Analyses may include electricity system optimization, simulation modeling, and thermal, voltage, and stability power flow analyses; and any other similar activities.

¹It is important to note that NYSERDA's listing of representative software packages in this solicitation is **not** an endorsement of any of the listed products; does not imply that NYSERDA believes the listed products to be superior to any other similar products (listed or not listed); nor is it a guarantee that NYSERDA intends to use any of the listed software products or to not use additional, unlisted products.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Network Reliability

GE Multi-Area Reliability Simulation (MARS), GE Positive Sequence Load Flow (PSLF), Siemens/PTI Power System Simulator for Engineering (PSS/E), PowerGEM TARA, and ASPEN.

Production Cost (Unit Commitment and Dispatch)

GE Multi-Area Production Simulation Software program (MAPS), PROMOD, GridView, and PLEXOS.

Capacity Expansion Models

National Energy Modeling System (NEMS), Regional Energy Deployment System (ReEDS), Integrated Planning Model (IPM), and PLEXOS.

- B. Life-Cycle Assessment: Assistance may be requested to perform life cycle assessments for clean technologies and products as well as life cycle analysis, including total fuel cycle analysis, for all relevant fuel pathways and energy end-uses in New York. Fuels of interest may include, but not be limited to, fossil fuels, nuclear power, renewable fuels, and energy carriers (*e.g.* electricity and hydrogen). Fuel cycle analysis may include, but not be limited to, the following processes: energy feedstock production; feedstock transportation and storage; fuel production; fuel transportation, storage and distribution; provision of energy service involving a conversion process (*e.g.* combustion in an engine or boiler). The primary analytic outputs of interest may include: embodied energy by fuel type, energy required to produce a fuel, energy required to perform a service (*e.g.* miles of travel or space heating), fossil fuel energy requirements, emission levels of the major greenhouse gases, criteria air pollutants, particle characterization (size, number, composition), particle and ozone precursors, and air toxics; and any other similar activities.

For illustration, modeling systems may include, but are not limited to, the following: Argonne National Laboratory's Greenhouse Gases, Regulated Emissions, and Energy Use in Transportation (GREET) Model.

- C. Macroeconomic Analysis and Modeling: Assistance may be requested to assess the impacts of energy and environmental policies on New York's employment, income, output, mobility, and other parameters. Analyses may be required to account for changes in investment and incremental costs of new technologies, energy savings from use of new technologies, changes in the price of electricity and other fuels, changes in energy expenditures and revenue to energy providers, opportunity costs, and changes from consumer and business expenditure patterns due to revenue that may be collected to cover the costs of the policies. Analyses may be conducted on a net impact basis; and any other similar activities.

For illustration, software may include, but are not limited to, the following:

Macroeconomic Modeling

Regional Economic Models, Inc. (REMI) and IMPLAN, Decision Time and SYSTAT 9 software created by SPSS Inc.

- D. Forecasting of Energy Use, Prices, & Greenhouse Gas Emissions: Assistance may be requested to model New York State's energy system on a "bottom-up" or "top-down" basis and produce long-term scenarios and forecasts. Output may include projections of energy demand by sector, subsector, technology, and fuel/energy carrier; projections of energy supply by technology and fuel; and projections of fuel and electricity prices. Outputs may also include emissions associated with these scenarios and forecasts. Fuels may include natural gas; distillate and residual oil with varying sulfur content; various types and grades of coal; renewable resources including wind, biomass, landfill gas, and photovoltaic systems; and nuclear power. Sectors may include electricity, commercial, industrial, residential, and transportation. Prices for each fuel and customer sector may include commodity prices (*e.g.*, the price at Henry Hub for natural gas or the price of crude oil for petroleum products) and transportation prices to various New York delivery points; and any other similar activities.
- E. Benefit Cost Analysis (BCA): Assistance may be requested to develop inputs necessary to conduct BCA of NYSEERDA's public benefits programs including programs that target electric energy efficiency, natural gas and fuel oil efficiency, demand response, renewable electricity and fuels, distributed generation, and transportation efficiency. Inputs to BCA include estimation of benefits such as avoided energy and capacity costs, avoided distribution and transmission costs, wholesale price suppression, system reliability benefits, options benefits, macroeconomic impacts, and monetization of non-market goods such as comfort, health, and environmental impacts. In addition, the proposer must have experience with monetizing impacts of innovative building technologies as well as experience with estimating positive and negative impacts on operations and maintenance (O&M), water use, waste, and labor costs associated with the energy efficiency and other programs. Proposers must also have experience in identifying appropriate baselines, development of incremental measure costs, use of appropriate discount rates and time horizons, and life cycle analysis. Specific types of benefit-cost analyses will follow those in the New York State BCA Handbook for Total Resource Cost Test, and may also include Societal Cost Test, Utility Cost Test, Participant Cost Test, and Ratepayer Impact Measure; and any other similar activities.
- F. Transportation Systems Analysis: Assistance may be requested to analyze the effects of transportation programs and policies on energy efficiency and consumption and the effects of energy policies and pricing on transportation demand and use. The proposer should be knowledgeable about alternative fuels and vehicle technologies; transportation demand; advanced transportation technologies, such as intelligent transportation systems; transportation systems management and operations; and travel demand modeling. Examples of possible requests could include: evaluation of the regional or statewide impact of alternative transportation fuel facilities such as liquefied or compressed natural gas and other alternative transportation fuel facilities; conducting projects related to energy and fuel supply infrastructure; systems modeling and

assessment; safety issues; fuel supply adequacy studies; and electric vehicle infrastructure deployment; and any other similar activities.

- G. Health and Environmental Impacts: Assistance may be requested to perform environmental and health impact assessments related to energy policy options in support of a multi-pollutant policy analysis framework. This may include but not be limited to emissions measurements, emission inventory estimates, regional or micro-scale air quality modeling, or health impacts analysis. An example could be the use of the U.S. Environmental Protection Agency (U.S. EPA) Benefits Modeling and Analysis Program (BenMAP) or the use of health data for NYS populations. Activities may include compiling and analyzing best practices for energy technology deployment; development of realistic test-methods for technology energy efficiency and emissions performance characterization and developing representative emissions inventories; measuring or modeling air quality with high time resolutions or performing health impact assessments due to emissions from existing and emerging energy technologies. Successful proposers may be requested to conduct analyses of environmental issues associated with energy policy and planning and development including:
- Technology operational duty-cycle characterization;
 - Emissions estimates (e.g., PM_{2.5} and precursors, SO₂, CO, NO_x, CO₂, CH₄ and other greenhouse gases, NH₃, mercury, particulate number, size, and composition, volatile organic compounds, particulate matter, ozone precursors, and air toxics);
 - Air quality monitoring or modeling using various existing and emerging tools for ozone, secondary PM, and the pollutants listed above;
 - Estimates of the direct and indirect effects of energy production, use, transport, and storage on:
 - o local, regional, national, or global air quality including climate
 - o human exposure health effects, and public health impacts
 - o wildlife,
 - o performance and costs of technologies,
 - o water quality,
 - o changes in ecosystems, and
 - o economic impacts of ecosystem degradation and recovery
 - Impacts of climate change;
 - Costs and benefits of mitigation of environmental impacts; and
 - Costs and benefits of incumbent and emerging energy technologies on health impacts.
- Activities could also include reviewing and commenting on draft environmental or energy regulations; draft environmental impact assessments and statements, as well as State and federal licensing and permitting actions; providing technical analysis to support the review and development of studies related to such actions; and identifying viable alternatives to proposed activities addressed in the assessments and categorizing and developing responses to public comments; and any other similar activities.
- H. Fossil Fuel Infrastructure: Assistance may be requested to undertake projects analyzing fuel supply and associated infrastructure in New York. These projects may include, but are not limited to, assessments of current and possible future supply and demand of natural gas, petroleum products, coal, renewable fuels (e.g. gaseous and liquid biofuels as well as solid biomass), and

alternative energy sources that may replace existing fossil fuel supply (example: hydrogen). Firms may specialize in different fossil fuel sources (natural gas, petroleum, coal) or technologies in analyzing supply. Additionally, expertise in New York State fossil fuel supply chain and associated infrastructure should be highlighted. Firms should specify the fuel sources, technologies, and/or specialties in which they specialize and are able to provide assistance.

With regard to natural gas projects, assistance may be requested for (1) evaluating changes in domestic gas supply and pipeline projects on the cost, reliability and capabilities of the natural gas infrastructure serving New York and the Northeast, (2) customizing and running hydraulic models to produce simulations of pipeline operating conditions, (3) customizing and running modeling software to analyze regional supply/demand, (4) using the Contractor's database of gas pipelines operating in New York to analyze the effects of increasing demand, new supply sources, and limited transportation capacity, and (5) identifying the potential natural gas system impact from emerging end-use applications such as, but not limited to, compressed natural gas (CNG) and liquefied natural gas (LNG) for transportation related uses.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Natural Gas Infrastructure Analysis

Gregg Engineering's WinFlow and Gregg Engineering's WinTran

Assessments of petroleum products may include fuel specific analysis of production costs, characterization of technological change (i.e. extraction or conversion technologies), and market dynamics affecting supply, demand, and prices. Analyses may also include an assessment of the current and future required infrastructure to develop, produce, process, refine, transport, and deliver these fuels to end-users in New York. The contractor may be requested to identify possible energy assurance issues such as supply disruption scenarios and strategies to respond to such events; and any other similar activities.

- I. Nuclear Safety: Assistance may be requested related to nuclear power plants that are operating or undergoing decommissioning. Assistance may be requested for: (1) review and evaluation of license amendment, exemption, and relief requests, as they relate to plant safety, design, and engineering issues; (2) review and evaluation of decommissioning reports, submittals, and activities; (3) review and evaluation of reports, initiatives, rulemakings, and guidance from industry and the state and federal government pertaining to nuclear safety, security, or environmental impact of nuclear generating and other nuclear fuel cycle facilities; (4) decommissioning fund evaluation and analysis including sufficiency of funds and appropriate use; and (5) providing technical expertise and advice on nuclear power matters as they may relate to potential health, radiological, economic, and environmental risks and impacts; and any other similar activities.
- J. Policy Analysis and Technology Assessment: Assistance may be requested to perform analyses and

assessments of energy-related public policy initiatives and novel technologies. Analyses sought may be qualitative or quantitative and include: assessments of best practices regarding regulatory and market-based policies to promote clean energy goals and objectives; analysis of proposed policy initiatives in regards to energy supply and costs, estimated effects on businesses in the State, impacts on consumers (i.e., ratepayers or taxpayers), direct job impacts, and fiscal and tax implications for the State's general fund; technology assessments of energy efficiency and clean energy measures; and penetration studies including analysis of market activity of specific energy technologies, relative to other technologies, and changes over time, including historic information and forecasting of future activity; and any other similar activities.

For illustration, some of the software packages with which the Proposer is conversant may include, but are not limited to, the following:

Energy, Economic, and Environmental
MARKet Allocation (MARKAL) Model

- K. Facilitation Services: Assistance may be requested to develop strategic engagement plans, create collaborative processes for problem solving, moderate, mediate, or facilitate meetings or workshops. Proposers may be asked to support the identification of appropriate stakeholders to invite to meetings, draft meeting agendas and briefing documents, conduct issue-specific research and interviews, as well as summarize meeting outcomes. Proposers must have experience in strategic facilitation, project management and planning, and encouraging dialogue to advance common understanding and problem solving among diverse groups of stakeholders. These stakeholder groups commonly include, but are not limited to, project developers, economic development organizations, the public, labor and workforce development organizations, non-governmental organizations, and local, state and federal government entities.
- L. Workforce Assessment and Labor Economics: Assistance may be requested to estimate and characterize features of New York State's energy economy and workforce. Estimates might include: numbers of firms and workers engaged in activity directly or indirectly related to the energy sector, both statewide and for smaller geographies within the State; levels of investment and spending by firms, workers, and supply chains; levels of activity by firms and workers on different types of energy-related projects and training in different regions. Characterization might include: the skills, certifications, and educational backgrounds of workers by occupation, technology, and intra-state region; the size of firms and their connections with educational and governmental institutions; workers' levels of compensation and benefits by firm size, occupation, technology, or region; and worker demographics and affiliations, such as veteran status and union membership. Contractors may be asked to assess the effects of policies focused directly or indirectly on workforce outcomes and develop recommendations for programmatic changes or novel interventions in the energy sector and related labor markets. In addition, contractors may be asked to support implementing various workforce strategies and programs across a wide range of areas including but not limited to offshore wind, energy storage, energy efficiency, etc.

- M. Climate Change Impacts and Adaptation Analysis: Assistance may be requested to analyze the impacts of climate change in New York State, as well as adaptation and resilience strategies. Requests could be either quantitative (e.g., energy system modeling) or qualitative (e.g., literature review and synthesis). Proposers should be knowledgeable about climate change in New York and demonstrate climate-related experience in one or more of the following sectors: agriculture, buildings, coastal zones, ecosystems, energy, health, telecommunications, transportation, or water resources. Proposers should note if they have experience with climate-related equity issues. Examples of types of requests could include: climate impacts to vulnerable populations; impacts to the physical energy system; financial impacts to the energy market(s), benefit-cost analysis of adaptation or resilience measures; case studies of adaptation implementation; economic impacts on a specific sector; and any other similar activities.
- N. Large Scale Renewables Technical Review: Assistance may be requested to support technical and engineering review and/or policy support of commercial/industrial, large distributed (~5 MW AC), and utility-scale renewable energy projects to strengthen NYSERDA's engagement in advancing clean energy projects and industry development in New York. Such support and review services may include, among others, environmental impact studies, resource assessments, permitting and planning approaches, grid interconnection issues, filings to regulatory proceedings, and project schedules and timelines. Among all renewable technologies, particular focus will be given to offshore wind, land-based wind, and PV solar as well as the combination of renewable energy with storage and other so-called "Power-to-X" complementary technologies.

Proposers may submit a proposal to provide services in one, multiple, or all the above Support Areas. Proposers should clearly identify which of the Support Areas the proposal is intended to address.

NYSERDA reserves the right to create new Support Areas to address any needs that arise outside of the defined support areas included in the issuance of this RFQL. In this instance, all existing firms in the Task Work Order Agreement pool, along with any new proposers will be eligible to submit a proposal for the new Support Area(s).

Task Work Order Agreements & Task Work Orders

A pool of qualified proposers will be selected through this RFQL to fulfill the needs of each of the identified Support Areas. NYSERDA will enter into zero-dollar Task Work Order Agreements with the qualified contractor(s) for each Support Area, enabling NYSERDA to retain services as needs arise. A Task Work Order Agreement is used because no estimate can be made in advance as to the type, amount, and complexity of the work each contractor will be requested to perform. A Task Work Agreement is not a guarantee for any specific amount of future work.

There will be no initial cap to the number of proposers in any one subject matter area. However, NYSERDA may subsequently institute a cap for any or all Support Areas as a means of managing the number of resultant contracts. NYSERDA anticipates the Scoring Committee to convene periodically, as frequently as quarterly, to review and evaluate new proposals on a schedule depending on NYSERDA's

needs and on the number of new proposals that are received. Upon appropriate notice, NYSERDA may forego or discontinue the rolling open enrollments to manage the number of resultant contracts. In deference to the established end of the contract period of December 31, 2023, the open enrollment mechanism will be active through December 31, 2022, barring an earlier discontinuance upon appropriate notice.

When NYSERDA identifies a specific need under any of the Support Areas, the process options for retaining services include: 1) issuing a mini-bid to all of the qualified firms within the Support Area; 2) selecting any qualified firm in the Support Area for projects with a funding amount of \$50,000 or less; or 3) selecting a qualified firm that has successfully demonstrated specialized capabilities, as determined by NYSERDA.

The amount of work assigned to each contractor will depend on the contractor's particular expertise, the amount of work requested in the contractor's support area, past performance, current workload, actual or perceived conflicts of interest, references, deadline requirements, and the ability of the contractor to fulfill a Support Area, provide high quality, cost-effective, and timely services.

The Task Work Order is representative of a discrete project (typically, a series of tasks) which requires external support and is assigned to a qualified contractor under the terms of the executed Task Work Order Agreement between NYSERDA and that contractor. A direct contract or mini-bid process may be employed, at NYSERDA's discretion, to select the appropriate contractor(s) within a given support area. In response to a Task Work Order Request issued by NYSERDA, respondents provide a detailed response to the request, including staffing, hours, budget, and scope of work. A Task Work Order will not guarantee any specific amount of work but may contain a maximum dollar amount.

Funding & Schedule

Funding will be identified on a project-specific basis, and will be determined, in part, on the scope and subject matter of the Task Work Orders as they are developed according to needs expressed by NYSERDA. NYSERDA cannot anticipate whether the need will arise or if funding will be available for any, or all, of the Support Areas listed above.

The general Task Work Agreements that result from this RFQL will remain in effect until December 31, 2023, and no new Task Work Orders will be issued after this date. Task Work Orders initiated prior to December 31, 2023 are intended to remain in effect until all tasks are completed, final work products are delivered to NYSERDA, and payment is issued.

Contractor Responsibilities & Compensation

NYSERDA expects to issue, to selected Contractors, requests for services, in the form of a Task Work Order Request, in one or more of the Support Areas. For each such Request, the selected contractor shall be required to:

- Prepare a Task Work Order Plan with budget, for each project for review and approval by

NYSERDA;

- Negotiate the scope and cost of the technical assistance with NYSERDA;
- Upon agreement by all parties to the Task Work Order Plan, provide the required assistance within the required time frame;
- Submit any deliverables to NYSERDA for review and approval; NYSERDA's review will ensure that the deliverable conforms to the Task Work Order Plan, and;
- Provide required documentation of expenditures by Task, based on the Task Work Order Plan, when seeking reimbursement from NYSERDA.

Compensation will be based on the contractor's direct and indirect personal services costs (included in the proposal) plus allowable expenses. Fees will be based on the contractor's hourly rates for the appropriate level of staff as well as for any subcontractors listed in the proposal. NYSERDA will negotiate each Task Work Order on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title, including subcontractors. Proposers are asked to consider the length of the Task Work Order (five years) in proposing their fee schedules and annual escalation rates. Budgets for all work conducted will be included in the Task Work Order Plan and approved by NYSERDA. The Task Work Order Plan will also place a ceiling, or not-to-exceed amount, for each project.

Contractors who accrue billable hours beyond the ceiling in the Task Work Order Plan, without approval in writing by NYSERDA, will do so at their own risk. **Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan.** Preparation of the Task Work Order Plan is considered to be covered by the contractor's overhead expense.

Proposal Requirements

Identified Support Areas

Proposers are invited to submit, in the format described in this solicitation, proposals describing their skills, expertise, qualifications, and personnel rates in any or all of the Support Areas listed in this solicitation. Proposers must clearly identify Support Area(s) to which the proposal responds. Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the Support Areas:

- A. Electric System Analysis
- B. Life-Cycle Assessment
- C. Macroeconomic Analysis, Modeling
- D. Forecasting of Energy Use, Prices and Greenhouse Gas Emissions
- E. Benefit Cost Analysis
- F. Transportation Systems Analysis
- G. Health and Environmental Impacts
- H. Fossil Fuel Infrastructure
- I. Nuclear Safety

- J. Policy Analysis and Technology Assessment
- K. Facilitation Services
- L. Workforce Assessment and Labor Economics
- M. Climate Change Impacts and Adaptation Analysis
- N. Large Scale Renewables Technical Review

This RFQL allows for new support areas to be created when unforeseen and ongoing needs are desired by NYSERDA. The ability to create new support areas will be restricted to the first two years of the contract, until December 30, 2020. Firms may submit up to two proposals to new and existing support areas over the course of the open enrollment period to accommodate any changes of in-house capabilities. This open-enrollment allows contractors to submit proposals up to a defined due date of December 30, 2022 to reflect the planned end date of the anticipated term of the Task Work Order Agreements of December 31, 2023.

Length & Format

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, RFQL 3685, and the page number.

Outline

Each Support Area proposal shall be uploaded into Salesforce as three separate documents: (1) Proposal and Supporting Documents; (2) Attachment A: Project Personnel and Rates Form; and (3) Attachment B: Sample Agreement. These three documents should contain, at a minimum, the following:

Document 1: Cover Letter and Main Body of Proposal

Cover Letter(s) (1 page suggested)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 3685
- Specifies the Support Area, by name and letter, 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 included in each Support Area proposal and include the same information included in the proposer's cover letter.

Table of Contents (1 page)

Proposers should present a comprehensive table of contents that outlines the proposal format. For each Support Area offered, the items listed below must be provided, regardless of whether they have been presented in another proposal:

- (a) Overall Experience, Capabilities, and References
- (b) Personnel and Qualifications
- (c) Cost Proposal

Support Area Proposal(s)

Proposals will be evaluated independently for each Support Area. Salesforce requires each proposer to submit a separate proposal for each Support Area with distinct language for each. Salesforce allows proposers to save and restart solicitations to allow for ample time to complete before the deadline.

Each Support Area proposal must include the following subsections:

- a) **Overall Experience, Capabilities, and References (2-4 pages)**
Proposers must describe their expertise and ability as a team/firm to deliver services in the proposed Support Area(s). This should include the aggregate number of years working in this Support Area(s) and a brief summary of at least one, and no more than three, similar projects. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project. For at least one of the projects mentioned, proposers must include customer contact names and phone numbers. Proposers with specialized capabilities are encouraged to articulate those capabilities in the proposal to assist NYSERDA's understanding of them and the capabilities that may be available to address specific needs identified among broader support areas. Proposers can reference Support Area section of this RFQL for further explanation.

- b) **Personnel and Qualifications Summary (2 pages)** Proposers must: identify and describe the company or organization that will be the prime contractor under this RFQL and identify all staff members, teams, and subcontractors that are to be involved in providing services in the Support Area(s), with descriptions of qualifications and past working relationships among team members and subcontractors. Proposals should include an organizational chart, if necessary. Proposers must identify the project manager who will serve as the single point of contact under this RFQL. Proposals must describe the accomplishments, experiences, and expertise of the individuals comprising the proposing team relevant to the Support Area and reference one-page résumés (provided as an attachment) that highlight recent experiences of all individuals who would be directly involved in providing services.

- c) **Conflicts (1 page)** The firm, its principals, subcontractors, and any personnel of the firm must

be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Proposers must submit a statement of conflict of interest and on a yearly basis if a TWO is assigned following the previous year's conflict of interest form. If any affiliations exist, a statement must be provided verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

- d) **Résumés** Include one-page résumés that highlight recent experiences of all individuals (proposer and any subcontractors) who would be directly involved in providing services. For ease of reference, organize the résumés in alphabetical order by last name of the individuals providing services, referencing in each résumé header the Support Area(s) they will be directly involved with. Individual résumés shall not exceed one (1) page each.

Document 2: Attachment A: Project Personnel and Rates Form

Proposers must provide a Project Personnel and Rate form (Attachment A) and submit the name, job title, and fully-burdened hourly salary for each individual in the proposal and all subcontractors who would perform the work under an Agreement with NYSERDA. Note: Any escalation rates must be identified for the full five-year contract term.

Indirect Cost

With the Project Personnel and Rates Form, include supporting documentation to describe indirect cost (overhead) rate(s) included in your proposal as follows:

- (a) Describe the basis for the rates proposed (i.e., based on prior period actual results; projections; federal government or other independently approved rates).
- (b) If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- (c) If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

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

NYSERDA is not requiring proposers to estimate travel or other direct costs as part of proposals, but reasonable costs for these may be included as an element of TWOs, as appropriate.

Document 3: Attachment B: Sample Agreement

Self-explanatory.

Proposal Materials & Effort

All material submitted as part of this RFQL process becomes the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

Proposal Evaluation

All proposals that meet the submission requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff, whether submitted in accordance with the initial due date as provided in this document or in response to the open enrollment period that allows new prospective contractors to submit proposals beyond the first RFQL deadline. NYSERDA Staff will evaluate all proposals based on the same pre-established evaluation criteria of the initial RFQL.

Proposals will be evaluated based on the pre-established qualitative criteria that will require a minimum score in order to be accepted as a successful proposer in any one Support Area. Firms may apply to any number of Support Areas. The criterion for firms to successfully demonstrate a specialized capability will be determined by the evaluation criteria, the Scoring Committee recommendation, and NYSERDA's discretion. At NYSERDA's discretion, as part of the evaluation process, proposers may be asked to have appropriate representatives participate in an in-person interview in Albany, New York, through a webinar, or by conference call prior to final selection. Proposers will be notified if they are requested to participate in an interview.

Responses to this RFQL will be reviewed and assigned scores based on the criteria highlighted below, as well as other programmatic and management factors deemed appropriate by NYSERDA.

Overall Experience, Capabilities, and References

- Previous experience in the conduct and delivery of similar or related services.
- Demonstrated ability to complete projects on schedule.
- Quality and relevance of previous work as evidenced by sample projects.
- References substantiating with evidence the contractor's abilities and past performance.
- Responsiveness to NYSERDA's request as specified in this RFQL, including overall clarity and organization of the proposal.

Personnel and Qualifications

- Adequacy/depth of corporate resources to provide requested services.
- Qualifications and expertise of the personnel/team in relevant Support Areas
- Clear identification of staff that will be assigned to various project types.

Other Considerations

- Past experiences with contractor, notable position within the firm’s industry, accomplishments on similar projects.
- Combination of contractors needed to deliver all services needed in a timely and professional manner.
- Demonstrated specialized unique capability that is considered a priority to a specific TWO which cannot be predetermined. Therefore, contractors must articulate specialized capabilities (e.g., unique or exceptionally scarce qualifications or experience, specialized equipment, or facilities).

Fee Schedule

- Reasonableness and relative competitiveness of labor rates, associated fees, escalation rates and overhead.

General Conditions

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

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

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

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

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

Empire State Development
 Minority and Women's Business Development Division

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

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

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 selections under this RFQL. In addition, this RFQL has an open enrollment mechanism that allows for new contractors to submit proposals on a quarterly basis. The open enrollment period has an ongoing evaluation process up to a defined due date of December 31, 2022. Upon appropriate notice, NYSERDA may forego or discontinue the rolling open enrollments to manage the number of resultant contracts. NYSERDA may award a contract based on initial proposals without discussion, or following limited discussion or negotiations pertaining to the Task Work Order Agreement. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Attachment B Sample Agreement to those specifically identified during the proposal submission process. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers following a convening of the Scoring Committee (approximately 3-4 times per year) whether their proposals have been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This RFQL does not commit NYSERDA to award a contract, pay any costs incurred in

preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the RFQL when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to cancel the open RFQL evaluation process prior to December 31, 2022.

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

Attachments

Attachment A: Project Personnel and Rates Form

Attachment B: Sample Agreement

Buildings of Excellence Competition

Request for Proposal (RFP) 3928 Rd2

Up to \$10,000,000

NYSERDA reserves the right to extend or add funding at its sole discretion.

Proposals Due: May 27, 2020 by 3:00 p.m. Eastern Time (ET)*

The Buildings of Excellence Competition (the Competition) aims to accelerate the design, development, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. NYSERDA seeks proposals for projects that reduce their energy consumption and per capita carbon emissions while increasing climate change resilience, including passive survivability, in a manner which can be replicated at scale. Selected projects are eligible to receive up to \$1,000,000 in direct funding as well as support for initiatives focused on broad marketing and public awareness. Technical and performance validation support services are also provided. Proposers must demonstrate (1) how the project will generate interest in and demand for the construction of low carbon and climate-resilient advanced clean energy buildings, (2) their commitment to share information related to the project's design, costs, and performance, which is expected to support decision-making processes employed to achieve the desired outcomes, and (3) architectural and urban design quality and innovation. The Competition intends to identify and select proposals for projects that demonstrate the greatest potential for success and replication. This second issuance of the Competition focuses on multifamily projects. The Competition is approved for three rounds of funding.

Proposal Submission: Electronic submission is preferable. Proposers may submit Word, Excel, or pdf files (file formats include the following: 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. NYSERDA also accepts 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), go to NYSERDA's Funding and Opportunities web page and follow the [Application Instructions and Portal Training Guide](#) [PDF] located in NYSERDA's [Current Opportunities](#).

Informational webinar: NYSERDA will host informational webinars on Wednesday March 18, April 15, and May 20, 2020 starting at 10 am. [Fill out this form](#) to be notified of additional these and other informational webinars that may be scheduled; or when each round of the Competition is launched, are about to close, and when the winners of each round are announced.

Contact Information: For technical questions, contact Patrick Fitzgerald (designated contact) at PatrickNC@nyserda.ny.gov or (518) 862-1090 ext. 3385; or Matt Brown (designated contact) at MatthewNC@nyserda.ny.gov or (518) 862-1090 ext. 3336. For contractual questions concerning this solicitation, contact Elsyda Ahmed (designated contact) at ElsydaSolicitations@nyserda.ny.gov or (518) 862-1090 ext. 3444.

No communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (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 disqualify the proposer from consideration.

*** All proposals must be received by 3 p.m. (ET) 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 submission requirements have been met. Please note the following: for electronic submissions, there are required questions that need to be answered in addition to uploading attachments. Be sure to allot at least 60 minutes to enter and submit proposals. The electronic proposal system closes promptly, and files in process or attempted edits or submission after 3 p.m. (ET) on the date above will not be accepted.

If changes are made to this solicitation before the due date, notification specific to this solicitation will be posted on NYSERDA's [Current Opportunities](#) section.

I. Introduction

The purpose of the Competition is to stimulate the design, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. Burning fossil fuels such as natural gas, oil, and coal releases carbon dioxide into the atmosphere. Reductions in the amount of fossil fuels burned to support building operations can result in decreased carbon emissions. Buildings designed to use low-carbon fuels or electrification, renewable energy systems, higher density occupancy, or transit-oriented development can further result in reduced per capita carbon emissions. Buildings and their systems may be vulnerable to future climate hazards such as flooding, sea level rise, increased temperatures, and extreme storms. Excellent buildings will be designed in ways that make both the structures and their occupants resilient to future climate change, allowing emissions reductions goals to be achieved for the duration of a buildings' expected lifetime.

NYSERDA seeks proposals for multifamily buildings being designed to achieve very low energy consumption and per capita carbon emissions as compared to a code compliant building, as well as have resilience attributes that limit exposure to increased risks and impacts from future climate change. Proposers must demonstrate that the design and construction strategies are replicable and have the potential to achieve broad-based adoption by both developers and consumers. Proposers must also demonstrate how their projects provide superior financial benefits for owners, and attractive, healthy, safe, climate-resilient, and otherwise outstanding living environments for occupants. Proposers are encouraged to submit projects that enhance age-friendly characteristics. This Competition's goals include proactive design and planning, access to recreation, building complete streets, improving the existing built environment, and encouraging compact, multiple-use development; all of which enhance age-friendly community livability. NYSERDA recognizes that demographics are shifting toward older age-ranges, and that the economic and social contributions from older residents are vital. To incorporate the economic and civic strengths of the aging population, the needs and desires of aging New Yorkers must be included in the domains of outdoor spaces, transportation, housing, social activity, civics/employment, communication/information and health services. Proposers are encouraged to describe how their proposal addresses age-friendly inclusion in these domains.

This round of the Competition will accept proposals for projects that are, as of the date of the proposal's submission to NYSERDA, in an early or late design status as defined and detailed in Section II of this RFP. The funding provided through the Competition may be used in conjunction with other funding offered by NYSERDA and utilities service providers. However, proposers must review the rules of the other programs to determine if those funds are accessible in combination with funds offered by this Competition.

II. Eligibility

NYSERDA, at its sole discretion, determines a proposal's eligibility for the Competition.

General Eligibility

For a submission to be eligible, the project identified in the proposal must incorporate multifamily occupancy as the primary use. The project must be, or intend to be, located in one of the six investor-owned New York State electricity distribution companies and pay into the System Benefits Charge (SBC) at that site. Project eligibility is fuel-neutral; however, projects must demonstrate low-carbon attributes. The proposer must be the owner or developer and have the authority to select and direct all other members of the project team. The proposer must demonstrate their project team has the capabilities to perform and successfully complete the proposed project as a multidisciplinary and integrated project delivery team.

While not encouraged, a proposer may elect to submit more than one proposal to the Competition for different projects. Members of a proposer's team are welcome to participate in more than one proposal. Multiple, alternative proposals submitted for a single project will result in the disqualification of both proposals, as it is the responsibility of the proposer to determine the more appropriate set of solutions for their project. As part of their submission, the proposer must select and indicate who will serve as the design team lead in support of their project.

A project can encompass one multifamily building or a portfolio of similar or related multifamily buildings of any height located on the same site, or adjacent and associated sites. One- and two-family homes, or

townhomes as defined within the Definitions section of the 2015 International Building Code, are not eligible for inclusion as part of a proposal's fundable project. Eligible multifamily projects are as follows:

- a. New Construction: A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building plans.
- b. Gut Rehabilitation: Substantial renovation for 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, buildings, or space within.
 - Construction work of a nature requiring that the building, buildings, or space(s) within to be out of service and unoccupied for a minimum of thirty days.
 - Reconstruction of a vacant structure, or structures, or space within.
 - The addition to or expansion of a building, in combination with any of the above.

Projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.

All proposers must submit the Attachment A-Data Collection Form, and include the modeled or predicted energy use, fuel types, project costs and design drawings, when available. Proposals must include wall sections of the building envelope and related design details, and detailed descriptions of the energy systems utilized, when available.

Proposers selected through this Competition must agree to:

1. Update the information initially provided in the Data Collection Form; and assist NYSERDA in promoting their project and to sharing information that will help the industry accelerate the design, construction, and operation of high-performance buildings. All of which may be shared publicly unless otherwise noted.
2. Provide NYSERDA with actual monthly energy use and generation by fuel type for all fuels and from all meters for sixty months after project completion, for the residential portion of the building as well as for the whole building. Directly metered tenant use may be aggregated by fuel type.
3. Populate the U.S. Environmental Protection Agency (EPA) Portfolio Manager or equivalent, for a minimum of sixty months post-occupancy and as directed by NYSERDA, submitting the benchmarking tool's output data to NYSERDA. Disclosure of the benchmarking data on websites, in publications, in presentations or other venues may occur, in whole or in part, in a form attributable to their project.
4. Provide or secure Data Release Authorization Forms from both building owners and a representative sample of tenants, as required for benchmarking of the whole building's energy use, generation, and related utility consumption, as well as to provide additional performance information obtained through monitoring and controls systems, utility metering or submetering systems, or Smart Buildings systems.
5. Provide updated information related to the project's as-built design, costs, and price, as per the Data Collection Form.
6. Allow their projects to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to exhibitions, articles, books, electronic media including a Competition website, and lectures promoting the Buildings of Excellence Competition and its outcomes.

Project Status [The proposer must select one of the following statuses and meet the stated requirements]

1. **Early Design:** Projects in the schematic design or design development phase are considered to be in the early design status. The proposer may be eligible for an award of \$20 per gross square foot up to \$1,000,000. Proposers must commit to designing and constructing a project that will achieve a minimum modeled source (primary) energy savings¹ of 20% when compared with a project design that complies with the relevant Energy Conservation Construction Code of New York State (ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per capita carbon impacts including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics to ensure the Competition's goals are met. Proposals should also describe how these strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the building will provide an enhanced, climate-resilient living environment.
2. **Late Design:** If the project's design development phase is complete and the construction documents are in development, but the building permit has not yet been issued, the project is considered to be in the late design status. The proposer may be eligible for an award of \$15 per gross square foot up to \$750,000. Proposers must commit to completing the design and constructing a project that achieves a minimum modeled source (primary) energy savings¹ of 20% when compared with a project design that complies with the relevant ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per occupant carbon impacts to meet the Competition's goals including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics. Proposals should also describe how these low-carbon strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the resulting building will provide an enhanced, climate-resilient living environment.

Modeled Energy Performance

The proposer must rely on one of the following Standards to establish that the minimum modeled source (primary) energy savings for the project's residential associated space¹ will be met:

- Appendix G of ASHRAE Standard 90.1. Projects permitted under ECCC of NYS (2014) should follow Appendix G of ASHRAE 90.1-2010 to determine the modeled energy performance¹; and projects that were or will be permitted under ECCC of NYS (2016) should follow Appendix G of ASHRAE 90.1-2013 with Addenda, in accordance with ECCC of NYS (2016). Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the proposer for comparison with other proposals. Comprehensive energy performance will be compared against other proposers, using a 2.55 source-to-site conversion factor to compare the imported electricity to the source energy required to generate that electricity.
- The Passive House Standard as published by the Passive House Institute (PHI), or PHIUS+ for Multifamily Buildings as published by the Passive House Institute U.S. (PHIUS). Projects intending to meet PHIUS+ certification requirements must identify the building(s)' modeled source (primary) energy use¹ in terms of kWh/person/year; and projects intending to meet PHI certification requirements must identify the building(s)' modeled source (primary) energy use in terms of

¹ For projects that include mixed use space, only the energy use associated with the project's residential square footage should be included when determining the modeled energy performance of the residential portion of the project. The modeled energy performance shall incorporate the square footage used for residential occupancy, inclusive of all residential-associated space such as hallways, stairwells, elevators, trash, utility and exercise rooms, entrance lobbies, as well as shared laundry facilities exclusively available to the building's residential occupants.

kBtu/total-floor-area/year. Proposers committing to achieving certification to either passive house standard are deemed as meeting the minimum modeled source energy savings¹ requirements. Modeled energy performance must be calculated both with and without use of renewable energy generation and submitted by the proposer for comparison with other proposals. Alternative energy modeling will not be expected of proposers committing to achieving certification to either passive house standard to support their predicted energy performance. Comprehensive energy performance will be compared against other proposers based on the [Comparison Evaluation of ASHRAE 90.1 Appendix G vs. Passive House published by NYSERDA](#).

- The average Energy Rating Index (ERI) for all residential dwelling units, calculated in accordance with the 2014 edition of Standard ANSI / RESNET / ICC 301, entitled “Standard for the Calculation and Labeling of the Energy-Efficiency of Low-Rise Residential Buildings Using an Energy Rating Index” or the relevant version of this standard as updated in accordance with the ANSI/RESNET protocols. The proposer should identify the Standard followed to produce the average ERI. To meet the minimum energy performance¹ threshold of 20% source energy savings, the average ERI must, at minimum, meet the U.S. Environmental Protection Agency (EPA) ENERGY STAR® Certified Homes Program v3.1 requirement and achieve an ERI of less than 60 without inclusion of renewable energy generation. The proposers should also submit the average ERI calculated with the inclusion of on-site renewable energy generation to allow for comparison with other proposals.

III. Proposal Requirements and Format

The proposer must identify their project’s status as of the date of submission, as defined and detailed in Section II of this RFP. The proposer’s name, the RFP number, and page number should be recorded on every page of the proposal, including attachments. The proposer must submit the following:

1. Executive Summary

The proposer must submit brief description (~400 words) summarizing how the proposer’s approach will stimulate interest in and a demand for the construction of advanced clean energy and climate-resilient buildings, identifying the intended strategies to reduce energy use and carbon emissions—both on a per gross square foot and per capita basis—as well as strategies that will increase the likelihood that both the structures and their occupants are resilient to future climate change. Proposers must demonstrate the replicability of the project by addressing the project’s financial viability and how the resulting building will provide an enhanced living environment. In addition, proposals should include an abbreviated description (~100 words) for use in the presentation and promotion of selected projects.

2. Project Description

Proposers should provide a clear and concise description of the project, addressing each category detailed in the scoring tables. The quality and rigor of the proposal will impact its evaluation and scoring, in part as a reflection of the likelihood the proposer will be successful in reaching their stated goals. The description should address:

- a. Energy efficiency and building performance, including expected performance under future climate conditions.
- b. Low per capita carbon emissions reduction strategies including densification, electrification of HVAC, or other non-fossil fuel-based heating and cooling, renewable energy generation; advanced clean energy technologies. The description should address how these strategies are designed to be climate resilient for the life of the strategy/system; and how the building systems will effectively and efficiently perform under future climate conditions.
- c. Strategies to ensure the low-carbon building strategies, the building itself, and its occupants are resilient to future climate impacts; including strategies such as raising critical system components above flood levels; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended

power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The specific climate risk should be identified (e.g., more-intense heat waves), and how the proposed strategy will increase resilience by addressing that risk should be described in detail. For any buildings in the 500-year flood zone or that are otherwise at risk of current or future flooding, flood-mitigation measures should be incorporated into the design; at a minimum, critical system components should be raised above the 500-year flood elevation unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the awarded project's contracting process, at NYSERDA's sole discretion.

For guidance on managing future flood risk, refer to the draft (or the forthcoming final) [State Flood Risk Management Guidance](#). For guidance on climate change and climate resilience, refer to [the ClimAID climate projections for New York State](#), the New York [Adapting Buildings for a Changing Climate](#) website, and the [NYC Climate Resiliency Design Guidelines](#).

- d. Design features to address occupant comfort and health and safety; durability, and sustainability. Additionally, features related to the project's embodied carbon and global warming potential such as the proposed building materials, construction methods or refrigerant gases intended to be used in mechanical systems shall be described and detailed in the Data Collection Form.
- e. Architectural and urban design quality.
- f. How energy efficiency solutions and other characteristics of the project are expected to impact total costs, strategies to reduce total costs, the trade-offs and avoidance of cost increases, and how the overall costs of the project compare with similar projects (e.g., low- to moderate-income, mixed-income, market-rate, or luxury homes) in the same basic locale.
- g. How costs associated with improvements can be recouped in terms of higher rents or sales prices, the drivers for those increased values, and whether energy savings and benefits will accrue to the project's owner, each apartment's owner, or tenants.
- h. The project's viability and replicability, as demonstrated by expected ease or efficiency of construction, economic viability for the market served, unique financing solutions, or other factors that would make the project a model for future projects.
- i. Why and how the high-performance features of the building provide both enhanced financial benefits to the owner/developer as well as attributes that lead to an improved or optimal living environment (e.g., thermal comfort, indoor air and environmental qualities, improved acoustics, climate resilience).
- j. The business model intended to achieve their goals and their approach for following an integrated project delivery process.
- k. To establish the project's viability, the known or expected sources of capital should be identified and described, including whether those sources have been secured or are anticipated. If access to the necessary capital has not yet been secured, the proposer must identify the underwriting being sought and explain why the project's proposed underwriting approach is likely to be successful. Any financial support that has been secured or is expected to be secured from regulatory or other funding agencies for low- to moderate-income (LMI) occupancies must be identified.
- l. How lower operating costs related to the improvements to the project's energy and ongoing operational performance will be leveraged as part of the underwriting; or if any unique utility metering arrangements are expected to contribute to the underwriting approach; and how the proposed approach can ensure the project's ultimate success and replicability.
- m. How the project, as constructed, will meet the intent of the design, including the intent to rely on third-party progress inspections and performance testing during the construction process.
- n. Whether the commissioning of energy using systems, including the envelope, will be executed and relied on to create as-built drawings and energy model(s) to reflect changes in design, including those made during construction.

3. Collaboration with NYSERDA, Transparency, and Promotion of Projects

The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry. Additional and relevant information may include but should not be limited to information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned. In accordance with the Proprietary provisions located in Section VIII General Provisions, the proposer should indicate which aspects of this additional information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA's internal use and/or for anonymized analysis, and not publicly shared as project-specific information. The extent to which the proposer commits to sharing additional data, as well as the quality of the proposer's marketing plan intended to showcase the project's low-energy and low-carbon strategies, are considered during evaluation of the proposal.

Proposers are encouraged to identify any additional information not requested in the Attachment A-Data Collection Form that they intend to share with NYSERDA, including but not limited to the strategies that ultimately proved most effective, comparative costs or savings, how marketability was impacted, and the decision-making approach during the design process to ensure the intended and successful outcome. NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, in publications, in presentations, or other venues. In addition, applicants should outline their proposed methods or mechanisms for sharing this information through their marketing plan.

Proposers should submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and climate-resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, developer, and design team lead in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning projects as NYS Buildings of Excellence projects or a similar reference.

4. Supplementary Documents

- Attachment A-Data Collection Form, with all data required of the proposer populated in submitted form.
- Energy modeling files and report(s) summarizing energy performance-related design strategies should be submitted for all projects, if available.
- Project rendering(s), at least one and up to three.
- Architectural plans, including at least one section and elevation, with the completion of each architectural plan or detail appropriate in relation to the Project Status.
- Design details that address energy efficient design, based on Project Status.
- Site plan (encouraged).
- Design details that explain all proposed climate-resilience strategies.
- Diagram of building showing or explaining low-energy/low-carbon features, including how they are climate-resilient for their lifespan.
- Diagram(s) of quality of building characteristics and design features are encouraged.
- Scorecard(s) or checklist(s) for proposed, submitted, or achieved certifications.

Notes:

- 1) Submitted materials may be used for the presentation of winning projects in various forums.
- 2) Photographs and other images must be high-resolution image files at 24 inches wide and 300 dpi.
- 3) Updates to the initially submitted materials may be requested for projects selected by the Competition.

V. Proposal Evaluation

Prior to review by a scoring committee, proposals will be reviewed for completeness and to ensure they meet General Eligibility requirements as detailed in Section II of this RFP. Proposals that do not meet the listed requirements will not be reviewed by the scoring committee.

The General Eligibility requirements to be considered prior to review by a scoring committee include the following:

- The project is a current or future distribution customer of a participating electric utility company that pays into the System Benefits Charge.
- The project identified in the proposal reflects multifamily occupancy as the primary use. The project may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.
- The project must demonstrate it aligns with a Project Status listed in Section II of this RFP.
- The project meets the minimum source energy savings¹ requirements as detailed in Section II of this RFP.

Following the initial review, proposals to the Competition will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the Scoring Criteria table. Evaluation and scoring of each proposal will ultimately be determined in comparison with and relative to the other proposals submitted to the Competition.

SCORING CRITERIA

Category	Category Description	Points
Building(s) Energy Efficiency and Performance	Predicted building energy efficiency and performance ¹ , with points only awarded for performance improvement above the minimum threshold. Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance, and then again calculated after renewable or distributed energy generation has been included in the energy model. Both energy efficiency and comprehensive energy performance will be compared against other proposers.	15
Low Carbon and Renewable Energy	Strategies to achieve low-carbon emissions per occupant, including but not limited to densification, electrification, low-carbon fuels, on-site electric vehicle charging, transit-oriented development, and renewable energy systems, either on-site or through a durable contractual relationship between the project's owner(s) and the generation systems' owner(s).	20
Advanced Clean Energy Technologies	Proposed use of advanced clean energy technologies, including but not limited to high-performance building envelopes, advanced space conditioning and domestic hot water systems, energy recovery ventilation systems, smart building technologies or advanced controls systems, tenant metering or submetering, demand response, energy storage systems, or other innovative solutions.	15
Replicability, Transparency, and Marketing	Replicability is considered based on ease of construction, construction cost savings, lower operation and maintenance costs, economic viability for the market served, including financing structure, incorporating savings into the cost structure, integrated project delivery, or other factors that would make the project an economically viable model for future projects. Replicability must also demonstrate how the resulting building will provide an enhanced living environment. Transparency is also a consideration as demonstrated by a plan to share with NYSERDA and/or to share with the public any information beyond the minimum required by NYSERDA, including but not limited to design and construction details, granular data on energy use, financial information, and lessons learned. Marketing considerations are demonstrated by a plan to validate performance above the prescribed threshold and an advertising plan to showcase and promote the project's low-energy and low-carbon emissions strategies to the market served and/or to a broader audience.	20
Climate Change Resilience and Passive Survivability	Strategies that increase the resilience of the building and its occupants to future climate change will be considered under this category. Examples include, but are not limited to, raising critical system components above flood level; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The benefits of on-site low-carbon, renewable, and advanced clean energy strategies designed to be climate resilient for the lifespan of the strategy or system will be additionally considered under this category. For buildings at risk of current or future flooding, flood-mitigation measures require raising critical system components above the 500-year flood elevation to be considered under this category.	15
Quality of Building Characteristics and Design	Sustainability, durability; occupant comfort, health, and safety; architectural and urban design quality.	15
Bonus Category	Available to projects located in a Clean Energy Community; or in a NYS DEC potential environmental justice area; or in a jurisdiction that has committed to adopting NYStretch Energy Code 2019; or for projects committed to having a majority of low- to moderate-income (LMI) households based on household income of no more than 80% of the State or Area Median Income (whichever is greater); or for projects that meet the gut rehabilitation criteria as detailed in the Eligibility Section II.b. of this RFP.	5 points for any category, up to 15 points maximum.

Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- Diversity of building typology, geography, proposed solutions, or other critical elements.
- Geographic, demographic, economic, or population distribution or diversity.
- Contractual commitment to low- to moderate-income (LMI) occupancy, post-completion.

VI. Selected Projects, Subsequent Submissions, and Required Updates

Selected proposers are required to execute an agreement (see Attachment B – Sample Agreement) with NYSERDA and deliver completed projects that meet the requirements detailed in this solicitation. The project deliverables and associated payments will be as detailed in this solicitation and the agreement executed between the selected proposer and NYSERDA.

At any point during the design or construction process, NYSERDA must be notified and provided associated details if significant deviation from the original proposal is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original proposal, including the proposer's commitment to achieving the source energy savings in their original proposal to NYSERDA. Projects selected through this Competition must ensure that the cumulative changes during design or construction won't increase the predicted source energy use or carbon emissions in comparison to the project as originally submitted. Continuation of any project that deviates from the original proposal will be subject to NYSERDA's discretion. NYSERDA reserves the right to terminate any project should it fall below the originally committed source energy savings, regardless of whether the revised energy savings are above the 20% source energy savings minimum.

Additionally, the following submissions and updates are required:

Immediately following selection and award:

- One-page summary of major changes from initial proposal
- Schedule of construction

At receipt of building permit or at completion of design of modifications for projects already in construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Copy of valid building permit, including all aspects of design
- Updated schedule of construction

At 50% completion of construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Updated schedule of construction

Following completion of construction:

- Copy of Certificate of Occupancy (C of O) or Temporary C of O for newly constructed projects, or documentation that confirms completion of construction for projects proposing to the post-completion Project Status
- Any updates to original proposal descriptions and related documents, including Attachment A–Data Collection Form, to reflect any changes not yet documented to NYSERDA
- As-built drawings and as-built energy models
- Construction photos, suitable for presentation (minimum of 5)
- Photographs of final project, suitable for presentation (minimum of 5)

- One- to two-page discussion of any reduction in projected performance from initial submission,
- One-page summary of lessons learned

After year one and year two of building occupancy:

- Document the energy data and related information:
 - Energy use following one year and again following two years of building occupancy, reflecting all energy used or produced on site, with energy use provided upon request for up to sixty months following building occupancy
 - Whole building benchmarking through use of the EPA Portfolio Manager
 - Additional data or updates to the original proposal to the Competition, including Attachment A–Data Collection Form, to reflect the as-built condition of the project
 - Comparison between actual and predicted energy data
 - One-page narrative discussing why project did or did not achieve predicted performance
- One-page summary of lessons learned

VII. Schedule of Payments

	Milestone	% of Total Award
1	At Approval of Building Permit	15% to developer
		10% to design team lead
2	At 50% Completion of Construction	25% to developer
3	At Completion of Construction	35% to developer
		5% to design team lead
4	One and Two Years after Occupancy	10% to developer after second submission, with two years of occupancy and energy use data.

NYSERDA anticipates executing two separate agreements associated with each selected proposal, one each with the developer and the design team lead. NYSERDA reserves the right to negotiate the amount or schedule of payments for a selected project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation's minimum submission requirements.

VIII. NYSERDA Responsibilities

NYSERDA provides funding and support to projects in accordance with the Competition, as detailed in this solicitation.

IX. GENERAL CONDITIONS

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of the proposal. Review should include whether the information is critical for evaluation and whether general, non-confidential information, would suffice 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 of 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 excluding 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](#). 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 State subcontractors and suppliers is available from the following:

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 the following:

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 on the [Office of General Services' website](#). Proposers are required to answer questions during proposal submission, make required certification under the State Finance Law, and 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 with a monetary value in excess of \$100,000, prior to entering an agreement with NYSERDA, to certify to the Department of Taxation and Finance (DTF) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the DTF to collect New York State and local sales and compensating use taxes. The DTF has created [ST-220-TD](#) to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA that such certification with the DTF has been filed. The DTF has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor and filed with NYSERDA, prior to contracting. [Guidance for contractors](#) can found on the [DTF's website](#).

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 following 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 uses 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 Attachment B–Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions generally results in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 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.

Accessibility Requirements: If awardees from this solicitation post anything on the web, or if the awardee produces a final report that NYSERDA posts 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 will 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 will 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–Data Collection Form Rd2
Attachment B–Sample Agreement Rd2



NY Green Bank
A Division of NYSERDA

NY Green Bank

Credit Enhancement Product for Tax Equity
Providers in LMI-Inclusive CDG Projects

Request for Information

Responses Due:

April 20, 2020 by 3:00 p.m. EST

RFI No. 7
Version 1.0 – March 2020

1. Opportunity & Overview

As part of the Green New Deal, Governor Andrew M. Cuomo announced a statutory mandate that New York State's ("NYS" or "State") power be 100 percent carbon-free by 2040.¹ Meeting this aggressive and nation-leading goal will involve, among other initiatives, doubling distributed solar deployment in the State to 6,000 megawatts by 2025 (up from 3,000 megawatts by 2023). To support these new goals, the New York State Energy Research and Development Authority ("NYSERDA") announced the redesign of NY-Sun's Megawatt Block Program.² NY-Sun estimates that it will deploy at least three gigawatts of capacity by 2023 with the redesign presenting solar companies and financiers with a large development and investment opportunity in NYS.

As of December 31, 2019, NYGB has committed over \$200 million to Community Distributed Generation ("CDG") solar projects, including those with Low and Moderate Income-inclusive ("LMI") characteristics. In addition, to expand its LMI-inclusive CDG financing activity, and in response to the Public Service Commission ("PSC") *Order Adopting Low-Income Community Distributed Generation ("CDG") Initiatives*,³ NY Green Bank ("NYGB") has used Requests for Information and convenings to engage with and seek feedback from market participants on how it can assist in accelerating the deployment of community solar projects in the State. On April 12, 2019, NYGB and NYSEDA hosted a LMI Stakeholder meeting to follow up on NYGB's RFI 5: *Low and Moderate-Income Participation in CDG Projects in New York State* and discuss how NYGB can be helpful in increasing the LMI community's access to clean energy and specifically increase participation in CDG projects. In this meeting and through additional feedback from stakeholders, NYGB and NYSEDA determined that credit enhancement products for tax equity investors in LMI-inclusive CDG projects could be impactful, particularly given that NYGB cannot directly provide tax equity financing. The products would aim to address barriers outlined by market participants, which include, but are not limited to:

- (a) Subscriber credit quality underwriting approaches (such as pulling FICO scores);
- (b) Subscriber lock-in or termination payment requirements;
- (c) Challenges in forecasting the value stack;
- (d) Uncertainty around (and costs of) aggregating and maintaining sufficient subscriber volume within a limited geographic area;
- (e) Small project sizes and challenges aggregating sufficient numbers of smaller projects to attract investor interest in undertaking diligence;
- (f) Limited developer track record given relative novelty of CDG;
- (g) Uncertainty regarding the fair market value/tax basis of a project for U.S. federal income tax purposes (not otherwise mitigated by tax insurance or indemnity);
- (h) Uncertainty regarding equipment costs and delivery timelines;
- (i) Reduced portion of project costs that can be financed with tax equity due to tax law changes;
- (j) Regulatory regimes governing potential tax equity providers;
- (k) Length of term for sale-leasebacks; and
- (l) Making project economics work given margin requirement and any/all of the above-listed items.

¹ See: www.governor.ny.gov/news/governor-cuomo-announces-green-new-deal-included-2019-executive-budget.

² See: www.nyserda.ny.gov/About/Newsroom/2018-Announcements/2018-06-18-NYSERDA-Announces-Redesign-of-NY-Suns-Megawatt-Block-Program.

³ See: <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={B154D4F0-C6EC-49BE-8B51-A4E87DB2E00B}>.

To address this feedback and assess broader market interest in a NYGB credit enhancement product for tax equity investors in CDG products, NYGB has issued this RFI 7: *Credit Enhancement Product for Tax Equity Providers in LMI-Inclusive CDG Projects*.

2. RFI Objective

The objective of this RFI is to identify specific ways in which NYGB can be helpful in increasing the availability of tax equity financing for CDG projects in NYS that offer LMI-inclusive subscription terms (short term contracts, indexed contracts, non-FICO approval customer credit approval approaches, etc.) by addressing existing market barriers and financing gaps that could impede project development. Respondents will be invited to participate in conversations with NYGB in the form of one-on-one meetings and/or broader stakeholder convenings.

The focus of these conversations will be to: (a) inform NYGB of barriers preventing tax equity investors from committing capital to LMI-inclusive business models and (b) understand ways in which NYGB may structure credit enhancement that would accelerate tax equity investment in LMI-inclusive approaches to CDG. NYGB seeks input from tax equity investors, developers utilizing LMI-inclusive approaches to CDG that are in conversations with tax equity, and other market participants with a relevant perspective.

NYGB will use the information received in response to this RFI to develop standardized tax equity credit enhancement structures for CDG projects or portfolios of projects. Additionally, responses will broadly help inform NYGB's financing strategy for CDG projects outlined in [RFP 10: Financing for CDG Solar Projects Including Projects Paired with Energy Storage](#). All input will help NYGB facilitate the construction of LMI-inclusive CDG projects in NYS, the development of a well-functioning tax equity finance market for such projects and increased energy choices and lower energy costs for all New Yorkers.

Stakeholders from the development community, financing community and contractors/service providers who expect to invest in or deploy CDG projects in NYS are encouraged to respond.

3. Content of Responses

To respond to this RFI, please complete the Attachment A - [RFI 7 Questionnaire](#).

Responses are due to NYGB by **3:00 p.m. EST** on April 20, 2020 and should be submitted by email to solicitations@greenbank.ny.gov. Please include "RFI No. 7" in the subject line.

Our expectation is that NYGB will engage in one-on-one conversations and broader convenings with industry participants to further the LMI-inclusive financing of this integral asset class in New York State. Respondents should contact info@greenbank.ny.gov with any questions about the RFI.

4. NYGB Background

NYGB is a division of 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").⁴ The CEF is a \$5.3 billion commitment, and part of Governor Cuomo's Reforming the Energy Vision ("REV") strategy to advance clean energy growth and innovation, and drive economic development across the State, while reducing ratepayer collections. For more information on the CEF and REV strategy, see www.nyserdera.ny.gov/About/Clean-Energy-Fund and rev.ny.gov/.

⁴ 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").

The key elements of NYGB's mission are collaborating with private sector participants, implementing structures that overcome market barriers and address financing gaps in current clean energy financing markets and transforming those markets by enabling greater scale, new and expanded asset classes and increased liquidity. Consistent with this mission and its investment criteria, NYGB's key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas ("GHG") emissions.

NYGB's activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts, and delivering more clean energy benefits per public dollar spent for all New Yorkers.

NYGB can be flexible in terms of transaction roles. Examples of the types of facilities NYGB provides include: project equity, warehousing/aggregation facilities (with an expectation of being taken out by private sector third parties within prescribed time periods and upon certain events – e.g., the aggregation of an agreed upon amount of assets fitting certain credit and other parameters), construction and post-construction finance and a variety of credit enhancement products (e.g., guarantees of third-party capital, letters of credit, etc.).

NYGB operates as a self-sustaining entity, pricing investments to cover its operating expenses and portfolio default risk and 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 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.

More information about NYGB can be found at greenbank.ny.gov/.

5. General Conditions

Proprietary Information – Among NYGB's goals is the promotion of standardization of material contract terms and structures and the collection of project performance data across NYGB transactions. NYGB is 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 NYSEERDA and its divisions possess. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that any party wishes to have treated as proprietary and confidential trade secret information should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law,

Section 89(5) and the procedures set out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.

Limitation – This RFI does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a response or to procure or contract for services or supplies. NYGB reserves the right to cancel in part or in its entirety this RFI when it is in NYGB's best interest.

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.

Vendor Assurance of No Conflict of Interest or Detrimental Effect – The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Attachments:

Attachment A – RFI 7 Questionnaire



NY Green Bank
A Division of NYSERDA

NY Green Bank

Investment Valuation & Financial Advisory
Consulting Services

Request for Proposals

RFP No. 14

Version 1.0 – March 2020

**Investment Valuation & Financial Advisory Consulting Services for
NY Green Bank, a Division of the New York State Energy Research and Development Authority**

Request for Proposal (RFP) 14

Proposals Due: March 30, 2020 by 3:00 PM Eastern Time*

NY Green Bank (“**NYGB**”), a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), invites proposals from firms interested in providing investment valuation and financial advisory services to NYGB in connection with its portfolio of illiquid structured investments in clean energy projects and businesses and in sustainable infrastructure. As further described in Section 2.1, services may include, but will not be necessarily limited to: (a) reviewing existing valuation policies and procedures and providing a gap assessment with industry best practices; (b) reviewing the reasonableness of the valuation methodology and input assumptions underlying a specific NYGB portfolio transaction¹; (c) providing an independent assessment whether a specific portfolio transaction should be impaired or written up for financial accounting purposes; (d) providing an independent assessment whether a specific potential portfolio transaction is on arms-length terms; and (e) providing other financial advisory services (including, without limitation, restructuring advice) regarding a specific NYGB portfolio transaction.

Proposal Submission:

Firms wishing to submit a proposal for review must do so by 3:00 p.m. Eastern Time on the date noted above. Late proposals will not be accepted, nor will proposals that are substantially incomplete. It is the proposer’s responsibility to ensure that all pages have been included in the submission. Proposal documents should not exceed 15 pages, plus attachments. Unnecessary attachments beyond those sufficient to present a complete, comprehensive and effective response will not positively influence evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number and the page number.

Proposals must be submitted electronically via the online proposal submission system portal. (Faxed, mailed or e-mailed proposals will not be accepted). Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. For detailed instructions on how to submit a proposal online, follow the instructions on NYGB’s website (www.greenbank.ny.gov) under “Work with Us;” “RFP Resources;” “Instructions to Submit Service Provider Proposals.”

Please note that, as part of the online submission process, proposers will be required to answer questions in addition to uploading attachments. NYGB suggests allotting at least 60 minutes to enter/submit proposals. The online proposal system will close promptly at 3:00 p.m. Eastern Time, and files in process or attempted edits or submissions after this time will not be accepted. If changes are made to this solicitation, an e-mail will be sent to the proposer’s contact as listed in the Proposer Contact Information section of the NY Green Bank portal as part of the online submission process, and any modified documents will be posted on NYGB’s website (www.greenbank.ny.gov) under “Work with Us;” “Open Solicitations;” “RFP 14: Investment Valuation & Financial Advisory Consulting Services.” NYGB anticipates executing a Final Agreement (as defined below) by the end of May 2020 with one or more of the proposers who have been selected to enter into contract negotiation.

¹ NYGB investments are highly structured transactions (including letters of credit, senior and subordinated debt, preferred stock, common equity, etc.) that are valued using internal models. As these investments rarely trade, prices are not directly observable, and assumptions, which can be subject to wide variances, are made to model and value the investments.

If you have technical questions concerning this solicitation, contact (i) info@greenbank.ny.gov (Designated Contact 1); (ii) Brian Lee (Designated Contact 2) at (212) 379-6263; or (iii) Mike Fagan (Designated Contact 3) at (212) 379-4107. (Designated Contact 1, Designated Contact 2 and Designated Contact 3 are collectively referred to as the “**Designated Contacts**”). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or VeniceSolicitations@nyserda.ny.gov. Please include RFP 14 in the subject line of all e-mail communications.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. 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 a proposer: (1) being deemed a non-responsible offerer, and (2) not being awarded a contract.

Late or incomplete proposals will be returned and not accepted. Faxed or e-mailed proposals will not be accepted. If changes are made to this solicitation, notification will be posted on NYGB’s website at www.greenbank.ny.gov.

1. Introduction

1.1 Opportunity & Overview

NY Green Bank invites proposals from firms interested in providing investment valuation and financial advisory services to NYGB in connection with its portfolio of illiquid structured investments in clean energy projects and businesses and in sustainable infrastructure. As further described in Section 2.1, services may include, but will not necessarily be limited to: (a) reviewing existing valuation policies and procedures and providing a gap assessment with industry best practices; (b) reviewing the reasonableness of the valuation methodology and input assumptions underlying a specific NYGB portfolio transaction; (c) providing an independent assessment whether a specific portfolio transaction should be impaired or written up for financial accounting purposes; (d) providing an independent assessment whether a specific potential portfolio transaction is on arms-length terms and (e) providing other investment valuation and financial advisory services (including, without limitation, restructuring advice) regarding a specific NYGB portfolio transaction.

1.2 NYGB Background

In his January 2013 State of the State address, Governor Andrew M. Cuomo announced the formation of a \$1.0 billion NY Green Bank (“**NYGB**”) to alleviate financial market barriers that currently impede the flow of private capital to clean energy projects. NYGB is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), a public benefit corporation of the State of New York (“**NYS**” or the “**State**”).

NYGB acts as a \$1.0 billion State-sponsored specialized financial entity focused on mobilizing greater investment in clean energy and sustainable infrastructure projects within NYS. NYGB is structured and operated in a similar manner to private investment funds and financing entities, including with respect to entering into transactions on market terms, being self-sustaining and covering its own costs of operation. NYGB is a key component of the State’s Clean Energy Fund (“**CEF**”), a \$5.3 billion commitment, and part of Governor Cuomo’s Reforming the Energy Vision (“**REV**”) strategy to advance clean energy growth and innovation and drive economic development across the State while reducing ratepayer collections. For more information on the CEF and REV strategy, see nyserdanyny.gov/About/Clean-Energy-Fund and rev.ny.gov/.

In July 2019, NYS took a historic step in advancing the most ambitious and comprehensive climate and clean energy legislation in the country with Governor Cuomo’s signing of the Climate Leadership and Community Protection Act (“**CLCPA**”) which mandates the NYS Green New Deal’s nation-leading clean energy targets: nine gigawatts of offshore wind by 2035, six gigawatts of distributed solar by 2025, and three gigawatts of energy storage by 2030, while calling for an orderly and just transition to clean energy that creates jobs and continues fostering a green economy. The CLCPA also directs NYS agencies and authorities to collaborate with stakeholders to develop a plan to reduce greenhouse gas emissions by 85 percent from 1990 levels by 2050 and aim to invest 40 percent of clean energy and energy efficiency program resources to benefit disadvantaged communities.

The State’s leadership in clean energy and sustainable infrastructure and ambitious goals position NYS for substantial growth and transformation – all requiring material financing. Given that meeting these State goals involves the creation of new asset classes and the building of liquidity in those asset classes at scale and across technologies, geographies and end-users, NYGB is well positioned to successfully continue its investment activities and materially contribute to the achievement of State goals, for the benefit of all New Yorkers.

The key elements of NYGB’s mission are collaborating with private sector participants, implementing structures that overcome market barriers and addressing 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 across the clean energy sector, including:

- (a) Lack of transaction standardization;
- (b) Deficient scale and volume;
- (c) Less-understood project sponsors and counterparty credits;
- (d) Insufficient data on underlying loan and technology performance; and
- (e) Underdeveloped or nonexistent capital markets for clean energy projects.

These financing issues are a few of many market barriers that limit private sector capital investment, for both equity and debt, into otherwise attractive renewable energy and energy efficiency projects, resulting in gaps in the clean energy finance market.

To address existing financing barriers, NYGB follows several important operating principles:

- (a) NYGB enhances private sector market participation by providing financial products designed to scale markets for renewable energy and energy efficiency projects;
- (b) NYGB collaborates, rather than competes, with market participants that are already making progress in, or can demonstrate an ability to engage, the market but where that progress is constrained by the lack of available financing;
- (c) NYGB works with its clients and counterparties to leverage their capital and institutional capabilities – with a focus on “wholesale” markets (i.e., not providing funding directly to consumers/homeowners);
- (d) NYGB generally structures and prices its financial products consistent with commercial approaches to credit quality and risk, seeking to earn a return on investment to preserve and grow its capital base; and
- (e) NYGB recycles its capital into new clean energy projects when income is generated and as investments mature or are realized, maximizing the impact of its capital across multiple deployments.

NYGB’s long-term objective is to provide a bridge to a vibrant, sustainable, growing and efficient private sector clean energy financing market, across all types and sizes of projects. NYGB seeks to operate in areas where there is market interest, but limited access to capital.

NYGB investments are expected to span a wide range of clean energy technologies (e.g., in areas like energy efficiency, energy storage, renewable energy, electric vehicle and electric vehicle infrastructure, etc.).

More information about NYGB can be found at greenbank.ny.gov.

1.3 NYGB Investments / Financial Models / Financial Accounting

Within the sustainable infrastructure markets, NYGB focuses on commercially proven technologies that are ready for and seeking scalable deployment. This sector is severely undercapitalized with limited investor involvement due to a lack of precedent transactions, smaller scale assets or portfolios, and complex deal structures that often require specialized structuring skills and sector knowledge base. NYGB applies project finance and structured finance techniques to ring-fence project assets or businesses, allocate and protect against risk and volatility, and monetize the resulting lower volatility cash flows. Although NYGB will make investments throughout the capital stack providing credit enhancement, senior and subordinate debt, preferred stock or common equity, NYGB generally prefers to take senior debt positions. NYGB has no restrictions on investment tenor, and can provide construction loans, warehouse facilities, mini-perms, and term loans.

NYGB investments are illiquid structured transactions that are valued using internal models. As these investments rarely trade, prices are not directly observable and assumptions, which can be subject to wide variances, are made to model and value the investments. NYGB develops its own financial models. In certain cases, transaction models have been developed by or with third party financial advisors.

NYGB calculates the value of its investments and the Net Asset Value (“NAV”) of its portfolio monthly. As a division of NYSERDA, NYGB follows GASB statements and requirements, and pursuant to GASB 62, NYGB’s loans are accounted for as Loans & Financing Receivables: recorded at cost basis, amortized as appropriate and written down if deemed impaired. A provision for loss is established for any Loan & Financing Receivable that is delinquent on its debt service payments and is deficient when comparing the present value of expected cash flows or collateral value to the outstanding debt balance plus accrued interest. NYGB, which, like NYSERDA, is audited by KPMG, prepares standalone sets of financial statements, and these are then consolidated into the NYSERDA financials. NYGB’s audited financial statements are published annually.

For further details on NYGB’s investments, strategy and financial accounting policies, please refer to NYGB’s website (www.greenbank.ny.gov), including the Annual Review and Business Plan (<http://greenbank.ny.gov/-/media/greenbanknew/files/nygb-2019-business-plan.pdf>) and its Audited Financial Statements (<https://greenbank.ny.gov/Resources/Public-Filings>).

2. Scope of Services / Proposal Submission Requirements

NYGB seeks to retain one or more firms experienced in a broad range of investment valuation and financial advisory services, and particularly in the valuation of illiquid, structured investments and the provision of financial advisory services regarding the same, to provide the services set forth in Section 2.1 to NYGB in connection with its portfolio of illiquid structured investments in clean energy projects and businesses and in sustainable infrastructure. As further detailed below, proposers will be evaluated on their expertise as well as their previous experience advising financial, investment and asset management institutions regarding the above. Tasks will be assigned to selected and qualified firms on an as-needed basis.

2.1 Scope of Investment Valuation & Financial Advisory Services

NYGB requests proposals from firms experienced in a broad range of investment valuation and financial advisory services, and particularly in the valuation of illiquid structured investments and the provision of financial advisory services regarding the same. Proposers are encouraged to apply to provide for all or some of the services listed below, which are subject to the Conditions listed in Sections V below. Proposers selected by NYGB pursuant to this RFP will be expected to be available to provide services to NYGB for a three-year period with three potential

one-year extensions thereafter. During this period, NYGB will assign tasks to selected and qualified proposers on an as-needed basis for the performance of specific services, which include:

- (a) Reviewing existing valuation policies and procedures and providing a gap assessment with industry best practices under GASB 62 as well as under fair value accounting standards;
- (b) Upon request, reviewing the reasonableness of the valuation methodology and input assumptions underlying a specific NYGB portfolio investment;
- (c) Upon request, providing an independent assessment whether a specific NYGB portfolio transaction should be impaired or written up for financial accounting purposes;
- (d) Upon request, providing an independent assessment whether a potential portfolio transaction is on arms-length terms; and
- (e) Upon request, providing other financial advisory services (including, without limitation, restructuring advice) regarding specific NYGB portfolio transactions.

2.2 Proposal Submission Requirements

2.2.1 Proposal Submission

Please refer to “Proposal Submission” on pages 2-3 above in this RFP 14.

2.2.2 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 <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).

Failure to include such certification and disclosures will disqualify your proposal.

2.2.3 Format

Please refer to “Proposal Submission” on pages 2-3 above in this RFP 14. Proposals should contain two parts.

Part I must consist of responses to the qualification items (Section 2.2.4, “Description of Qualifications” below).

Part II must consist of complete contract cost and pricing information (Section 2.2.5, “Cost” below) and the proposed Investment Valuation & Financial Advisory Services Retainer Agreement (see Section 2.2.6 below).

Each part must be complete, so that it can be evaluated independently, but should be submitted together as a single Proposal.

2.2.4 Description of Qualifications

Proposers should:

- (a) Identify the services for which they are proposing as listed above in Section 2.1;

- (b) Describe their experience providing investment valuation services and financial advice (including, without limitation, restructuring advice) to traditional and alternative investment vehicles (e.g., investment companies, private equity funds, business development companies, debt infrastructure investment funds, etc.) regarding (i) illiquid, unrated, and/or non-traded investments similar to NYGB's investments, and (ii) investments in the clean energy and sustainable infrastructure sector, and in the electricity, power and commodity markets sector;
- (c) Provide a brief summary of their firm's capabilities that are relevant to their proposed services including the number of similar or analogous assignments that their firm has completed over the past five years, and a discussion of their relevance to the services requested in Section 2.1. Highlight any areas where the assignments were substantially different from the services to be provided;
- (d) Describe how they differentiate their firm from its competitors and its relevance to the services they propose to provide to NYGB;
- (e) Describe their availability to accommodate the investment valuation and financial advisory needs of NYGB. Proposers must demonstrate that primary and reasonably qualified backup and support personnel are available on an as-needed basis, and that the proposer has staff capabilities (and sufficient professional/support staff) to perform the work on a timely basis. Specify whether any part-time or contracted resources will be utilized, and if so, in what regard, and how that will enhance potential performance;
- (f) Describe their assessment / valuation process, and the internal and external databases and other reference resources used to develop investment assessments and valuations in the sustainable infrastructure and renewables sector;
- (g) Provide the names of personnel in the firm who will be assigned to NYGB's account and their experience in performing services similar to the services requested by this RFP. Include resumes for all employees proposed to be involved on this account (resumes may be included as an appendix to the proposal). 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 experience. Indicate the address of the office through which this account will be primarily serviced. Describe the availability of the lead person(s) for consultation with NYGB, including but not limited to his or her ability to meet with NYGB staff in New York;
- (h) Discuss fully any conflicts of interest, actual or perceived, that might arise in connection with their firm's involvement with NYGB. If conflicts do or might exist, describe how the firm would resolve them. Please be aware that the firm(s) selected will be expected to represent NYGB in all transactions falling under this RFP; representation of any other party to these NYGB transactions would be prohibited without the express written approval of NYGB, which would be unlikely (for more information on NYGB's expected approach with respect to potential conflicts of interest, please see the "Conflicts of Interest" section set forth in the Sample Agreement (as defined below) attached hereto as Attachment A);
- (i) Identify any litigation or administrative proceedings to which their firm is a party and which would either (a) materially impair its ability to perform the services enumerated herein and for which this RFP was issued or (b) if decided in an adverse manner, materially adversely affect the financial condition of the firm;
- (j) Identify the employees discussed in Section 2.2.4(d) that have been the subject of any investigation or disciplinary action by the NYS Ethics Commission, the Commission on Public Integrity, the Temporary State Commission on Lobbying, or NYS. Describe briefly how any matter was resolved or whether it remains unresolved;

(k) Provide in-line edits and an explanation of any changes the proposers would request to the sample agreement (the “**Sample Agreement**”) attached hereto as Attachment A. Because NYGB expects to harmonize its standard terms and conditions across all awarded contracts, NYGB may accept or reject such request changes in its sole discretion; and

(l) Provide two relevant client references, including name, address, and telephone number.

2.2.5 Cost

Proposers should:

- (a) State the rates at which the cost for the services above would be provided to NYGB, and whether on a transactional or an hourly basis (or combination thereof). For the latter, please include:
 - (i) For each person whose resume is provided in response to Section 2.2.4(g) above, the firm’s normal hourly rate and the hourly rate the firm proposes to charge NYGB;
 - (ii) For each applicable category of support staff or other assigned staff, the normal hourly rate and the hourly rate the firm proposes to charge NYGB, if billed separately; and
 - (iii) Any reduced rates or fees charged other State or local governments in NYS for these types of services.
- (b) A statement of the basis on which any other firm expenses related to services provided to NYGB would be billed, if other than at cost;
- (c) A statement of any special considerations with respect to billing or payment of fees and expenses that the firm offers and that it believes would differentiate it from other proposers and make its services more cost effective for NYGB; and
- (d) A statement of the firm’s views with respect to the potential for alternative fee structures for specific matters or transactions on a case-by-case basis.

2.2.6 Investment Valuation & Financial Advisory Consultant Retainer Agreement

Proposers should provide the Investment Valuation & Financial Advisory Consultant Retainer Agreement (the “**Proposed Retainer Agreement**”) they propose to use if selected by NYGB under this RFP. If selected by NYGB, the Proposed Retainer Agreement, as modified by the terms of the Sample Agreement, will serve as the basis for negotiating the Final Agreement with NYGB regarding the retention of the proposer as an outside investment valuation and financial advisory consultant to NYGB. (For more information, see Section 5, “Final Agreement” below).

3. Proposal Evaluation and Selection Process

3.1 Proposal Evaluation

Proposals meeting the RFP requirements will be evaluated by a Scoring Committee using the Evaluation Criteria below listed in order of importance:

- (a) General experience providing investment valuation and financial advisory services (including restructuring advice) to traditional and alternative investment vehicles regarding (i) clean energy and sustainable infrastructure investments; (ii) structured illiquid investments similar to those undertaken or contemplated

by NYGB; and (iii) more broadly, investments in the electricity, power and commodity markets (For more information on investments undertaken by NYGB, please reference the transaction profiles on NYGB's website: <https://greenbank.ny.gov/Investments/Portfolio>);

- (b) Quality, depth and breadth of the firm's and team's expertise and prior experience in providing services similar to those identified in Section 2. For those firms that have worked with NYGB before, the quality of work and value delivered then will also be considered. Proposers may submit proposals to provide all or only some of the services listed in Section 2.1. Proposers proposing to provide only some of the listed services, will be evaluated against other proposers' capabilities to provide those same listed services;
- (c) Commitment of time and resources to this account, and amenability to, and facility for, working with NYGB in various capacities. For those firms that have worked with NYGB before, their commitment of time and resources, amenability and facility to work with NYGB then will also be considered;
- (d) The terms and conditions of the Proposed Retainer Agreement; the degree and substance of the changes, if any, requested to the Sample Agreement; the likelihood to successfully negotiate the Final Agreement; and the anticipated cost of services and willingness to work with NYGB to minimize costs;
- (e) Diversity practices and ability to meet NYSERDA goals with respect to minority- and women-owned business enterprises (MWBE) and service-disabled veteran-owned business enterprises (SDVOB) (see Attachments B and C hereto);
- (f) Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.

3.2 Selection Process

A scoring committee ("**Scoring Committee**"), comprising internal NYGB and NYSERDA staff, will review and evaluate proposals. At NYGB's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

In addition, top-ranked firms may be invited to make oral presentations to the Scoring Committee or other NYGB staff, and may also be required to provide additional client references, as part of the final selection process.

Depending upon the quality and scope of proposals as well as the negotiation of acceptable Final Agreements, NYGB expects to select one or more qualified firms to provide the range of Investment Valuation and Financial Advisory Consulting services.

4. General Conditions

4.1 Proprietary Information

Careful consideration should be given before confidential information is submitted to NYGB and 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, NYS Public Officers Law, Article 6, provides for public access to information NYGB or NYSERDA possesses. NYS 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://nyserdera.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>. However, NYGB and NYSERDA cannot guarantee the confidentiality of any information submitted.

4.2 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

4.3 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 NYGB/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 NYGB/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 contracting 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>.

4.4 Contract Award

NYGB anticipates making one or more award(s) under this solicitation. NYGB anticipates a contract duration of three years with three 1-year options to renew, unless NYGB management determines a different structure is more efficient based upon proposals received.

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 technical terms.

NYGB may request additional data or material to support applications. NYGB will review the Proposed Retainer Agreement provided by the proposer. NYGB may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYGB and/or NYSERDA agreement.

NYGB 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.

4.5 Limitation

This solicitation does not commit NYGB to participate in any transaction, proceed to negotiate any terms or definitive documentation, award a contract, 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 sources, or to cancel in part or in its entirety the solicitation when it is in NYGB's best interest. NYGB reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions set forth in Exhibit C of the Sample Agreement. NYGB reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

4.6 Disclosure Requirement

The proposer shall disclose, for any team member, 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 similar governing body. If an indictment or conviction should come to the attention of NYGB after the award of a contract, NYGB 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.

4.7 Final Agreement

NYGB will negotiate the final agreement (the "**Final Agreement**") with each proposer(s) selected under this RFP based upon the Proposed Retainer Agreement discussed in Section 2.2.6 above, with the expectation that relevant sections of the Final Agreement will substantially conform, in form and substance, to the Sample Agreement. The Final Agreement will also include the Proposed Retainer Agreement as an exhibit thereto. The Final 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. NYGB will require that certain New York State provisions be attached to the Final Agreement as exhibits. These provisions are attached to the Sample Agreement as Exhibits C and D thereto.

4.8 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.

4.9 Vendor Assurance of No Conflict of Interest or Detrimental Effect

The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which

would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYGB/NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your firm would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYGB/NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

4.10 Public Officers Law

For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees.

However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements.

During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

4.11 Diversity Practices

NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of proposers is practical, feasible, and appropriate. Accordingly, proposers shall be required to include as part of their proposal a signed and completed Diversity Practices Questionnaire (Attachment D hereto).

4.12 New York Executive Law Article 15-A

Under this law, NYGB/NYSERDA is required to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and

women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected contractor are set forth in Attachment B hereto. Proposers shall be required to sign and complete Attachment B as part of their proposal.

4.13 New York State Executive Law Article 17-B

Under this law, NYGB/NYSERDA recognizes its obligation 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 Attachment C hereto. Proposers shall be required to sign and complete Attachment C as part of their proposal.

Attachments:

Attachment A – Sample Agreement

Attachment B – Article 15-A (MWBE)

Attachment C – Article 17-B Service-Disabled Veteran-Owned Business Enterprises (SDVOB)

Attachment D – Diversity Practices Questionnaire

Buildings of Excellence Competition

Request for Proposal (RFP) 3928 Rd2

Up to \$10,000,000

NYSERDA reserves the right to extend or add funding at its sole discretion.

Proposals Due: April 22, 2020 by 3:00 p.m. Eastern Time (ET)*

The Buildings of Excellence Competition (the Competition) aims to accelerate the design, development, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. NYSERDA seeks proposals for projects that reduce their energy consumption and per capita carbon emissions while increasing climate change resilience, including passive survivability, in a manner which can be replicated at scale. Selected projects are eligible to receive up to \$1,000,000 in direct funding as well as support for initiatives focused on broad marketing and public awareness. Technical and performance validation support services are also provided. Proposers must demonstrate (1) how the project will generate interest in and demand for the construction of low carbon and climate-resilient advanced clean energy buildings, (2) their commitment to share information related to the project's design, costs, and performance, which is expected to support decision-making processes employed to achieve the desired outcomes, and (3) architectural and urban design quality and innovation. The Competition intends to identify and select proposals for projects that demonstrate the greatest potential for success and replication. This second issuance of the Competition focuses on multifamily projects. The Competition is approved for three rounds of funding.

Proposal Submission: Electronic submission is preferable. Proposers may submit Word, Excel, or pdf files (file formats include the following: 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. NYSERDA also accepts 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), go to NYSERDA's Funding and Opportunities web page and follow the [Application Instructions and Portal Training Guide](#) [PDF] located in NYSERDA's [Current Opportunities](#).

Informational webinar: NYSERDA will host an informational webinar on Wednesday November 6, 2019 starting at 10 am. [Register to participate in advance](#) or [join the webinar by signing in prior to 10 am](#), logging in after 9:30 AM. [Fill out this form](#) to be notified of additional informational webinars that may be scheduled; or when each round of the Competition is launched, are about to close, and when the winners of each round are announced.

Contact Information: For technical questions, contact Patrick Fitzgerald (designated contact) at PatrickNC@nyserda.ny.gov or (518) 862-1090 ext. 3385; or Matt Brown (designated contact) at MatthewNC@nyserda.ny.gov or (518) 862-1090 ext. 3336. For contractual questions concerning this solicitation, contact Elsyda Ahmed (designated contact) at ElsydaSolicitations@nyserda.ny.gov or (518) 862-1090 ext. 3444.

No communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (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 disqualify the proposer from consideration.

*** All proposals must be received by 3 p.m. (ET) 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 submission requirements have been met. Please note the following: for electronic submissions, there are required questions that need to be answered in addition to uploading attachments. Be sure to allot at least 60 minutes to enter and submit proposals. The electronic proposal system closes promptly, and files in process or attempted edits or submission after 3 p.m. (ET) on the date above will not be accepted.

If changes are made to this solicitation before the due date, notification specific to this solicitation will be posted on NYSERDA's [Current Opportunities](#) section.

I. Introduction

The purpose of the Competition is to stimulate the design, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. Burning fossil fuels such as natural gas, oil, and coal releases carbon dioxide into the atmosphere. Reductions in the amount of fossil fuels burned to support building operations can result in decreased carbon emissions. Buildings designed to use low-carbon fuels or electrification, renewable energy systems, higher density occupancy, or transit-oriented development can further result in reduced per capita carbon emissions. Buildings and their systems may be vulnerable to future climate hazards such as flooding, sea level rise, increased temperatures, and extreme storms. Excellent buildings will be designed in ways that make both the structures and their occupants resilient to future climate change, allowing emissions reductions goals to be achieved for the duration of a buildings' expected lifetime.

NYSERDA seeks proposals for multifamily buildings being designed to achieve very low energy consumption and per capita carbon emissions as compared to a code compliant building, as well as have resilience attributes that limit exposure to increased risks and impacts from future climate change. Proposers must demonstrate that the design and construction strategies are replicable and have the potential to achieve broad-based adoption by both developers and consumers. Proposers must also demonstrate how their projects provide superior financial benefits for owners, and attractive, healthy, safe, climate-resilient, and otherwise outstanding living environments for occupants. Proposers are encouraged to submit projects that enhance age-friendly characteristics. This Competition's goals include proactive design and planning, access to recreation, building complete streets, improving the existing built environment, and encouraging compact, multiple-use development; all of which enhance age-friendly community livability. NYSERDA recognizes that demographics are shifting toward older age-ranges, and that the economic and social contributions from older residents are vital. To incorporate the economic and civic strengths of the aging population, the needs and desires of aging New Yorkers must be included in the domains of outdoor spaces, transportation, housing, social activity, civics/employment, communication/information and health services. Proposers are encouraged to describe how their proposal addresses age-friendly inclusion in these domains.

This round of the Competition will accept proposals for projects that are, as of the date of the proposal's submission to NYSERDA, in an early or late design status as defined and detailed in Section II of this RFP. The funding provided through the Competition may be used in conjunction with other funding offered by NYSERDA and utilities service providers. However, proposers must review the rules of the other programs to determine if those funds are accessible in combination with funds offered by this Competition.

II. Eligibility

NYSERDA, at its sole discretion, determines a proposal's eligibility for the Competition.

General Eligibility

For a submission to be eligible, the project identified in the proposal must incorporate multifamily occupancy as the primary use. The project must be, or intend to be, located in one of the six investor-owned New York State electricity distribution companies and pay into the System Benefits Charge (SBC) at that site. Project eligibility is fuel-neutral; however, projects must demonstrate low-carbon attributes. The proposer must be the owner or developer and have the authority to select and direct all other members of the project team. The proposer must demonstrate their project team has the capabilities to perform and successfully complete the proposed project as a multidisciplinary and integrated project delivery team.

While not encouraged, a proposer may elect to submit more than one proposal to the Competition for different projects. Members of a proposer's team are welcome to participate in more than one proposal. Multiple, alternative proposals submitted for a single project will result in the disqualification of both proposals, as it is the responsibility of the proposer to determine the more appropriate set of solutions for their project. As part of their submission, the proposer must select and indicate who will serve as the design team lead in support of their project.

A project can encompass one multifamily building or a portfolio of similar or related multifamily buildings of any height located on the same site, or adjacent and associated sites. One- and two-family homes, or

townhomes as defined within the Definitions section of the 2015 International Building Code, are not eligible for inclusion as part of a proposal's fundable project. Eligible multifamily projects are as follows:

- a. New Construction: A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building plans.
- b. Gut Rehabilitation: Substantial renovation for 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, buildings, or space within.
 - Construction work of a nature requiring that the building, buildings, or space(s) within to be out of service and unoccupied for a minimum of thirty days.
 - Reconstruction of a vacant structure, or structures, or space within.
 - The addition to or expansion of a building, in combination with any of the above.

Projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.

All proposers must submit the Attachment A-Data Collection Form, and include the modeled or predicted energy use, fuel types, project costs and design drawings, when available. Proposals must include wall sections of the building envelope and related design details, and detailed descriptions of the energy systems utilized, when available.

Proposers selected through this Competition must agree to:

1. Update the information initially provided in the Data Collection Form; and assist NYSERDA in promoting their project and to sharing information that will help the industry accelerate the design, construction, and operation of high-performance buildings. All of which may be shared publicly unless otherwise noted.
2. Provide NYSERDA with actual monthly energy use and generation by fuel type for all fuels and from all meters for sixty months after project completion, for the residential portion of the building as well as for the whole building. Directly metered tenant use may be aggregated by fuel type.
3. Populate the U.S. Environmental Protection Agency (EPA) Portfolio Manager or equivalent, for a minimum of sixty months post-occupancy and as directed by NYSERDA, submitting the benchmarking tool's output data to NYSERDA. Disclosure of the benchmarking data on websites, in publications, in presentations or other venues may occur, in whole or in part, in a form attributable to their project.
4. Provide or secure Data Release Authorization Forms from both building owners and a representative sample of tenants, as required for benchmarking of the whole building's energy use, generation, and related utility consumption, as well as to provide additional performance information obtained through monitoring and controls systems, utility metering or submetering systems, or Smart Buildings systems.
5. Provide updated information related to the project's as-built design, costs, and price, as per the Data Collection Form.
6. Allow their projects to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to exhibitions, articles, books, electronic media including a Competition website, and lectures promoting the Buildings of Excellence Competition and its outcomes.

Project Status [The proposer must select one of the following statuses and meet the stated requirements]

1. **Early Design:** Projects in the schematic design or design development phase are considered to be in the early design status. The proposer may be eligible for an award of \$20 per gross square foot up to \$1,000,000. Proposers must commit to designing and constructing a project that will achieve a minimum modeled source (primary) energy savings¹ of 20% when compared with a project design that complies with the relevant Energy Conservation Construction Code of New York State (ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per capita carbon impacts including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics to ensure the Competition's goals are met. Proposals should also describe how these strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the building will provide an enhanced, climate-resilient living environment.
2. **Late Design:** If the project's design development phase is complete and the construction documents are in development, but the building permit has not yet been issued, the project is considered to be in the late design status. The proposer may be eligible for an award of \$15 per gross square foot up to \$750,000. Proposers must commit to completing the design and constructing a project that achieves a minimum modeled source (primary) energy savings¹ of 20% when compared with a project design that complies with the relevant ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per occupant carbon impacts to meet the Competition's goals including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics. Proposals should also describe how these low-carbon strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the resulting building will provide an enhanced, climate-resilient living environment.

Modeled Energy Performance

The proposer must rely on one of the following Standards to establish that the minimum modeled source (primary) energy savings for the project's residential associated space¹ will be met:

- Appendix G of ASHRAE Standard 90.1. Projects permitted under ECCC of NYS (2014) should follow Appendix G of ASHRAE 90.1-2010 to determine the modeled energy performance¹; and projects that were or will be permitted under ECCC of NYS (2016) should follow Appendix G of ASHRAE 90.1-2013 with Addenda, in accordance with ECCC of NYS (2016). Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the proposer for comparison with other proposals. Comprehensive energy performance will be compared against other proposers, using a 2.55 source-to-site conversion factor to compare the imported electricity to the source energy required to generate that electricity.
- The Passive House Standard as published by the Passive House Institute (PHI), or PHIUS+ for Multifamily Buildings as published by the Passive House Institute U.S. (PHIUS). Projects intending to meet PHIUS+ certification requirements must identify the building(s)' modeled source (primary) energy use¹ in terms of kWh/person/year; and projects intending to meet PHI certification requirements must identify the building(s)' modeled source (primary) energy use in terms of

¹ For projects that include mixed use space, only the energy use associated with the project's residential square footage should be included when determining the modeled energy performance of the residential portion of the project. The modeled energy performance shall incorporate the square footage used for residential occupancy, inclusive of all residential-associated space such as hallways, stairwells, elevators, trash, utility and exercise rooms, entrance lobbies, as well as shared laundry facilities exclusively available to the building's residential occupants.

kBtu/total-floor-area/year. Proposers committing to achieving certification to either passive house standard are deemed as meeting the minimum modeled source energy savings¹ requirements. Modeled energy performance must be calculated both with and without use of renewable energy generation and submitted by the proposer for comparison with other proposals. Alternative energy modeling will not be expected of proposers committing to achieving certification to either passive house standard to support their predicted energy performance. Comprehensive energy performance will be compared against other proposers based on the [Comparison Evaluation of ASHRAE 90.1 Appendix G vs. Passive House published by NYSERDA](#).

- The average Energy Rating Index (ERI) for all residential dwelling units, calculated in accordance with the 2014 edition of Standard ANSI / RESNET / ICC 301, entitled “Standard for the Calculation and Labeling of the Energy-Efficiency of Low-Rise Residential Buildings Using an Energy Rating Index” or the relevant version of this standard as updated in accordance with the ANSI/RESNET protocols. The proposer should identify the Standard followed to produce the average ERI. To meet the minimum energy performance¹ threshold of 20% source energy savings, the average ERI must, at minimum, meet the U.S. Environmental Protection Agency (EPA) ENERGY STAR® Certified Homes Program v3.1 requirement and achieve an ERI of less than 60 without inclusion of renewable energy generation. The proposers should also submit the average ERI calculated with the inclusion of on-site renewable energy generation to allow for comparison with other proposals.

III. Proposal Requirements and Format

The proposer must identify their project’s status as of the date of submission, as defined and detailed in Section II of this RFP. The proposer’s name, the RFP number, and page number should be recorded on every page of the proposal, including attachments. The proposer must submit the following:

1. Executive Summary

The proposer must submit brief description (~400 words) summarizing how the proposer’s approach will stimulate interest in and a demand for the construction of advanced clean energy and climate-resilient buildings, identifying the intended strategies to reduce energy use and carbon emissions—both on a per gross square foot and per capita basis—as well as strategies that will increase the likelihood that both the structures and their occupants are resilient to future climate change. Proposers must demonstrate the replicability of the project by addressing the project’s financial viability and how the resulting building will provide an enhanced living environment. In addition, proposals should include an abbreviated description (~100 words) for use in the presentation and promotion of selected projects.

2. Project Description

Proposers should provide a clear and concise description of the project, addressing each category detailed in the scoring tables. The quality and rigor of the proposal will impact its evaluation and scoring, in part as a reflection of the likelihood the proposer will be successful in reaching their stated goals. The description should address:

- a. Energy efficiency and building performance, including expected performance under future climate conditions.
- b. Low per capita carbon emissions reduction strategies including densification, electrification of HVAC, or other non-fossil fuel-based heating and cooling, renewable energy generation; advanced clean energy technologies. The description should address how these strategies are designed to be climate resilient for the life of the strategy/system; and how the building systems will effectively and efficiently perform under future climate conditions.
- c. Strategies to ensure the low-carbon building strategies, the building itself, and its occupants are resilient to future climate impacts; including strategies such as raising critical system components above flood levels; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended

power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The specific climate risk should be identified (e.g., more-intense heat waves), and how the proposed strategy will increase resilience by addressing that risk should be described in detail. For any buildings in the 500-year flood zone or that are otherwise at risk of current or future flooding, flood-mitigation measures should be incorporated into the design; at a minimum, critical system components should be raised above the 500-year flood elevation unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the awarded project's contracting process, at NYSERDA's sole discretion.

For guidance on managing future flood risk, refer to the draft (or the forthcoming final) [State Flood Risk Management Guidance](#). For guidance on climate change and climate resilience, refer to [the ClimAID climate projections for New York State](#), the New York [Adapting Buildings for a Changing Climate](#) website, and the [NYC Climate Resiliency Design Guidelines](#).

- d. Design features to address occupant comfort and health and safety; durability, and sustainability. Additionally, features related to the project's embodied carbon and global warming potential such as the proposed building materials, construction methods or refrigerant gases intended to be used in mechanical systems shall be described and detailed in the Data Collection Form.
- e. Architectural and urban design quality.
- f. How energy efficiency solutions and other characteristics of the project are expected to impact total costs, strategies to reduce total costs, the trade-offs and avoidance of cost increases, and how the overall costs of the project compare with similar projects (e.g., low- to moderate-income, mixed-income, market-rate, or luxury homes) in the same basic locale.
- g. How costs associated with improvements can be recouped in terms of higher rents or sales prices, the drivers for those increased values, and whether energy savings and benefits will accrue to the project's owner, each apartment's owner, or tenants.
- h. The project's viability and replicability, as demonstrated by expected ease or efficiency of construction, economic viability for the market served, unique financing solutions, or other factors that would make the project a model for future projects.
- i. Why and how the high-performance features of the building provide both enhanced financial benefits to the owner/developer as well as attributes that lead to an improved or optimal living environment (e.g., thermal comfort, indoor air and environmental qualities, improved acoustics, climate resilience).
- j. The business model intended to achieve their goals and their approach for following an integrated project delivery process.
- k. To establish the project's viability, the known or expected sources of capital should be identified and described, including whether those sources have been secured or are anticipated. If access to the necessary capital has not yet been secured, the proposer must identify the underwriting being sought and explain why the project's proposed underwriting approach is likely to be successful. Any financial support that has been secured or is expected to be secured from regulatory or other funding agencies for low- to moderate-income (LMI) occupancies must be identified.
- l. How lower operating costs related to the improvements to the project's energy and ongoing operational performance will be leveraged as part of the underwriting; or if any unique utility metering arrangements are expected to contribute to the underwriting approach; and how the proposed approach can ensure the project's ultimate success and replicability.
- m. How the project, as constructed, will meet the intent of the design, including the intent to rely on third-party progress inspections and performance testing during the construction process.
- n. Whether the commissioning of energy using systems, including the envelope, will be executed and relied on to create as-built drawings and energy model(s) to reflect changes in design, including those made during construction.

3. Collaboration with NYSERDA, Transparency, and Promotion of Projects

The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry. Additional and relevant information may include but should not be limited to information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned. In accordance with the Proprietary provisions located in Section VIII General Provisions, the proposer should indicate which aspects of this additional information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA's internal use and/or for anonymized analysis, and not publicly shared as project-specific information. The extent to which the proposer commits to sharing additional data, as well as the quality of the proposer's marketing plan intended to showcase the project's low-energy and low-carbon strategies, are considered during evaluation of the proposal.

Proposers are encouraged to identify any additional information not requested in the Attachment A-Data Collection Form that they intend to share with NYSERDA, including but not limited to the strategies that ultimately proved most effective, comparative costs or savings, how marketability was impacted, and the decision-making approach during the design process to ensure the intended and successful outcome. NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, in publications, in presentations, or other venues. In addition, applicants should outline their proposed methods or mechanisms for sharing this information through their marketing plan.

Proposers should submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and climate-resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, developer, and design team lead in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning projects as NYS Buildings of Excellence projects or a similar reference.

4. Supplementary Documents

- Attachment A-Data Collection Form, with all data required of the proposer populated in submitted form.
- Energy modeling files and report(s) summarizing energy performance-related design strategies should be submitted for all projects, if available.
- Project rendering(s), at least one and up to three.
- Architectural plans, including at least one section and elevation, with the completion of each architectural plan or detail appropriate in relation to the Project Status.
- Design details that address energy efficient design, based on Project Status.
- Site plan (encouraged).
- Design details that explain all proposed climate-resilience strategies.
- Diagram of building showing or explaining low-energy/low-carbon features, including how they are climate-resilient for their lifespan.
- Diagram(s) of quality of building characteristics and design features are encouraged.
- Scorecard(s) or checklist(s) for proposed, submitted, or achieved certifications.

Notes:

- 1) Submitted materials may be used for the presentation of winning projects in various forums.
- 2) Photographs and other images must be high-resolution image files at 24 inches wide and 300 dpi.
- 3) Updates to the initially submitted materials may be requested for projects selected by the Competition.

V. Proposal Evaluation

Prior to review by a scoring committee, proposals will be reviewed for completeness and to ensure they meet General Eligibility requirements as detailed in Section II of this RFP. Proposals that do not meet the listed requirements will not be reviewed by the scoring committee.

The General Eligibility requirements to be considered prior to review by a scoring committee include the following:

- The project is a current or future distribution customer of a participating electric utility company that pays into the System Benefits Charge.
- The project identified in the proposal reflects multifamily occupancy as the primary use. The project may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.
- The project must demonstrate it aligns with a Project Status listed in Section II of this RFP.
- The project meets the minimum source energy savings¹ requirements as detailed in Section II of this RFP.

Following the initial review, proposals to the Competition will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the Scoring Criteria table. Evaluation and scoring of each proposal will ultimately be determined in comparison with and relative to the other proposals submitted to the Competition.

SCORING CRITERIA

Category	Category Description	Points
Building(s) Energy Efficiency and Performance	Predicted building energy efficiency and performance ¹ , with points only awarded for performance improvement above the minimum threshold. Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance, and then again calculated after renewable or distributed energy generation has been included in the energy model. Both energy efficiency and comprehensive energy performance will be compared against other proposers.	15
Low Carbon and Renewable Energy	Strategies to achieve low-carbon emissions per occupant, including but not limited to densification, electrification, low-carbon fuels, on-site electric vehicle charging, transit-oriented development, and renewable energy systems, either on-site or through a durable contractual relationship between the project's owner(s) and the generation systems' owner(s).	20
Advanced Clean Energy Technologies	Proposed use of advanced clean energy technologies, including but not limited to high-performance building envelopes, advanced space conditioning and domestic hot water systems, energy recovery ventilation systems, smart building technologies or advanced controls systems, tenant metering or submetering, demand response, energy storage systems, or other innovative solutions.	15
Replicability, Transparency, and Marketing	Replicability is considered based on ease of construction, construction cost savings, lower operation and maintenance costs, economic viability for the market served, including financing structure, incorporating savings into the cost structure, integrated project delivery, or other factors that would make the project an economically viable model for future projects. Replicability must also demonstrate how the resulting building will provide an enhanced living environment. Transparency is also a consideration as demonstrated by a plan to share with NYSERDA and/or to share with the public any information beyond the minimum required by NYSERDA, including but not limited to design and construction details, granular data on energy use, financial information, and lessons learned. Marketing considerations are demonstrated by a plan to validate performance above the prescribed threshold and an advertising plan to showcase and promote the project's low-energy and low-carbon emissions strategies to the market served and/or to a broader audience.	20
Climate Change Resilience and Passive Survivability	Strategies that increase the resilience of the building and its occupants to future climate change will be considered under this category. Examples include, but are not limited to, raising critical system components above flood level; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The benefits of on-site low-carbon, renewable, and advanced clean energy strategies designed to be climate resilient for the lifespan of the strategy or system will be additionally considered under this category. For buildings at risk of current or future flooding, flood-mitigation measures require raising critical system components above the 500-year flood elevation to be considered under this category.	15
Quality of Building Characteristics and Design	Sustainability, durability; occupant comfort, health, and safety; architectural and urban design quality.	15
Bonus Category	Available to projects located in a Clean Energy Community; or in a NYS DEC potential environmental justice area; or in a jurisdiction that has committed to adopting NYStretch Energy Code 2019; or for projects committed to having a majority of low- to moderate-income (LMI) households based on household income of no more than 80% of the State or Area Median Income (whichever is greater); or for projects that meet the gut rehabilitation criteria as detailed in the Eligibility Section II.b. of this RFP.	5 points for any category, up to 15 points maximum.

Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- Diversity of building typology, geography, proposed solutions, or other critical elements.
- Geographic, demographic, economic, or population distribution or diversity.
- Contractual commitment to low- to moderate-income (LMI) occupancy, post-completion.

VI. Selected Projects, Subsequent Submissions, and Required Updates

Selected proposers are required to execute an agreement (see Attachment B – Sample Agreement) with NYSERDA and deliver completed projects that meet the requirements detailed in this solicitation. The project deliverables and associated payments will be as detailed in this solicitation and the agreement executed between the selected proposer and NYSERDA.

At any point during the design or construction process, NYSERDA must be notified and provided associated details if significant deviation from the original proposal is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original proposal, including the proposer's commitment to achieving the source energy savings in their original proposal to NYSERDA. Projects selected through this Competition must ensure that the cumulative changes during design or construction won't increase the predicted source energy use or carbon emissions in comparison to the project as originally submitted. Continuation of any project that deviates from the original proposal will be subject to NYSERDA's discretion. NYSERDA reserves the right to terminate any project should it fall below the originally committed source energy savings, regardless of whether the revised energy savings are above the 20% source energy savings minimum.

Additionally, the following submissions and updates are required:

Immediately following selection and award:

- One-page summary of major changes from initial proposal
- Schedule of construction

At receipt of building permit or at completion of design of modifications for projects already in construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Copy of valid building permit, including all aspects of design
- Updated schedule of construction

At 50% completion of construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Updated schedule of construction

Following completion of construction:

- Copy of Certificate of Occupancy (C of O) or Temporary C of O for newly constructed projects, or documentation that confirms completion of construction for projects proposing to the post-completion Project Status
- Any updates to original proposal descriptions and related documents, including Attachment A–Data Collection Form, to reflect any changes not yet documented to NYSERDA
- As-built drawings and as-built energy models
- Construction photos, suitable for presentation (minimum of 5)
- Photographs of final project, suitable for presentation (minimum of 5)

- One- to two-page discussion of any reduction in projected performance from initial submission,
- One-page summary of lessons learned

After year one and year two of building occupancy:

- Document the energy data and related information:
 - Energy use following one year and again following two years of building occupancy, reflecting all energy used or produced on site, with energy use provided upon request for up to sixty months following building occupancy
 - Whole building benchmarking through use of the EPA Portfolio Manager
 - Additional data or updates to the original proposal to the Competition, including Attachment A–Data Collection Form, to reflect the as-built condition of the project
 - Comparison between actual and predicted energy data
 - One-page narrative discussing why project did or did not achieve predicted performance
- One-page summary of lessons learned

VII. Schedule of Payments

	Milestone	% of Total Award
1	At Approval of Building Permit	15% to developer
		10% to design team lead
2	At 50% Completion of Construction	25% to developer
3	At Completion of Construction	35% to developer
		5% to design team lead
4	One and Two Years after Occupancy	10% to developer after second submission, with two years of occupancy and energy use data.

NYSERDA anticipates executing two separate agreements associated with each selected proposal, one each with the developer and the design team lead. NYSERDA reserves the right to negotiate the amount or schedule of payments for a selected project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation’s minimum submission requirements.

VIII. NYSERDA Responsibilities

NYSERDA provides funding and support to projects in accordance with the Competition, as detailed in this solicitation.

IX. GENERAL CONDITIONS

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of the proposal. Review should include whether the information is critical for evaluation and whether general, non-confidential information, would suffice 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 of 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 excluding 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](#). 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 State subcontractors and suppliers is available from the following:

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 the following:

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 on the [Office of General Services' website](#). Proposers are required to answer questions during proposal submission, make required certification under the State Finance Law, and 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 with a monetary value in excess of \$100,000, prior to entering an agreement with NYSERDA, to certify to the Department of Taxation and Finance (DTF) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the DTF to collect New York State and local sales and compensating use taxes. The DTF has created [ST-220-TD](#) to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA that such certification with the DTF has been filed. The DTF has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor and filed with NYSERDA, prior to contracting. [Guidance for contractors](#) can found on the [DTF's website](#).

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 following 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 uses 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 Attachment B–Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions generally results in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 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.

Accessibility Requirements: If awardees from this solicitation post anything on the web, or if the awardee produces a final report that NYSERDA posts 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 will 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 will 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–Data Collection Form Rd2
Attachment B–Sample Agreement Rd2



Clean Energy Standard Support Systems Request for Proposals

Request for Proposal (RFP) 4146

Proposals Due: Thursday November 14th, 2019 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals to design, build and administer a software system to support future land-based renewable procurement activities toward the achievement of New York's nation-leading clean energy goals. NYSEDA may in the future request that the successful proposer respond to a request by NYSEDA to modify the system to accommodate NYSEDA's offshore wind procurement activities.

Governor Cuomo's Green New Deal is the most aggressive climate change program in the nation and puts the state on a path to being entirely carbon-neutral across all sectors of the economy, including power generation, transportation, buildings, industry and agriculture. The Governor's program also establishes a goal to achieve a zero-carbon emissions electricity sector by 2040, faster than any state in the nation. The recently [passed Climate Leadership and Community Protection Act \(CLCPA\)](#) mandates several of the Governor's ambitious Green New Deal clean energy targets: installing nine gigawatts of offshore wind by 2035; six gigawatts of distributed solar by 2025 and three gigawatts of energy storage by 2030. The CLCPA also calls for an orderly and just transition to clean energy, creating jobs while spurring a green economy.

Orders issued by the New York Public Service Commission (PSC) under New York's [Clean Energy Standard \(CES\) proceeding](#) authorize NYSEDA, as central procurement administrator of the Renewable Energy Standard (RES) program, to offer long term contracts from eligible large-scale renewable (LSR) land-based generators for the purchase of Tier 1-eligible Renewable Energy Certificates (RECs). Pursuant to the Orders, NYSEDA issues competitive solicitations at least annually with an objective to award contracts for the Tier 1 RECs created by these resources. Under RES solicitations issued in 2017 and 2018 New York made a [\\$2.9 billion investment in 46 land based](#) renewable projects across the state over the past two years alone.

An Order under New York's [Offshore Wind proceeding](#) authorized NYSEDA to implement Phase 1 of an offshore wind procurement program, which consists of procuring offshore wind renewable energy certificates (ORECs). In 2019, Governor Cuomo also [announced](#) the winners of New York's first comprehensive offshore wind solicitation – the Empire Wind and Sunrise Wind projects – totaling nearly 1,700 megawatts. As the single largest renewable energy procurement made by any state in U.S. history, these two projects are expected to produce enough offshore wind energy to power more than one million homes and support more than 1,600 jobs with a combined economic activity of \$3.2 billion statewide, helping to jump start progress towards New York's unprecedented offshore wind goal.

Proposal Submission

Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be

named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "[NYSERDA Solicitation User Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website and located [here](#).

No communication intended to influence this procurement is permitted except by contacting the Designated Contact Marci Brunner at (518) 862-1090, ext. 3415 or res@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or NancySolicitations@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 3pm Eastern Standard Time on the proposal due date noted on page 1. 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 that for electronic submission, there are required questions that must be answered in addition to uploading all required attachments. It is recommended that proposers allot at least 60 minutes to enter and submit proposals via electronic submission. The electronic proposal system closes promptly at 3pm, files in process or attempted edits or submission after 3pm Eastern Time on the proposal due date, will not be accepted. If changes are made to this solicitation, notification will be posted on [NYSERDA's web site](#).

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I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals to design, build and administer a software system to support future land-based renewable procurement activities toward the achievement of New York's nation-leading clean energy goals. NYSERDA may in the future request that the successful proposer respond to a request by NYSERDA to modify the system to accommodate additional competitive clean energy activities, including but not limited to NYSERDA's offshore wind procurement activities.

Orders issued by the New York Public Service Commission (PSC) under New York's [Clean Energy Standard proceeding](#) authorize NYSERDA, as central procurement administrator of the Renewable Energy Standard (RES) program, to offer long term contracts from eligible large-scale renewable (LSR) land-based generators for the purchase of Tier 1-eligible renewable energy certificates (RECs). Pursuant to the Orders, NYSERDA issues competitive solicitations at least annually with an objective to award contracts for the Tier 1 RECs created by these resources.

The [Offshore Wind Standard Order](#) authorized NYSERDA to implement Phase 1 of an offshore wind procurement program, which consists of procuring Offshore Wind Renewable Energy Certificates (ORECs) associated with approximately 800 megawatts of offshore wind in the form of long-term contracts. NYSERDA's initial offshore wind solicitation resulted in the award of almost 1,700 megawatts of offshore wind, with further procurements expected after additional authorization from the PSC is issued.

The objective of this RFP is to award a contract to an entity with proven capabilities for a solution to address, initially, NYSERDA's ongoing land-based activities in a manner that provides a cost effective, secure and accessible solution with common web-based data and process management platforms to multiple stakeholders, including program administration staff, Proposers/Sellers, external contractors and external independent evaluators. NYSERDA may modify features and/or add additional requirements to accommodate changes to future procurements, including but not limited to offshore wind, which would need to be supported by the system selected through this RFP. NYSERDA anticipates that such request would be in written form and would require a separate statement of work and budget.

Additional information about NYSERDA's renewable energy solicitations can be found on NYSERDA's websites:

[Clean Energy Standard](#)

[Offshore Wind](#)

II. Program Requirements

A. Initial Scope of Services to be Provided

NYSERDA seeks to procure a procurement management platform that will enable the selection and award of LSR projects, using a software system or package that can be accessed by NYSERDA and external stakeholders including participating renewable energy project developers and other reviewers such as independent evaluators and specialist reviewers. This solicitation seeks a system or package that can:

Overall Management

- Provide comprehensive management of the proposals process serving as a permanent record of each solicitation for NYSERDA for up to 200 potential proposals per solicitation.¹ The solution must accommodate NYSERDA's multi-step intake process and evaluation methodology of both price and multiple non-price factors. Procurement information needs to be date-stamped when posted, and all RFP documents and data should be available to proposers at any time. Proposers must have access to the same information at the same time, and the system must maintain comprehensive records of all website activity.
- Support evolving requirements as they adapt to PSC Orders and Implementation Plans and accommodate other changes to the program initiated by NYSERDA or the New York State Public Service Commission², including any programmatic changes resulting from the open comment issued in a response to a petition filed by the American Wind Energy Association and the Alliance for Clean Energy New York regarding an indexed renewable energy credit procurement mechanism.³
- Accommodate up to 200 proposers working in the system and submitting at the same time, around a specific deadline.
- Include the ability to launch multiple solicitations concurrently in a single calendar year.
- Include the ability to support NYSERDA's administration of a proposal as it moves through NYSERDA's qualification, selection and approval processes.
- Require minimal customization beyond standard software functionality.
- Provide NYSERDA with the ability to re-use applicable pieces of previous solicitation designs & workflow processes, rather than rebuild each solicitation.
- Collect both required and alternate proposals including variations on project technical configuration (e.g. transmission, interconnection points), including the ability for proposers to clone an original to create an editable alternate proposal.
- Capture different or multiple financial structures, for example, capture and calculate Fixed and Index pricing in tandem with NYSERDA approved models.

Communication/Record Keeping

- Provide complete and comprehensive record of all solicitation activities and communications associated with the system.
 - Provide a date-stamped record of communication between NYSERDA and Applicants throughout the RFP process.
 - Provide a date-stamped record of all data entered and documents uploaded by proposers.
 - Integrate communication between project contacts and NYSERDA staff, including recording project information, project specific-communications, and financial transactions.
- Allow proposers to submit questions anonymously and allow NYSERDA to publicly post responses and announce information to the general public and proposers.

Security

- Provide a secure and confidential method for information exchange between NYSERDA and proposers, ensuring complete security for confidential documents and data to be uploaded by proposers and anonymity for proposers to the public and other proposers.
- Serve as a record of communications between NYSERDA and proposers.
- Provide a secure platform for proposers to directly upload documents of up to 100 MB, bypassing the need to transmit data over unsecured email services or other shared databases.
- Restrict the access of each Proposer to their own proposal(s) and materials.

¹ The 2017 and 2018 land-based solicitations each received approximately 90 applications.

² Index REC proceeding: [Proceeding Related to Index Pricing](#)

³ <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

- Provide NYSERDA, external consultants, DPS and the Technical Evaluation Panel/Scoring Committee members access to all proposals or proposals eligible for evaluation.

Features

- Maximize the proposers' use of standard data inputs and field types to reduce input error and allow NYSERDA staff to focus on the review and analysis of submissions.
- Organize completed submissions and make them available in a timely manner for NYSERDA staff review, analysis, extraction and reporting.
- As part of the multi-step application process, allow proposers to upload, securely and efficiently, supplemental documents to the existing record in an organized manner consistent with the solicitation steps.
- Date stamp, version, and easily organize documents/communications by category or other method as specified by NYSERDA.
- Accommodate calculations within the Application or Bid Proposal based on data inputs from proposers (for example, Bid Quantity calculations based on Nameplate Capacity, Net Capacity Factors, etc).

Customer Service

- Inform and assist users on technical issues, procedures and changes to the system or work processes and implement, operate, and maintains such change and improvements as approved by NYSERDA.
- Provide training materials and step-by-step guides for internal and external users.

Reporting

- Provide robust, accessible, and accurate reporting capabilities with the ability to track changes to data values and uploaded documents submitted by external users.
- Standard data inputs must be available to NYSERDA staff in order to create reports/database output(s) that easily feed NYSERDA's Award Models (which are used for evaluation purposes) and other evaluation tools. These outputs must be readily customizable to support evaluation models or evaluation needs.
- Once a proposal is awarded, ability to populate a standard pro-forma agreement with individual project values taken from Bid Proposal data fields and internal data fields editable by NYSERDA only. Ability for LSR Staff to securely and confidentially distribute these agreements to specific awardees to start the contracting process.
- Produce standardized and ad-hoc reports capturing Program analytics, including processing times by Program Implementation Contractors, performance of Participating Developers, budget tracking, and metrics regarding projects in progress. The ideal system will allow Program staff to easily retrieve, manipulate, and analyze data.
- In addition to tracking program data within the software, NYSERDA also requires data sharing via Application Program Interface (API) or other mechanism with other Program systems, including but not limited to:
 - [New York State Generation Attribute Tracking System](#) (NYGATS)
 - NYSERDA's Salesforce platform
 - NYSERDA's Peoplesoft (NEIS)
 - NYSERDA's SQL Server based data warehouse

B. Project Types

The following reflect current RES program descriptions (as of October 2019) and eligibility thresholds for participation and are subject to modification as New York's renewable energy policies and programs evolve under the CLCPA and are provided as an indicative basis of program functionality.

To participate in a RES procurement, each Bid Facility must possess a determination from NYSERDA that it is a Tier 1 RES eligible resource technology type qualifying under Appendix A of the Order Adopting the Clean Energy Standard. Pursuant to the Order, an eligible Bid Facility must also: (1) be located within the New York Control Area or in an adjacent control area and supply energy into New York State, in accordance with the RES Delivery Requirements in this RFP, and (2) have first commenced Commercial Operation on January 1, 2015.

The proposal must reflect pricing to support a potential programmatic change resulting from the open comment period regarding a petition filed by the American Wind Energy Association and the Alliance for Clean Energy New York regarding an indexed renewable energy credit procurement mechanism.⁴

It is expected that new requirements will be introduced over time to support initiatives. The software solution must be able to support new processes and workflow steps, track projects by initiative and multiple source types in a flexible and timely manner, with minimal disruptions to program processing.

C. Technical Requirements

- Software must support a responsive, online browser-based application form that can be started, returned to after saving, and submitted with a computer or tablet.
- Systems should have the capability to exchange data between their proposed Software Platform and the platforms identified in the RFP already in use by NYSERDA.
- The program management software system must meet NYS Information Security Policy NYS-P03-002. The NYS Information Security policy details are available [here](#).
- The program management software system must meet NYS-PO8-005 Accessibility of Web-Based Information and Applications Compliance Reporting. Any network-based information and applications applications development, or programming delivered to or by the State pursuant to this contract or procurement, will comply with Section 508 of the Rehabilitation Act of 1973, as amended, and be consistent with New York State Enterprise IT Policy NYS-P08-005, Accessibility of Information Communication Technology, as such policy may be amended, modified or superseded (the “Accessibility Policy”).⁵ The Accessibility Policy requires that State Entity Information Communication Technology shall be accessible to persons with disabilities as determined by accessibility compliance testing. Such accessibility compliance testing will be conducted by NYSERDA and any report on the results of such testing must be satisfactory to NYSERDA.
- The program management software system must meet NYS policy NYS-S15-002 Enterprise Vulnerability Scanning, details are available [here](#).

D. NYSERDA’s Roles and Responsibilities

The major responsibilities of NYSERDA are to:

- Identify a NYSERDA primary point of contact to provide details and support as needed to the selected software vendor.
- Provide detailed instructions about workflow processes and reporting requirements that need to be supported by the software.
- Provide requirements for interfacing with other NYSERDA systems.
- Provide review and testing of deliverables in a timely manner.

NYSERDA reserves the right to:

- Incorporate programmatic changes as needed, thus modifying or adding features to the selected system.
- Add other project types and processes within NYSERDA’s large-scale renewable portfolio to be supported by the selected system, should the need arise due to programmatic changes. Such changes would be the subject of a contract modification.
- Request modifications or enhancements to the system to meet NYSERDA’s needs and negotiate the budget for features out of scope should the need arise. The evolving nature of the large-scale renewable

⁴ <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

⁵ NYS Accessibility Requirement details are available at: https://its.ny.gov/sites/default/files/documents/nys-p08-005_accessibility_of_information_communication_technology_0.pdf

procurements is the primary driver behind the need for a flexible system that minimizes the need for heavy customization.

E. Minimum Qualifications

Proposals must demonstrate that the proposed software solution can meet the following minimum qualifications:

- Hosted on a secure, web-based platform with role-based access permissions that can be customized for various Program Participants.
- Uses efficient, flexible processes to control and administer multiple levels of system access, including a method for defining roles-based authorization (permissions) for all system components.
- Built around commercial, off-the-shelf functionality that meets all, or most of the requirements explained in this RFP.
- Capable of storing a high volume of large documents and providing access to all submitted data and files submitted by program participants.
- Capable of transferring all data documents to NYSERDA upon contract completion.
- Have flexible and easy-to-use data analysis capabilities and flexible architecture capable of handling additional data fields and functionality that might be added later due to statutory or regulatory standards and/or market requirements.
- Ability to share data across multiple Program systems
- Create a permanent user acceptance testing (UAT) environment to validate implementation or system changes and to provide an environment to resolve data issues, including changes to data field types and data values including wireframes which are critical for NYSERDA staff to visualize and ensure accuracy and functionality. (See Attachment B for reference examples).

Proposers must meet the following minimum qualifications:

- Demonstrated experience working with organizations or on platforms supporting energy and/or REC procuring entities, preferably similar to NYSERDA (e.g. central energy procurement agencies, utilities, purchasers of renewable energy and/or renewable energy certificates/credits/environmental attributes) or programs similar to those run by NYSERDA's Large-Scale Renewable program.
- Ability to collaborate with NYSERDA to drive continuous process improvements and cost reductions over time.
- Ability to customize the customer-facing interface with NYSERDA marketing materials (e.g. logo, color palette).
- Employ staff or partner with subcontractors who hold expertise in and an understanding of the large-scale renewable marketplace.
- Experience building, deploying and maintaining a software platform that successfully supports/supported an Energy, Renewable Energy Credit/Certificate, or bundled (Energy + Renewable Energy Credit) procurement/solicitation from creation through award notification (provide at least three references).

F. Contract Term

The awarded contract will be issued for an initial term of five (5) years, with an opportunity for extensions of up to five (5) additional years based on mutual agreement. The Contractor, if not renewed to continue administering and operating beyond the initial five (5) year term or if the contract is terminated, shall provide an approach and method for transferring operation and maintenance to NYSERDA or another Contractor. Any fees or payments to Contractor or to any third party for single or recurring licenses necessary to the operation shall be identified.

III. Proposal Requirements

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

- Introduction and General Information
- Description of Product and System Capabilities including implementation plan
- Data exchange capabilities, options and plan for communication protocols between systems
- Statement of Work (See Exhibit A of Attachment C – Sample Agreement)
- Management Plan/Schedule
- Project Personnel
- Budget/Rates (See Attachment A)
- Examples of Similar Work including, but not limited to, links to demonstration videos of products

Introduction and General Information (Up to 3 pages plus financial reports)

Proposers must include the following information in their response:

- Firm or organization name, address, telephone and fax number, e-mail address, website URL (if applicable), and primary contact person
- Year firm or organization was established
- Name and address of firm or organization's parent company (if applicable)

Proposer must include any information related to license agreements and terms of use for their software.

Description of Product and System Capabilities (Up to 10 pages)

Proposers should provide detailed information about their product(s) and services about how it meets each of the requirements listed in this RFP. Proposers should clearly articulate their execution strategy, including processes to write system specifications based on NYSERDA's needs, software configuration and/or software development processes, training/delivery of the product, and ongoing support to NYSERDA.

Proposers should clearly articulate how their product meets each of NYSERDA's needs and articulate which of NYSERDA's specified needs, if any, can be met with the basic "off-the-shelf" software offerings and which needs would require additional configuration and development. NYSERDA encourages proposers to describe other features of their software that are benefits beyond the minimum requirements of this RFP. The proposers should clearly articulate if these additional features are part of a core package or if the features are optional, whether they have off-the-shelf capability or require configuration or development, and what, if any, additional fees are applicable.

Data exchange capabilities, options, and plan between systems (Up to 2 pages)

Proposers should detail capabilities and options to exchange data between their proposed Software Platform and the platforms identified in the RFP already in use by NYSERDA.

Statement of Work (Up to 6 pages)

Proposers should clearly articulate their execution strategy consistent with the requested tasks and deliverables outlined. Details around the approach, methodology, and rationale for the proposed execution strategy should be included in a similar format as presented in Exhibit A of Attachment C.

Management Plan/Schedule (Up to 2 pages)

Proposers should describe their approach to software set-up, configuration, or development. Proposals must include an estimated timeline (in weeks) of delivery of the initial product for NYSERDA's needs, based on the proper's understanding of the requirements of this RFP.

Project Personnel (Up to 4 pages)

The proposer should describe the experience, qualifications (skills and abilities), and proposed responsibilities of each of the key persons to be utilized in the execution of the statement of work, including subcontractor personnel. An organization chart showing the relationships among all personnel should also be included. State the individual and combined expertise that would enable successful execution of the Statement of Work. The proposer should highlight the abilities of the primary contact, who will be responsible for communications with NYSERDA, development of work specifications, and oversight of product delivery. This description of the primary contact's expertise should provide assurance of successful execution of the Statement of Work.

Rates (Attachment A and up to 1 page of written details)

The proposers selected under this solicitation will be awarded a contract for an initial five-year term, with the potential for a single or multiple contract extension for up to a total of five additional years based on performance and NYSERDA's needs (10 year). Please provide rates for services to be provided for a five-year contract period. Any anticipated year over year price changes for the duration of the agreement with NYSERDA must be identified. Proposers should clearly articulate the cost structure of their products and services, such as: initial configuration or development work; project management fees, annual or monthly service fees, annual or monthly licensing fees, ongoing maintenance/development fees. As NYSERDA is anticipated to run multiple solicitations, some concurrently, include this consideration in the fee structure.

Proposers should complete the Attachment A - Budget form to clearly indicate hourly salary rate range for each title classification proposed under the agreement with NYSERDA. Proposers are also offered the opportunity to convey an alternative staffing / pricing model based upon their understanding of this RFP. Preference will be given to proposers that can demonstrate the lowest "all in" cost to NYSERDA while providing the highest quality product.

Examples of Similar Work (Up to 4 pages)

Proposers should describe their experience supporting similar projects or programs with the proposed software product. For each example, an abbreviated scope of product/services and budget must be included to demonstrate the similarity, execution strategy, and cost-effectiveness of previous work. Proposers should indicate personnel involved and their level of responsibility for each example provided.

Proposers can include website links, videos and/or pictures that help to demonstrate their product. At least three (3) references that address the proposer's experience and performance in providing products and services comparable to those being requested in this RFP should also be included. Please include client contact information for each reference.

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

IV. Proposal Evaluation

All proposals must be received by 3pm Eastern Standard Time on November 14th, 2019 as noted on the first page of this solicitation. Late, faxed, or emailed proposals will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note for electronic submission, there are required questions that you must answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 3pm, files in process or attempted edits or submission after 3pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on

NYSERDA's [website](#). All proposals submitted as part of the solicitation process become the property of NYSEERDA.

Respondents must address all product needs described in the RFP, which will serve as a basis for evaluation.

For detailed instructions on how to submit a proposal, click the link "[NYSEERDA Solicitation User Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSEERDA's [website](#).

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSEERDA's discretion, proposers may be requested to interview or provide a demonstration with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. NYSEERDA may request demonstrations with any Proposer, to be scheduled at a mutually convenient time. Proposers will be notified if they are requested to attend an interview or provide a demonstration

Proposals that meet RFP requirements will be evaluated based **only** on the information submitted. Only proposals for products that meet the requirements in the RFP will be evaluated. NYSEERDA reserves the right to request clarification on the information submitted within the proposals. A Scoring Committee will review and assign scores based on the criteria detailed below. Final rankings and contract award(s) will be based on the following criteria:

- 1. System Capabilities:** Does the product meet the product requirements stated in this RFP? Does the Proposer demonstrate flexibility in the product to respond to NYSEERDA's evolving needs? Is the security protocol acceptable? Are the analytical/reporting systems clearly explained and do they meet NYSEERDA's needs?
- 2. Relevant Experience:** Did the Proposer adequately demonstrate experience working with similar energy origination/procurement organizations or programs? How comparable were the examples to the services requested in this RFP? Do the references provided align with the proposer's stated skills and experience?
- 3. Execution:** Is the proposed execution of the Statement of Work thorough and consistent with the RFP's stated objectives? Is it evident that the Proposer demonstrates appropriate understanding and expertise to fulfill the requested tasks? Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor the tasks assigned? Has the software configuration or development approach been clearly defined? Is a schedule for delivery clearly defined? Can the product be delivered in a timely manner? Has the Proposer demonstrated the ability to implement continuous system improvements to improve service and drive down costs over time?
- 4. Cost:** How cost effective is the proposal? Is the Budget example responsive, comprehensive, and clear? Does the proposal clearly break out the various cost elements, such as configuration fees, development fees, monthly license or service fees, ongoing maintenance, etc.? Are billing rates reasonable and appropriate? Are a sufficient number of staff with appropriate skills assigned to the tasks?
- 5. Responsiveness:** Has the Proposer demonstrated a clear understanding of the objectives, scope of services, and requirements of the RFP? Does the proposal exhibit responsiveness, experience, and ability to provide the product and services cost-effectively and in a timely manner? Does the Proposer demonstrate operational excellence, industry experience and expertise, and adaptability?
- 6. Staffing:** Is the staffing plan and schedule clear and well-defined? Do key personnel have sufficient qualifications as it relates to computer skills, data management, and customer service? Was an organizational chart included?

The award selection will be comprised of a multi-step process including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the final selection decision. NYSERDA may consider the following program policy factors in making award selection decisions:

- The degree to which the proposed product meets NYSERDA's needs, as explained in the RFP, with minimal additional development work needed.
- The degree to which there are technical, market or organizational risks associated with the project.
- Prior experience working with the proposer and/or software solution.

Contract negotiations may include the proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services, and to assure access to specific expertise.

V. General Conditions

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

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York

State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Attachment C - 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 [here](#). 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](#) 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](#). The Department has developed guidance for contractors which is available [here](#).

Contract Award - NYSERDA anticipates making one or more awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Attachment C - Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately (4) weeks from the (proposal due date) whether your (proposal) has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or

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

VI. Attachments

Attachment A – Budget

Attachment B – Wire Frames for Reference Only for [RESRFP19-1](#)

Attachment C – NYSERDA Sample Agreement (includes Statement of Work as Exhibit A)



REV Campus Challenge – Energy to Lead Competition 2020
Request for Proposal (RFP) 4188
\$5,000,000 Available

Proposals Due: February 20, 2020 by 3:00 PM Eastern Standard Time*

Informational webinars will be held.

For schedule and registration visit www.nyserda.ny.gov/rev-campus-challenge

NYSDERDA reserves the right to extend and/or add funding to the Solicitation.

In October 2015, Governor Cuomo announced the **Energy to Lead Competition** to challenge colleges and universities to develop innovative plans for clean energy projects. The competition is part of the Reforming the Energy Vision (REV) Campus Challenge which promotes clean energy efforts by recognizing and supporting colleges and universities in New York State (NYS) that implement clean energy projects and principles on campus, in the classroom, and in surrounding communities. Additional information about Rounds 1 and 2 of the Energy to Lead Competition can be viewed here: <https://www.nyserda.ny.gov/All-Programs/Programs/REV-Campus-Challenge/Program-Opportunities/Past-Opportunities>.

The REV Campus Challenge is issuing a third round of the Energy to Lead Competition to challenge higher education institutions across NYS to develop and implement impactful clean energy projects that significantly reduce energy use resulting in decarbonization on their campuses and local communities.

NYSDERDA will award up to \$5 million, ranging from \$500,000 and \$1.5 million per award. Winning proposals will highlight cost-effective, **deep and impactful energy savings projects**.

In January 2019, Consolidated Edison (ConEd) announced a moratorium on new gas connections in most municipalities in Westchester County, effective March 15, 2019. In response to the moratorium, New York State is implementing a \$250 million Clean Energy Action Plan to provide options for affected Westchester businesses and residents to lower energy costs, promote economic development, and provide additional resources to raise awareness and support implementation of energy efficiency projects and clean heating and cooling alternatives. Additional information regarding the ConEd Westchester moratorium and the area impacted by the moratorium can be found here: <https://www.coned.com/en/save-money/convert-to-natural-gas/westchester-natural-gas-moratorium>.

To support the Clean Energy Action Plan and further campus decarbonization, projects within any declared gas moratorium or gas constrained area and/or any projects that **reduce dependence on gas supplies** will be awarded additional points during proposal evaluation. Such projects may include natural gas efficiency and conservation tactics, implementation of clean heating and cooling, primary fuel switching to reduce carbon emissions, investigation of other non-pipeline alternatives, etc.

NYSDERDA will hold **informational webinars** to answer questions about this RFP. The webinar schedule and links to register are available at <http://www.nyserda.ny.gov/rev-campus-challenge>. A Frequently Asked Questions document will be added to this website following the webinar.

Proposal Submission: Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip).

Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (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>).

Questions: No communication intended to influence this procurement is permitted except by contacting Lindsay Holle at (518) 862-1090, ext. 3051 or by e-mail REVCampusChallenge@nyserda.ny.gov for technical questions. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or VeniceSolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 p.m. 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 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

The Energy to Lead Competition is administered through the REV Campus Challenge, which is part of Governor Cuomo's REV strategy to build a clean, resilient, and affordable energy system for all New Yorkers. The REV Campus Challenge promotes clean energy efforts by recognizing and supporting colleges and universities in NYS that implement clean energy projects and principles on campus, in the classroom, and in surrounding communities. Previous Energy to Lead Competitions awarded a total of approximately \$6 million to six (6) higher education institutions in NYS. Additional information about past Energy to Lead Competitions, including the winning proposers, can be viewed here: <https://www.nyserdera.ny.gov/All-Programs/Programs/REV-Campus-Challenge/Program-Opportunities/Past-Opportunities/Energy-to-Lead-Competition>.

The REV Campus Challenge is administering the 2020 Energy to Lead Competition, which will span the 2019-2020 academic year.

Evaluation criteria for the 2020 Energy to Lead Competition differ from previous Competitions. Separate evaluation criteria and program requirements are laid out throughout this solicitation for the 2020 Competition. Proposers should carefully review this solicitation in its entirety, with special emphasis on Section IV: Proposal Evaluation, before submitting their proposal.

NYSERDA will award up to \$5 million, ranging from \$500,000 and \$1.5 million per award. Winning proposals will highlight cost-effective, **deep and impactful energy savings projects** leading to decarbonization. Proposals will also integrate student engagement and share best practices with other campuses to encourage replication. Projects within gas moratorium areas and/or projects that **reduce dependence on natural gas supplies** will be awarded additional points during proposal evaluation.

Applicants are encouraged to consider a variety of approaches to planning, funding, and implementing energy projects while maximizing quantifiable energy and greenhouse gas reductions on campus. ***For the purposes of this solicitation, clean energy is inclusive of energy efficiency, energy conservation, and renewable energy.*** Projects involving natural gas reduction may include natural gas efficiency and conservation tactics, implementation of clean heating and cooling, primary fuel switching to reduce carbon emissions, investigation of other non-pipeline alternatives, etc.

II. Program Requirements

The following requirements must be met for a proposal to be considered for funding.

- **Colleges and universities must be REV Campus Challenge members to apply.**
 - All two- and four-year higher education institutions in New York State can become REV Campus Challenge members. There are no fees, goals, or heavy administrative requirements associated with membership. Visit www.nyserdera.ny.gov/rev-campus-challenge to become a member.

Project Considerations

The Energy to Lead Competition seeks projects that result in substantial and deep energy savings leading to decarbonization. Energy savings may be a product of the implementation of energy efficiency measures, energy conservation methods, or renewable energy systems, or a combination of one or more of these activities. Projects should incorporate student involvement and/or on-campus engagement to the extent possible. Projects should demonstrate clear potential for replicability on campus and/or at other campuses.

Other Project Considerations

- Projects may be targeted (e.g. scope focuses on a single or limited number of buildings, systems, or pain points) or comprehensive (e.g. scope includes entire campus, all dormitories, or other

- holistic view) in nature.
- The project must include an investment on a NYS campus, but the project and its energy/GHG impacts do not necessarily need to be limited to the campus.
- Projects must utilize replicable and commercially viable products and solutions that have already been accepted by the market. Projects should **NOT** fund technology development and/or pilot demonstrations of unproven technologies.
- Projects must be ready to commence within the calendar year of award notification and in accordance with the implementation schedule provided by the proposer as part of Attachment A. If awarded funding, Proposers should expect at least four (4) months between proposal submission and contract execution.
- Projects must be performed on systems with a remaining useful life of **at least six (6) years**.
- **Ineligible projects** include:
 - Projects containing conversion to natural gas
 - Full system replacements to new fossil fuel-based systems
 - Measures with available investor owned utility incentives
 - Projects that have been installed prior to Program launch

Additional points will be awarded to proposals that:

- Are submitted by a campus with a location in an area affected by a natural gas moratorium prior to this solicitation due date;
- Have a direct impact on reducing natural gas consumption that results in reduction of GHG emissions within an area affected by a natural gas moratorium;
- Substantially reduce gas consumption in existing buildings (e.g. by reducing thermal load and/or demand, improving equipment efficiency), or propose alternatives to the use of gas in new or existing buildings (e.g. electrification of gas heating loads, substitution of gas with clean heating and cooling);
- Eliminate gas use from targeted buildings entirely (no gas backup system); and/or
- Include planning activities that result in an actionable plan to reduce long-term campus dependence on gas in addition to implementing measures that reduce gas consumption.

See Section IV: Proposal Evaluation for more information.

Optional Feedback Sessions

Proposing institutions are invited, but not required, to present preliminary proposal concepts to NYSERDA staff. During the session, NYSERDA panelists will provide constructive feedback and raise critical questions to help proposers strengthen and increase the impact of their proposals. Feedback sessions will be held in-person at the State of New York Sustainability Conference in Rochester. Conference registration is not required to participate. Feedback sessions are open to all REV Campus Challenge members interested in submitting a proposal. Feedback session presentations and panelist feedback will NOT be considered by NYSERDA in final proposal evaluation. NYSERDA encourages inclusion of a student(s) in feedback session presentations.

For those interested, but unable to attend, NYSERDA will also host virtual group feedback sessions.

Registration information for in-person and virtual feedback sessions will be made available on the REV Campus Challenge website: www.nyserda.ny.gov/rev-campus-challenge

Optional Collaboration

Proposers may include external entities, including other colleges and universities, community organizations, government entities, third party consultants, service providers, and/or private entities as part of their Project Team. Letters of Support from any external Team Members are required as part of Attachment A.

Cost-sharing

Cost-sharing is **NOT** required but may be viewed favorably in proposal evaluation as it improves project

economics and demonstrates enhanced institutional commitment to the success of the project.

If applicable, show the cost-sharing plan in the following format (expand the table as needed). Letters of Support for any third parties providing cost-sharing must be included as part of Attachment A.

	Cash*	In-Kind Contribution*	Total
Lead Institution	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

*Cost-sharing can be from the Proposer, other team members, and/or other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials are considered 'cash' contributions. Unpaid labor, indirect labor, and/or other general overhead are considered 'in-kind' contributions. NYSERDA will not pay for efforts which have already be undertaken. The proposer cannot claim as cost-share any expenses that have already been incurred.

Other Considerations

Work associated with the development and submittal of this proposal may **NOT** be included in the proposal budget. Any portion of the project commenced prior to the establishment of a fully executed contract with NYSERDA is **NOT** eligible for reimbursement.

Proposals that meet the Program and Proposal Requirements (Sections II and III) will be evaluated based on the degree to which the project meets the criteria outlined in Section IV: Proposal Evaluation.

Awardees will be expected to share project updates, best practices and lessons learned publicly (e.g. through participation in awards ceremonies and/or at least one (1) conference, development of case studies and other collateral, etc.) and are required to list such opportunities as part of Attachment A.

III. Proposal Requirements

Proposals should effectively and concisely present the information needed to fully address the evaluation criteria (see Section IV: Proposal Evaluation). **Proposals MUST follow the proposal templates found in Attachments A and B.** Late proposals or proposals that grossly exceed word limits or fail to meet all requirements and format guidelines may be rejected as non-responsive. Each page of the proposal should state the name of the proposing institution in the header and the page number in the footer.

Project Statement of Work

Complete the Project Statement of Work by following the instructions in Attachment A. This includes also completing Attachment B: Proposal Milestone Budget.

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

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

IV. Proposal Evaluation

Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the **Evaluation Criteria, listed below *in order of importance***. After proposals are reviewed, NYSERDA will issue a letter to each Proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA.

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

- Is the proposing institution a REV Campus Challenge member?
 - See Section II: Program Requirements for information on joining the REV Campus Challenge.
- Will the project result in direct and quantifiable energy savings in NYS?

Evaluation Criteria *in order of importance*

<p>Project Impact and Benefits</p>	<ul style="list-style-type: none"> • Proposal provides clear energy reduction estimates in the required format (see Attachment A). • Supplied methodology is clear, well-defined, and reputable, supporting reasonability of estimates and likelihood of realization. • If realized, energy reductions are significant.
<p>Project Replicability</p>	<ul style="list-style-type: none"> • Project has the potential for wide-scale replication. • Proposal identifies performance indicators (project metrics, quantitative goals, and/or milestones) indicative of project success. • Proposal includes a clear, robust plan for measuring and tracking project performance, and adjusting course, to ensure project success (see Attachment A – Impact Tracking Strategy). • Proposal includes a thoughtful list of opportunities for sharing best practices and lessons learned.
<p>Project Statement of Work (SOW)</p>	<ul style="list-style-type: none"> • SOW has well-defined Tasks and Deliverables in the required format (see Attachment A). • Tasks cover all activities needed to complete the proposed project, including tracking and reporting of performance indicators, student engagement activities, and sharing of best practices and lessons learned. • Deliverables are commensurate with Task.
<p>Fossil Fuel Reduction and Project Decarbonization</p>	<ul style="list-style-type: none"> • Project is located in an area affected by a natural gas moratorium prior to this solicitation due date. • Project has a direct impact on reducing natural gas consumption within an area affected by a natural gas moratorium. • Project substantially reduces gas consumption in existing buildings (e.g. by reducing thermal load and/or demand, improving equipment efficiency), or proposes alternatives to the use of gas in new or existing buildings (e.g. electrification of gas heating loads, substitution of gas with clean heating and cooling). • Project eliminates gas use from targeted buildings entirely (no gas backup system). • Project includes planning activities that result in an actionable plan to reduce long-term campus dependence on gas in addition to implementing measures that reduce gas consumption.

<p>Clarity of Budget</p>	<ul style="list-style-type: none"> • Funding requested is between \$500,000 and \$1,500,000. • Tasks and Deliverables in budget match those established in the Statement of Work (Attachment A). Budget is broken down by Task, with each Deliverable having an assigned cost. • Ratio of requested funding to total energy and GHG emissions reductions is competitive. • If cost-sharing is included, it is clearly defined and documented in the format provided in Section II: Program Requirements.
<p>Project Team and Stakeholder Commitment</p>	<ul style="list-style-type: none"> • Project Team has the relevant and necessary background and experience to ensure project success. • Letters of Support are provided from critical internal and external stakeholders (see Attachment A). • Proposal includes a role for student participation and/or engagement.

Program Policy Factors

A Scoring Committee will review and rank all proposals. NYSERDA will review this evaluation and ranking and may consider the following program policy factors in making award selections.

In this Energy to Lead Competition year and previous years, the degree to which:

- There is diversity in geographic location of awardees
- There is diversity in electric utility of awardees
- There is diversity of project types, technologies, approaches, methods, and institutions
- The degree to which the projects, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.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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Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSEDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 10-12 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

Limitation - This solicitation does not commit 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.

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the

contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

VI. Attachments

Attachment A – Statement of Work
Attachment B – Proposal Milestone Budget
Attachment C – Sample Agreement





ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

**Operations and Maintenance Support Services for the
State Licensed Disposal Area and the
Western New York Nuclear Services Center**
“Request for Proposal (RFP 4254)”

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

Proposals Due: April 13, 2020 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority seeks proposals for providing the West Valley Site Management Program (WVSMP) with a broad range of operation and maintenance services at the Western New York Nuclear Service Center (WNYNSC) including expertise, equipment, and materials needed to conduct operations, maintenance, and emergency response support services at the State-Licensed Disposal Area (SDA), and on the undeveloped areas of the WNYNSC.

The success of this contract will be dependent on securing the services of a highly qualified, professional general maintenance company with experience in performing a variety of operational and maintenance tasks in a highly regulated environment to support activities at the SDA as well as to maintain the WNYNSC’s Retained Premises and facilities.

The contract will be for one year with four annual options to renew. The contract is expected to start on or about July 22, 2020.

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 Christopher Andrzejewski, P.E. (primary and technical contact) at (716) 942-9600, ext.4319, or by e-mail at ChrisRFP4254@nyserda.ny.gov or Andrea Mellon (secondary contact) at (716) 942-9600, ext.4054 or by e-mail AndreaRFP4254@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or Venicesolicitations@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 nonresponsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or e-mailed 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 3 p.m. Eastern Time; files in process or attempted edits or submission after 3 p.m. 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 New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for Operations and Maintenance Support Services for the West Valley Site Management Program (WVSMP) at their New York State-Licensed Disposal Area and the Western New York Nuclear Service Center (WNYNSC) near West Valley, New York.

The success of this task will be dependent on securing the services of a highly qualified, professional general maintenance company with experience in performing a variety of maintenance and operational tasks in a highly regulated environment. NYSERDA will convene a Scoring Committee, with representation by NYSERDA and outside experts in general maintenance to assist in the selection of this contractor.

II. Program Requirements

A. Services Requested

The attached Statement of Work (Attachment A) is being circulated to solicit bids from firms with general maintenance and construction expertise interested in performing the tasks defined by this RFP. Work under this contract is expected to begin July 22, 2020 and continue through July 22, 2025.

B. Range/Scope of Services to be Provided

The specifics of the operations and maintenance services required under this task order are described in the attached Scope of Work. The activities covered under this Scope of Services, shall be performed in accordance with Attachment B, *Safety, Training, and Handling of Chemicals and Waste* and all other applicable plans and procedures listed in Attachment C, *Applicable Operations and Maintenance Plans and Procedures*. Attachment C includes the following:

- Geomembrane Cover System Inspection Procedure (OPS007)
- Vegetation Control Procedure (OPS009)
- WNYNSC Perimeter Fence Maintenance Procedure and Deer Hunting Procedure (OPS010)
- Snow Removal Procedure (OPS011)
- SDA Electrical System Inspection and Maintenance Procedure (OPS013)

Other Services that may be required include:

- On-Demand Maintenance and Support Services
- Emergency Response Services
- Large Construction Projects

The contractor shall place and manage subcontracts as needed to complete the activities included in each task order. The contractor will provide Hazardous Waste Operations (HAZWOPER) qualified workers (including subcontractors) as necessary to perform work. All other health and safety training required by the WVSMP (Radiation Worker I or II, General Employee Training, NYSERDA Site Specific) will be provided, but must be coordinated through the cognizant Project Manager.

C. Proposer Qualifications

NYSERDA seeks proposal from firms with operations and maintenance expertise who have:

- Appropriate educational background, training, and experience of supervisory and/or project management staff.
- Appropriate educational background, training, certifications and experience of field staff.

- Quality, availability, and depth of the resources and support systems identified and necessary to perform maintenance and construction services in a timely manner.
- Soundness of the approach to provide the required services and equipment needed to provide required services.
- Breadth of prior and current experience in providing site maintenance and construction services appropriate to this solicitation.
- Ability to provide the necessary resources to conduct high quality work in a timely manner.

Relevant education and training would include degrees, training certificates, and other accredited education focused on, but not limited to, project management, general contracting, equipment use, and general maintenance, and/or property management. Relevant experience would include past general contracting and property maintenance including activities such as landscaping, snow removal, fence maintenance, and general building maintenance.

Resources necessary to provide the full breadth of services would include sufficient organizational resources to provide the services described in the Scope of Services.

D. Division of Responsibilities

NYSERDA shall provide the following:

- Radiation safety support for all applicable on-site field work.
- Site-specific training for all contractor employees to allow unescorted access to the SDA.

The Contractor shall provide the following:

- 24-Hour Hazardous Waste Operations and Emergency Response trained personnel for all on-site field work
- Task-Specific Safety Documentation meeting the requirements of the WVSMP safety program for each on-site task not covered by an existing procedure
- Equipment needed to perform tasks outlined in the attached Scope of Services
- Experienced supervisory and field staff

III. Proposal Requirements

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

A. Proposal Content

The Proposer will be required to prepare a proposal for operation and maintenance support services described in this solicitation. The proposal must identify how the contractor will provide all the required services and suggest ways to improve or enhance the means by which the tasks are completed. The means shall include staffing, equipment and scheduling. The proposal shall also include labor grade utilization, rates, overhead, and profit. A description of items included as overhead should also be included.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. A complete response to this Request for Proposals shall include two parts:

Part I - Technical and Management:

- Completed "Proposal Checklist" Form (Attachment D) - to be attached to the front page of all copies of Part I of the proposal.
- Background/Objectives (one-page maximum).

- Services to be provided (three-page maximum).
- Management Plan and Schedule for the Work (eight-page maximum).
- Current Qualifications Statement that clearly presents the proposer’s education, training, and experience relevant to the Scope of Services.
- Plan for meeting the contract participation goals for minority and women-owned business enterprises as identified in Exhibit E of the Sample Agreement (one-page maximum).
- Letters of commitment from all participating subcontractors (if applicable).

Part II - Cost and Disclosures:

- Disclosure of Prior Findings of Non-Responsibility – “Executive Order 127” Form (Attachment E).
- Cost proposal including hourly rates and any other applicable costs or rates included on the attached Contracts Pricing Proposal Form (Attachment F, instructions included).
- Indictment/Conviction of Felony (if applicable).
- NYSEDA Contracts awarded (if applicable).
- Prior and/or Competing Proposals (if applicable).

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 NYSEDA’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. NYSEDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree in which pricing and hourly rates are in line with the rest of the market
- The geographic location of the resources identified or potentially involved with the work
- Previous experience at the WNYNSC

Proposals that meet proposal requirements will be reviewed by a Scoring Committee using the following Evaluation Criteria:

1. Technical and Management Criteria:

- Quality and depth of the resources and support systems necessary to perform services.
- Qualifications of the firm including the educational background, training and experience of key personnel. Key personnel include field, technical, and supervisory, and/or project management staff.
- Ability to provide the necessary resources to conduct high-quality work in a timely manner.
- Breadth of prior and current experience in providing operational and maintenance program support services, particularly in a large industrial or municipal organizational setting.
- Approach to provide the required services

2. Cost Criteria:

- The reasonableness of the hourly rates proposed
- A comparison of all proposers’ costs and fees
- A comparison of all proposers’ rental rates
- Efficiencies and cost savings identified by proposer

Additional consideration will be given to Minority and Women-Owned Businesses (MWBs).

Interviews may be scheduled to further assess the qualifications of the proposers. After assessing the proposals from the technical and management criteria, cost criteria, and interviews (if necessary), the Scoring Committee will make a recommendation as to which proposer is most beneficial to the WVSMP.

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:

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

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New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment E.

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in Attachment F.

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.

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).

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Heavy Duty Diesel-Powered Vehicles – NYSERDA is required to comply with 6 NYCRR Part 248, Best Available Retrofit Technology (BART) for Heavy Duty Diesel-Powered Vehicles (HDDVs). HDDVs owned, operated, or leased by prime contractors, working on behalf of regulated entities, are also subject to BART. A prime contractor is one that contracts directly with the regulated entity (i.e., not subcontractors).

Contract Award - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of one year with four annual 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 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.

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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.

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

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Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

VI. Attachments:

Attachment A – Statement of Work

Attachment B – Safety Training and Handling of Chemical Waste

Attachment C – Applicable Operation and Maintenance Plans and Procedures

Attachment C-1 – Geomembrane Cover System Inspection

Attachment C-2 – Vegetation Control Procedure

Attachment C-3 – WNYNSC Perimeter Fence Maintenance & Deer Hunting Procedure

Attachment C-4 – Snow Removal Procedure

Attachment C-5 – SDA Electrical System Inspection and Maintenance Procedure

Attachment D –Diversity Practices Questionnaire

Attachment E –Article 15-A (MWBE)

Attachment F – Article 17-B Service-Disabled Veteran-Owned Business Enterprises (SDVOB)

Attachment-G - Sample Agreement including Exhibit A - template statement of work



Geophysical and Geotechnical Investigations in Support of Offshore Wind Energy
Request for Proposal (RFP) 4260

Up to Approximately \$ 5,500,000 Available

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

Proposals Due: January 21, 2020 by 3:00 p.m. Eastern Time*

Offshore wind energy could become a major source of affordable, renewable power for New York State, particularly on Long Island and in the New York City metropolitan area, where demand on the electric grid is greatest. Generating electricity with wind turbines located off New York's Atlantic coast has the potential to provide up to 39,000 megawatts (MW) of clean power for the State, enough to power 15 million homes. On behalf of New York State, the New York State Energy Research and Development Authority (NYSERDA) is coordinating work being conducted by New York State agencies to advance the responsible and cost-effective development of offshore wind resources. As part of its leadership role, NYSERDA spearheaded the development of the New York State Offshore Wind Master Plan <https://www.nyserda.ny.gov/offshorewind>, a comprehensive roadmap that encourages the development of offshore wind in a manner that is sensitive to environmental, maritime, economic, and social issues while addressing market barriers for offshore wind technology and aiming to lower electricity costs for consumers.

A strong knowledge of seabed soil conditions is essential for the safe and efficient design and operation of offshore wind installations. Although several geophysical surveys and geological studies have been carried out in the New York Bight, only a limited amount of soil sampling and testing has been undertaken. Uncertainty in physical conditions increases development risk and by extension offtake bid prices. Obtaining better characterization of the soil conditions of the offshore wind study area would help increase certainty of development conditions, which are useful in planning activities such as the refinement of project layout and turbine siting, key variables in lease auctions, and offtake.

In 2019, NYSERDA commissioned a Geotechnical and Geophysical Desktop Study (Fugro, "Geotechnical and Geophysical Desktop Study to Support Offshore Wind Energy Development in the New York Bight", Final Report, NYSERDA Report 19-19, April 2019 available here: <https://www.nyserda.ny.gov/ny/Offshore-Wind-Geo-Investigations>). Publicly available geological and geophysical information on the middle continental shelf, offshore New York and New Jersey, was collated with the objective of creating a regional overview of the seafloor and sub-seafloor environment insofar as it is relevant to a potential offshore wind energy developer. The report describes, as far as the available information allows, the evolution and resultant geological structure, lithology, and soil characteristics within New York State's Area for Consideration, from the seafloor to approximately 100 m (330 ft) below seafloor. An indication of the available data coverage is given and potential geohazards are highlighted.

Through this solicitation, NYSERDA seeks proposals to advance the development of the primary and secondary areas identified by the Bureau of Ocean Energy Management (BOEM) as Hudson North and Hudson South draft Wind Energy Areas (draft WEAs) (<https://www.boem.gov/Task-Force-Meeting-November-2018/>; shapefiles available here: <https://www.nyserda.ny.gov/ny/Offshore-Wind-Geo-Investigations>). The solicitation seeks to appoint contractors to undertake Geophysical and Geotechnical investigations and develop reconnaissance ground models for each contiguous draft WEA, and an Owner's Engineer to support NYSERDA throughout the ground model development process.

BOEM has not yet converted draft WEAs to final WEAs. Optimally, NYSERDA would undertake the investigations over the final WEAs to avoid data collection outside of leased space and maximize the cost-effectiveness of the investigations. However, NYSERDA would also like to ensure that the investigations are performed in the 2020 favorable weather season to reduce weather downtime. This solicitation has been prepared based on the draft WEA's in anticipation of the WEA's being finalized by BOEM in early 2020, prior to finalization of the Investigation scopes and start of the offshore operations. If finalization of the WEAs is

delayed past the finalization of the scopes, NYSERDA will contract for the investigations to be conducted in the Hudson North and Hudson South draft Wind Energy Areas.

Along with reducing the cost of offshore wind energy, maximizing the benefit for State ratepayers, and accelerating the deployment of wind energy development off the coast of the State, the core goal of this undertaking will be to obtain and make public high-quality seabed soil data sufficient for reducing lease holder uncertainty at the time of offtake and helping to advance the design and installation requirements for offshore wind farms within the study areas including, but not limited to, foundations and cables.

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 (Gregory Lampman– primary contact) (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail environmentandoffshorewind@nyserda.ny.gov or (Kate McClellan Press – secondary contact) (Designated Contact) at (518) 862-1090, ext. 3110 or by e-mail environmentandoffshorewind@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 NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

* All proposals must be received by 3 p.m. 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 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. 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>).

PART 1. INTRODUCTION

Section I. Background

New York State Energy Research and Development Authority (NYSERDA) seeks to advance New York State's 9GW offshore wind energy mandate in a way that are both responsible and cost-effective. As a result of this philosophy, the State is continuing its proactive approach to investing in predevelopment activities.

As part of the New York State Offshore Wind Master Plan¹ released in January 2018, the State invested in bringing together existing data, new research, and feedback from stakeholders to inform the federal Bureau of Ocean Energy Management (BOEM) in the identification of new lease areas in the New York Bight. New lease areas in proximity to New York City, the State's "load center," are critical in advancing the State's goals.

As BOEM reviews the draft Wind Energy Areas,² the State is investing in predevelopment activities to gain a better understanding of the physical and environmental conditions in these areas to reduce developer risk, which will enable developers to submit more competitive bid prices in response to New York's offshore wind solicitations ("offtake"). These activities are expected to provide a starting point for project development, but not to displace entirely the work developers will need to undertake to design, permit, and construct projects.

For example, in August 2019, NYSERDA deployed two metocean buoys more than 40 miles off New York's coast (in the BOEM-designated Draft Wind Energy Areas) and each buoy will collect data for two years. The two made-to-order buoys were validated in accordance with Carbon Trust OWA Stage 2 Standard and International Electrotechnical Commission (IEC) standard 61400-12-1 CDV. Similarly, In the summer of 2017, NYSERDA began to conduct a 3-year, 4-season planning level wildlife survey of the NY Bight using digital aerial surveys. The project, which recently completed its last survey, collected more than 3.5 million images and provides broad scale contemporary data about the seasonal, interannual, and spatial distributions of wildlife in the NY Bight, as well as support BOEM in the identification of new, responsibly sited lease areas.

In addition to these activities, New York State is now advancing an approach to invest in planning level geophysical and geotechnical investigations of BOEM's draft Wind Energy Areas. These investigations will provide developers the data they need, when they need it, maximizing the value of the data at the offtake stage, and helping advance the State's progressive mandate efficiently, cost-effectively, and responsibly.

Section II. Goals

The goal of the Geophysical and Geotechnical investigations is the development of reconnaissance Ground Models of sufficient quality to progress the preliminary design and installation requirements for offshore wind farms, including, but not limited to, foundations and cables. Reconnaissance hydrographic, geophysical and geotechnical surveys are to be undertaken that will contribute to the bathymetrical, morphological and geological understanding of the draft Wind Energy Areas (WEAs) in the New York Bight designated as Hudson North and Hudson South primary and secondary areas (shapefiles available here: <https://www.nyserdera.ny.gov/ny/Offshore-Wind-Geo-Investigations>).

The investigations are required to obtain seabed and sub-seabed information about the soil to a depth below which the possible existence of weak formations are not likely to influence the safety or performance of the wind turbines and their support structure. In addition, investigations must provide high resolution information regarding the shallower soils as input for cable burial and morphodynamic assessments. Although the planned surveys have only a reconnaissance level of coverage, the surveys should aim to deliver high-quality data that are suitable for use as baseline data for future surveys and studies (e.g. seabed sediment mobility assessment). The program will comprise the following key tasks:

¹ <https://www.nyserdera.ny.gov/All-Programs/Programs/Offshore-Wind/Offshore-Wind-in-New-York-State-Overview/NYS-Offshore-Wind-Master-Plan>

² <https://www.boem.gov/NY-Bight/>

1. **Geophysical Investigation:** Prepare and carry out geophysical and hydrographic surveys. Process, analyze, and interpret data to develop geological models for each contiguous draft WEA. Use geological models to target the Geotechnical Investigations.
2. **Geotechnical Investigation:** Prepare and carry out a geotechnical survey. Process, analyze, and interpret data to develop geotechnical parameterization of the geological models.
3. **Ground Model Update** (*optional, depending on timing and budget*): Update the geological ground models through joint refinement of the geophysical and geotechnical interpretations to produce validated ground models.

Section III. Available Funds

NYSERDA has a budget of approximately \$5,500,000 available for completing the Geophysical and Geotechnical Investigations and Ground Model Update, and any related project management costs (including Owner’s Engineer).

The Geophysical Investigation will provide the underlying framework for Ground Models for the draft WEAs. A key deliverable of the Geophysical Investigation will be a geological ground model per each contiguous draft WEA based primarily on seismic interpretation. The Geotechnical Investigation will target specific locations to provide ground-truth data for these ground models, and to develop the geotechnical parameterization of the draft WEAs. As such, higher priority will be given to the Geophysical Investigation in the allocation of the available budget. However, considering the cost of vessel mobilization and the overall size of the two offshore wind farm areas, a minimum spend will need to be set for a meaningful geotechnical investigation. Estimated spends are tabulated below.

Component	Spend Estimate
Geophysical Investigation	Up to approximately \$3,000,000
Geotechnical Investigation	Up to approximately \$2,000,000
Owner’s Engineer	Up to approximately \$500,000

The balance of spending between the various components will be re-evaluated once the tenders for both the geophysical and geotechnical work packages have been received and it is established if the ground model update will be undertaken (and by whom).

PART 2. INVESTIGATIONS

Section I. Datums

All data shall be collected in NAD83 (2011), as per BOEM guidelines, projected where necessary using NAD83 UTM Zone 19 North. The vertical datum shall be Mean Lower Low Water (MLLW). All co-ordinates shall be reported in compliance with relevant BOEM guidelines.

Section II. Geophysical Investigation program requirements

A. Objective of Geophysical Investigation

The Geophysical Investigation will be a reconnaissance investigation that is not expected to provide full coverage of the site. According to BOEM Geophysical and Geotechnical Guidelines³ the investigation constitutes a 'site reconnaissance survey' rather than a 'site characterization investigation'. The overall objective is to produce a reconnaissance Ground Model for each contiguous draft WEA that provides information suitable to understand the general site conditions. The reconnaissance Ground Models must be suitable for the design of subsequent geotechnical investigations.

The Geophysical Investigation should provide for each contiguous draft WEA:

- An accurate bathymetric chart for the reconnaissance survey footprint.
- Information on the presence within the reconnaissance survey footprint of all seabed features of significance to the construction of wind farm facilities including but not limited to:
 - any natural features such as boulders, scour hollows, pock-marks; and
 - any non-natural features such as wrecks and debris (both known and previously unmapped), pipelines, cables and infrastructure.
- A reconnaissance unconstrained geological model of the site, including as a minimum:
 - elevation and depth below seabed charts for the main geological formation interfaces including any mobile sediments, layers of potential archaeological significance (including palaeolandscape reconstruction if necessary), and any other significant interfaces that might impact on the engineering design;
 - locations of any structural complexities or geohazards within the shallow geological succession such as faulting, accumulations of shallow gas, peat, buried channels *etc.*; and
 - detailed geological interpretation to show facies variations and structural feature changes via appropriate maps and sections.
- The exact, current position of existing (in service & out of service) cables and pipelines.
- Input into the specification and scope for a geotechnical sampling and testing program following the completion of the geophysical survey.
- A comprehensive interpretative report on the survey results obtained to assist design of the offshore foundations/structures and cable burial.

The Geophysical Investigation precedes and supplies information to the Geotechnical Investigation.

Due to the limited amount of relevant geotechnical data available in the area of interest, the Ground Model developed from the Geophysical Investigation will be largely unconstrained. Optionally, following the subsequent Geotechnical Investigation the Geological Ground Model should be updated to incorporate the Geotechnical Investigation results and produce an updated Ground Model.

³https://www.boem.gov/G_G_Guidelines_Providing_Geophysical_Geotechnical_Geohazard_Information_Pursuant_to_30_CFR_Part_585/

B. Services Requested

NYSERDA is seeking an offshore geophysical site investigation Contractor to undertake a reconnaissance geophysical investigation in accordance with international standards and guidelines and with the following Bureau of Ocean Energy Management guidelines:

- “Guidelines for Information Requirements for a Renewable Energy Construction and Operations Plan (COP)” dated April 7,, 2016 (Version 3.0) (BOEM 2016).
- “Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585” dated July 2, 2015 (BOEM 2015a).
- “Data Gathering Process: Geotechnical Departures for Gathering Offshore Wind Energy” dated September 19, 2018 (BOEM 2018).
- “Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Survey” dated February 1, 2013 (BOEM 2013a).
- “Guidelines for Providing Archaeological and Historic Property Information Pursuant to 30 CFR Part 585: dated March 2017 (BOEM 2017).
- “Guidelines for Providing Benthic Habitat Survey Information for Renewable Energy Development on the Atlantic Outer Continental Shelf” dated November 2013 (BOEM 2013b).
- Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys (BOEM, 2015b).

Although the coverage of the survey is only at a reconnaissance level and is not intended to meet permitting regulatory requirements, the techniques used shall be compliant with BOEM HRG and SAP guidelines and the survey line spacing should be a multiple of recommended BOEM line spacings. This is required so that the information acquired in this investigation can be easily supplemented by infill surveys at a later date, to build towards a combined dataset that is compliant with BOEM guidelines.

An archive of GIS data compiled as part of Fugro’s Desk Study is available here:

<https://www.nyserra.ny.gov/ny/Offshore-Wind-Geo-Investigations>. As such, collection and collation of such background data is not required. Furthermore, reference is made to an earlier MBES survey conducted for this site (see <https://www.nyserra.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25a-MBES-and-Benthic-Survey-Data.pdf>).

The services should include: development of a field survey plan for field investigations including process for coordinating with fishermen and other mariners; obtaining all authorizations/permits necessary to perform the work; acquisition with Multi-Beam Echo Sounder (MBES), Side-Scan Sonar (SSS), magnetic, Shallow-Penetration Seismic (SPS), and Medium-Penetration Seismic (MPS) systems; data processing; data analysis and interpretation; development of unconstrained Geological Ground Models; and factual and interpretative reporting. Marine mammal and sea turtle monitoring will also be required.

This solicitation also includes the option of updating the Ground Models following the subsequent Geotechnical Investigation.

As the Geophysical Investigation will not obtain full coverage of the Hudson North and South WEAs, the line planning shall incorporate some bathymetry transects co-located with transects from previous surveys (see e.g. <https://www.nyserra.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25a-MBES-and-Benthic-Survey-Data.pdf>), in order to contribute to development of a bathymetry time-series dataset. However, seabed mobility analysis is not a requested service.

C. Types and Locations of Measurements

The data density (line spacing) will depend on the total area to be surveyed in each WEA and the available budget.

For the purposes of proposal submission, proposers should assume a provisional maximum permitted inline spacing of 900 m (N-S oriented) and maximum permitted tieline spacing of 4,500 m (W-E oriented)

over the draft WEAs (shapefiles available here: <https://www.nyserda.ny.gov/ny/Offshore-Wind-Geo-Investigations>). Once the survey area and the balance of budgets between investigations has been finalized, the line spacing and line orientation may require adjustment. However, a nominal line-km (excluding transit, run-in/out, re-shoots, borehole tie-lines, and bathymetry time-series dataset lines) has been calculated for each draft WEA based on the provisional line spacings as follows:

- Hudson North WEA: 514 km²/~685 line-km
- Hudson South WEA: 2,444 km²/~3,259 line-km

Applying a ~1% contingency for additional borehole tie lines and bathymetry lines gives a provisional value for costing of approximately 4,000 line-km.

D. Vessel Requirements

Vessel(s) should have as a minimum approximately a length overall of 40 metres and a beam of 10 metres and must be capable of undertaking the Work as specified in the Scope of Work. It is up to the proposer to propose to engage one or two vessels: engagement of more than two vessels is not permitted.

Vessel(s) must be capable of continuous operation 7 days a week, 24 hours a day;

Vessel(s) must have adequate capacity and facilities for:

- Accommodating (berths and workspace) for both marine and survey crews including two Client Offshore Representatives for working in two 12 h shifts per day;
- Onboard QC and all required processing of survey data;
- Storage and bunkering capacity for spares, consumables, fuel etc.
- Comply, as a minimum, to the code of practise for workboats as specified in IMCA M 189 Rev. 2. (contractor must submit prior to mobilization an independent inspection report that includes 'Checklist Based on Approved Code of Practice for Workboats' as specified in IMCA M 189 Rev. 2, IMCA S 004 Rev. 2'. This inspection report should not be older than six months and all items in the checklist are answered with 'Yes' or 'N/A'.)

Equipment for the performance of MBES, SSS, magnetometer and seismic surveys as described in Section E, including an appropriate spares inventory, should be deployed ready for use on the survey vessel.

E. Survey Technology

All survey technology is required to comply with BOEM HRG and SAP guidelines at minimum. The data acquired will be used as baseline data for future work (e.g. seabed sediment mobility assessment) so must be acquired to a high standard even though the investigation coverage is only reconnaissance-level.

The seismic survey must be designed to optimize vertical and horizontal resolution (nominally defined as $\frac{1}{4}$ wavelength for both), the signal-to-noise ratio and the recovery of coherent signal throughout the depth of interest. The following minimum requirements must be achieved:

- 0-10 m below seabed (bsb): trace spacing of <1 m and vertical resolution of 0.2 m or better.
- 10-30 m bsb: trace spacing of <1 m and vertical resolution \leq 0.75 m.
- 30-100 m bsb: Inline (stack) trace spacing \leq 1.57 m and vertical resolution \leq 2 m.

These requirements exceed BOEM guidelines but are necessary to address the Investigation objectives.

- An SPS survey will be required to image the top 10 m bsb at the required resolution.
- An MPS survey will be required to image to the required investigation depth of 100 m, given the anticipated water depths of 25-60 m. For the MPS surveying, Multi-Channel Seismic (MCS) will be required to image to the full depth of investigation. The proposer may propose a combination of Single-

Channel Seismic (SCS) and Multi-Channel Seismic (MCS), or MCS only: in either case, the proposed solution must be demonstrated to be capable of achieving the resolution requirements throughout the depth range. Note that the investigation is outcome focused and requires that the *delivered* (i.e. processed) data meet the resolution and depth investigation criteria.

NYSERDA has a strong preference for the following types of geophysical equipment to be used to satisfy the Geophysical Investigation objectives:

1. SPS: The equipment when deployed shall be suitable to obtain the resolution requirements in the top 10 m bsb. The preferred technology is an 'Innomar SES-2000 standard' parametric Sub-Bottom Profiler (SBP). Chirp and Pinger SBP systems will also be acceptable. The selected system must be hull, pole, or moon-pool mounted to allow heave compensation to be applied to the data. The proposer must demonstrate that they can achieve the required resolution and depth penetration with the equipment proposed and given the sub-bottom conditions described in Fugro's Desk Study, which includes the presence of sandy sediments that can be expected to impede energy transmission.
2. MPS:
 - a. SCS (if used): Preference is for a high-frequency Sparker as Boomers are generally seen as being more disruptive to marine mammals. The system shall be optimized to obtain the resolution requirements in the top 10-30 m bsb depth range. The source and streamer tow depths will preferably be < 1 m and selected to minimize the effects of ghosting.
 - b. MCS: A high-resolution, multi-channel MPS system shall be used. The system shall be optimized to obtain the resolution requirements in the top 30-100 m bsb depth range.

A high bandwidth Sparker system (dual- or triple-plate source) or alternative source with demonstrated similar spectral characteristics suitable for the resolution specifications shall be used. Sound source levels require testing against National Marine Fisheries Service (NMFS) specifications to ensure they do not potentially lead to unacceptable harassment of marine mammals. As per BOEM guidelines, the National Marine Fisheries Service (NMFS) currently considers sound levels above 160 dB re 1 μ Pa (RMS) to constitute Level B harassment under the Marine Mammal Protection Act and sounds above 180 dB re 1 μ Pa (RMS) are considered Level A harassment. For clarity, air guns are not an option under this RFP.

A multi-channel streamer shall be used with a minimum of 48 channels and a group spacing of preferably 2 m or less and no greater than 3.125 m to provide high horizontal resolution. An active streamer length of between ~70 m and 150 m is required. The streamer tow depth shall be < 1 m (flat) and selected to minimize the effects of ghosting. The shot interval shall be as small as practically possible and defined to maximize CMP fold (minimum 24 fold without trace interpolation). Shots must be distance triggered, not time triggered.

Slant-cable or hybrid-cable (mixed group interval) proposals are acceptable if the vessel operations team can be guaranteed to have had prior experience of the systems proposed and any required data processing schemes are proven to be established in production work. Slant-cable may only be proposed in conjunction with documented and proven mitigation for receiver ghost effects. Both slant-cable and hybrid cable proposals must be accompanied by specific descriptions of the methods of geometry assignment and QA metrics to ensure acceptable performance.

3. Magnetic gradiometer: Two or more magnetometers in gradiometer configuration. Although a single magnetometer would be enough to fulfil BOEM HRG survey guidelines, a magnetic gradiometer will be required in order to fulfil BOEM SAP technology guidelines and to assist with archaeological clearance to inform the selection of locations for the Geotechnical Investigation. Individual magnetometer sensitivity should be 1.0 gamma (γ ; 1.0 nano-Tesla [nT]) or less. Background noise level should not exceed a total of 3.0 γ peak to peak. The data sampling rate should be at minimum 4.0 Hz and preferably \geq 10 Hz to ensure sufficient data point density. The gradiometer altitude from seabed should preferably be \leq 4 m, with a maximum of 6 m above seabed.

4. MBES: Data shall be acquired to IHO Standards for Hydrographic Surveys Order 1a, which has a feature detection requirement of a cubic features > 2 m in water depths up to 40 m, or better. In addition, an output bathymetry grid of 0.5-m resolution is required. Based on consideration of site conditions, including anticipated water depths, the proposer must demonstrate that the technology to be employed can achieve a sufficient ping density to achieve these requirements and advise on the maximum swath width for a single line over which these requirements can be met. Snippets/backscatter data must be recorded with consistent gain settings compatible with Acoustic Ground Definition System (AGDS) analysis for seabed classification. Sound velocity data must be recorded in real time at receiver and Sound Velocity Profiles (SVPs) must be obtained at least twice per day.
5. SSS: The SSS survey should be carried out using dual-channel, simultaneous dual-frequency side scan sonar with low and high frequencies of ≥ 200 kHz and ≥ 600 kHz, respectively. The side-scan sonar sensor should be towed above the seafloor at a distance that is 10% to 20% of the range of the instrument. The system must be capable of providing resolution of small, discrete targets 0.5 m in diameter at maximum range. All individual targets above 0.5x0.5x0.5 m shall be mapped. Based on consideration of site conditions, including anticipated water depths, the proposer must demonstrate that the technology to be employed can achieve a sufficient ping density to achieve these requirements and advise on the maximum swath width for a single line over which these requirements can be met (excluding the nadir gap).
6. Marine mammal and sea turtle monitoring: The monitoring strategy is to be finalized in conjunction with regulatory authorities and the Owner's Engineer: the monitoring scope outlined here is provisional for use in the preparation of cost estimates. Visual observations shall be conducted during the hours of daylight with Night Vision and Infrared Spotlights used during the hours of darkness. In addition, Passive Acoustic Monitoring (PAM) systems shall be operated during any hours of reduced visibility. The monitoring plan should be informed by NYSERDA's *Marine Mammals and Sea Turtles Study* (NYSERDA, 2017).

Materials and equipment or parts thereof provided by the proposer must be of good quality and workmanship and fit for the intended purpose.

NYSERDA will consider alternative technology options provided that the likely quality of results and the cost-effectiveness of the works can be demonstrated clearly by the proposer. If a conflict between BOEM guidance and direction from NYSERDA is identified, the proposer shall immediately notify the Owner's Engineer for direction.

Each data type should be collected by one vessel, to avoid variable data quality/accuracy issues when attempting to combine data of the same type that has been acquired by two or more different vessels. Equipment interference must be minimized in all cases and shall not impact the data quality. As MCS and SCS acquisition can interfere, simultaneous acquisition of MCS and SCS data from the same vessel is strongly discouraged, to avoid degradation of data quality and resolution. The proposer may therefore suggest a multi-vessel solution to avoid SCS/MCS interference. The following options should be considered in order to maximize data quality:

- If only SPS and MCS seismic data are to be acquired (no SCS), then a single acquisition pass with all with hydrographic and geophysical sensors may be acceptable if the proposer can demonstrate that the equipment can be deployed with acceptably low levels of interference.
- If SCS is to be acquired in addition to SPS and MCS, then one of the following options is preferred:
 - One-vessel solution: one pass to cover the MBES, SSS, magnetic gradiometer, SPS and SCS survey lines, followed by one separate pass to cover MCS lines.
 - Two-vessel solution: vessel 1 acquiring MBES, SSS, magnetic gradiometer, SPS, and SCS data in one pass and vessel 2 acquiring only MCS data (with MBES data for statics calculations).

A field-testing phase will be required after mobilization and equipment calibration to establish the appropriate configuration and parameterization of data acquisition equipment and finalization of the survey QA parameters. Where data processing operations are critical to either in-field QA/QC or evaluation of the suitability of the data acquisition configuration, design and parameterization of these operations shall be part of the testing phase.

F. Data Analysis

1. MBES

Data shall be reduced to datum, then gridded to produce a raster Digital Terrain Model (DTM) of the seabed at 0.5 x 0.5 m resolution or better. Details of the vertical reduction process must be described in the contractor's report and demonstrated to meet or exceed the investigation requirements, using appropriate illustrations. Regardless of the theoretical capability of the hydrographic and navigational systems deployed, full QA/QC must be carried out in order to generate statistical proof that the survey does not exceed the Total Vertical Uncertainty (TVU) and Total Horizontal Uncertainty (THU) error allowances as defined for Order 1a surveys in the IHO Standards for Hydrographic Surveys. A quantitative assessment of the feature detection thresholds for the survey must also be reported and demonstrated to meet or exceed the IHO Order 1a requirements.

MBES target picking should be carried out based on gridded data to support the interpretation of SSS targets. Targets must be classified at minimum into the following categories:

- Wreck-associated, correlated to local wreck registers, if available, and associated magnetometer/SSS targets;
- Debris-associated, correlated to associated magnetometer/SSS targets;
- Possible pipeline (with appropriate ID to indicate where multiple targets are thought to be associated with the same pipeline);
- Possible cable (with appropriate ID to indicate where multiple targets are thought to be associated with the same cable);
- Mound.
- Depression.

The seabed slope shall also be calculated.

2. SSS

Data shall be corrected for slant range, towfish skew, absorption of sound by seawater, geometric spreading and ship speed to produce the SSS mosaic. The bathymetry elevation data should be used for topographic corrections such that the corrections are carried out based on 3D positioning.

SSS target picking must be carried out. Identified features must include *at minimum*:

- Wrecks;
- Both linear and point debris ≥ 0.5 m;
- Boulders ≥ 0.5 m;
- Pock-marks/depressions
- Cables;
- Pipelines; and
- Trawl scars and regions of trawl scars

All targets must be correlated with the NYSERDA's Offshore Wind Master Plan *Cultural Resources Study* (NYSERDA, 2017) and local wreck registers. Additionally, the nadir must be checked for evidence of gas plumes.

The thresholds indicated are nominal, and a higher threshold and/or mapping of discrete areas of anomalously high target density may be appropriate if feature densities are high, subject to approval.

3. Seabed classification

Seabed classification may be carried out based primarily on MBES backscatter/snippets data. (AGDS classification) or SSS data. The classification methodology must be reported. If grab samples are available from another source, they should be incorporated into the seabed sediment characterisation analysis.

4. Bedform classification

Bedform zonation must be carried out according to a classification scheme compliant with BOEM specifications. The classification methodology must be reported.

5. Magnetic gradiometer

The magnetic gradiometer data must be edited to remove obvious spikes. All processing and editing procedures must be reported in detail.

The picking threshold is a peak-to-trough amplitude of $\geq 5 \gamma$. Targets must be classified *at minimum* into the following categories:

- Wreck-associated, correlated to local wreck registers, if available, and associated bathymetry/SSS targets;
- Debris-associated, correlated to associated bathymetry/SSS targets;
- Possible pipeline (with appropriate ID to indicate where multiple targets are thought to be associated with the same pipeline);
- Possible cable (with appropriate ID to indicate where multiple targets are thought to be associated with the same cable);
- Possible UXO (for potential further analysis outside of the scope of this project);
- Undesignated.

Checks must be carried out on the magnetometer data to identify those magnetometer targets that are probably related to wrecks that are visible in the SSS/MBES data, and to identify additionally any magnetometer targets that may be indicative of buried wrecks (or potentially UXO). If possible UXO targets are identified, these must be indicated in the target table.

6. Seismic

SPS, SCS and MCS data require data processing to be applied to optimize quality. Full processing reporting is required for each type of data collected. MCS data may have 'brute stacks' generated for use in the QA operations on-board. Brute Stacks should contain the minimum processing required to evaluate the quality of the recorded data. Final processing of MCS data may be applied onboard or ashore, in either case the details of any processing undertaken must be explained and discussed in the contractor's report. At minimum, the processing operations applied to each dataset must be described and parameter test panels presented. It is expected that all necessary processing will be undertaken to all SCS and MCS data to maximize the data interpretability. The time-depth conversion method(s) by which depth values have been obtained and the derivation of velocities used must be clearly reported. The processing flows must be approved by NYSERDA prior to the processing of the full datasets.

Subsurface data are to be interpreted using a workstation package at least capable of representation of all subsurface data elements in a common system, capable of picking interfaces in the time domain and rationalising those picks between the data elements and at line intersections to ensure consistency. The Kingdom application from IHS Markit is preferred. The interfaces and geohazards to be interpreted are to be identified based on Fugro's Desk Study agreed with NYSERDA prior to the

interpretation of the full datasets: in addition, as NYSERDA's Offshore Wind Master Plan *Cultural Resources Study* (NYSERDA, 2017) has identified the potential presence of submerged landforms that may have the potential to be archaeologically sensitive, palaeolandscape reconstruction may be required. The interpretation must include consistency/line-tie checks between the single- and multi-channel seismic datasets within the same interpretation environment, and these checks must be described in the interpretative reporting.

Extensive interfaces must be gridded and contoured to provide ribbon plots along the seismic survey lines. A single grid should be provided for each interface. The selection and application of gridding methods and parameters used to generate interface grids from the original pick files must be described in full. Where a single interface has been picked from more than one seismic dataset (e.g. SPS and MCS) then a single interface grid must be generated, and the reporting must describe how the final grid for that interface was derived from the picks of each seismic dataset. Geohazard and intra-formational interfaces may be gridded or presented as pick plots depending on their extent and continuity. The spatial extents of interfaces, units and point features are to be defined and reported. If a significant portion of the subsurface is characterised by intense faulting, the characterisation of the faulting pattern (mean fault throw and density) can replace the picking of each individual fault. A quantitative discussion of the elevation uncertainty of all interfaces and feature types must be included in the reporting.

G. Task Outline

A suggested task outline is provided below to assist the proposer in considering appropriate timings and levels of effort.

- Work planning and coordination
- Mobilization
- Field testing
- Acquisition
- Processing, analysis & reporting

The selected contractor shall work with NYSERDA to finalize the scope of work (and workstreams) and develop an agreed set of Tasks and Milestone Deliverables as part of the preparation of the project documentation.

H. Reporting

1. Field Verification Test report. Noise verification work in the survey area in compliance with BOEM Lease requirements and an approved BOEM survey plan (including Field Verification Plan) shall be conducted prior to operation of instruments operating below 200 kHz. Reporting shall be accordance with the BOEM approved field verification form and shall be provided to the Owner's Engineer within 24 hours of collecting data. The full field verification report shall be submitted within three weeks of collecting the data.
2. Mobilization Report: one per vessel describing the mobilization and calibration tests. The mobilization report(s) shall be submitted within two calendar weeks of acceptance of the data acquisition configuration.
3. Testing Report

The testing report shall be submitted within two calendar weeks of acceptance of the data acquisition configuration. The report must:

- describe and show examples of tested equipment and configurations; and
 - demonstrate that the selected equipment and configurations can meet the Investigation objectives.
4. Daily Progress Reports

During the offshore execution of the works contractor shall issue to NYSERDA Daily Progress Reports (DPR) to be submitted before 12:00hrs the next day. The format and content of the daily report shall be submitted to NYSERDA for approval prior to implementation, but shall include as a minimum:

- Activities executed in the past 24 hours and cumulative to date described in all phases, in total numbers and in percentages;
- Activities planned for the upcoming 24 hours;
- Any occurrence causing delay to the project with consistent abbreviations/codes, including but not limited to:
 - equipment downtime;
 - scheduled maintenance;
 - instrument calibrations;
 - occurrence of Waiting on Weather;
 - Weather standby below workable weather limits;
 - other standby;
- Daily observation and registration of weather and sea state;
- HSE occurrences such as incidents, accidents, near misses, safety meetings, safety stand downs, number of safety drills, toolbox talks and persons on board, number of HSE observations, together with measures taken and status
- Non-conformance reporting

The DPRs will be provided in a consistent PDF format to be pre-approved by NYSERDA and will not be scanned. The contractor submits the Daily Progress Report to the Client Offshore Representative for comments.

5. Daily summary reports of all PSO observation activities.
6. Weekly reports

The contractor shall also issue a weekly report providing insight in the progress of the Work on a weekly basis. The report shall include, but not be limited to, the following subjects:

- Work in progress;
- Health Safety & Environment;
- Safety Statistics;
- Status summary work schedule, including weekly planning update;
- Forward looking information for the next two reporting periods;
- In case of deviations from the program: proposals for remedial action together with any revised plans and projections needed to substantiate or explain proposals.
- Status of queries / concession requests;
- Risk Log including areas of concern and actions taken to address them;
- Change control, including list of issued and potential Variation Orders;
- Updated document register;
- Photographs of relevant achievements;
- Areas of concern.

7. Data Quality Reports.

The contractor may be requested by the NYSERDA to provide seismic Data Quality Reports (DQRs) when appropriate. The DQRs will not have to be provided on a daily basis but the contractor must be prepared to compile and provide these reports under the supervision of the Client Representative. Upon request from NYSERDA, to support the DQRs the contractor shall provide a portion of raw or processed data by email or web transfer for the purpose of Quality Control monitoring. The contractor shall provide the NYSERDA such data within 24 hours of the request.

8. Field Report

The contractor shall be required to submit a reporting template for the Field Report within one week after the start of the offshore works. The Draft Field Report shall be made available within two weeks of the completion of the fieldwork.

The Field Report shall contain daily logs and summaries of the work completed, together with any preliminary results that can be provided. The Field Report should include as a minimum:

- A statement of the purpose of the investigation and Scope of Work;
- A description of the work carried out, including:
 - Project personnel; vessels; equipment list;
 - Vessel Offset Diagrams for each vessel and, if instrument configurations were changed in the field, each instrument configuration;
 - Exact positions of all survey works and details of survey positioning control (positioning calibrations, geodetic data, etc.), with accompanying calibration records;
 - Field procedures, including methodology;
 - Acquisition Quality Control procedures and reference to the PQP and the specifications and standards adopted and any deviations from them for each survey type;
 - End-of-line reports for the MCS survey;
 - Environmental observations;
 - Relevant signed calibration sheets
- The mobilization, field verification and testing report(s), as appendices;
- Copies of Client concessions, as an appendix.

9. Operations Report

Unlike the Field Report and the Geophysical Interpretative Report, the Operations Report will not be published and will only be for NYSERDA internal use only since it may contain information that is sensitive or confidential for the Contractor, and this and similarly-situated work products should be marked accordingly with guidance from the NYSERDA Project Manager.

The draft Operations Report shall be made available to NYSERDA within two weeks of the completion of the fieldwork. The Operations Report shall contain:

- Daily logs (DPRs)
- Health & Safety records, Incident reports and safety meeting minutes.

10. Geotechnical location memo

This memo should propose suitable locations for in situ investigations in the subsequent geotechnical campaign, to support BOEM review of proposed geotechnical locations. The recommendations for geotechnical investigation locations should be designed to qualify the seismic interpretation for stratigraphy, lithology, geohazards and representative geotechnical parameters, including sufficient 'typical' and 'anomalous' locations to characterize the variation across each draft WEA. The plan is for the Geotechnical location memo to be issued as a separate memo, detailing the general recommendation strategy and a table that details for each location:

- Justification for choosing the location.
- Marine archaeological resource (including cultural landscape) potential.
- Recommendation if a CPT or borehole should be executed and to what depth.
- Recommendation for locations and depth intervals for dating analysis to confirm stratigraphy.

The memo shall be accompanied by:

- Chart and description of predicted geological sequence.
- Excel spreadsheet of recommendation table
- Shapefile of locations, with populated attribute table as per the previous points.

11. Geophysical Interpretative Reports

Although the Geophysical Investigation constitutes a 'site reconnaissance survey' as defined in BOEM's Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585⁴, the interpretative report should be compliant with BOEM guidelines for the content of site characterization reports as far as is possible with partial site coverage.

The contractor shall be required to submit a reporting template for the Interpretative Report within two weeks after the start of the offshore works. The Draft Interpretative Report shall be made available within seven weeks of the completion of the fieldwork.

One stand-alone Interpretative Report must be submitted for each contiguous draft WEA.

This Interpretative Report shall include:

- i. An Executive Summary;
- ii. A statement of the purpose of the investigation;
- iii. A description of the work carried out, including methodology used for the processing and analysis of each dataset and the associated positioning data, plus reference to specification and standards adopted and any deviations from them;
- iv. Exact locations of all survey lines;
- v. Processing procedures;
- vi. Interpretation procedures;
- vii. Processing and interpretation Quality Control procedures and reference to the PQP and the specifications and standards adopted and any deviations from them;
- viii. A description of the ground model that demonstrates that the Investigation requirements have been met, including a description of the bathymetry, summary tables of seabed and sub-bed targets, a stratigraphic summary table, a full description of all identified seismic facies and features with accompanying example figures, and identification of any areas of potential archaeological significance, summary table of pipelines cables and other infrastructure, qualitative discussion of potential seabed mobility and scour;
- ix. Charts at an appropriate scale on ARCH E of all outputs defined by NYSERDA as required;
- x. Appropriate ground model 2D and 3D visualizations;
- xi. Geotechnical location memo, as an appendix.

The reports and data deliverables shall be submitted to NYSERDA and the Owners Engineer and shall be accompanied by metadata that are compliant the Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys. Both the Draft and Final Reports must be accompanied by a complete set of data deliverables, including the project GIS archive. Data shall be provided via multiple portable hard drives (4).

I. Reporting and data deliverables

1. General

A complete data archive as defined in the following sections must be provided with both the draft and final interpretative reports. A complete, separate archive must be provided for each draft WEA. Clear documentation of data deliverables and demonstration of adherence to BOEM guidelines is required as these deliverables will be important input to future investigations.

⁴ https://www.boem.gov/sites/default/files/renewable-energy-program/G_G_Guidelines_Providing_Geophysical_Geotechnical_Geohazard_Information_Pursuant_to_30_CFR_Part_585.pdf

All data shall be provided with appropriate metadata that are compliant with BOEM metadata requirements specified in Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys.⁵ Spatial data attribute tables (e.g., SSS targets) must satisfy at minimum BOEM SAP and HRG attribution requirements and shall be approved by NYSERDA prior to delivery.

A table of file names against line names for all MBES, Side-Scan Sonar, magnetometer and seismic data files as plain text file or spreadsheet must be supplied. For lines associated with multiple line-part data files, each data file should have its own entry in the index table. The table should also contain the following information against each line name entry:

- Acquisition vessel;
- Acquisition date;
- Source type and ID;
- Receiver type and ID;
- Start and End fix points;
- Name of the relevant Vessel Offset Diagram;
- Indication of whether the file is a production file or has not been processed;

The following data deliverables are required.

2. Raw data

The following raw data deliverables are required at minimum.

- Swath bathymetry data per line/file (full density), in the form of cleaned, de-spiked text (x,y,z) files, after application of positioning QA/QC.
- MBES backscatter data, in standard format such as Generic Sensor Format (GSF).
- Speed of sound in seawater vertical dip data profiles as Excel spreadsheets containing graphs, and as plain text files stripped of trailing values. Data columns must include, at minimum, depth of sounding, recorded speed and corrected speed. Correction parameters should also be included as headers or data columns. Data from both down- and up-going casts must be included.
- Side-Scan Sonar data in the form of raw, un-mosaiced data files (e.g. *.xtf files)
- Cleaned, de-spiked magnetometer data as text (x,y,z) files per magnetometer/line/file, after application of positioning QC and layback
- Raw SPS data with correct navigation applied in SEG-Y format (if applicable, heave information shall be provided separately and not applied to the raw data).
- If acquired, raw SCS data with correct navigation applied in SEG-Y format (if applicable, heave information shall be provided separately and not applied to the raw data).
- Multi-channel raw seismic data with geometry and correct navigation applied (shot gathers) in SEG-Y or SEG-D format.

3. Processed data

The following processed data deliverables are required at minimum.

- Vessel trackplot.
- MBES trackplot (fix point and line).
- The bathymetry at a resolution of 0.5 x 0.5 m or better reduced to datum and produced by gridding the swath bathymetry data to a regular grid, as a single or tiled set of xyz text files (*.xyz/*.pts); and an equivalent single or tiled raster/grid.
- Bathymetry contours at an appropriate interval for the topographic complexity, the grid vertical accuracy/precision and the depth range (typically 1 m).

⁵https://www.boem.gov/uploadedFiles/BOEM/Renewable_Energy_Program/Regulatory_Information/Spatial_Data_Guidelines.pdf

- MBES backscatter image at an appropriate resolution, produced by gridding the swath bathymetry backscatter data to a regular grid, as: a single or tiled set of xyz text files (*.xyz/*.pts); and an equivalent single or tiled raster/grid.
- Bathymetry Total Vertical Uncertainty (TVU) and Total Horizontal Uncertainty (THU) grids at an appropriate resolution, as: a single or tiled set of xyz text files (*.xyz/*.pts); and an equivalent single or tiled raster/grid.
- The bathymetry slope in degrees calculated from the bathymetry grid as a single or tiled set of xyz text files (*.xyz/*.pts); and an equivalent single or tiled raster/grid.
- A time-stamp indexed text file of the tidal correction.
- SSS trackplot (fix point and line).
- Magnetometer trackplot (fix point and line).
- Single or tiled Side-Scan Sonar mosaic at 0.5 m resolution in raster format (e.g. *.tif).
- Cleaned, de-spiked magnetometer data as text (x,y,z) files per line/file, including layback, both for individual magnetometers and gradient data.
- Trackplot for the SPS survey (point and line).
- Trackplot for the SCS survey (based on the source-receiver mid-point) (point and line).
- Trackplot for the MCS survey (based on the CDPs) (point and line).
- Processed SPS data with correct navigation and tidal correction applied in SEG-Y format (if applicable, the processed data shall be heave corrected) in time.
- If acquired, processed SCS data with correct navigation and tidal correction applied in SEG-Y format (if applicable, the processed data shall be heave corrected) in time.
- Multi-channel processed seismic data with correct navigation and tidal correction applied in SEG-Y format (including processed data at major interim stages of the processing, e.g. brute stack, after multiple attenuation and before and after migration, in time and depth).

All raster deliverables for single-variable data should be supplied as single-band files with actual cell values (e.g. elevation, intensity), not as multi-band RGB images, with the exception of the SSS mosaic. All processed spatial deliverables listed above that are not natively generated in ArcGIS (e.g. CAD, microstation products), must be provided additionally in the project GIS archive.

4. Interpretative data

The following interpretative deliverables are required at minimum.

- Bedform classification polygon(s).
- Sandwave crests as polylines.
- Sediment distribution/seabed classification, depending on the classification method used, to be provided as: either a single or tiled set of xyz text files (*.xyz/*.pts) and an equivalent single or tiled raster/grid; or as a polygon spatial data file.
- Full Side Scan Sonar contact report containing information and images for all identified SSS targets in Microsoft Word and Adobe pdf formats.
- Side-Scan Sonar target table and associated point, line and polygon spatial data files.
- MBES target table and associated point, line and polygon spatial data files.
- Magnetometer target table and associated point, line and polygon spatial data files.
- Separate table containing all vertex co-ordinates for each identified cable/pipeline, indexed by cable/pipeline ID.
- Text (or csv) pick files for each interpreted horizon (including seabed and interfaces/features that were of too small extent or too sparse to be gridded) in an exchangeable format with at minimum columns for XY coordinates, survey line name, shot point/trace number, time and elevation.
- Elevation surfaces for all interpreted horizons at an appropriate resolution to be agreed with NYSERDA, reduced to datum and produced by gridding the pick data to a regular grid, as an xyz text file (*.xyz/*.pts) and a raster/grid.
- Elevation contours for all interpreted horizons at an appropriate interval.
- Depth below seabed information for all interpreted horizons at the same resolution as the elevation grids, as an xyz text file (*.xyz/*.pts) and a raster/grid.

- Depth below seabed contours at an appropriate interval.
- Sub-surface point geohazard (such as diffraction apices that may indicate the presence of boulders) table(s) and associated point spatial data with columns for X and Y co-ordinates at minimum and depth where appropriate as point data files (one per type).
- Formation/formation member/unit and laterally extensive geohazard (such as shallow gas or peat) extents as polygon spatial data files. Extent polygons should:
 - include and clearly indicate areas where the unit/feature is thought to be present, but the base/top cannot be interpreted, and exclude areas where the unit/feature is absent; and
 - indicate any areas of particular uncertainty.
- Faulting as linear features (individual faults) and/or polygons (areas of faulting).
- Kingdom project (or similar, depending on interpretation environment), preferably in Kingdom 2015.

All raster deliverables for single-variable data should be supplied as single-band files with actual cell values (e.g. elevation, intensity), not as multi-band RGB images. All interpretative spatial deliverables listed above that are not natively generated in ArcGIS (e.g. CAD, microstation products), must be provided additionally in the project GIS archive. If provided, tiled grids shall not have overlaps.

5. GIS data

A project GIS archive in a single GIS deliverables folder must be provided to NYSERDA and the Owners Engineer. Raw and Processed spatial data supplied in the project GIS archive (e.g. grids, polygon files) do not need to be provided elsewhere in the data delivery. Duplication of data deliverables should be avoided where possible.

Spatial data should ideally be provided in a geodatabase, but shapefile data would be acceptable with appropriate handling of 'null' values. The GIS data must be consistent with all other data deliverables (e.g. target feature classes in the GIS archive must contain the same attribute columns and values as in the Excel/text file target tables and report appendices, Kingdom-generated elevation grids and GIS elevation rasters should match, etc.). The GIS data archive must include at minimum:

- Project area, wind farm and survey boundaries (polygons).
- Vessel trackplot(s) and fix points.
- Sensor trackplots and fix points (transmitter/receiver midpoint where transmitter and receiver are not co-located; CDP-based for the MCS trackplots).
- Bathymetry grid (full resolution) and contours.
- TVU and TVH uncertainty grids.
- MBES backscatter grids.
- SSS mosaic (full resolution).
- MBES, SSS and magnetometer targets (point, linear and polygon targets to be symbolized appropriately; e.g. significant linear targets should be recorded as line features and not points), including as-found cables, pipelines, wrecks etc. MBES and SSS targets may be combined into a single Feature Class/shapefile but magnetometer targets must be kept separate.
- Elevation and depth below seabed grids and contours for all interpreted interfaces (including gridded geohazards, e.g. top shallow gas). Grid and contour coverage must be consistent with the associated extent polygons.
- Polygon extents for each identified geological unit and Formation and all spatially-extensive geohazards (gas, significant channels, areas of faulting etc.). Areas where an interface or geohazard is thought to be present but is not interpretable must be differentiated from areas where it is thought to be absent.
- Point and polyline geohazards (suspected boulders, isolated peat occurrences of too small an extent to be gridded, etc.).
- Seabed sediment classification.

- Bedform classification.
- Geotiffs of all reported side scan sonar contacts.

All raster deliverables for single-variable data should be supplied as single-band files with actual cell values (e.g. elevation, intensity), not as multi-band RGB images, with the exception of the SSS mosaic.

The master map (*.mxd document) should include a layout containing at minimum a map window (with appropriate graticule), scale bar and legend. All data should be symbolized using similar schemes as per the report charts for ease of cross-referencing.

Layers should be grouped into meaningful categories (background mapping, geohazards, seabed features, etc.) and layer and group names should be used that can be easily cross-referenced to the report.

Section III. Geotechnical Investigation program requirements

A. Objective of Geotechnical Investigation

The objectives of the field investigation and laboratory testing program are:

1. To supplement the preceding geophysical survey by collecting soil data at specific locations in order to calibrate or “ground-truth” the seismic data. This will enable the further development of the geological ground models for each contiguous draft WEA in Hudson North and Hudson South (shapefiles available here: <https://www.nyserda.ny.gov/ny/Offshore-Wind-Geo-Investigations>) that will be initially based on the geological desk study and the results of the geophysical survey;
2. To help determine, together with the seismic data, the general vertical and lateral variation in seabed conditions across the two study areas;
3. To provide relevant geotechnical data for the preliminary design of potential offshore wind farms in the region, including, but not limited to foundations and cables;
4. To support the assessment of suitability of construction vessels used during the construction phase of WTG and OSS structures.

B. Services Requested

NYSERDA seeking an offshore geotechnical site investigation Contractor to undertake a preliminary soil investigation in accordance with international standards and guidelines, and relevant BOEM guidelines. The services should include: development of a field survey plan for field investigations including process for coordinating with fishermen and other mariners, obtaining all authorizations/permits necessary to perform the work, *in situ* testing using a piezocone penetrometer, collection of soil samples from drilled boreholes, laboratory testing of soil samples, data processing and analysis, and reporting. Archaeological resource identification surveying may also be required to provide coverage of any seafloor area that will be physically disturbed by the geotechnical investigation, as per BOEM *Guidelines for Providing Archaeological and Historic Property Information*.

Following the state-of-practice for offshore wind farm site investigations, it is preferred that the *in situ* piezocone penetrometer testing (PCPT) is carried out using both a seabed system and within the boreholes. A seabed PCPT system is widely acknowledged as providing the most cost-effective means of gathering high quality soil data and is particularly useful for preliminary investigations where a large area needs to be investigated on a tight budget. The only disadvantage is that the maximum test depth cannot be guaranteed, since it is dependent on the soil conditions encountered. In contrast, it is possible to guarantee the depth of (down-hole) PCPT testing within a drilled borehole.

However, it is not sufficient to obtain only PCPT data. Laboratory testing of soil samples is also necessary in order to confirm the soil type and to calibrate the interpreted geotechnical parameters derived from the CPT

data, especially the undrained shear strength of cohesive materials. In order to obtain soil samples over the full depth of interest, drilled boreholes are required at selected representative locations.

The contractor may, at NYSERDA's request, be required to coordinate with one or more research or academic institutions, making reasonable accommodations to share sediment samples and/or information to support appropriate and relevant research projects.

C. Types and Locations of Measurements

NYSERDA will select the investigation locations and depths based on the results of the geophysical surveys. The quantities of seabed PCPTs and sampling boreholes will depend on the available budget (current estimate is around \$2,000,000). The balance between seabed PCPTs and boreholes will also depend on the lateral variability in geological conditions across the two sites and a consideration of the need to have as many investigation points as possible versus the need for soil samples at specific locations. However, it is anticipated that the ratio of seabed PCPTs to boreholes will be around 5:1.

D. Vessel Requirements

The vessel(s) must fulfil all requirements in accordance with the national and international provisions and conventions applicable in each case at the place of performance, including the IMO Convention (for example SOLAS, ISM, MARPOL and STCW). This must be substantiated with valid certificates for vessels, crew and (anchoring-, crane-, lifting-, lifesaving-, firefighting-, etc.) equipment. Certificates must be valid until 3 months after end of the Work, at a minimum. Insurance commensurate with industry standards for the type of work solicited will also be required.

- Vessel(s) (at least Dynamic Position System 2 (DP2)) must be capable of undertaking the Work as specified in the Scope of Work. Vessel(s) should have as a minimum a length overall of 70 metres and a beam of 15 metres.
- Vessel(s) must be capable of continuous operation of 7 days, 24 hours a day.
- Vessel(s) must have adequate capacity and facilities for:
 - Accommodating (berths and workspace) for both marine and survey crews including Client Offshore Representatives for working in two 12 hour shifts per day;
 - storage and bunkering capacity for spares, consumables, fuel etc.;
 - onboard QC and processing of investigation data.
- Vessel(s) must comply, as a minimum, to the code of practice according to IMCA guidelines (Contractor must submit prior to start of mobilization an independent inspection report/audit that fulfils the corresponding IMCA guideline for the used vessel category and have been passed successfully. This inspection report should not be older than six months before start of mobilization and all items in the checklist are answered with 'Yes' or 'N/A'.)

E. Survey Technology

NYSERDA has a strong preference for the following types of geotechnical equipment to be used:

1. A seabed PCPT system with a minimum 20-tonne thrust capacity and sufficient rod length for a target penetration depth of 50m below seabed.
2. A conventional offshore heave-compensated rotary-flush drilling rig with the capability for deploying downhole tools for push sampling (76mm / 3-inch diameter Shelby tubes), hammer sampling (2-inch & 3-inch diameter), and PCPT.

Furthermore, NYSERDA anticipates that the optimum geotechnical solution will involve a combination of seabed PCPT and drilled boreholes (involving sampling, rock coring if necessary, and downhole in situ testing i.e. PCPT, SCPT). This combination of techniques normally maximizes the number of investigation locations

and the total depth over which data is obtained, whilst ensuring that a site-specific calibration is undertaken of the CPT data from laboratory tests on soil samples. However, it is acknowledged that the vessel mobilization costs could represent a significant proportion of the available budget, which may limit the typical benefits of this solution, depending on whether one or two vessels would be required. Therefore, the proposer is invited to consider the cost-benefit of a borehole-only solution, a seabed CPT-only solution, and a combination of the two when formulating a proposal for the geotechnical investigation.

NYSERDA will consider alternative technology options provided that the likely quality of results and the cost-effectiveness of the works can be demonstrated clearly by the proposer. However, it should be noted that a jack-up vessel is considered to be an unsuitable option for this site considering the general uncertainty in soil conditions and the lack of any soil data for the necessary site-specific leg penetration assessments at each location.

The proposer shall demonstrate that they can provide, and deploy appropriately, geophysical survey equipment for the purposes of archaeological resource identification that meets the specifications described by the BOEM *Guidelines for Providing Archaeological and Historic Property Information* (Side-Scan Sonar, magnetic gradiometer and Sub-Bottom Profiler). However, pricing of archeological resource identification surveying is not required in the proposer's tender.

Materials and equipment or parts thereof provided by the proposer must be of good quality and workmanship and fit for the intended purpose.

F. Recovery of Samples and Laboratory Testing

1. General

The following tasks shall be carried out offshore on the geotechnical drilling vessel:

- Sample logging immediately after a sample has been retrieved by a qualified Contractor's (engineering) geologist, and photography;
- Moisture content and unit weight measurements;
- Pocket penetrometer tests or torvanes if appropriate on cohesive soil samples;
- Unconsolidated Undrained Triaxial Compression Tests (UU tests);
- Selection and proper preservation of suitable of "undisturbed" cohesive samples to avoid a change of the soil properties (e.g. waxing of and preservation in cardboard tubes or preservation of whole cores) including labelling of core sub-samples for onshore testing.

All core logging and soil testing shall be carried out, where applicable, respectively to Eurocode EN 1997-2:2007, ISO 19901-8:2014, BS 5930, and BS 1377 or NYSERDA approved equivalent.

2. Sample Photography

Each recovered sample shall be cleaned of drilling fluid, photographed intact, and after removal of a thin veneer of sample to expose any stratigraphy, surface structure or change in properties shall be photographed again. After subsampling to preserve undisturbed material and testing the remaining core shall be split and photographed again to record the internal structure so that all details are clearly recognizable in accordance with a NYSERDA approved standard. As a minimum 12MPX resolution is required in order that quality, focus, color and resolution shall be adequate to resolve millimeter scale features.

The borehole identification, date of sampling, depth data and top/bottom identification must be legible along with the project identification, borehole number, sample identification, sample depth, a graphic length scale and a standard of tints.

The Contractor shall be required to demonstrate a system to prove that every sample is photographed to a standard to be accepted by NYSERDA and recorded on to hard storage media. Examples shall be provided to the Client Offshore Representative for approval prior to photography commencing.

3. Laboratory Testing

Onshore Laboratory testing shall be performed on the preserved samples at an approved laboratory selected by the Contractor. Any subcontracted testing shall require the approval of NYSERDA. As a general guideline, the following types of tests will normally be required for the different material types expected. The actual testing program shall be proposed by the Contractor and approved by NYSERDA.

Cohesionless Soil

- Natural water (moisture) content
- Bulk density
- Particle density
- Particle size analysis (sieve)
- Particle size analysis (using sieve and pipette method for fines fraction)
- Maximum and minimum density
- Carbonate tests
- Organic tests (dichromate or loss on ignition)
- Isotropically consolidated drained (CID) compression triaxial tests
- Shear box tests

Cohesive Soil

- Natural water (moisture) content
- Bulk density
- Particle density
- Particle size analysis (using pipette method for fines and if applicable sieve)
- Atterberg limits (plastic and liquid limits, fall cone test)
- Organic tests (dichromate or loss on ignition)
- Unconsolidated undrained (UU) triaxial compression tests on undisturbed samples
- Unconsolidated undrained (UU) triaxial compression tests on remoulded samples
- Isotropically consolidated undrained triaxial compression test (CIU)
- Incremental Loading (IL) oedometer compressibility tests
- Constant Rate of Strain (CRS) compressibility tests

Rock

- Natural water (moisture) content
- Uniaxial compressive strength (UCS) tests
- Point load tests
- Carbonate tests

4. Storage of Samples

On board the vessel, samples shall be stored in a temperature stable environment (5-10°C) with no exposure to direct sunlight and in compliance with the standards as specified above. In the onshore laboratory, samples shall be stored in a temperature (5-10°C) and humidity-controlled enclosure and in compliance with the standards as specified. NYSERDA shall approve proposed methods and conditions of storage.

The soil samples shall be stored onshore by the Contractor for a period of thirty-six (36) months following the soil samples receipt at the onshore laboratory during which time NYSERDA shall be granted free access to the same. The Contractor shall store the cores in containers so that they can be retrieved easily. Storage shall be in a temperature and humidity-controlled environment to ensure the samples do not dry out or suffer any other damage and in compliance with the standards as specified.

The Contractor shall confirm and detail the precise method of long-term storage and temperature control for NYSERDA approval.

Following the minimum thirty-six (36) months storage period, NYSERDA shall instruct the Contractor of one of the following:

- a further period of storage,
- safe and legal disposal of all samples or
- NYSERDA collection of said samples.

For the avoidance of doubt, the Contract Price shall include for the safe and legal disposal of all samples of storage. Further storage shall be at cost to NYSERDA by contract modification.

G. Data Analysis

The Contractor is required to process, analyze and present the factual data in accordance with the relevant test standards. In accordance with standard practice, the Factual Geotechnical Report should include factual results from the laboratory tests and measured parameters from the PCPT tests (i.e. cone tip resistance, sleeve friction, excess pore water pressure) in addition to the normal geotechnical parameters that are interpreted from the measured parameters (i.e. net cone resistance, friction ratio, pore pressure ratio, undrained shear strength of cohesive soils, and relative density of cohesionless soils).

The Contractor may also be required to analyze all the results from the geotechnical investigation and the geophysical survey in order to develop a Geological Ground Model for the study areas. However, this is an optional item, which will be requested at the discretion of NYSERDA.

The detailed contents of the geotechnical investigation reports are presented in Section H below.

H. Reporting and data deliverables

1. Daily Progress Reports

During the offshore execution of the works Contractor shall issue to NYSERDA Daily Progress Reports (DPR) to be submitted before 12:00hrs the next day. The format and content of the daily report shall be submitted to NYSERDA for approval prior to implementation, but shall include as a minimum:

- Activities executed in the past 24 hours and cumulative to date described in all phases, in total numbers and in percentages;
- Activities planned for the upcoming 24 hours;
- Any occurrence causing delay to the project with consistent abbreviations/codes, including but not limited to:
 - equipment downtime;
 - scheduled maintenance;
 - instrument calibrations;
 - occurrence of Waiting on Weather;
 - Weather standby below workable weather limits;
 - other standby;
- Daily observation and registration of weather and sea state;
- HSE occurrences such as incidents, accidents, near misses, safety meetings, safety stand downs, number of safety drills, toolbox talks and persons on board, number of HSE observations, together with measures taken and status
- Non-conformance reporting

The DPRs will be provided in a consistent PDF format to be pre-approved by NYSERDA and will not be scanned. The Contractor submits the Daily Progress Report to the Client Offshore Representative for comments.

2. Weekly Reporting

The Contractor shall also issue a weekly report providing insight in the progress of the Work on a weekly basis.

The weekly progress report of the Contractor shall include, but not be limited to, the following subjects:

- Work in progress;
- Health Safety & Environment;
- Safety Statistics;
- Status summary work schedule, including weekly planning update;
- Forward looking information for the next two reporting periods;
- In case of deviations from the program: proposals for remedial action together with any revised plans and projections needed to substantiate or explain proposals.
- Status of queries / concession requests;
- Risk Log including areas of concern and actions taken to address them;
- Change control, including list of issued and potential Variation Orders;
- Updated document register;
- Photographs of relevant achievements;
- Areas of concern.

3. Preliminary Field Borehole Logs and PCPT Results

The Contractor is to provide preliminary PCPT results within 24 hours of completion of the borehole. The Contractor is to provide the preliminary (field) borehole logs containing the offshore lab test results within 48 hours of completion of the borehole. Prior to submitting the borehole logs and PCPT results, the Contractor's lead engineer shall review and approve the data for release to NYSERDA. The combined results will be used to complete the onshore laboratory test schedule.

4. Field Report

The Contractor shall be required to submit a reporting template for the Field Report within one week after the start of the offshore works. The draft Field Report shall be made available within two weeks of the completion of the fieldwork.

The Field Report shall include but is not limited to:

- Executive management summary
- A statement of the purpose of the investigation;
- A description of the work carried out, including reference to specification and standards adopted and any deviations from them;
- Exact locations of all boreholes and seabed PCPTs. The coordinates should also be provided in electronic format (xlsx);
- Drawings (GIS format or similar as well as PDF) showing the locations of the boreholes and seabed PCPTs undertaken;
- Preliminary (field) borehole logs (including offshore laboratory tests results);
- Plots of the following final (quality assured) PCPT results:
 - Measured cone resistance
 - Measured sleeve friction
 - Measured pore water pressure
 - Friction Ratio
 - Net cone resistance
 - Interpreted relative density (granular materials), inclusive of a description of the type of correlation used for the interpretation

- Interpreted undrained shear strength (cohesive materials), inclusive of a description of the type of correlation used for the interpretation
- Calibration report including all on board calibration sheets and calibration certificates of PCPT cones used;
- Mobilization report;
- Positioning data;
- Full details of all lost and damaged equipment.

5. Operations Report

Unlike the Field Report and the Geotechnical Investigation Report, the Operations Report will not be published and will only be for NYSERDA internal use only since it may contain information that is sensitive or confidential for the Contractor.

The draft Operations Report shall be made available within two weeks of the completion of the fieldwork. The Operations Report shall contain:

- Daily logs (DPRs)
- Driller's and CPT operator's log and recorded drilling parameters (i.e. torque, mud pressure, bit weight)
- Incident reports

6. Geotechnical Investigation Report

The contractor shall submit a reporting template for the Geotechnical Investigation Report within two weeks after start of the offshore works. The contractor shall also submit an interim version of the Geotechnical Investigation Report containing all available standard laboratory test results six (6) weeks following the completion of fieldwork. The Contractor shall submit a draft final version of the Geotechnical Investigation Report containing all laboratory test results no later than twelve (12) weeks following the completion of fieldwork.

One Investigation report and associated data archive shall be submitted for each contiguous draft WEA.

The draft final version should include:

- Executive management summary;
- A statement of the purpose of the investigation;
- A description of the work carried out, including reference to specification and standards adopted and any deviations from them;
- Exact locations of all boreholes and seabed PCPTs. The coordinates should also be provided in electronic format (xlsx);
- Drawings (GIS or similar as well as PDF) showing the locations of the boreholes and seabed PCPTs undertaken;
- Plots of the following final (quality assured) PCPT results:
 - Measured cone resistance
 - Measured sleeve friction
 - Measured pore water pressure
 - Friction Ratio
 - Net cone resistance
 - Interpreted relative density (granular materials), inclusive of a description of the type of correlation used for the interpretation
 - Interpreted undrained shear strength (cohesive materials), inclusive of a description of the type of correlation used for the interpretation
- Final offshore and onshore and laboratory test results including summary tables;
- Final borehole logs including the measurement while drilling results;
- Color photographs of samples and cores;

- ASCII data of PCPTs;
- Lab test data in AGS format;
- An overview of the remaining samples that will be stored.

The contractor must ensure that the terminology used in the geophysical report is transferred without alteration into the Geotechnical Investigation Report, including that of geological formation naming.

The contractor shall provide a digital draft report, which shall be made final after processing of comments and approval by NYSERDA. The draft report shall contain all the information which is to be included in the final report. Both draft and final field report shall consist of two (2) electronic copies to be provided digitally (HDD). The contractor shall provide four (4) electronic copies of the final Factual Geotechnical Report and data. Digital data shall be provided for both draft and final reports.

Section IV. Ground Model Update program requirements

A. Objective of Updated Ground Model

The objective of this ground model update is to produce an integrated set of data and reports that build on the Geophysical and Geotechnical Investigations results. The goal is that, through integration and refinement of the Investigation results, more robust Ground Models are developed that are consistent with all available data and are suitable as a basis for full-coverage, BOEM-compliant Ground Models (development of full-coverage Ground models is outside the scope of the works requested in this RFP).

In developing the ground model update, the contractor shall re-assess and refine the interpreted seismo-acoustic model developed during the geophysical survey using the geotechnical data and assign geotechnical parameters to each soil unit.

B. Data Analysis

If selected by NYSERDA to carry out this work, the contractor shall integrate all geophysical and geotechnical data sets (including all other relevant data provided by NYSERDA and available in the public domain) and create an updated ground model (report including drawings) for each contiguous draft WEA.

The ground model update scope shall be developed in conjunction with NYSERDA and the Owner's Engineer. As part of the integration and modelling process, should difficulties be experienced in integration due to either the geophysical or soils data, the Contractor shall discuss with NYSERDA and agree what processes are required to enhance the integration process. This may involve but not be limited to reinterpretation of the geophysical data set. The Contractor is encouraged to discuss any issues that may arise and to seek advice and guidance where required. The Contractor is also encouraged to engage with NYSERDA throughout the ground model update phase and to encourage discussion on the progression of the works and any perceived issues.

C. Reporting and Data Deliverables

1. Strategy Note

Prior to starting work, the selected contractor will be required to prepare a short technical note listing all input data and reports and outlining the proposed strategy for the integration of the various available datasets.

2. Ground Model Report

The contractor shall be required to submit a reporting template for the Ground Model Report on instruction from the Owner's Engineer, following the geotechnical field campaign. The ground model reporting and data archive must build upon the Geophysical and Geotechnical Investigation results: all

seabed and sub-bed grids/rasters, point, polyline and polygon features mapped by these Investigations must also be present in the Ground Model data archive, whether unchanged or updated. They must also be reported/mapped in the Ground Model report at an appropriate level of detail (with references as necessary to the Geophysical and Geotechnical Investigation reports) such that the Ground Model report can be understood as a stand-alone document.

One Ground Model report and associated data archive will be required for each contiguous draft WEA.

In addition to the existing Ground Model data as described above, the Ground Model shall include the following:

- Depth to top of Soil Unit maps, and contours for all units;
- Thickness of Soil Unit maps, and contours for all units;
- Identification of any geohazards;
- Location of all geophysical and hydrographic survey lines;
- Location of all boreholes and seabed PCPTs.

The Ground Model Report shall also include the following:

- Identification of the soil layers and extent thereof that can be found over the two study areas.
- Plots of the following geotechnical parameters versus depth (below seabed and below LAT) for each borehole and each geological soil unit:
 - Measured water content and Atterberg Limits
 - Measured bulk and dry unit weights
 - Derived submerged unit weight
 - Particle size by mass percentage less than 2, 60 & 2000 μm
 - Net cone resistance
 - Friction ratio
 - Undrained shear strength (measured from lab tests and interpreted from PCPT results)
 - Relative density (interpreted from PCPT results)
- Identification of areas within the study areas that can be qualified in terms of suitability and quantified in terms of reduced or elevated development and installation costs.
- Identification of the suitability of or possible constraints across the two study areas regarding:
 - Transfer of forces from wind turbine & substation foundation to seabed
 - Piling of foundations e.g. presence of boulders or rocks
 - The use of jack-ups
 - The use of gravity base foundations
 - The use of foundations based on suction piles or suction buckets
 - The use of novel or composite foundations
 - The installation of cables
- The following charts / cross-sections are to be reported and are considered to be a minimum:
 - Long-line and cross-line sections through boreholes and seabed PCPTs (superimposed and fully annotated).
 - Minimum three type section charts per development area showing interpreted seismic data with superimposed geotechnical interpretations that demonstrate that the geotechnical and geophysical interpretations are consistent, and the constrained ground model is robust.
 - Charts comprising the mapped top of each major geological soil unit surface identified and the mapping of each of the major geological soil unit thicknesses.
- Charts are to be provided in PDF and in an approved GIS-compatible format.

All data shall be provided with appropriate metadata that are compliant with BOEM metadata requirements specified in Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys⁶. Both the Draft and Final Reports must be accompanied by a complete set of data deliverables, including the project GIS archive. Data shall be provided via multiple portable hard drives (4).

Section V. Waiting on Weather principles

A. Definitions

Waiting on Weather shall mean standby or non-operational time of equipment and/or vessels of the contractor due to adverse weather conditions or forecasted weather conditions at the site.

Waiting on Weather occurs if the offshore Investigation cannot be continued or started at the time planned for its commencement, as stated in the contractors program and as specified in the daily progress reports.

Waiting on Weather can only occur if the Workable Weather Limits as stated by the contractor are exceeded.

Exceptional Weather Delay shall mean the number of Waiting on Weather days exceeding the estimated number of such days (Waiting on Weather Allowance) specified in the contractor's proposal (Attachment A – Cycle times and Rates – 5.1 (geophysical campaign) and 8.1 (geotechnical campaign)).

B. Principles

The consequences of Waiting on Weather incurred by the contractor in executing the work are handled as follows:

- Option 1: Lump sum including weather
In this scenario the contractor has an allowance for Waiting on Weather and will be granted an extension of the Key Dates for delivery of the deliverables in case the contractor can demonstrate to have suffered Exceptional Weather Delay. However, no adjustments of the Contract Price shall be made in case of Exceptional Weather Delay.
- Option 2: Lump sum excluding weather
In this scenario the contractor has not allowed for any compensation for Waiting on Weather. The Contract Price shall be adjusted by way of variation for actual Waiting on Weather and such adjustment shall be on a pro-rata basis measured to the nearest minute based upon the standby rate set out in Attachment A. The contractor will be granted an extension of the Key Dates for delivery of the deliverables in case the contractor can demonstrate to have suffered Exceptional Weather Delay.

The contractor is required to include the Workable Weather Limits, the Waiting on Weather Allowance and vessel standby rate in Attachment A. NYSERDA will choose the preferred way forward (option 1 or 2) based on an assessment of the prices.

C. Determination

1. Waiting on Weather will not apply under the following conditions:
 - (a) Before commencement of the work;
 - (b) During mobilization and demobilization activities;
 - (c) During suspension of the work, except when requested by NYSERDA

⁶https://www.boem.gov/uploadedFiles/BOEM/Renewable_Energy_Program/Regulatory_Information/Spatial_Data_Guidelines.pdf

- (d) When contractors vessel and/or equipment required for the execution of the survey activity is not or not fully operational and available due to, inter alia, breakdown, calibrations, maintenance or any other reason preventing the use of the equipment;
 - (e) When the full complement of contractors personnel required for the execution of the work is not available or operational;
 - (f) When contractors vessel or auxiliary equipment is on standby as a consequence of weather conditions below the Workable Weather Limits specified in Attachment A;
 - (g) After the Offshore Completion Date including Waiting on Weather as defined in Attachment A
2. In case more than one vessel is engaged, Waiting on Weather will be determined per vessel based on the principles described above and the Workable Weather Limits of the concerned vessel including equipment.
 3. Extension of the Offshore Completion date is only applicable in case the vessel experiencing Waiting on Weather is on the critical path towards the Offshore Completion Date.
 4. Waiting on Weather for a given day shall never be counted twice when determining extension of the Offshore Completion Date. E.g. if two vessels are on the critical path towards offshore completion, and both qualify for Waiting on Weather for a given day, then this will amount to a single day of extension.

Section VI. Environmental Protection

The selected contractor(s) will be responsible for obtaining all required permits to support the campaigns. The proposer(s) must demonstrate that:

- to the extent necessary for the execution of the services, the proposer has the ability to secure any required environmental permits and comply with the prevailing environmental laws and regulations, and
- the proposer has an environmental management system for which he holds a valid internationally recognized certificate, such as the ISO 14001 certificate.

Or that it has a quality assurance system that is at least equivalent to a certified environmental management system. The term 'equivalent' should be interpreted as 'having the following attributes':

- environmental performance is embedded organization-wide (in policy), adopted by the responsible management, and promoted by that management. That management is also responsible for the proper setup, implementation, and control of the environmental policy;
- comprehensive insight in the environmental laws applicable to the business operations and the compliance with them (observed based on control/enforcement);
- insight in where the business operations impact the environment and how to reduce this impact;
- the presence of plans and the execution of actions to further reduce the environmental impact;
- the presence of a periodical and independent verification of the compliance with the agreements on environmental performance;
- the presence of reports on the compliance with the agreements on environmental performance;
- If the Offer is submitted by a partnership (consortium), then each participant in the partnership must individually meet the requirements concerning environmental performance.

Section VII. Management of Data

1. Quality Management System

The contractor shall operate a quality assurance (QA/QC) system compliant with latest international quality standards (European standards series EN 45000 or equivalent) certified by an accredited body as recognized by European Co-operation for Accreditation (EA), or the International Accreditation Forum (IAF). The certified system must relate to all stages of the work and provide a full auditable trail for all works. The possession of valid certification will not affect NYSERDA's right to verify and monitor the contractor's QA/QC arrangements being comprehensive and implemented for the work.

2. Project Execution Plan

The contractor shall implement a management system assuring the safe and adequate management of the Work covering all (Work) preparation, engineering, transportation, measurement/inspection, quality, health, safety, environmental and interface aspects, all in accordance with the requirements of the Contract.

The overall management structure of the project shall be described in a Project Execution Plan to be submitted by contractor. The Project Execution Plan shall describe the implemented procedures with regard to, but not limited to, the management of:

- The overall project
- Scope
- Methods and vessel(s) used
- Planning
- QHSE
- Organization
- Communication and Information
- Risks
- Procurement

Geodetic Parameters (Datum Definitions, Projection Definitions and Height Datum Definitions), navigational accuracy, tidal height accuracy, frequency and method of navigation checks and positioning specifications and the specifics of all co-ordinate system transforms are expected to be stated in the contractor's Project Execution Plan for approval by NYSERDA and reported in the Field Report.

The PEP shall demonstrate that the vessel(s) and equipment have been thoroughly thought through to achieve the investigation objectives in an efficient manner. It shall be described in detail how the vessel(s) and equipment configuration are optimized for efficient data acquisition. The investigation data processing, analysis, interpretation and reporting methodologies must sufficiently detailed to demonstrate that they can achieve the Investigation objectives. Proposed deliverables and their formats must be tabulated to demonstrate that all deliverables required for the Investigation will be provided in BOEM-compliant formats.

The contractor shall ensure that the Project Execution Plan is approved by NYSERDA at least 3 days before the offshore survey work under the Contract is commenced, and that any subsequent amendments to the Project Execution Plan during the execution of the Work by the contractor are approved beforehand by NYSERDA.

The contractor shall allow for sufficient time for review and revision taking into account the review periods as detailed in this Contract document.

3. Project Quality Plan

The contractor shall prepare a Project Quality Plan (PQP) describing how its quality policy is implemented for the Work. The PQP shall address the systems and specific Quality Assurance (QA) requirements, taking into account all relevant provisions in all Sections of the Contract. The PQP shall be in accordance with contractor's documented quality management system and shall describe, as a minimum, all quality assurance and quality control issues that are relevant for all activities of the Works awarded under the Contract. The PQP shall describe at least:

- Quality management organization and staffing (including but not limited to organization charts, CV's, qualifications, previous experiences, etc.);
- Quality management procedures;
- Project control procedures;
- Procedure handling of documents;
- Calibration and checks of equipment procedure;

- Validation, verification & performance test procedures;
- Project Audit Plan.
- A comprehensive inventory of the risks that lead to a lower data quality or risks that have an impact on the quality of the deliverables of the survey including mitigation measures.
- Processes used to continuously monitor to ensure coverage and quality.
- The quantitative data acceptance thresholds that will be used by the offshore survey team, and how these will be applied, and approximate timelines for approval/rejection of data.
- Re-shoot policy in the case one or more data type is rejected for any line.

All activities and works by the contractor and his subcontractors shall be carried out in compliance with the Project Quality Plan.

The contractor shall ensure that the Project Quality Plan is approved by NYSERDA at least three days before the offshore Work under the Contract is commenced, and that any subsequent amendment to it by the contractor is approved beforehand by NYSERDA.

The contractor shall allow for sufficient time for review and revision, accounting for the review periods as detailed in point 6 below.

4. Document Management System

The contractor shall implement a document management system in which all documents are uniform, in which they have a unique number, in which they can be traced, and in which they are kept in a safe and easy way. All documents should be appropriately labeled, as applicable, in the event that they contain any confidential or proprietary information.

The quality documents must be part of/integrated in the overall document management system. All documents produced by or on behalf of the contractor shall be subject to the contractor's internal review, to verify compliance with the Contract requirements, statutory requirements and good engineering practice.

The contractor shall provide a Master Document Register or similar. Where naming, status and planning of transfer of documents shall be maintained.

5. Document Flow

The contractor shall provide NYSERDA with a procedure describing its document flow system: every document can be followed, at each moment the actual situation is visible, the distribution is clear (who is informed, who is concerned).

Information requested by NYSERDA in any stage of the project shall be submitted as soon as possible and within the timeline as indicated by NYSERDA, as far as reasonable.

The reporting requirements for the work are detailed in Section II.H and Section III.H.

Reports and deliverables will be delivered by the contractor in pdf and original, regular, formats (docx; xlsx; ppt; etc.).

PART 3. OWNERS ENGINEER

Section I. Program requirements

A. Services Requested

NYSERDA is looking for a contractor with specific qualifications and expertise in order to act as the Owner's Engineer and project manager of the Geophysical Investigation, Geotechnical Investigation, and (optional) Ground Model update described in PART 2 of this RRP, including interfaces.

The following sections describe the required support tasks and equivalent requirements for the expert support team for each task.

B. Geophysical Investigation Support

Task 1: Geophysical expertise (approximately 500 hours)

These expert(s) must be geophysicist(s) with experience in geophysical soil investigations and operations for wind farm/foundation/infield cable design. Experience on the New York coastal areas is preferable, but experience in other geographical areas with similar conditions is also considered relevant.

Required know how (the experts together must cover the required know how):

1. The general site conditions, especially the shallow geology to 100 meters below seabed (m bsb), in the Atlantic coastal areas off New York;
2. Relevant state of the art research, data acquisition and analysis methodologies of geophysical campaigns for wind farm/foundation/infield cable design projects;
3. Ground Model construction from geophysical, hydrographic and geotechnical data;
4. State of the art equipment (vessels, hydrographical and geophysical (in particular seismic survey equipment)).
5. Working with IHS Kingdom software (version 2015 or higher) - software must be available, will not be supplied by NYSERDA.
6. Provision of a Qualified Marine Archaeologist meeting the Secretary of the Interior's Professional Qualifications Standards (48 FR 44738- 44739) with experience in conducting HRG surveys and processing and interpreting the resulting data for archaeological potential, who can provide archaeological expertise in line with NYSERDA's Cultural Resources Study (<https://www.nyserdera.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25h-Final-Cultural-Resources-Study.pdf>).
7. Working with relevant BOEM guidelines, in particular:
 - *Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585* dated July 2, 2015 (BOEM 2015a).
 - *Guidelines for Providing Archaeological and Historic Property Information Pursuant to 30 CFR Part 585* dated March 2017 (BOEM 2017).
 - *Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Survey* dated February 1, 2013 (BOEM 2013a).

Activities will include (but are not limited to):

- Support finetuning and finalizing Scope of Work for the geophysical campaign;
- Review and evaluate technical requirements of project plans (e.g. project documentation, suitability vessels and equipment, equipment set up, project execution plan, line plan), in some cases providing a second opinion;
- Review of (intermediate) deliverables (for example reports, hydrographical data, geophysical data and ground model if appropriate);
- Support in transferring results of geophysical survey to geotechnical survey;

- Support in disclosing deliverables;
- Support in managing interfaces with other studies (Geotechnical Investigation and Ground Model Update).

Two senior experts need to be included in the proposal at a minimum.

Task 2: Support project and contract management of geophysical survey (approximately 500 hours)

Required know how (the experts together must cover the required know how):

1. Good understanding of geophysical surveys for offshore wind farm development;
2. Procurement and (contract) management of geophysical surveys;

Activities will include (but are not limited to):

- Review and evaluate commercial requirements of project plans (e.g. project documentation, suitability vessels and equipment, weather downtime arrangements, project execution plan);
- Support the commercial negotiations to close the contract.
- Support in managing the geophysical survey, monitor progress and take action where needed (including check on required actions from daily reports during the survey and the weekly progress reports from the geophysical contractor);
- Organize weekly progress meetings and participate in weekly progress meetings with the geophysical contractor;
- Quality assurance and quality control;
- Align input from other tasks and experts (experts under Task 1.1 and other NYSERDA experts). This includes participation in expert meetings;
- Document control, e.g. manage all documents of geophysical campaign;
- Contract management (including interface management);
- Prepare potential handovers of task to other experts.
- Data storage and distribution by means of an appropriate method such as SFTP.

Two senior experts need to be included in the offer as a minimum.

Task 3: Onboard Client Representation (approximately 400 hours)

The Geophysical Client Representative will be responsible for:

1. independently monitoring the contractor's geophysical and hydrographic data quality with respect to the investigation objectives.
2. take decisions offshore within a predefined mandate
3. Independently monitor the campaign is performed in accordance with the projects HSE requirements

The Client Representative should therefore have:

1. Required: Experience with shallow seismic surveying for shallow geological characterization, meaning work focused on depths from seabed to 100 m bsb *and* experience with all of the following
 - Sub-Bottom Profiling (SBP) as a primary method for geological characterization in depths of 0-15 m bsb,
 - Boomer or high-bandwidth Sparker Single-Channel Seismic surveying with particular reference to the top 30-40 m bsb, and
 - Ultra-High-Resolution Multi-Channel (UHR-MCS) surveying focused on the full depth range from seabed to 100 m bsb, preferably with a high-bandwidth Sparker source.
2. Required: Experience as offshore client representative on at least 2 previous offshore geophysical investigations for offshore wind farms.

3. Required: Experience of operating in similar survey conditions (sea states, seabed conditions) to those encountered in the New York Bight.
4. Required: Experience with Multi-Beam Echo-Sounder, Side-Scan Sonar and magnetometer or magnetic gradiometer surveying in water depths of up to ~50 m.
5. Required: Experience with health, safety and environmental regulations onboard geophysical survey vessels
6. Preferred: Experience of working in the New York coastal areas on geological investigations.
7. Preferred: Experience in data acquisition to compliance with BOEM guidelines for High-Resolution Geophysics (HRG) surveys.

It is foreseen that one Offshore Client Representative will be onboard during the operations.

Two senior representatives need to be included in the proposal at a minimum.

C. Geotechnical Investigation Support

Task 1: Geotechnical expertise (approximately 500 hours)

These experts must have geotechnical engineering skills with experience in operations for wind farm / foundation / infield cable design, preferably for projects off the New York coast of the United States. Experience in other geographical areas with similar conditions to the New York coastal areas is also considered relevant.

Required know how (the experts together must cover the required know how):

1. The general site conditions, especially the shallow geology till 100 meters BSF, in the Atlantic coastal areas off New York;
2. State-of-the-art methods and equipment for drilling, sampling and *in situ* testing (PCPT);
3. State-of-the-art lab tests (standard and effective stress testing);
4. Provision of a Qualified Marine Archaeologist meeting the Secretary of the Interior's Professional Qualifications Standards (48 FR 44738- 44739) with experience in conducting HRG surveys and processing and interpreting the resulting data for archaeological potential, who can provide archaeological expertise in line with NYSERDA's *Cultural Resources Study* (<https://www.nyserda.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25h-Final-Cultural-Resources-Study.pdf>). Interpretation of results for wind turbine foundation and infield cable design purposes;
5. State-of-the-art design methods for wind turbine foundations;
6. Compiling or reviewing ground models;
7. Working with IHS Kingdom software (version 2015 or higher) - software must be available, will not be supplied by NYSERDA.
8. Working with relevant BOEM guidelines, in particular:
 - *Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585* dated July 2, 2015 (BOEM 2015a).
 - *Guidelines for Providing Archaeological and Historic Property Information Pursuant to 30 CFR Part 585* dated March 2017 (BOEM 2017).
 - *Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Survey* dated February 1, 2013 (BOEM 2013a).
- 8.

Activities will include (but are not limited to):

- Support finetuning and finalizing Scope of Work for the geotechnical campaign, including liaison with BOEM to ensure that any archaeological survey requirements have been identified and met by the geotechnical investigation plan before submission for BOEM approval;

- Review and evaluate technical requirements of project plans (e.g. project documentation; suitability vessels and equipment; equipment set up; project execution plan), in some case providing a second opinion;
- Contribute to defining a CPT and borehole plan;
- Contribute in defining a lab testing program (standard and cyclic)
- Onshore QC of results during project execution in co-operation with the on-board Client Representative;
- Review of deliverables (for example reports, geotechnical data and ground model);
- Support in disclosing deliverables;
- Support in managing interface with other studies (including geophysical survey, geological ground model study, etc.).

Two senior experts need to be included in the proposal a minimum.

Task 2: Support project and contract management of geotechnical survey (approximately 500 hours)

These expert(s) must have experience in managing geotechnical investigations for offshore wind farm development.

Required know-how (the experts together must cover the required know how):

1. Good understanding of geotechnical surveys for offshore wind farm development;
2. Procurement and (contract) management of geotechnical investigations;

Activities will include (but are not limited to):

- Drafting the procurement documents for the geotechnical campaign tender;
- Review and evaluate commercial requirements of project plans (e.g. project documentation, suitability vessels and equipment, equipment set up, project execution plan)
- Support the commercial negotiations to close the contract.
- Support in managing the geotechnical survey, monitor progress, take action where needed (including check on required actions from daily reports during the survey and the weekly progress reports from the geotechnical contractor);
- Organize weekly progress meetings and participate in weekly progress meetings with the geotechnical contractor;
- Quality assurance and quality control;
- Align input from other tasks including participation in expert meetings;
- Document control, e.g. manage all documents of geotechnical campaign;
- Managing interfaces of all relevant desk studies and surveys (for example transferring results geotechnical survey to ground model development team);
- Managing the disclosure of documents;
- Manage the interface with the certifying body, if applicable;
- Contract management (including interface management) with other studies.
- Data storage and distribution by means of mutually agreed upon appropriate methods such as SFTP.

Two senior experts need to be included in the proposal at a minimum.

Task 3: Onboard Client Representation (approximately 400 hours)

The Geotechnical Client Representative will be responsible for:

1. independently monitoring the contractor's geotechnical data quality with respect to the investigation objectives.
2. taking decisions offshore within a predefined mandate

3. independently monitoring that the campaign is performed in accordance with the project's HSE requirements

The Client Representative should therefore have:

1. Required: Experience with performing geotechnical investigations for offshore wind farms
2. Required: Experience as offshore client representative on at least 2 previous offshore geotechnical investigations for offshore wind farms.
3. Required: Experience of operating in similar survey conditions (sea state, seabed morphology) to those encountered in the New York Bight.
4. Required: Experience with health, safety and environmental regulations onboard geophysical survey vessels
5. Preferred: Experience of working in the New York coastal areas on geological investigations.
6. Preferred: Experience in data acquisition to compliance with BOEM guidelines for geotechnical surveys.

It is foreseen that two Offshore Client Representatives will be onboard on a rotation basis during the operations.

Two senior representatives need to be included in the proposal at a minimum.

D. Ground Model Update support

Geophysical/geological/geotechnical expertise (approximately 100 hours).

If the Geotechnical or Geophysical Investigation contractor is directed to undertake the ground model update, the Owner's Engineer will be required to provide experts who have a combination of relevant geological, geophysical and geotechnical experience in developing geological ground models for offshore wind farms in the coastal waters off the eastern United States and/or other geographical areas with similar soil conditions.

Required know-how:

1. Experienced with assessment of geological ground model studies for offshore wind farms;
2. The general seabed conditions in the coastal waters off the eastern United States and/or other geographical areas with similar soil conditions;
3. Project management skills including interfacing with other campaigns (geophysical and geotechnical).

Activities will include (but are not limited to):

- Support in finalizing detailed scope of work for Geological Ground Model (if needed);
- Evaluate proposals (if needed);
- Review of the (draft) reports for the Geological Ground Model study;
- Review of the input data for the model;
- Manage reporting and document control e.g. during the Geological Ground Model study;
- Organize and participate in expert meetings;
- Support in additional questions from the market and disclosure information to the market.
- Data storage and distribution.

Section II. Management of data

The Owner's Engineer shall be responsible for storing all processed data acquired during the work described in Part 2 of this RFP. The Owners Engineer shall also develop a data platform to make the data publicly available. Proposals should cost for a storage period of three years following completion of the project and include an anticipated lump sum rate for both storing and serving the data over this period. The data shall be available for download via SFTP with an easily accessible index: see <https://oswbuoysny.resourcepanorama.dnvgl.com/> for an

example of a suitable format. Where datasets are too large to serve via SFTP a hard-drive distribution method shall be used. Provision of at least 20 hard drives shall be included within the lump sum.

PART 4. GENERAL INFORMATION

Section I. Timing of Proposed Works

The detailed planning of the geotechnical investigation needs to be based on the results of the geophysical survey. This means that there will be a minimum gap between the completion of the geophysical fieldwork and commencement of the geotechnical fieldwork, to allow time for development of a targeted geotechnical plan based on the geophysical investigation preliminary results.

The main constraints on the schedule will be:

1. Potentially the timing of BOEM finalization of WEAs (if an announcement is imminent at the time of contracting).
2. Weather window for field campaign (optimal conditions anticipated in June through August 2020).
3. Timing of BOEM lease auction (all fieldwork must be completed).

An indicative, ideal timeline is proposed as follows:

- December 2019: Release RFP package
- January 2019: Close RFP
- February 2020: Contract Development
- Early June 2020: Commence geophysical and hydrographic surveys
- Early July 2020: Complete geophysical and hydrographic surveys
- July 2020: Geophysical Field & Operations report submission
- August/September 2020: Draft Geophysical Interpretative report submission; Geotechnical location memo submission
- September 2020: Commence geotechnical survey
- October 2020: Complete geotechnical survey
- October 2020: Second Geophysical Interpretative report submission
- October 2020: Final Geophysical Interpretative report; Geotechnical Field & Operations report submission
- November 2020: Draft Geotechnical Investigation report submission
- January 2021: Second Draft Geotechnical Investigation report submission
- January 2021: Final Geotechnical Investigation report submission
- February 2021: Draft Ground Model reporting.
- March 2021: Final Ground Model reporting.

Section II. Delineation of Responsibilities

The Geophysical and Geotechnical Investigations and Constrained Ground Model Development will be managed jointly by NYSERDA and the Owner's Engineer.

The specific responsibilities of the Owner's Engineer will include:

- Review of geophysical site investigation tender submissions;
- Assisting NYSERDA with the contract negotiations;
- Finalizing the Scope of Works and Contracts;
- Reviewing the Geophysical Site Investigation contractor's project planning documentation (including Project Execution Plan, Project Quality Plan and Project Health Safety Environment Plan);
- Reviewing the contractor's geophysical field-testing report and selected acquisition parameters;
- Monitoring and assuring the progress and quality of the fieldwork through regular meetings (teleconferences) with the contractor's project management team and through the provision of client representatives onboard the vessel(s);
- Assisting NYSERDA in managing the geophysical and geotechnical contracts and any related interfaces;
- Reviewing the contractor's proposed seismic and interpretation workflows;
- Reviewing all contractor's deliverables.

The Geophysical Site Investigation contractor has the following responsibilities:

- Co-operating fully with the Owner's Engineer and any other contractors directly involved in the project including the providing a free-flow of any data obtained during the geotechnical site investigation, in accordance with any specific instructions given by NYSERDA;
- Obtaining all necessary permissions and/or notifications;
- Preparation of the hydrographic and geophysical survey plans that need to be provided (and approved) before the works can start;
- Preparation of a Field Verification Plan for the seismic source verification;
- Preparation of a marine mammal and sea turtle monitoring plan;
- Preparation of a field-testing report;
- Carrying out the works in accordance with ISO standards and other relevant guidelines for offshore site investigations for offshore wind farms;
- Informing NYSERDA on the progress of the works through provision of daily and weekly reports;
- Processing, analyzing and interpreting the data obtained through the geophysical and hydrographic surveys and presenting all results in clear reports and drawings.
- Optional: Ground Model Update.

The Geotechnical Site Investigation Contractor has the following responsibilities:

- Co-operating fully with the Owner's Engineer and any other contractors directly involved in the project including the providing a free-flow of any data obtained during the geotechnical site investigation, in accordance with any specific instructions given by NYSERDA;
- Obtaining all necessary permissions and / or notifications;
- Carrying out an independent UXO risk assessment for the proposed borehole and seabed CPT locations and undertaking any required additional measures in order to reduce the risk to as low as reasonably practical (ALARP);
- Carrying out location-specific archaeological clearance assessments for the proposed borehole and seabed CPT locations in accordance with BOEM Guidelines for Providing Archaeological and Historic Property Information (optional). Preparation of the geotechnical survey and plans that need to be provided (and approved) before the works can start;
- Carrying out the works in accordance with ISO standards and other relevant guidelines for offshore site investigations for offshore wind farms;
- Preparing the necessary laboratory testing specifications and schedules for NYSERDA approval and performing laboratory testing on obtained soil samples;
- Informing NYSERDA on the progress of the works;
- Processing the data obtained through the geotechnical survey and presenting all results in clear reports and drawings.
- Optional: Ground Model Update.

Section III. Collaboration and Co-ordination

It has not yet been decided whether the Geophysical Investigation contractor or the Geotechnical Investigation contractor will be asked to develop the updated Ground Model following the completion of the Geotechnical Investigation. This will depend on the proposals received, which will be evaluated based on contractor capability and value-for-money.

For the purpose of this RFP, production of the updated Ground Model should be considered an optional item at the discretion of NYSERDA. In any case, full co-operation will be required between the geophysical and geotechnical contractors to ensure a smooth transfer of any data needed for the production of the updated model.

Section IV. Review and Approval process

For documents that shall be submitted to NYSERDA and/or to third parties for approval, the following maximum review terms shall be taken in account:

- Review times for the main deliverables are specified in Attachment A
- For other documents, the following review times apply:
 - if approval only by NYSERDA is necessary: 2 weeks for each first revision of the document and 5 working days for each subsequent revision;
 - if approval by any third party is necessary: 4 weeks for each first revision of the document and 2 weeks for each subsequent revision;
- The contractor shall issue an updated revision of a commented document, which was sent for approval to NYSERDA, within one week after the comments have been issued by NYSERDA.
- In case approval documents are provided to NYSERDA during the field investigation and maintaining these review terms causes a delay of the campaign, then all costs arising from this delay will be borne by the contractor.
- For reviewing documents, NYSERDA shall use the document review form. When NYSERDA has sent the review form to the contractor, the contractor shall respond as quickly as possible. The contractor shall fill in the complete contractor response box with its answer. NYSERDA shall respond in the same form. Maximum review terms as described above shall be maintained.

Section V. Proposal Requirements

All responses submitted as part of this solicitation process become the property of NYSERDA. Careful consideration should be given before confidential information is submitted to NYSERDA as part of any proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. See Section VI. Proprietary Information for details.

Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

A. Proposal Submittal

Proposals must follow the format below. proposers should include sufficient, succinct information to demonstrate their experience with similar work and detail their approach for this project. Each page of the proposal should state the name of the proposer, "RFP 4260", and the page number. The maximum length of each proposal section is shown in Section B.

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions, 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.

B. Proposal Format

Proposals must be submitted as a single file, inclusive of all supporting documents, including a filled in Attachment A. The file should be 100MB or less in file size. Proposals must follow the format provided below and should include sufficient, succinct information to support the proposed approach, confirm the requirements and answer the questions described in the Proposal Evaluation Criteria listed in Part C. Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The maximum length of each proposal section is shown and should not be exceeded. If the proposer wishes to provide alternative options to those presented here for consideration by the reviewers, they may be presented along with appropriate justification and sufficient cost implications. NYSERDA reserves the right to negotiate changes to the proposed project approach, deliverables and deliverable formats with the selected proposer.

Proposed Program Component Checklist (1 page)

A filled-in Proposed Program Component Checklist must be attached as the front cover of your proposal.

Component		Bid	Ground model option
Investigations	Geophysical Investigation	Y/N	Y/N
	Geotechnical Investigation	Y/N	
Owner's Engineer	Owner's Engineer	Y/N	

1. You may not bid for both the Owner's Engineer and the Investigations.
2. You may bid for one or both of the Geophysical and Geotechnical Investigations.
3. If you bid for one or both of the Investigations, you may also bid for the Ground Model option.
4. The Owner's Engineer may not bid for the Ground Model option.

Project Summary, Background and Objectives (1 Page)

Briefly describe the proposed approach and proposer qualifications as they pertain to the options in this RFP that are being tendered for. Provide context for the approach and experience in relation to completed and ongoing relevant work in the region and around the world. Include a description of the limitations of the project. The Project Summary should be a complete, stand-alone summary of the proposer's role in supporting this offshore Geophysical Investigation site investigation and (optional) constrained Geological Ground Model production on a single page.

Project Approach (5 - 6 Pages + supporting documents not included in page count)

For the Investigation components, the proposal must describe the proposer's experience in provision of vessels and equipment and executing the required survey types. For all components, the proposal must detail the proposer's experience in processing, analysis, ground model development, and reporting for an offshore geophysical and hydrographic soil investigation in order to obtain information that is suitable for development, engineering and installation purposes for an offshore wind farm. The proposal must also describe the proposer's degree of experience in carrying out the required work in areas of similar geology, preferably within the offshore wind sector and focused on the top 100 m below seabed. The proposers experience in combining geophysical, hydrographic, and geotechnical data for constrained ground model production.

For the Investigations, the proposal must describe in detail the proposed vessel(s) including the vessel positioning system, and environmental operating limits, and demonstrate that they fulfil the RFP requirements. The proposal shall demonstrate that the proposed vessels have suitable stability and noise characteristics with respect to deployment of equipment for geophysical and hydrographic surveying. The proposal must also describe in detail the proposed equipment for the performance of the required surveys, demonstrating that they fulfil the RFP requirements, and how they will be deployed on the vessel to minimize interference. The proposal should describe the availability of spares and the back-up procedures in place if the primary equipment fails. If multiple vessels are proposed, then the proposal must describe which vessel will be responsible for which aspect of the survey activities. Typical vessel availability must be indicated, and a brief mobilization plan proposed (port of mobilization, transit times, etc.). The proposal shall briefly describe proposed vessel sheltering procedures for when weather limits are exceeded.

The proposal should demonstrate that the composition of the proposed offshore and onshore survey teams as a whole covers the knowledge and experience needed for the execution of the work from planning through to final reporting. All personnel involved with the execution of the offshore geophysical survey activities (data acquisition, data processing, interpretation and reporting) must be demonstrated to have the appropriate qualifications and experience for the roles in which they are to be deployed. All key staff must have contributed to at least one relevant offshore geophysical investigation using the equipment (including software) proposed. Offshore personnel must have (medical) certificates valid to perform work in the US Atlantic Ocean, including as a minimum BOSIET (Basic Offshore Safety Induction and Emergency Training) or similar and a working permit (the right to work in the investigation area) valid for the duration of the contract.

The proposal must outline the proposed project tasks and key project milestones. The proposal should include an overview of data acquisition, processing and interpretation procedures, including quality control methods, and demonstrate that they fulfil the RFP requirements. The flow of data from task to task shall be defined,

including data backup procedures. Any potential risk points should be identified and described, and the proposer shall detail proposed mitigation measures.

If the proposer intends to undertake the optional constrained ground model production, then he should describe his proposed workflow and how the geotechnical and geophysical data will be integrated.

The proposal must describe the proposers experience working with BOEM or other federal regulators and experience securing permits to carry out geophysical and hydrographic site investigations in waters off the coast of the United States and/or elsewhere. Any issues or concerns with permitting, such as data needs and anticipated timeframes should be described. Any issues or concerns with securing insurance generally required by industry standards should be described.

The proposal must include a copy of the proposer's Quality Management System manual. The proposal must also include draft or example versions of the Project Execution Plan (PEP) and Project Quality Plan (PQP) with specific reference to all equipment and all acquisition, processing and interpretation procedures proposed for this project.

Project Management Plan and Qualifications (up to 5 pages + resumes)

Briefly describe the Project Management Plan at a high level that includes the Project Manager and all key personnel, along with their role in the project. List the organizations participating in the project, the contact for each organization and describe the role that each will play. (1 page)

Include an organizational chart showing all key personnel and any subcontractors or other involved entities. (1 page)

Include a one-paragraph description of a sample of related projects that have been undertaken by the key personnel that demonstrates experience with the proposed project area. (up to 3 pages)

Include relevant portions of key personnel resumes that include education and experience relevant to the proposed work. (1 page each – not included in page count)

Master Schedule (1-2 pages)

Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation by means of a Gantt chart. Include planned meetings, major deliverables or milestones and other key events.

Cycle Times and Rates Form (Attachment A)

Complete the attached Cycle Times and Rates form tab associated with the services for which you are proposing. Include any supplemental information necessary to fully understand the project on a separate sheet, including any deviations from what is requested and a rationale for the deviation. Care should be taken to provide sufficient information to allow reviewers to understand what each of the components (e.g. personnel, equipment, methodologies, subcontracts).

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

Letters of Support

If the proposer is relying on other organizations or businesses to perform work, provide services or equipment, data or share in the non-NYSERDA cost, include a letter from that organization or business describing the commitment. The absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties. (1-page each, not included in page count).

C. Proposal Evaluation

Investigations

The proposal evaluation criteria for the Geophysical and Geotechnical Investigations are described below and are in order of importance. Scoring for the Geotechnical and Geophysical Investigation proposals will be carried out separately, using the same scoring system for each proposal.

EVALUATION CRITERIA
<p>Quality of the proposal</p> <p>This criterion is judged by assessing the following aspects jointly for the extent to which:</p> <ul style="list-style-type: none"> • The proposal includes a project specific description of the elements as required to be included; • The proposal includes a comprehensive inventory of risks that have an impact on: <ul style="list-style-type: none"> ▪ the project management aspects (e.g. scope planning, financial aspects), ▪ HSE (Health, Safety and Environment) and ▪ data quality (e.g. positioning/navigation quality control procedures, equipment calibration procedures/certificates, data quality control procedures, interpretation quality control/cross-checking procedures of the works and the identified risks are worked out comprehensively and mitigated; • The proposal is detailed, and processes are described project specific and SMART (specific, measurable, acceptable, realistic and time-related); • The suggested cycle times are realistic and substantiated in relation to the site conditions and proposed vessels and equipment. • The investigation data processing, analysis, interpretation and reporting methodologies are outlined to demonstrate compliance with the scope of work. • The deliverables are outlined to demonstrate that they are compliant with the scope.
<p>Qualifications of personnel</p> <p>This criterion is judged by assessing, for the key personnel proposed, the following aspects:</p> <ul style="list-style-type: none"> • Education and training • Experience with similar surveys • Number of surveys performed <p>As part of the proposal, the tenderer is required to provide a description of the personnel in a tabular format describing these aspects. In addition, CVs of the proposed key personnel should be supplied. The actual personnel engaged is required to have a similar level of qualifications to those proposed in the bid.</p>
<p>Vessels and equipment</p> <p><u>Vessels</u></p> <p>This criterion is assessed on the following aspects jointly to the extent to which:</p> <ul style="list-style-type: none"> • The vessel(s) and equipment have been thoroughly thought through to achieve the investigation objectives in an efficient manner. The vessel(s) and equipment configuration are optimized for efficient data acquisition and are described in adequate detail to demonstrate this along with vessel track record. • Vessel(s) are suitable for the work intended; • Vessel(s) are already mobilized and ready to use (working and tested) equipment are preferred); • Vessel(s) are stable to ensure good data quality acquisition within workable limits. • The availability of the proposed vessel(s) is guaranteed by Tenderer. <p><u>Equipment</u></p> <p>This criterion is assessed on the following aspects jointly to the extent to which:</p> <ul style="list-style-type: none"> • The proposed investigation equipment for carrying out the investigation within the scope of the agreement is suitable and effective, also considering the wind farm site characteristics and anticipated operational characteristics; • Spare equipment is available in case of breakdowns.
<p>Prices</p>

This criterion will be assessed based on:

- The overall lump sum price, including mobilization and weather downtime
- The completeness and level of detail of the breakdown provided

Cycle times

This criterion will be assessed based on:

- The overall time duration of the campaign
- The level of detail of the Gantt planning provided and provided substantiation

Owner's Engineer

The proposal evaluation criteria for the Owners Engineer are described below and are presented in order of importance:

EVALUATION CRITERIA

Plan of action

Tenderers are requested to provide a Plan of Action describing:

- The knowledge and experience of the experts (names, relevant knowledge and experience of the experts that will carry out the work).
- The availability of experts (specific measures taken to secure the availability of the required experts and the specific measures for providing back up capacity to guarantee availability during the duration of the project, max. 2 A4).
- Approach, team composition and foreseen roles of the team members, max. 3 A4s
- Data storage and distribution, max. 1 A4

In addition, Attachment A – tab “owners engineer” will need to be completed with the name, rate and the qualifications of the experts intended to be engaged for the services.

The score for this criterion is given by assessing, for the experts:

- Their experience with similar services performed (max. 20 points);
- Coverage of the requested know how (max. 20 points);
- Availability (max 10 points)
- Approach and team composition (max. 20 points).

CV's should also be provided for all experts proposed. All experts should be of senior level.

Prices

This criterion will be assessed based on:

- The average hourly rates of the senior experts proposed.
- Data hosting and distribution rate

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of one to three years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications, either through written submission or interview. 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 four-eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). proposers are reminded of the following Public Officers Law provision: Contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the Contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its subcontractors derived from the contract. NYSERDA may request that Contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

For Technology and Business Innovation solicitations, include the following:

Due Diligence – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants’ prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant’s proposal, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or Contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or Contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal

If Recoupment is required, include the following in the General Conditions after “Contract Award:”

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% of sales/ten percent

(10%) of all license revenue accruing to the Contractor for products produced (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).

Stipulated Damages - If the Contractor fails to complete in accordance with the following milestone dates as referred to in Attachment A – Cycle times and Rates

Geophysical campaign

- a. Offshore Completion Date excluding Waiting on Weather (3a)
- b. Draft Final Geophysical Interpretative Report (4b)
- c. CPT & borehole location memo for geotechnical campaign (4c)

Geotechnical campaign

- a. Offshore Completion Date excluding Waiting on Weather (3a)
- b. Draft Geotechnical Investigation Report (4b)
- c. Final Geotechnical Investigation Report (4f)

the Contractor shall be liable to NYSERDA for Stipulated Damages. The amounts of such Stipulated Damages shall be 0.5% of the Contract Price for each day that it fails to perform the work as agreed.

All amounts of such Stipulated Damages for which the Contractor may become liable are agreed as a genuine pre-estimate of the losses which may be sustained by NYSERDA in the event that the Contractor fails in its respective obligations under the contract.

The Stipulated Damages will be deducted from amounts payable by the Clients regardless of whether the claim for payment of such amounts has been transferred to a third party.

For the avoidance of doubt, the Stipulated Damages liability shall not exceed fifteen per cent (15%) of the Contract Price in aggregate.

Section VII. Attachments:

Attachment A – Cycle times and Rates form

Attachment B – Sample Agreement



“Property/Liability and Other Insurance”
Request for Proposal (RFP) 4301

Phase I Proposals Due: January 30, 2020 3:00 p.m. Eastern Time*

NYSERDA is seeking proposals from insurance brokerage companies to meet NYSERDA’s property, liability, and certain other insurance requirements and to advise NYSERDA on addressing risk management requirements that are in the best interest of NYSERDA. NYSERDA will use a two-phase process to select an insurance broker and their coverage proposals.

In Phase I, proposers will be evaluated based on their qualifications and experience. Proposals submitted in Phase I must include a list of preferred carriers in order of priority. Proposers may not contact any carriers to obtain pricing until authorized to do so by NYSERDA.

In Phase II, one or more companies will be asked to submit quotes for specified property, liability, and other insurance coverage from one or more insurance carriers designated by NYSERDA.

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 Peter Mahar, Controller and Assistant Treasurer, at (518) 862-1090, extension 3224 or by e-mail PeterMaharRFP4301@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, extension 3507 or VeniceSolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 p.m. 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 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. 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 New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York.

Information on NYSERDA's programs is contained in the Strategic Plan available on its website at <https://www.nyserdera.ny.gov/About/Publications/Program-Planning-Status-and-Evaluation-Reports/Strategic-Outlook>. The most recent audited financial statements for the fiscal year ended March 31, 2019 are available at <https://www.nyserdera.ny.gov/About/Publications/NYSERDA-Annual-Reports-and-Financial-Statements> or by written request.

NYSERDA currently maintains insurance policies for Cyber, Property, Fuel Inventories, Liability/Umbrella (excess) liability, Long Term Disability, Family Paid Leave, and Worker's Compensation with coverage amounts and terms as summarized in Attachment D.

II. Minimum Qualifications

Proposers must be duly licensed by, and in good standing with, the New York State Insurance Department. Proposers must have experience in providing broker of record services for commercial organizations, and preferably governmental or not-for-profit organizations. Proposers must describe and demonstrate their expertise and experience in placing insurance for each of the policies currently maintained by NYSERDA, included in Attachment D.

III. Program Requirements

The proposer(s) selected after Phase II of this RFP will be responsible for assisting NYSERDA with all aspects of its property and liability insurance coverages, including but not limited to:

1. Identifying issues and exposures and negotiating on NYSERDA's behalf with insurance carriers and keeping NYSERDA informed of significant developments. The Broker shall be authorized to represent and assist NYSERDA in discussions and transactions with all insurance carriers, provided that the Broker shall not place any insurance on behalf of NYSERDA unless so authorized in writing by NYSERDA.
2. Following up with insurance carriers for timely issuance of policies and endorsements. Following placement, deliver binders prior to expiration of the current policies.
3. Reviewing policies and endorsements for accuracy and conformity to specifications and negotiated coverages.
4. Providing coverage summaries for all new coverages and updates on changes to existing coverages.
5. Processing or facilitating the processing of certificates of insurance, as requested by NYSERDA.
6. All claims will be reported to the Broker who will forward the claim to the insurance carrier. The Broker shall monitor the claim status and assist NYSERDA in obtaining timely resolution of the submitted claim.

IV. Proposal Requirements (List and describe approximate length (number of pages) and items/topics to be addressed in the proposal; e.g., Background/Objectives; Scope of Work; Management Plan/Schedule; Qualifications; Project Benefits; Budget; Cost-Sharing if applicable (see language); Annual Metrics Report (if applicable); Letters of Commitment, etc.)

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete,

comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. NYSERDA may request additional data or material to support proposals.

V. Term

It is anticipated the initial term of the insurance policies ultimately awarded will be effective upon the expiration of the current policies:

April 1, 2020 for the Cyber, Property, Liability/Umbrella, Family Paid Leave, Long Term Disability, and Worker's Compensation policies. NYSERDA desires for the new policies to be established with the same annual policy renewal date listed above. NYSERDA will consider, and prefers, proposals from insurance carriers to provide established renewal pricing for policy periods through March 31, 2025.

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

Proposal Format

To facilitate comparison of proposals, proposers must submit proposals in a format that corresponds to the following outline:

Section 1. Introduction: Provide a brief description of the agency/company, its services, and its overall qualifications. Information provided in this section should include, but not be limited to number of years providing similar services; number of employees; and approximate number of clients. For national or multi-office locations, provide information on both a firm-wide basis as well as the office from which the account will be serviced.

Section 2. Staffing: Identify the proposed account executive and any other staff who will provide regular services to NYSERDA in providing the insurance broker services described herein. For each person identified, include information indicating the length of time with the agency/company, length of service in insurance or risk management, approximate number of clients served, and any professional/associate designations.

Section 3. Qualifications and Relevant Experience: Briefly describe the agency/company's qualifications and relevant experience in providing insurance programs as described in this RFP and for organizations similar in size and risks to that of NYSERDA. Based upon your review of information about NYSERDA's programs and services and its existing insurance coverages, provide any comments or suggestions for NYSERDA's consideration for the specific insurance quotation coverages to be requested under Phase II of the RFP.

Section 4. References: Provide three (3) references from customers currently receiving insurance coverages from the agency/company. For each reference, provide an individual contact person name, address, and telephone number.

Section 5. List of Insurance Carriers: Proposers must list in order of preference the insurance carriers that the insurance brokerage company would prefer to be assigned if selected to provide a quote in Phase II of the RFP. Proposers may not contact any insurance carriers to obtain pricing until authorized to do so by NYSERDA. Following Phase I, one or more proposers will be asked to submit quotes for specified property, liability, and other insurance coverage from one or more insurance carriers designated by NYSERDA. These quotes will be used as the basis for the selection of the insurance brokerage companies and the insurance carrier and coverage.

VI. CONTRACTOR SELECTION AND PROPOSAL EVALUATION

A. Contractor Selection

Following the Phase I evaluation process described below, Proposers may be selected to advance to Phase II. Under Phase II, selected Proposers will be required to provide quotes for specific insurance coverages summarized in Attachment D. Phase II proposal requirements, instructions, and due date will be provided by NYSERDA at the time of notification.

B. Proposal Evaluation

1. Phase I Evaluation

Proposals received by the due date will be evaluated by an evaluation panel of NYSERDA staff. The panel will evaluate the qualifications and experience of each proposer to provide the insurance brokerage services described herein. The evaluation criteria are listed below:

Proposer Experience and Qualifications

- a. Background of the insurance brokerage company.
- b. Experience in providing insurance services to organizations similar to NYSERDA including public sector clients.
- c. Resources available to the firm, including number of employees, number and location of offices, and affiliated companies.
- d. Past performance of firm and staff.
- e. Background and experience of account executive and other support personnel, including professional qualifications and length of time working with the agency, and length of time working in insurance or risk management services

Responsiveness to the Request for Proposal

- a. Requested information included and thoroughness of response.
- b. Understanding and acceptance of the services requested.
- c. Clarity and conciseness of the response.
- d. Demonstrated understanding of risk management issues facing NYSERDA, including any observations or recommendations on NYSERDA's current coverages.

The proposer is a NYS-certified minority-owned or women-owned business.

Proposals must meet the Proposal Requirements as articulated in Section IV: Proposal Requirements. Proposals that fail to meet one or more of the criteria may be determined to be non-responsive and may be disqualified from further consideration by the evaluation panel.

2. Phase II Evaluation

Proposals submitted under Phase II will be evaluated based upon the proposed insurance policies including policy premiums, rating of the proposed insurance carrier, and coverage provided under the terms and conditions of the policies. Carriers should be listed by type of insurance. NYSERDA requires proposals include coverage of all NYSERDA insurance requirements as outlined in Attachment D. Proposals that do not meet this requirement will be deemed non responsive.

VII. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial

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

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

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

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

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

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

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, Diversity Practices Questionnaire.

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

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

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

Contract Award – NYSERDA anticipates making one award but is not limited in 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 reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately four weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member,

shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

VIII. Attachments:

- Attachment A - Article 15-A (MWBE) Provisions
- Attachment B – Article 17-B (SDVOB) Provisions
- Attachment C – Diversity Practices Questionnaire
- Attachment D – Present Insurance Coverages
- Attachment E - Sample Agreement





Information Technology Staff Augmentation Services Request for Proposal (RFP) 4309

Proposals Due: 03/24/2020 by 3:00 PM Eastern Standard Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from a company, or team of companies, (hereinafter referred to as "Proposer") to provide **Information Technology Staff Augmentation Services** to support Information Technology projects.

Proposals may be submitted by an individual firm or a team arrangement of firms, to provide optimal services to NYSEDA at the lowest cost possible. Individual engagements of services will vary based on the needs of each individual project or program, and may vary by skills sought, experience required, and geographic coverage needs.

Proposal Submission: Submit proposal to NYSEDA via the following online form: <https://nyserda.seamlessdocs.com/f/RFP4309>. Proposers may submit Word, Excel, or PDF files. For ease of identification, all files must be named using the proposer's entity name in the title of the document. A proposal should not be excessively long or submitted in an elaborate format, such as including unnecessary graphics. Proposals should be 15 pages or less; plus, required Attachments A and D. All Proposals must be submitted by 3:00 p.m. on February 24, 2020.

No communication intended to influence this procurement is permitted except by contacting Wendy Fleitz – primary contact (Designated Contact) at (518) 862-1090, ext.3238 or by e-mail RFP4309@nyserda.ny.gov or Glen Kaatz – secondary contact (Designated Contact) at (518) 862- 1090, ext. 3203 or by e-mail RFP4309@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 Venicesolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3:00 p.m. Eastern Standard Time on February 24, 2020. Late, proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all sections have been included in the proposal. If changes are made to this solicitation, notification will be posted on NYSEDA's web site at <https://www.nyserda.ny.gov/>.

Introduction

NYSERDA is a public benefit corporation committed to identifying opportunities for reducing commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

The primary technologies in use at NYSERDA include: Salesforce (force.com), Microsoft technologies (Windows desktop and server, SQL Server, .NET, etc.), Office 365 including SharePoint Online, Tableau (for Business Intelligence), Atlassian products (Jira) for Service Desk and Oracle PeopleSoft Financials.

NYSERDA will be looking for professionals to work in and / or support technology efforts in these areas. Roles such as technical implementor, project manager, business analyst, technical writer, quality assurance analyst and technology trainer are the focus of this solicitation.

NYSERDA's strategy with regard to systems and technology is to consolidate disparate commercial and internally developed products and platforms onto COTS or enterprise solutions; reduce complexity, integration points, and ongoing cost of operations; and reduce customization wherever possible by modifying workflow in order to fit out-of-the-box or configured solutions. This will enhance NYSERDA's ability to calibrate and adapt its technology layer to best support its evolving programmatic and policy goals.

PROJECT SCOPE AND REQUIREMENTS

The goal of this RFP is to create a panel of selected firms from which NYSERDA can quickly and easily acquire staff augmentation and consulting resources to support Authority initiatives across the entire spectrum of its information technology stack.

NYSERDA expects to achieve the following objectives:

- Provide a cost-effective source of resources to support its information technology staffing needs.
- Streamline business processes around onboarding consulting resources.
- Create sustainable partnerships with qualified firms to create mutually beneficial relationships.
- Provide a flexible configuration to meet new and changing business requirements and programs.
- Reduce administrative overhead and maintenance costs associated with initiating individual contracts.
- Enable identification and procurement of potential full-time resources for NYSERDA should the need be deemed ongoing rather than project based.

Selected Proposer(s) will enter into a master agreement, and work assignments will be issued on an individual Task Work Order basis.

The specific Task Work Order issued for each work assignment will provide requirements for the exact location of work that is needed, expectations of skills, and experience necessary to be considered. NYSERDA reserves the right to end any specific Task Work Order or the contract as a whole at any time with or without cause. If replacement resources are needed, NYSERDA may obtain replacement resources for that work via the selected Proposer, or another source contracted separately at NYSERDA's sole discretion.

All billable hours completed during each calendar month shall be submitted in a valid and complete invoice by the 21st of the following month without exception. Invoices submitted late or missing hours may not be paid.

NYSERDA reserves the right to convert a candidate provided in response to this RFP to full-time NYSERDA staff. The Proposer must identify conditions, timelines and fees associated with converting a resource to NYSERDA staff after a minimum of 6-months from the start of the individual contract.

It is the responsibility of the selected Proposer to complete background checks on all selected staff identified by the Proposer prior to placement. Upon selection, Proposer agrees that it shall perform or have performed, within the two years immediately preceding the placement of any candidate, a background check; by virtue of making such placement, Proposer shall certify that such background check on the candidate has been performed. Proposer agrees that it will inform NYSERDA's Director of Human Resources by phone or email (518.862.1090 ext. 3640; donna.rabito@nyserda.ny.gov), simultaneously with or preceding such placement, if:

- (1) such background check reveals, with respect to the referred employee, (a) a felony conviction, or (b) any other conviction involving theft, misrepresentation or violent behavior of any sort, or
- (2) immediately upon it becoming aware that such individual has been convicted of such a crime.

Proposers Requirements

Information Technology Staff Augmentation Services:

Proposers must demonstrate the following:

- A proven track record of providing skilled staff and other services across the skill sets noted in section 2 under “Proposer Qualifications”;
- Lowest cost for the highest quality of service;
- Successful experience, including engagements with other state agencies or authorities; and
- Successful experience in engagements within the Information Technology field.

All Proposers must demonstrate a willingness and commitment to minimize costs for NYSERDA. NYSERDA reserves the right to negotiate lower or different fee structures during the contracting process with any Proposer.

If a Proposal does not include all required information, it may be deemed non-responsive.

The Proposer must agree to provide NYSERDA with access to documents, personnel and other information necessary to conduct audits upon request during the terms of the Contract, and for up to six (6) years after the contract term expires.

Proposal Requirements and Format

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

Proposals should not exceed fifteen (15) pages, excluding attachments and Sample Resumes (Section 5), or be submitted in an elaborate format that includes expensive binders, graphics, or page formats other than 8.5 x 11” letter sized paper. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number.

The Proposal for **Information Technology Staff Augmentation Services**

must follow the following format:

- Section 1: Executive Summary
- Section 2: Proposer Qualifications
- Section 3: Rate Card
- Section 4: Master Contract Cost Structure
- Section 5: Sample Resumes

Section 1 – Executive Summary

The Executive Summary in the Proposal is to provide a brief description of the Proposer’s qualifications, approach, flexibility, and demonstrated commitment to minimizing costs to NYSERDA. The intent of the Executive Summary is to be a brief summary, therefore, Executive Summaries that exceed two (2) pages may not be read by the Scoring Committee.

Section 2 – Proposer Qualifications

The Proposer Qualifications section of the RFP is to demonstrate a Proposer's ability to meet the **Information Technology Staff Augmentation Services** as well as a detailed description of the Proposer's Qualifications, as listed below.

A Proposer shall provide a description of their proven successful track record of delivering staff and other services across a wide variety of skill sets, such as but not limited to:

- 1) Software Development
 - a. Salesforce Administrator
 - b.
 - c. Salesforce Developer
 - d. .Net Developer
 - e. SharePoint Developer
 - f. Geographic Information System (GIS) Developer
- 2) Database technology
 - a. Microsoft SQL / ETL Developer
 - b. Microsoft SQL Server Database Administrator
- 3) Information Technology Project Manager
- 4) Information Technology Business Analyst
- 5) Information Technology Trainer / Training Coordinator
- 6) Service Desk Technician
- 7) Windows Server Administrator
- 8) Information Security Engineer

Proposer's Qualifications

The Proposer must provide details of the following qualifications and attributes:

- 1) Proposer's organizational structure- including the specific resumes of key partners or principals who will be responsible for managing the engagement with NYSERDA.
- 2) Successful experience, including engagements with other state agencies or authorities.
- 3) Note any special certifications relevant to this RFP that your firm or proposed staff may possess (i.e. PMI-Project Management Professional, PMI-Professional Business Analyst, PMI-Agile Certified Professional, Cisco Certified Network Engineer, VMware Certified Professional, Microsoft Certified Software Engineer etc.), and describe how your firm keeps staff current in their skills.
- 4) Applicable Certification of Minority or Women owned Business Enterprise (MWBE) with Empire State Development, or Service-Disabled Veteran Owned Business (SDVOB) Enterprise with the Office of General Services, attached as Appendices. Note that both a 30% MWBE and 6% SDVOB requirement over the life of the contract are required. Please see the attachments – Article 15-A (MWBE) and Article 17-B (SDVOB) for details.
- 5) Describe the Proposer's approach to meeting NYSERDA's needs for first-rate and reliable candidates, at the lowest possible cost, including the monitoring and management of work assignments. Demonstrate the Proposers willingness and commitment to minimize costs for NYSERDA.
- 6) Confirmation that successful Proposers will be available to provide staff that are able to work at, or travel to, the following locations:
 - a. On-site at NYSERDA offices, located in Albany, New York City, Buffalo and West Valley;
 - b. Field work, if needed and appropriate for the project being supported, at NYSERDA sites; or

- c. Remotely, either by working from Proposer's office or teleworking from home.
Note: The specific location(s) of work will be identified in writing in the specific Task Work Order issued for specific work assignments.
- 7) Identify the total number of resources currently available in each of the following regions of the State:
- a. Albany, NY;
 - b. New York, NY
 - c. Buffalo, NY
 - d. West Valley, NY

Section 3 – Rate Card (Attachment A) Mandatory

The purpose of the Rate Card section of this RFP is to help NYSERDA compare all Proposers on an equal basis. Rates provided on this form will be in effect for the five (5) year contract period.

Title Series	Billable Rate per Hour Experience Level (1-3 years)	Billable Rate per Hour Experience Level (4-7 years)	Billable Rate per Hour Experience Level (8+ years)
Salesforce Administrator			
Salesforce Developer			
.Net Developer			
SharePoint Developer			
Geographic Information System (GIS) Developer			
Microsoft SQL / ETL Developer			
Microsoft SQL Server Database Administrator			
Information Technology Project Manager			
Information Technology Business Analyst			
Information Technology Trainer / Training Coordinator			
Service Desk Technician			
Windows Server Administrator			
Information Security Engineer			

Section 4 – Master Contract Cost Structure

The purpose of this section is to provide NYSERDA a clear explanation of all fees and costs. If a Proposal does not include all required information, it may be deemed non-responsive.

- 1) List all costs and fees for which the Proposer would expect reimbursement.
 - i. Specifically list fees, if charged, for background checks.
- 2) Indicate any reductions in fees or rates from normal amounts, and the reason for those reductions (e.g. Standard Reduction Provided to all State Agencies, or Proposed Specific for this RFP, etc.).
- 3) NYSERDA will indicate at the time of the request for a resource whether the candidate will be considered for insourcing. If so indicated, the resource will not be insourced prior to 6-months from their start date. In the Proposal, Proposers must outline the conditions, timelines and fees associated with converting a resource into a NYSERDA staff member.

Note: Any costs or fees not specifically identified here may not be considered for inclusion in invoices or contracting at a later date.

NYSERDA reserves the right to negotiate lower or different fee structures during the contracting process with any firms recommended for contract negotiation as part of its evaluation process.

Section 5 – Sample Resumes

The purpose of this section is to demonstrate that the Proposer has immediate access to staff that can meet NYSERDA's needs. The Proposer should provide a variety of skills, experience levels, and physical locations of candidates. Proposer should provide no less than five (5) and no more than ten (10) resumes. Proposer must affirm that each of the staff whose resume is included in this section would be available for at least 25% of their time within the next three (3) months. Please include rate card title series, experience level and proposed rate for each sample resume.

Evaluation of Proposals

General Selection Process

The evaluation process will begin immediately after the due date, with a review of all Proposals properly received to verify that they have met the minimum conditions necessary to be considered complete. Only Proposals determined to be complete will be shared with the Scoring Committee for full review. The Scoring Committee will then review and score each Proposal determined to be complete.

Interviews

NYSERDA reserves the right to determine if an interview with the Proposer will be necessary. NYSERDA may interview some or all Proposers being considered. NYSERDA will set aside one day for interviews, and Proposers will be notified of the predetermined date by email following the due date of this RFP. If selected for an interview, the Proposer shall be required to further document the Proposer's ability to provide the required services at the best cost to NYSERDA. The Proposed lead principal and other key staff necessary to demonstrate the Proposer's capability to meet NYSERDA's needs should be present at the interview. The results of the interview will be included in the Scoring Committee's final scores for the Proposer.

Evaluation Categories

The following categories and weighting shall be used by NYSERDA to evaluate each Proposal.

Category	Category Description	Total Points Available
1	Demonstrated ability to provide services as described in the RFP (Section 1 and Section 2 – Proposer Qualifications)	35
2	Competitiveness of Rate Card (Section 3)	20
3	Competitiveness of proposed Master Contract Cost Structure (Section 4)	15
4	Sample Resumes (Section 5)	20
5	Diversity Practices Questionnaire	10
		100

Sample Request to Selected Contracting Firm(s)
(For informational purposed only. This is NOT a current request)

NYSERDA is looking for one Server Systems Administrator via Staff Augmentation to supplement the Server/Network Operations Team.

Please submit all applicants to Glen Kaatz (glen.kaatz@nyserda.ny.gov) by EOB 2/25/2019.

Please submit only your best 4 candidates.

LOCATION

This position is located in Albany, NY. The Program and Project Manager on the NYSERDA IT Operations team are located in Albany, New York.

WORK SCOPE

The scope of work to be performed by the Contractor consists of tasks listed in the following functional areas.

Tasks:

- VMware Horizon/ VMware vCenter administration
- Windows server administration
- Windows Active Directory and Group Policy
- Advanced SCCM administration for windows desktop and server patching
- Windows imaging, management of VDI snapshots, gold images
- Corp antivirus administration – NYSERDA uses ESET
- 0365 administration (email, distribution groups, shared mailboxes)
- Use Microsoft System Center Orchestrator to manage scheduled jobs and system administration
- Work closely with the Senior Server Administrators to do capacity planning, patching, maintenance and support of the server, storage and network infrastructure
- Manage Veeam based VM backups and restore requests
- Manage multiple Windows file servers and maintain storage quotas
- Assist with VoIP implementation and administration
- Assist with handling off-hours support and outages
- Receive and respond to incoming requests regarding IT infrastructure problems
- Work with server administrators at various cloud-based facilities to stand up new systems or resolve problems and perform maintenance on existing systems
- Rack equipment in the data center such as UPS's, servers, network gear and storage
- Follow change management and production turnover procedures as defined by the manager of IT Operations

Expected Deliverables

- a. On-time creation and administration of user credentials for above listed systems
- b. Software patching reports
- c. Stable configuration of storage, compute, network and VoIP resources

Experience Level: mid-level

The Contractor should be able to demonstrate the following skills

- Required 3+ years of experience with VMware Infrastructure experience (not necessarily VDI)
- Required 3+ years of experience as a Windows Server admin
- 2-4 years' experience performing tasks as listed above
- Ability to work a flexible schedule to accommodate project and emergency support work
- Excellent communication and analytical skills
- Nice to have, but not required: Cisco, NetApp or VMware View (VDI) experience

Transition to permanent? YES, NYSERDA would prefer this to be a permanent position.

General Conditions

PROPRIETARY INFORMATION

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

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

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

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

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

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

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

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.

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in

excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). 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>.

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

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

Contract Award - NYSERDA anticipates making one or multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment D) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Attachment A: Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six (6) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

Accessibility Requirements.

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.

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the

contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

Attachments

Attachment A: Rate Card Example - **Mandatory Submission**

Attachment B: Article 15-A (MWBE) Provisions

Attachment C: Article 17-B (SDVOB) Provisions

Attachment D: Diversity Practices Questionnaire – **Mandatory Submission**

Attachment E: Vendor Assurance of No Conflict of Interest – **Mandatory Submission**

Attachment G: Sample Agreement



RetrofitNY NYCHA Design Team

Request for Qualifications (RFQL) 4234

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

Design Team Applications accepted through 03/02/2020 by 3:00 PM Eastern Time

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 buildings while enhancing 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.

NYSERDA is collaborating with the New York City Housing Authority ("NYCHA") on the development of a Request for Proposal to be issued and funded by NYCHA for the design and construction oversight of a high performance retrofit for a building owned by NYCHA ("NYCHA RFP 99825"). NYCHA owns and operates 172,447 apartments in 2,400 buildings across 311 developments. To be eligible to apply for the NYCHA RFP, design teams will first need to be qualified through this NYSERDA Request for Qualifications (RFQL).

Through this RFQL, NYSERDA will qualify Design Teams to be eligible to design and supervise the construction and installation of a high performance retrofit solution. NYSERDA will appoint a scoring committee to review applications and qualify teams. Qualified Teams will be eligible to participate in the NYCHA RFP. Under the NYCHA RFP, one Design Team will be awarded a contract to act as project architect, engineer of record, and construction manager on the project and deliver a scope of work that includes but may not be limited to, the following:

- development of a bid set of construction drawings for the retrofit solution and any other ancillary work that may be required to contribute to the overall success of the project (e.g., demolition, abatement, etc.) along with budget estimate that falls within the project budget limit;
- participation in the selection process of the contractor to furnish and install the retrofit solution;
- generation of final construction drawings;
- pulling project permits;
- construction management; and
- sign-off on the final work performed.

To be qualified, Design Teams must demonstrate their ability to design and supervise construction of 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; can be installed with minimal resident disturbance or displacement; incorporate a long term maintenance plan, and contribute to building resiliency.

This RFQL follows RetrofitNY RFP 3750 previously issued by NYSERDA that produced six net zero (or near net zero) project designs, the related Program Opportunity Notices that offered funding for those six projects, and the RFQ-RFP that the Dormitory Authority of the State of New York (DASNY) released in collaboration with NYSERDA and the State University of New York (SUNY) to design a high performance retrofit for one of SUNY's residence halls. In addition, NYSERDA expects to issue several additional solicitations as part of the RetrofitNY initiative in the coming months, in conjunction with other NYSERDA programs or in collaboration with other institutional partners. This series of solicitations demonstrates

NYSERDA's long-term commitment to high performance retrofit solutions approaching or achieving net-zero energy performance that will become increasingly more cost effective at scale.

New York City Housing Authority Solicitation

Design Teams that are qualified through this RFQL will be eligible to respond to the NYCHA RFP. Any Team applying to this RFQL does not need to have applied to RFP 3750 nor been qualified under that RFP. **Any Solution Provider Team that was qualified through RFP 3750 will need to resubmit their application to be considered for this RFQL, whether they resubmit their original application to RFP 3750 or update it to include new or different firms or staff members.** All key roles required for eligibility as indicated below must be included. Unlike RFP 3750, it is no longer required to have a builder on the team. Builders may still participate on the team. However, any builder who participates on the design team will be precluded from bidding on NYCHA's solicitation for the construction and installation of the retrofit solution. If a Team resubmits its original application from RFP 3750 and a builder is still indicated, or if a Team submits a new application and has a builder indicated, it will be understood that builder will participate on the Team and will be precluded from participating in NYCHA's future solicitation for the construction and installation of the solution designed.

NYCHA will award one contract for the design and construction management scope. Once the construction bid documents are completed, the construction scope will be put out for competitive public bid. Information about NYCHA RFP 99825 can be found on The City Record Online: <https://a856-cityrecord.nyc.gov/RequestDetail/20200113020>. To download NYCHA RFP 99825, sign up on NYCHA's procurement platform, iSupplier, <https://www1.nyc.gov/site/nycha/business/isupplier-vendor-registration.page>.

Application Submission: Online submission is preferable. Applicants 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 smaller 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 applicant'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 Saul Brown at (518) 862-1090, ext. 3028 or by e-mail at RetrofitNY@nyserda.ny.gov, or Christopher Mahase at (518) 862-1090, ext. 3534. If you have contractual questions concerning this solicitation, contact Assistant Contract Manager, Elsyda L. Sheldon at (518) 862-1090, ext. 3232 or ElsydaSolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

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INFO WEBINAR	DATE	REGISTRATION
Design Team Application	Monday, January 27, 2020 12:00pm to 1:00pm	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 Application deadline. 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/>), which has brought about 10,000 units of affordable housing in the Netherlands to net-zero energy with improved comfort and aesthetics, and has 20,000 additional units in the pipeline. After launching the first projects in the Netherlands in 2013, Energiesprong is now being implemented in France, the United Kingdom, Germany and Canada. By adapting this tested and proven model to New York, NYSERDA is driving market transformation through four key actions:

1. Aggregating demand among building owners and harnessing their collective market power.
2. Mobilizing the building industry to develop innovative technical solutions to substantially improve the comfort, aesthetics and performance of affordable housing buildings with residents in place.
3. Working with financial organizations to help finance projects by capturing and monetizing energy and other operational savings.
4. Engaging regulatory agencies to help remove barriers to widespread adoption.

RetrofitNY is currently focusing on the affordable housing sector where high-performance retrofits have the potential to significantly improve resident comfort and well-being while reducing operating costs. The limited range of typologies in 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. First movers will have an advantage in a billion dollar annual market that will transform the building rehabilitation industry and become a new business-as-usual model. We expect that the solutions developed in the affordable housing sector will have widespread applicability throughout the housing industry and other building sectors 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. This approach offers new opportunities to the building industry, reduces operating costs to building owners, opens financing opportunities to lenders and improves quality of life for residents.

Prior to issuing its first RFP, the RetrofitNY team engaged a wide array of stakeholders, 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. NYSERDA's experience with the initial design round, the collaboration with institutional partners like NYCHA and SUNY, and the interest shown by prospective out-of-state markets in the RetrofitNY approach have all supported the assertion that a market transformation similar to Energiesprong's European success is possible in New York State and elsewhere in North America.

This RFQL will qualify Design Teams capable of generating a retrofit solution design that approaches or achieves net-zero energy performance for affordable housing multifamily buildings. These solutions will not only reduce greenhouse gas emissions but also:

- Improve living space comfort and indoor air quality, and the exterior aesthetics of a large portion of the state's existing affordable housing building stock.
- Provide substantial savings on utility and long-term maintenance expenses for building owners, which savings can be used to help 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.

Design Teams interested in designing a solution should submit an application under this RFQL describing their ability to design, engineer, cost, and supervise construction of a high-performance retrofit and to furnish the final design deliverables required by the NYCHA RFP.

The goals of the RetrofitNY program are:

- 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 builder who provides the solution
 - 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 over the long term.
- Facilitate aggressive cost compression to enable implementation at scale without NYSERDA subsidy
- Identify regulatory barriers to implementing solutions and work to eliminate to enable scale adoption.
- Foster a collaborative process in which all stakeholders work together to enable successful solutions for high performance retrofits at scale.

Additional RetrofitNY program information and resources are available at <https://www.nyserda.ny.gov/RetrofitNY>.

II. Program Requirements

A. Definitions

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

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.

Design Team: a multidisciplinary, integrated design team that:

- is technically qualified and has practical experience in high-performance design and construction management, including onsite solar or other distributed generation, AND
- can design, engineer, cost, supervise production and installation of, and propose a strategy to maintain, a retrofit solution that approaches or achieves net-zero energy performance.

Design Teams are sometimes also referred to herein simply as "Teams."

Design Team Member, or Team Member: One of the individuals, companies or organizations participating in a Design Team. One Team Member must be designated as Prime Contractor.

Prime Contractor: The company that will serve as lead applicant for a Design Team. The Prime Contractor will submit the Design Team Application and, if eligible, submit an application for the NYCHA RFP. It will be the Prime Contractor with whom NYCHA contracts for the scope of work defined in the NYCHA RFP. The representative(s) of the Prime Contractor will also act as NYSERDA's primary contact. Prime Contractors must be able to enter into a contract with and receive funding from NYCHA.

B. Eligibility Requirements

1. Design Team Eligibility

To be eligible, Design 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, supervise production and installation of and propose a strategy to maintain the high performance retrofit solution, including installation of onsite distributed generation

2. NYCHA-Owned Buildings

NYSERDA wants to ensure that each Applicant has considered all applicable procurement laws that may apply to the design of the retrofit prototype and the subsequent construction and implementation of the prototype retrofits, given that they are to be constructed on a building owned by a public housing authority or a government entity. Applicants are encouraged to familiarize themselves with the requirements indicated on Procurement and Sourcing Solutions Portal ([PASSPort](#)) for the City of New York before submitting an application to this RFQL. Applicants are advised that terms and conditions applicable to the retrofit prototype and the subsequent construction and implementation of the prototype retrofits will be set forth in the RFP issued by NYCHA and eventual awarded agreement.

C. Qualification

1. Notification

For each Application that meets the eligibility requirements set forth in Section II.B above and is otherwise qualified pursuant to this RFQL, NYSERDA will notify the applicable Prime Contractor in writing. NYSERDA will also inform NYCHA of all applicants qualified through the RFQL.

It will then be incumbent upon a Team qualified by this RFQL to complete the NYCHA RFP and for the Prime Contractor so designated in this RFQL to submit its application for the NYCHA RFP to NYCHA in the manner and before the deadline designated by NYCHA in the NYCHA RFP.

2. NYCHA Contract

Following qualification by this RFQ, the Team's Prime Contractor will be responsible for dealing directly with NYCHA with respect to the NYCHA RFP and any contract that may ensue from it. NYSERDA in no way assumes any responsibility for or liability with respect to the NYCHA RFP or any contractual obligations that may result from the NYCHA RFP.

While NYSERDA or its representatives may provide support to the Team awarded a contract under NYCHA's RFP or otherwise act in an advisory capacity to that Team or NYCHA, any contractual obligations or liabilities will be strictly between NYCHA and the Prime Contractor.

3. Retrofit Solution Design Goals

The goal of the design phase is to develop a replicable high performance retrofit solution that will ultimately be produced and installed on the pilot building selected by NYCHA. Team Members will engage in a highly collaborative process that will involve NYSERDA, its representatives, and NYCHA, and may also include other key project stakeholders, all of whom will be encouraged to meet at regular intervals to participate in the development of the retrofit solution.

Teams must be able 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
- preserve affordable housing and affordable rents for Low-to-Moderate Income residents
- have an estimated budget meeting the project budget cap
- have a measurement and verification (M&V) plan to monitor building performance

Design Criteria

NYSERDA anticipates that NYCHA will seek to give as much design freedom as possible to the selected Team. However, in order to guide the work of the Teams and guarantee that the solutions achieve the expected outcomes, the NYCHA RFP will provide a set of design criteria and required specifications.

4. NYSERDA Support

To support the work of the Team, NYSERDA will actively facilitate a transfer of knowledge from industry participants currently delivering Energiesprong-generated solutions in the Netherlands.

To accelerate innovation, upon successful completion of the design phase, NYSERDA will publish the completed solution design package as an open source document with full acknowledgement of all participants and contributors. The solution design 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 solution designed under

NYCHA's RFP 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.

5. Construction Phase

At the conclusion of the design phase, it is expected that NYCHA will bid the scope of work developed during the design phase to builders and general contractors able to execute that scope through a separate competitive procurement process. Under the terms of the NYCHA RFP, the Team would then supervise the construction phase and sign-off on completed work.

III. Application Requirements

A. Application Process

Applications will be accepted until the submission deadline indicated in the block at the start of this solicitation. Upon receipt of an application, NYSERDA program staff will review for eligibility and completeness. NYSERDA will review applications submitted up to one week prior to the submission deadline for completeness and will notify applicants whose applications fail to meet minimum eligibility requirements of this within two business days so they may resubmit the application by the deadline. **If the application is deemed to be ineligible or incomplete, this shall disqualify the application.**

Complete and eligible applications will be reviewed and evaluated by a scoring committee comprised of NYSERDA and outside experts to determine which Teams are qualified to participate in the NYCHA RFP. NYSERDA will notify all applicants as to whether their Application meets the minimum scoring threshold and are qualified to apply to the NYCHA RFP.

Upon applicant request, any Teams whose applications are not qualified can request a debrief as to the reasons that their application did not qualify.

The Design Team Prime Contractor submits the Team Application. Team Members may be included on more than one Team Application.

The Team Application must include the following elements to be considered eligible and complete:

- Design Team Application Workbook (see Attachment A)
- 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 Design Team includes Team Members with the collective experience, skills and capabilities required to meet the objectives outlined in this RFQL.

B. Evaluation Criteria

Design Team Applications will be evaluated using the following criteria:

1. Team demonstrates a versatile set of skills above what is minimally required to achieve a successful integrated solution
2. Team's summary demonstrates understanding of efficient collaborative processes for the design and implementation phase
3. Plausibility of the Team's high-level description of its planned strategy and methods for developing a retrofit solution

4. Team demonstrates relevant experience with high-performance design and construction management
5. Team Members demonstrate experience in developing measurement and verification (M&V) plans
6. Team has experience retrofitting resident-occupied buildings
7. Team Members have previously worked together
8. Team demonstrates the ability to scale up solutions and compress costs through standardized, production and construction techniques or other innovative scalable methods
9. Team demonstrates experience working in the affordable housing market/knowledge of affordable housing regulations

IV. Reserved Rights

NYSERDA reserves the right to:

- convene one or more pre-proposal meetings/webinars for prospective Design 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>

V. Program Policy Factors

NYSERDA may consider program policy factors in making qualification decisions for Team Applications to best achieve the overall goals and objectives of the RetrofitNY program. Program Policy Factors may include the following considerations:

- The degree to which there are technical, market or organizational risks associated with the proposed Design Team.
- The degree to which the Design Team promotes the participation of diverse stakeholders or partnership with minority serving institutions.
- The degree to which the proposed technologies, approaches, methods and institutions are expected to drive innovation and best achieve the overall goals and objectives of the RetrofitNY program.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

VI. 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 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).

Contract Award - NYSERDA anticipates qualifying multiple teams under this solicitation. Teams may be qualified based on submittal of Project Applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support applications. NYSERDA may decline to qualify 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 qualify any applicant, pay any costs incurred in preparing a proposal, or to procure or contract for any services or supplies. NYSERDA reserves the right to qualify or disqualify any applicant, 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 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 qualification of a Design Team, NYSERDA may revoke the qualification of the Design Team; the applicable Team Member 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 – Design Team Application Workbook



RetrofitNY NYCHA Design Team

Request for Qualifications (RFQL) 4234

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

Design Team Applications accepted through 03/02/2020 by 3:00 PM Eastern Time

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 buildings while enhancing 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.

NYSERDA is collaborating with the New York City Housing Authority ("NYCHA") on the development of a Request for Proposal to be issued and funded by NYCHA for the design and construction oversight of a high performance retrofit for a building owned by NYCHA ("NYCHA RFP 99825"). NYCHA owns and operates 172,447 apartments in 2,400 buildings across 311 developments. To be eligible to apply for the NYCHA RFP, design teams will first need to be qualified through this NYSERDA Request for Qualifications (RFQL).

Through this RFQL, NYSERDA will qualify Design Teams to be eligible to design and supervise the construction and installation of a high performance retrofit solution. NYSERDA will appoint a scoring committee to review applications and qualify teams. Qualified Teams will be eligible to participate in the NYCHA RFP. Under the NYCHA RFP, one Design Team will be awarded a contract to act as project architect, engineer of record, and construction manager on the project and deliver a scope of work that includes but may not be limited to, the following:

- development of a bid set of construction drawings for the retrofit solution and any other ancillary work that may be required to contribute to the overall success of the project (e.g., demolition, abatement, etc.) along with budget estimate that falls within the project budget limit;
- participation in the selection process of the contractor to furnish and install the retrofit solution;
- generation of final construction drawings;
- pulling project permits;
- construction management; and
- sign-off on the final work performed.

To be qualified, Design Teams must demonstrate their ability to design and supervise construction of 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; can be installed with minimal resident disturbance or displacement; incorporate a long term maintenance plan, and contribute to building resiliency.

This RFQL follows RetrofitNY RFP 3750 previously issued by NYSERDA that produced six net zero (or near net zero) project designs, the related Program Opportunity Notices that offered funding for those six projects, and the RFQ-RFP that the Dormitory Authority of the State of New York (DASNY) released in collaboration with NYSERDA and the State University of New York (SUNY) to design a high performance retrofit for one of SUNY's residence halls. In addition, NYSERDA expects to issue several additional solicitations as part of the RetrofitNY initiative in the coming months, in conjunction with other NYSERDA programs or in collaboration with other institutional partners. This series of solicitations demonstrates

NYSERDA's long-term commitment to high performance retrofit solutions approaching or achieving net-zero energy performance that will become increasingly more cost effective at scale.

New York City Housing Authority Solicitation

Design Teams that are qualified through this RFQL will be eligible to respond to the NYCHA RFP. Any Team applying to this RFQL does not need to have applied to RFP 3750 nor been qualified under that RFP. **Any Solution Provider Team that was qualified through RFP 3750 will need to resubmit their application to be considered for this RFQL, whether they resubmit their original application to RFP 3750 or update it to include new or different firms or staff members.** All key roles required for eligibility as indicated below must be included. Unlike RFP 3750, it is no longer required to have a builder on the team. Builders may still participate on the team. However, any builder who participates on the design team will be precluded from bidding on NYCHA's solicitation for the construction and installation of the retrofit solution. If a Team resubmits its original application from RFP 3750 and a builder is still indicated, or if a Team submits a new application and has a builder indicated, it will be understood that builder will participate on the Team and will be precluded from participating in NYCHA's future solicitation for the construction and installation of the solution designed.

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Application Submission: Online submission is preferable. Applicants 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 smaller 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 applicant'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>).

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INFO WEBINAR	DATE	REGISTRATION
Design Team Application	Monday, January 27, 2020 12:00pm to 1:00pm	register here

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I. Introduction

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1. Aggregating demand among building owners and harnessing their collective market power.
2. Mobilizing the building industry to develop innovative technical solutions to substantially improve the comfort, aesthetics and performance of affordable housing buildings with residents in place.
3. Working with financial organizations to help finance projects by capturing and monetizing energy and other operational savings.
4. Engaging regulatory agencies to help remove barriers to widespread adoption.

RetrofitNY is currently focusing on the affordable housing sector where high-performance retrofits have the potential to significantly improve resident comfort and well-being while reducing operating costs. The limited range of typologies in 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. First movers will have an advantage in a billion dollar annual market that will transform the building rehabilitation industry and become a new business-as-usual model. We expect that the solutions developed in the affordable housing sector will have widespread applicability throughout the housing industry and other building sectors 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. This approach offers new opportunities to the building industry, reduces operating costs to building owners, opens financing opportunities to lenders and improves quality of life for residents.

Prior to issuing its first RFP, the RetrofitNY team engaged a wide array of stakeholders, 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. NYSERDA's experience with the initial design round, the collaboration with institutional partners like NYCHA and SUNY, and the interest shown by prospective out-of-state markets in the RetrofitNY approach have all supported the assertion that a market transformation similar to Energiesprong's European success is possible in New York State and elsewhere in North America.

This RFQL will qualify Design Teams capable of generating a retrofit solution design that approaches or achieves net-zero energy performance for affordable housing multifamily buildings. These solutions will not only reduce greenhouse gas emissions but also:

- Improve living space comfort and indoor air quality, and the exterior aesthetics of a large portion of the state's existing affordable housing building stock.
- Provide substantial savings on utility and long-term maintenance expenses for building owners, which savings can be used to help 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.

Design Teams interested in designing a solution should submit an application under this RFQ describing their ability to design, engineer, cost, and supervise construction of a high-performance retrofit and to furnish the final design deliverables required by the NYCHA RFP.

The goals of the RetrofitNY program are:

- 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 builder who provides the solution
 - 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 over the long term.
- Facilitate aggressive cost compression to enable implementation at scale without NYSERDA subsidy
- Identify regulatory barriers to implementing solutions and work to eliminate to enable scale adoption.
- Foster a collaborative process in which all stakeholders work together to enable successful solutions for high performance retrofits at scale.

Additional RetrofitNY program information and resources are available at <https://www.nyserda.ny.gov/RetrofitNY>.

II. Program Requirements

A. Definitions

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

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.

Design Team: a multidisciplinary, integrated design team that:

- is technically qualified and has practical experience in high-performance design and construction management, including onsite solar or other distributed generation, AND
- can design, engineer, cost, supervise production and installation of, and propose a strategy to maintain, a retrofit solution that approaches or achieves net-zero energy performance.

Design Teams are sometimes also referred to herein simply as "Teams."

Design Team Member, or Team Member: One of the individuals, companies or organizations participating in a Design Team. One Team Member must be designated as Prime Contractor.

Prime Contractor: The company that will serve as lead applicant for a Design Team. The Prime Contractor will submit the Design Team Application and, if eligible, submit an application for the NYCHA RFP. It will be the Prime Contractor with whom NYCHA contracts for the scope of work defined in the NYCHA RFP. The representative(s) of the Prime Contractor will also act as NYSERDA's primary contact. Prime Contractors must be able to enter into a contract with and receive funding from NYCHA.

B. Eligibility Requirements

1. Design Team Eligibility

To be eligible, Design 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, supervise production and installation of and propose a strategy to maintain the high performance retrofit solution, including installation of onsite distributed generation

2. NYCHA-Owned Buildings

NYSERDA wants to ensure that each Applicant has considered all applicable procurement laws that may apply to the design of the retrofit prototype and the subsequent construction and implementation of the prototype retrofits, given that they are to be constructed on a building owned by a public housing authority or a government entity. Applicants are encouraged to familiarize themselves with the requirements indicated on Procurement and Sourcing Solutions Portal ([PASSPort](#)) for the City of New York before submitting an application to this RFQL. Applicants are advised that terms and conditions applicable to the retrofit prototype and the subsequent construction and implementation of the prototype retrofits will be set forth in the RFP issued by NYCHA and eventual awarded agreement.

C. Qualification

1. Notification

For each Application that meets the eligibility requirements set forth in Section II.B above and is otherwise qualified pursuant to this RFQL, NYSERDA will notify the applicable Prime Contractor in writing. NYSERDA will also inform NYCHA of all applicants qualified through the RFQL.

It will then be incumbent upon a Team qualified by this RFQL to complete the NYCHA RFP and for the Prime Contractor so designated in this RFQL to submit its application for the NYCHA RFP to NYCHA in the manner and before the deadline designated by NYCHA in the NYCHA RFP.

2. NYCHA Contract

Following qualification by this RFQL, the Team's Prime Contractor will be responsible for dealing directly with NYCHA with respect to the NYCHA RFP and any contract that may ensue from it. NYSERDA in no way assumes any responsibility for or liability with respect to the NYCHA RFP or any contractual obligations that may result from the NYCHA RFP.

While NYSERDA or its representatives may provide support to the Team awarded a contract under NYCHA's RFP or otherwise act in an advisory capacity to that Team or NYCHA, any contractual obligations or liabilities will be strictly between NYCHA and the Prime Contractor.

3. Retrofit Solution Design Goals

The goal of the design phase is to develop a replicable high performance retrofit solution that will ultimately be produced and installed on the pilot building selected by NYCHA. Team Members will engage in a highly collaborative process that will involve NYSERDA, its representatives, and NYCHA, and may also include other key project stakeholders, all of whom will be encouraged to meet at regular intervals to participate in the development of the retrofit solution.

Teams must be able 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
- preserve affordable housing and affordable rents for Low-to-Moderate Income residents
- have an estimated budget meeting the project budget cap
- have a measurement and verification (M&V) plan to monitor building performance

Design Criteria

NYSERDA anticipates that NYCHA will seek to give as much design freedom as possible to the selected Team. However, in order to guide the work of the Teams and guarantee that the solutions achieve the expected outcomes, the NYCHA RFP will provide a set of design criteria and required specifications.

4. NYSERDA Support

To support the work of the Team, NYSERDA will actively facilitate a transfer of knowledge from industry participants currently delivering Energiesprong-generated solutions in the Netherlands.

To accelerate innovation, upon successful completion of the design phase, NYSERDA will publish the completed solution design package as an open source document with full acknowledgement of all participants and contributors. The solution design 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 solution designed under

NYCHA's RFP 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.

5. Construction Phase

At the conclusion of the design phase, it is expected that NYCHA will bid the scope of work developed during the design phase to builders and general contractors able to execute that scope through a separate competitive procurement process. Under the terms of the NYCHA RFP, the Team would then supervise the construction phase and sign-off on completed work.

III. Application Requirements

A. Application Process

Applications will be accepted until the submission deadline indicated in the block at the start of this solicitation. Upon receipt of an application, NYSERDA program staff will review for eligibility and completeness. NYSERDA will review applications submitted up to one week prior to the submission deadline for completeness and will notify applicants whose applications fail to meet minimum eligibility requirements of this within two business days so they may resubmit the application by the deadline. **If the application is deemed to be ineligible or incomplete, this shall disqualify the application.**

Complete and eligible applications will be reviewed and evaluated by a scoring committee comprised of NYSERDA and outside experts to determine which Teams are qualified to participate in the NYCHA RFP. NYSERDA will notify all applicants as to whether their Application meets the minimum scoring threshold and are qualified to apply to the NYCHA RFP.

Upon applicant request, any Teams whose applications are not qualified can request a debrief as to the reasons that their application did not qualify.

The Design Team Prime Contractor submits the Team Application. Team Members may be included on more than one Team Application.

The Team Application must include the following elements to be considered eligible and complete:

- Design Team Application Workbook (see Attachment A)
- 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 Design Team includes Team Members with the collective experience, skills and capabilities required to meet the objectives outlined in this RFQL.

B. Evaluation Criteria

Design Team Applications will be evaluated using the following criteria:

1. Team demonstrates a versatile set of skills above what is minimally required to achieve a successful integrated solution
2. Team's summary demonstrates understanding of efficient collaborative processes for the design and implementation phase
3. Plausibility of the Team's high-level description of its planned strategy and methods for developing a retrofit solution

4. Team demonstrates relevant experience with high-performance design and construction management
5. Team Members demonstrate experience in developing measurement and verification (M&V) plans
6. Team has experience retrofitting resident-occupied buildings
7. Team Members have previously worked together
8. Team demonstrates the ability to scale up solutions and compress costs through standardized, production and construction techniques or other innovative scalable methods
9. Team demonstrates experience working in the affordable housing market/knowledge of affordable housing regulations

IV. Reserved Rights

NYSERDA reserves the right to:

- convene one or more pre-proposal meetings/webinars for prospective Design 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>

V. Program Policy Factors

NYSERDA may consider program policy factors in making qualification decisions for Team Applications to best achieve the overall goals and objectives of the RetrofitNY program. Program Policy Factors may include the following considerations:

- The degree to which there are technical, market or organizational risks associated with the proposed Design Team.
- The degree to which the Design Team promotes the participation of diverse stakeholders or partnership with minority serving institutions.
- The degree to which the proposed technologies, approaches, methods and institutions are expected to drive innovation and best achieve the overall goals and objectives of the RetrofitNY program.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

VI. 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 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).

Contract Award - NYSERDA anticipates qualifying multiple teams under this solicitation. Teams may be qualified based on submittal of Project Applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support applications. NYSERDA may decline to qualify 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 qualify any applicant, pay any costs incurred in preparing a proposal, or to procure or contract for any services or supplies. NYSERDA reserves the right to qualify or disqualify any applicant, 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 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 qualification of a Design Team, NYSERDA may revoke the qualification of the Design Team; the applicable Team Member 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 – Design Team Application Workbook



Offshore Wind Port Infrastructure RFQL 4259 Request for Qualifications

Responses Due: November 15, 2019 by 3:00 p.m. Eastern Time

This Request for Qualifications (RFQL) constitutes Phase 1 of a 2-phase process through which New York State seeks to pre-qualify Applicants and then select proposals for public/private investment in port infrastructure that will advance the offshore wind industry in New York State. Through Phase 1, New York State expects to pre-qualify multiple Applicants for participation in Phase 2. Phase 2 will consist of a Request for Proposals (RFP) that will be issued in 2020. This RFQL is being administered by the New York State Department of Transportation (DOT), the New York State Energy Research and Development Authority (NYSERDA), and Empire State Development (ESD) (collectively, “New York State”).

New York State does not intend to publish responses. However, if you intend that your responses are to remain confidential please mark them “Confidential” or “Proprietary.” If New York State receives a request from a third party for responses received that have been marked “Confidential” or “Proprietary,” New York State will process such request under the procedures provided by New York State’s FOIL regulations as detailed in Section V below (email foil@nyserdera.ny.gov for additional information).

Proposal Submission: Online 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. 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 Applicant’s Site name in the title of the document. NYSERDA will also accept Applications by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit an Application (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>).

For submission of the Application, the Applicant’s complete response to this RFQL should be consolidated into a single file and uploaded under the “Request for Qualifications” upload location. Additionally, any aerial visuals (which are optional) may be uploaded separately under the “Aerial Visuals” upload location.

Alternatively, mailed or hand-delivered responses must be clearly labeled and submitted to the below address. If responses are mailed or hand-delivered, please include eight complete copies.

Attention: Jillina Baxter
OSW Ports RFQL - 2019 Response
New York State Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399



All responses must be received on or before 3:00pm Eastern Time on November 15, 2019. Incomplete Applications may be subject to disqualification. It is the Applicant's responsibility to ensure that all Application components have been included in the submitted Application. Please allow at least 60 minutes to enter/submit online Applications as there are required questions incremental to the upload process. The online proposal system closes promptly at 3 p.m. Eastern Time; files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above will not be accepted. If changes are made to this RFQL, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyscrda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If you have technical questions regarding this RFQL, please contact offshorewind@nyscrda.ny.gov. If you have contractual questions regarding this RFQL, please contact nancysolicitations@nyscrda.ny.gov.

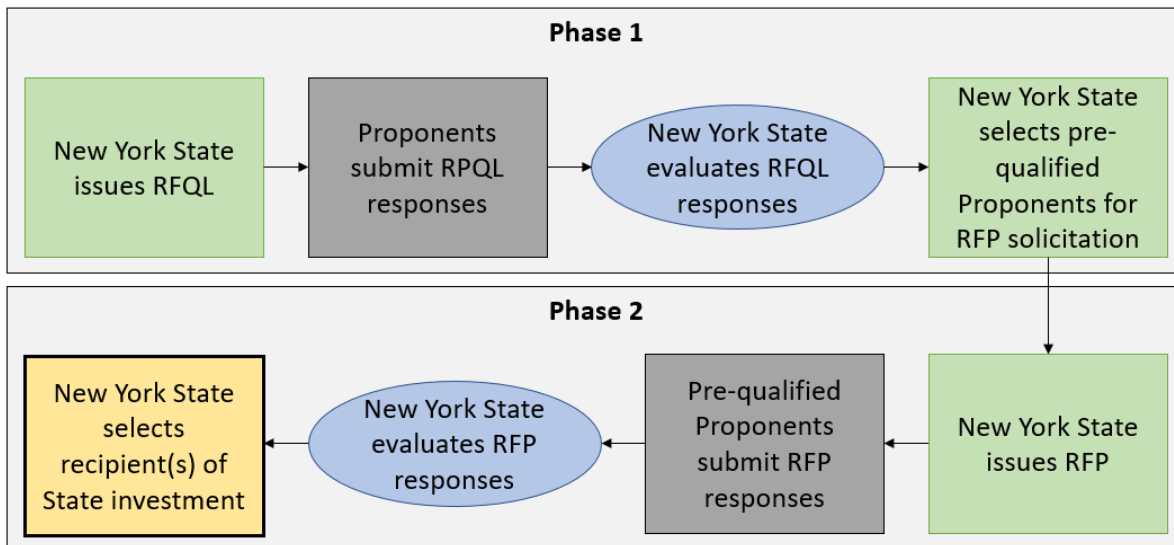
I. Introduction

On July 18, 2019, Governor Andrew M. Cuomo signed the Climate Leadership and Community Protection Act (CLCPA), putting into law the most aggressive climate agenda in the United States. The CLCPA includes a requirement for New York State to procure 9,000 megawatts of offshore wind by 2035, representing nearly half of the region's offshore wind pipeline. To complement this bold statement of national and global leadership, Governor Cuomo has also called for New York State to invest up to \$200 million in New York port infrastructure to leverage and strengthen private investment and maximize the long-term economic benefits to the State.¹ This commitment represents the nation's largest infrastructure commitment to offshore wind, and will be a critical ingredient in realizing the potential long-term economic benefits to the State from the regional development of offshore wind.

Port infrastructure is integral to the offshore wind supply chain, serving as the link between land-based manufacturing and pre-assembly activities and the offshore projects. This RFQL has been issued for New York State to examine and pre-qualify opportunities for State investment in New York port infrastructure that will provide vital supply chain resources to the offshore wind industry and unlock long-term local economic development potential. Only those Applicants who are pre-qualified under this RFQL will be eligible to participate in an RFP that will be issued by New York State in 2020. The RFP will be a competitive solicitation by which New York State may invest up to \$200 million in New York port infrastructure. The RFQL and RFP comprise a two-phase process which is outlined in the below graphic.

¹ <https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/2019StateoftheStateBook.pdf>





Investment by New York State into the offshore wind supply chain could take many forms, as identified in Appendix A. Appendix A provides various investment options but is not an exhaustive list of the incentives available to participants in the New York offshore wind supply chain. Applicants seeking consideration for additional assistance and/or incentives are encouraged to contact Empire State Development directly to discuss eligibility and options at (518) 292-5200 or cleantech@esd.ny.gov.

This RFQL is independent from the Offshore Wind Renewable Energy Credit (OREC) Request for Proposals (ORECRFP18-1) issued by NYSDERDA in November, 2018 (<https://www.nysderda.ny.gov/All-Programs/Programs/Offshore-Wind/Offshore-Wind-Solicitations/Generators-and-Developers/2018-Solicitation>). Applicants are encouraged to respond to this RFQL considering the offshore wind goals of both New York State and the broader region, which now collectively exceeds 20,000 megawatts.

New York State will host a webinar for prospective Applicants on October 11, 2019. Prospective Applicants are encouraged to register for this event as early as possible at <https://www.nysderda.ny.gov/All-Programs/Programs/Offshore-Wind/Contact/Events>. The purpose of the webinar is to provide prospective Applicants with the opportunity to clarify their understanding of any aspect of this RFQL. Prospective Applicants are encouraged to submit questions in advance of the webinar according to the instructions on the registration page, but questions may also be asked during the webinar as time allows.

II. Eligibility and Content Requirements

Applicants are required to respond to all questions included in this RFQL to be considered for pre-qualification. Additionally, the following information and items must be included for responses to be considered:

- Applicant’s name, affiliation, title, and primary contact information.
- Each response should include the number corresponding to each RFQL item/question request set forth in Section III hereof.
- All monetary values should be clearly presented in nominal dollars.

Applicants may respond on a standalone basis or as part of a team. Among many possible team structures, a team could consist of a site owner or long-term lessee, developer/sponsor, lead equity/or debt provider, and long-term user of the Site.



To be eligible for qualification, the Applicant must identify at least one Site (as defined below) and should describe the current level of Site control or describe their ability to obtain Site control. New York State understands and expects that applications for pre-qualification may present varying degrees of development and completeness with respect to particular Sites and activities. New York State will pre-qualify applicants based on overall demonstrations of value and viability.

III. Information Requested

A. Site Identification and Description

1. Identify the site(s) of the port facility (the “Site”) being discussed in your response. Proper identification should include geographic information system (GIS) data, address, a description of the surrounding neighborhood, and aerial visuals of site delineation.
2. Identify the current ownership, operational structure, and uses of the Site. This information should include the terms of any current leases relevant to the Proposed Site Investment and Proposed Site Activity (descriptions of these terms are below in Items 4 and 5, respectively).
3. Provide a summary of the existing Site infrastructure. At a minimum, this description should include:
 - a. acreage;
 - b. water depth and seabed conditions of the quayside, adjacent channels, and relevant vessel routes;
 - c. dimensions of the quayside;
 - d. bearing capacity of the quayside and upland area;
 - e. on-site power and other utilities;
 - f. access to road and rail transportation;
 - g. infrastructure and buildings;
 - h. nautical distance from all existing and proposed federal offshore wind energy areas (WEAs) that could be serviced by the Site;
 - i. key current and historical environmental conditions;
 - j. protection from surges, storms, and hurricanes.

B. Proposed Site Activity and Investment

4. Identify the proposed long-term use of the Site (Proposed Site Activity) as related to offshore wind. At a minimum, the description should include:
 - a. role(s) in the offshore wind supply chain;
 - b. expected end-users of the Site, including the proposed operational structure (long-term vs. short-term leases, single user vs. multiple users, etc.);
 - c. the Site’s ability to compete with other regional and global port facilities;
 - d. the types of vessels that would utilize the Site.
5. Identify the infrastructure upgrades (Proposed Site Investment) that are required for the Site(s). Information should be sufficiently detailed to support an assessment of the viability of the Proposed Site Activity. At a minimum, the description should address each of the below items and note specifically which, if any, are not relevant for the Proposed Site Investment:
 - a. acreage;
 - b. water depth and seabed conditions of the quayside, adjacent channels, and relevant vessel routes;
 - c. length of the quayside;
 - d. bearing capacity of the quayside and upland area;



- e. on-site power and other utilities;
- f. access to road and rail transportation;
- g. infrastructure and buildings;
- h. nautical distance from all existing and proposed federal WEAs that could be serviced by the Site;
- i. key current and historical environmental conditions;
- j. protection from surges, storms, and hurricanes.

6. Identify any physical or financial barriers to the Proposed Site Activity. These may include land/water access constraints, overhead restrictions on Site, air draft restrictions between the Site and the WEAs, or extensive remediation/permitting requirements.

C. Proposed Investment Structure

- 7. Identify the estimated costs of the Proposed Site Investment. If applicable, please also identify the class of such cost estimate as designated by AACE International 18R-97 guidelines.
- 8. Provide an estimated construction schedule for the Proposed Site Investment.
- 9. The primary mechanism available to New York State for investment is reimbursement, where the Applicant would independently finance the Proposed Site Investment and then, upon completion of the Proposed Site Investment, receive a pre-determined level of reimbursement from New York State. Please comment on this mechanism's ability to support the Proposed Site Investment.
- 10. Provide an estimate for the level of investment that you would expect to request from New York State.
- 11. Identify all investors, including their estimated investment levels, supporting the Proposed Site Investment.

D. Economic Benefits

- 12. Provide an estimate the value of Economic Benefits that would result from the Proposed Site Investment. Economic Benefits should include only those benefits that would accrue to New York State under the completion of the Proposed Site Investment, and that would not have accrued but for the completion of the Proposed Site Investment. Economic Benefits should be broken down between the construction phase (execution of the Proposed Site Investment) and the operational phase (execution of the Proposed Site Activity), should be broken down between direct, indirect, and induced benefits, and should be presented between two categories:
 - a. Category 1: spending within and GDP impact accruing to New York State; and
 - b. Category 2: job creation in New York State presented annually over the operational life of the Site, including estimated annual compensation.

E. Other

- 13. In no more than 500 words, provide a statement of qualifications that describes the experience and abilities of the Applicant and the Applicant's key team members, organizations, and/or institutions, if applicable.
- 14. Identify your experiences in assuming right of way acquisition, the assessment and management of environmental and geotechnical risks, and other permitting activities. Which of these are particularly relevant to the Proposed Site Activity and Proposed Site Investment?
- 15. Please provide any additional information that you believe New York State should consider in its evaluation.

IV. Evaluation of Responses



Applications will be evaluated by New York State against the Evaluation Criteria set out below. The content of Applications should address these criteria in reasonable detail.

A. Technical Considerations

Applications will be evaluated with focus on the following key technical areas:

- a) Applicant’s understanding and assessment of the nature of the OSW supply chain;
- b) The technical needs and challenges of any proposed Site(s);
- c) Physical advantages and barriers of any proposed Site(s) and their proximity to other potential offshore wind supply chain activities; and
- d) Ability of the proposed Site(s) to support the near-term and long-term offshore wind industry.

B. Financial and Risk/Return Considerations

Applications will be evaluated with focus on the following key risk/return areas:

- a) Level and structure of requested New York State financing support;
- b) Level and structure of indicated financial commitments of the Applicant and any other parties included in the response, with an emphasis on the ratio of state to non-state funding; and
- c) Creditworthiness (e.g. counterparties, underlying technologies, EPC providers, etc. as applicable).

C. Economic Benefits

Applications will be evaluated with focus on the following key areas:

- a) Level of proposed economic benefits relative to requested New York State investment;
- b) Risks associated with achieving the proposed economic benefits; and
- c) Ability to unlock future supply chain investments at other locations in New York State.

D. Viability

Applications will be evaluated with focus on the following key areas:

- a) Demonstration of the Site’s competitive advantages in the offshore wind supply chain;
- b) Level of current Site control or ability to secure long-term usage;
- c) Maturity of Site development to date;
- d) Proposed permitting and construction schedules;
- e) Engagement plan for relevant stakeholders, as necessary;
- f) Qualifications of the Applicant and the Applicant’s key team members and any other parties included in the response; and
- g) Attributes of the response including but not limited to cohesiveness, clarity, and a demonstration of strong understanding of the technical, financial, and other development challenges.

V. **General Conditions**

Proprietary Information. Careful consideration should be given before confidential information is submitted as part of your response. Review should include whether it is critical for evaluating a response, 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 the State possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure, including an exception 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 that 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 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 corresponding regulations. However, the State cannot guarantee the confidentiality of any information submitted.

Limitation. This RFQL does not commit New York State to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a response or procure or contract for services or supplies. The State reserves the right to cancel in part or in its entirety this RFQL when it is in its best interest. The State reserves the right to disqualify Applicants based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award. The Applicant should disclose any indictment for any felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and describe circumstances for each. If 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.



Appendix A: New York State Offshore Wind Supply Chain Incentives

<p>INCENTIVES</p>	<p>Investment Tax Credit up to 5% Manufacturers who are new to New York are eligible for a 5%, fully-refundable investment tax credit (ITC) on eligible capital expenditures. Resident manufacturers are eligible for a non-refundable ITC.</p> <p>New York State Manufacturers Pay 0% Income Tax</p> <p>Excelsior Jobs Tax Credit Program Fully refundable tax credits are available based on net new job creation commitments and/or capital investment commitments. Companies may qualify for four different flavors of tax credits. Learn more at https://esd.ny.gov/excelsior-jobs-program.</p> <p>Grants, structured as reimbursements, can be awarded to help offset project capital investments. Grants will be awarded based on milestone achievements throughout the project.</p> <p>New York Power Authority’s ReCharge NY Program can provide those participating in the Excelsior Jobs Tax Credit Program an allocation of lower-cost electricity. Learn more at https://www.nypa.gov/innovation/programs/recharge-ny.</p>
<p>INFRASTRUCTURE DIRECT INVESTMENT</p>	<p>New York will invest up to \$200 million in offshore wind port infrastructure to unlock private supply chain capital and maximize long-term economic benefits to the State.</p>
<p>WORKFORCE</p>	<p>New York State is establishing a \$20 million Offshore Wind Training Institute (OWTI) that will generate the institutional infrastructure to educate and train over 2,500 New Yorkers to design, manufacture, and operate cutting-edge offshore wind technology.</p> <p>New York State offers support for training and/or internships via its Employee Training Incentive Program (ETIP). ETIP will pay up to 50% of approved training costs, up to \$10,000 per employee, and will pay a credit of 50% of the stipend paid to an intern, up to \$3,000 per intern. Learn more at https://esd.ny.gov/employee-training-incentive-program.</p> <p>The New York State Department of Labor (NYSDOL) also has funds available to assist with training and workforce development. NYSDOL provides grants on a competitive basis to assist with occupational skills upgrading and training to meet the needs of the business, including on-the-job training. A description of all the business services available from NYSDOL can be found at https://www.labor.ny.gov/home/businesses.php.</p>
<p>FINANCE</p>	<p>New York Ventures The State’s Innovation Venture Capital Fund provides equity investments in select high-growth startups. Learn more at https://esd.ny.gov/innovation-venture-capital-fund.</p> <p>JDA Loan Program This program offers financing to help New York firms pay the cost of acquiring, renovating, and constructing buildings, or for purchasing machinery and equipment. Learn more at https://esd.ny.gov/job-development-authority-direct-loan-program.</p> <p>Linked Deposit Program This program provides resident businesses with affordable capital based on interest rates up to 2 or 3 percentage points lower than prevailing market rates. Learn more at https://esd.ny.gov/linked-deposit-program.</p> <p>New York Green Bank NYSERDA manages the State’s Green Bank with over \$1 billion of capital to invest to support the deployment of clean energy resources. Learn more at https://greenbank.ny.gov/.</p>





Standards and Quality Assurance Services Request for Qualifications (RFQL) 4272

Proposals Due: **April 14, 2020** by 3:00 p.m. Eastern Time*
Information regarding upcoming Bidders' Conference can be
found here: www.NYSERDA.NY.GOV/RFQL4272

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of qualified service providers to develop and implement quality initiatives in support of several NYSEDA programs and Clean Energy Technologies including:

- NY-Sun Solar Program as outlined in the NY-Sun Operational Plan
- Energy Storage Program as outlined in the Energy Storage Chapter
- Onsite Resilient Power as outlined in the Resource Acquisition Transition Chapter
- New York State Healthy Homes Value-Based Payment Pilot as outlined in the Energy Affordability and Equity Chapter
- Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

Qualified proposers will work with the NYSEDA Standards and Quality Assurance team to conduct field inspections, photo inspections and desk review services, implement existing and upcoming standards (technical, installation, data and quality standards) and deliver market-based quality assurance solutions. Proposers qualified under this solicitation will be established as a "Quality Service Provider" (QSP), instrumental in helping NYSEDA make quality a competitive determinant to drive contractor performance, build consumer and investor confidence and accelerate adoption of clean energy solutions in New York.

Interested proposers may submit their qualifications to support either one or a combination of all Service Categories and may submit bids for multiple program/technology areas:

- 1) Service Category 1: Field Inspections, Photo Inspections and Desk Review Services
- 2) Service Category 2: Technical Assistance and Standards Development Support Services
- 3) Service Category 3: Data Collection and Management System Support Services

NYSERDA anticipates qualification of one or more proposers for each Service Category. Awards for each Service Category are anticipated to be for five (5) years. Individual Task Work Orders (TWOs) will be assigned with a specified period of performance determined by NYSEDA based on the task requirements and final scope of work as new programs are approved. Qualified QSPs will initially be awarded zero-dollar umbrella contracts for all Service Categories.

Service Category 1: Inspection Services will be awarded by program and technology areas identified in this solicitation and will be contracted to support one (1) or more geographical regions or statewide.

Service Category 2: NYSERDA will qualify a pool of contractors to provide NYSERDA with diverse technical Quality Assurance (QA) and Quality Control (QC) experience, quality standards and method development and non-standard inspection service experience within the technology areas listed in the solicitation.

Service Category 3: NYSERDA will qualify a pool of contractors to provide NYSERDA with diverse technical experience of collecting and performing data management within the technology areas listed in the solicitation.

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 in whole or in part to expand its qualified consultant pool on an annual or more frequent basis.

Informational Webinar

NYSERDA will conduct an **Informational Webinar** on **Friday March 13th, 2020, 11:00 a.m. – 12:00 p.m.** Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate may send an email to <mailto:Inspections@nyserda.ny.gov> with the subject line “RFQL4272 Webinar” to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar and proposers can submit questions during the webinar through the web platform. NYSERDA will post questions and responses on the NYSERDA website after the Webinar. All questions will be posted anonymously, and NYSERDA’s written responses will supersede any responses given during the Webinar.

Proposal Submission: 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. Technical questions may be submitted by contacting the following:

Amy Kasson-Muzio at (518) 862-1090, ext.3570 or by e-mail
Amy.Kasson-Muzio@nyserda.ny.gov

Rick Sehein at (518) 862-1090, ext.3356 or by e-mail Rick.Sehein@nyserda.ny.gov.

If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or inspections@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-responsive offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 p.m. 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 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. 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'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.

¹ Case 14-M-0094 - Proceeding on Motion of the Commission to Consider a Clean Energy Fund; Case 10-M0457 – 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.

NYSERDA's new program approaches are intended to enable NYSERDA to achieve the high-level state policy goals identified in the Climate Leadership and Community Protection Act, CLCPA, which targets net zero carbon emissions. The historic Climate Leadership and Community Protection Act (CLCPA) signed by Governor Cuomo in July 2019 requires the State to achieve a carbon free electricity system by 2040 and reduce greenhouse gas emissions 85% below 1990 levels by 2050, setting a new standard for states and the nation to expedite the transition to a clean energy economy. The new law will drive investment in clean energy solutions such as wind, solar, energy efficiency and energy storage. Importantly, implementation of the CLCPA will target investments to benefit disadvantaged communities, create tens of thousands of new jobs, improve public health and quality of life and provide all New Yorkers with more robust clean energy choices.

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 and/or photo inspections 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 and Nonresidential Program, NY-Sun Commercial / Industrial Program, Home Performance with ENERGY STAR®, EmPower New York, Air Source Heat Pump Program, Ground Source Heat Pump Program and the Multifamily Performance Program.

NYSERDA seeks to competitively select Quality 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 and Category 3, 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 Services Providers qualified under this solicitation on a frequent basis and may re-issue this solicitation in whole or in part, as needed.

1. Category 1: Field Inspection, Photo Inspection and Desk Review Services: NYSERDA seeks to competitively select qualified service providers to continue inspection services or commence new field and/or photo inspection and desk review services for the following programs:

- NY-Sun Solar Incentive Programs
 - Residential and Nonresidential
 - Commercial / Industrial
- Energy Storage Technologies
 - Retail Storage
 - Bulk Storage

- Onsite Resilient Power
 - Combined Heat and Power
- Energy Affordability and Equity
 - New York State Healthy Homes Value-Based Payment Pilot
- Other: Broad Experience across Renewable Energy, Energy Efficiency and Demand Reduction.

1A. **Data Systems:** Quality Service Providers qualified under Category 1 will use NYSERDA's quality data systems, training will be provided. These data systems are used 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:

- NY-Sun Solar Incentive Programs
 - Residential and Nonresidential
 - Commercial / Industrial
- Energy Storage
- New York State Healthy Homes Value-Based Payment Pilot

Other lower volume Programs will be managed by the Qualified Services Provider using other formats acceptable to NYSERDA.

Proposers qualified to conduct field inspections, photo inspections and desk review services for NY-Sun Programs and Energy Storage Programs must become familiar with Salesforce and will be provided a secure access for designated employees. The Salesforce platform will be used to schedule inspections, record field observations, record photo review observations, notify participating contractors/builders/installers of inspection findings, track corrective action and generate summary reports.

Proposers qualified to conduct field inspections, photo inspections and desk review services for the New York State Healthy Homes Value-Based Payment Pilot must become familiar with the Quality Assurance Contractor Scoring System (QACSS), Uplight and/or Energy Savvy data platforms and will be provided with secure access for designated employees. QACSS will be used to schedule inspections, record field observations, notify participating contractors/builders/installers of inspection findings, track corrective action and generate summary reports. The QACSS platform will be transitioned to the Salesforce platform, which will be used to schedule inspections, record field observations, notify participating contractors of inspection findings, track corrective action and generate summary reports.

NYSERDA reserves the right to modify the data systems which the quality service providers will have to comply to the modification.

1B. 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**.

1C. Field Inspection and Photo Inspection Checklists: Work conducted under Service Category 1 will require the use of inspection checklists which outline the qualitative and quantitative data to be collected for each Program and technology area outlined in **Appendix 2: Program Descriptions**. The time to complete field, photo and 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: Checklists**, giving attention to each program/technology area of interest.

1D. Reporting: NYSERDA has developed report templates and standard scoring criteria to assist in the creation and issuance of reports to participating contractors. The NY-Sun Residential and Nonresidential and Commercial / Industrial Programs, Energy Storage Program, New York State Healthy Homes Value-Based Payment Pilot will use NYSERDA's centralized QA module and reports will be automatically generated based on inspection data recorded. The QSP will be responsible for producing field and photo inspection reports for all other program/technology areas which are not in a current NYSERDA database, see **Appendix 4-1: Sample Inspection Report – Fail Response** and **Appendix 4-2: Sample Inspection Report – Pass Response**. NYSERDA reserves the right to modify the report templates which the quality service providers will have to comply to the modification.

2. 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 quality standard development, QA and QC method development, and non-standard inspection service experience. Further information regarding these program/technology areas can be found in **Appendix 2 – Program Descriptions**.

- NY-Sun Solar Incentive Programs
- Energy Storage Technologies
- Onsite Resilient Power Programs
- Other: Broad Experience across Renewable Energy, Energy Efficiency and Demand Reduction

2A. Activities

Activities funded under this solicitation may include, but not be limited to, successfully implement quality assurance methods, data standards, technical

and installation standards, professional certifications, and company accreditation as needed to build consumer and investor confidence. Specific tasks may include, but not be limited to, research current and upcoming standards and methods applicable to the clean energy sector, recommend quality strategies for specific markets, in-field measurement and verification of applied technical and installation standards, development and deployment of contractor performance ratings, development of quality score cards, Pareto⁵ analysis, and overall support for new market-based quality assurance strategies. Several broad areas of NYSERDA interest regarding proposer qualifications are generally defined below:

- **Quality Methods** – Quality practices and methods recognized by the industry and make recommendations to promote efficient markets by increasing confidence in clean energy technologies and services in New York State.
- **Market-Based QA Strategies** - Market-based quality assurance strategies will be developed, deployed and supported through awards under this solicitation in partnership with NYSERDA. Activities may include researching consumer needs, implementing standards and workforce credentialing, standardizing data sets to more readily share performance data, promoting competition among clean energy providers by publicly sharing key quality and performance attributes (energy saved per square foot, realization rate (actual savings/estimated savings), health and safety, responsiveness, customer satisfaction) anticipated to help drive consumer choice and build consumer confidence.
- **Data Standards** – The U.S. Department of Energy (DOE) and other stakeholders have supported the development of consensus industry data standards to enable state governments, customers, utilities, financiers, clean energy companies, entrepreneurs, and other stakeholders to exchange energy and quality data. Below 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.

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 depict more significant defect occurrences. Excerpted from Nancy R. Tague's [The Quality Toolbox](#), Second Edition, ASQ Quality Press, 2005, pages 376-378.

- **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.
3. **Category 3: Data Collection and Management System:** NYSERDA seeks to qualify one or more companies who have expertise in the following technology areas to assist with maintaining, further development and operating a web-based system; to acquire, store, analyze, and present Performance Data and results from NYSERDA's distributed generation, combined heat and power, and battery electric storage projects. Further information regarding these program/technology areas can be found in **Appendix 2 – Program Descriptions**.
- Energy Storage
 - Data Collection and Management System Support Service
 - Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

III. RANGE OF SERVICES

NYSERDA seeks qualified proposers for the following three Service Categories requested under this solicitation. Further details regarding requested services are outlined below.

1. Service Category 1: Field Inspection, Photo Inspection and Desk Review

Proposers with expertise in delivering field inspections, photo inspections and desk reviews, and who possess required professional credentials, knowledge of energy efficiency, renewable energy, building science, applicable New York State code, and industry-recognized quality protocols will be considered for qualification as a “Quality Service Provider” to conduct field and photo inspection and desk review services.

Field inspections are in-person visual inspections of an in-process project or a completed project. Photo inspections are inspections of the photographs used to record the physical conditions of a project. Desk reviews are assessing the project by collecting, organizing and synthesizing the available information of a project.

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. NYSERDA will approve the preliminary work scope and notify the Quality 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 Services Provider and NYSERDA shall agree to a final work scope and total cost in writing, and no work shall commence without written approval from the NYSERDA Project Manager.

2. Service Category 2: Technical Assistance and Standards Development Support Services

NYSERDA seeks firms to assist NYSERDA in transitioning toward market-based Quality Assurance and Quality Control strategies, 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, company accreditation, and sharing quality and performance data with stakeholders. It is anticipated that market-based strategies will highlight the work of high-performing providers, promote competition, increase consumer confidence, encourage investment in high impact practices and technologies and encourage growth in the clean energy sector.

3. Service Category 3: Data Collection and Management System Support Services

NYSERDA seeks firms to assist NYSERDA in performing an analysis of the current Distributed Generation (DG) Integrated Data System and identify areas of possible upgrade and improvement with a goal of improving the system’s functionality and usefulness. The firm will also maintain, further develop, improve integration with other NYSERDA databases

and operate a web-based system to acquire, store, analyze, and present Performance Data and results from NYSERDA's battery electric storage projects.

IV. ANTICIPATED AWARDS UNDER THIS SOLICITATION

A. Overview

NYSERDA seeks to qualify pools of Quality Service Providers by the technology groupings identified who have expertise in the technology areas identified in **Appendix 2: Program Descriptions** 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 (TWO(s)) to qualified proposers as assigned by NYSERDA. NYSERDA reserves the right to determine the service period, funding level, and specific tasks to be included in all TWO(s) issued to qualified proposers.

All proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the program/technology area(s) and Service Category(ies) in which they have been qualified. In all cases, standard inspection rates and hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement and must be reviewed and approved by NYSERDA prior to implementation.

B. Anticipated Awards Service Category 1: Field Inspections, Photo Inspections and Desk Review Services

- NY-Sun Solar Incentive Programs
 - Residential and Nonresidential
 - Commercial / Industrial
- Energy Storage Technologies
 - Retail Storage
 - Bulk Storage
- Onsite Resilient Power
 - Combined Heat and Power
- Energy Affordability and Equity New York State Healthy Homes Value-Based Payment Pilot
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

NYSERDA anticipates qualifying one or more proposers for each program/technology area. These services may be separately awarded for one or more geographical regions, or statewide (see **Appendix 1: Regional Map and Inspection Estimates**). If the top ranked qualified proposer

for a given Region (or statewide) is unable or unwilling to cost-effectively fulfill the requirements of the TWO within the required timeframe, NYSERDA will issue, in whole or in part, at NYSERDA's discretion, a TWO to the next ranked qualified proposer for the Region (or statewide) and designated program/technology area. NYSERDA strongly encourages proposals from firms with employees located within the identified geographic regions that have the requisite technical skill set and field experience. Proposals that do not include regionally located staff must demonstrate the ability to deliver cost-effective and responsive services to the region (or statewide).

NYSERDA will sign zero-dollar umbrella agreements with all qualified proposers for a period of 5 (five) years and may issue a Task Work Order (TWO) needed under any of the support areas using the following sourcing options:

- Selecting the highest ranked firm in the support area NYSERDA is seeking services for.
- Issuing a mini bid to all the firms in the support area using evaluation criteria as established for the specific set of services requested.
- Selecting any contractor in the support area – for projects with a funding amount of \$50,000 or less.

When a TWO is assigned in the case of a mini-bid or assigned to a firm with distinguished specialized capabilities, the project manager and the Scoring Committee will include appropriate, articulate and detailed justification for the TWO assignments.

C. Anticipated Awards Service Category 2: Technical Assistance and Standards Development Support Services

NYSERDA anticipates qualifying a pool of contractors for each program/technology area listed to provide NYSERDA with diverse technical knowledge to assist with quality standard development, QA and QC method development, and technical assistance service experience.

- NY-Sun Solar Incentive Programs
- Energy Storage Technologies
- Onsite Resilient Power
- Energy Affordability and Equity Programs
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

When NYSERDA identifies a Task Work Order (TWO) need under any of the support areas, the process options for sourcing a contractor include:

- Selecting the highest ranked firm in the support area NYSERDA is seeking services for.
- Issuing a mini bid to all the firms in the support area using evaluation criteria as established for the specific set of services requested.
- Selecting any contractor in the support area – for projects with a funding amount of \$50,000 or less.

When a TWO is assigned in the case of a mini-bid or assigned to a firm with distinguished specialized capabilities, the project manager and the Scoring Committee will include appropriate, articulate and detailed justification for the TWO assignments.

D. Anticipated Awards Service Category 3: Data Collection and Management System Support Services

NYSERDA anticipates qualifying a pool of contractors for each program/technology area listed to provide NYSERDA with diverse technical knowledge to assist with maintaining, further development and operating a web-based system; to acquire, store, analyze, and present Performance Data and results from NYSERDA's distributed generation, combined heat and power, and battery electric storage projects

- Energy Storage
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

When NYSERDA identifies a Task Work Order (TWO) need under any of the support areas, the process options for sourcing a contractor include:

- Selecting the highest ranked firm in the support area NYSERDA is seeking services for.
- Issuing a mini bid to all the firms in the support area using evaluation criteria as established for the specific set of services requested.
- Selecting any contractor in the support area – for projects with a funding amount of \$50,000 or less.

When a TWO is assigned in the case of a mini-bid or assigned to a firm with distinguished specialized capabilities, the project manager and the Scoring Committee will include appropriate, articulate and detailed justification for the TWO assignments.

E. Award Considerations and Restrictions

NYSERDA intends to re-evaluate its qualified consultant pool on an annual or more frequent basis and may reissue this RFQL in whole or in part to expand support as needed.

The specific services and service period awarded to a qualified proposer will depend on NYSERDA needs and the proposer's expertise, rates, staff availability, responsiveness, and overall performance during the service period. Depending on the scope of work and period of planned performance, NYSERDA may issue a TWO directly to a specific qualified proposer or use a mini-bid process to select one from the qualified pool. Deliverables and schedule for each TWO will be established at the time of issuance.

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

PLEASE NOTE:

Proposers qualified under RFQL4272 may serve in other capacities under contract with NYSERDA for related program/technology areas, provided there is no perceived or demonstrated conflict of interest as determined by NYSERDA.

V. SPECIFIC SERVICES REQUESTED

A. Service Category 1: Field Inspection, Photo Inspection and Desk Review Services

Successful Proposals. It is anticipated that awards under this Service Category will result in measurable reductions in energy use and carbon emissions in relevant Programs. A successful proposal will include qualifications and experience that will:

- Promote quality resulting in measurable reductions in energy use and carbon emissions;
- Drive down the amount of Program expenditures needed to achieve a unit of energy savings or carbon reduction;
- Increase consumer confidence in clean energy projects and equipment purchases.

Preference will be given to proposals that include qualifications and experience aligned with one or more of the three bullets above. Specific areas subject to proposer qualifications by program/technology area are defined below.

The projected number of inspections required by region are presented in **Appendix 1: Regional Map and Inspection Estimates.**

Proposers must submit bids 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.

1. NY-Sun Solar Incentive Programs

a. NY-Sun Residential and Nonresidential Incentive Program

It is anticipated that field inspections, photo inspections and desk reviews for the NY-Sun Residential and Nonresidential Incentive Program will begin transitioning to the newly qualified proposer under this RFQL beginning summer 2020, with full responsibility beginning July 1st, 2020.

b. NY-Sun Commercial / Industrial Incentive Program

It is anticipated that field inspections, photo inspections and desk reviews for the NY-Sun Commercial / Industrial Incentive Program will begin transitioning to the newly qualified proposer under this RFQL beginning summer 2020, with full responsibility beginning July 1st, 2020.

2. Energy Storage Technology

a. Retail Storage

Proposers qualified under this solicitation will serve this market sector by providing field inspections, photo inspections and desk reviews of in-progress and completed projects.

b. Bulk Storage

Proposers qualified under this solicitation will serve this market sector by providing field inspections, photo inspections and desk reviews of in-progress and completed projects.

3. Onsite Resilient Power

a. Combined Heat and Power

Proposers qualified under this solicitation will serve this market sector by providing field inspections, re-commissioning inspections and desk reviews of completed projects.

4. Energy Affordability and Equity

a. New York State Healthy Homes Value-Based Pilot

Proposers qualified under this solicitation will serve this market sector by providing field inspections, photo inspections and desk reviews of completed projects.

B. Service Category 2: Technical Assistance and Standards Development Support Services

Successful Proposals. It is anticipated that awards under this Service Category will result in quality initiatives that quantitatively drive consumer and investor confidence in clean energy technologies. A successful proposal will include qualifications and experience that will:

- Demonstrate the knowledge and skills necessary to leverage quality interventions to advance the goals of the State Energy Plan / Clean Energy Fund / REV and the Climate Leadership and Community Protection Act 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, REV and Climate Leadership and Community Protection Act;
- 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. Support the growth of renewable energy technologies.

Preference will be given to proposals that include qualifications and experience aligned with one or more of the four bullets above. Specific areas of interest subject to proposer qualifications by program/technology area are defined below and as outlined in **Appendix 2: Program Descriptions**.

1. NY-Sun Solar Incentive Programs
2. Energy Storage Technologies
3. Onsite Resilient Power
4. Energy Affordability and Equity Programs
5. Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

C. Service Category 3: Data Collection and Management System

Successful Proposals. It is anticipated that awards under this Service Category will result in quality initiatives that quantitatively drive consumer and investor confidence in clean energy technologies. A successful proposal will include qualifications and experience that will:

- Provide an automated means for receipt, processing and storage of 15-minute interval data from data collection systems at DG Sites, through Data Collectors.
- Allow NYSERDA to enter DG Site specific project characterization data and information using an easy to use, ADA compliant, secure password protected, web-based interface over the internet.
- Demonstrate how the website shall be constructed so that it is accessible to users with disabilities and/or impairments and conforms to the guidelines outlined in NYS policy “NYS-PO8-OO5 Accessibility of Web-Based Information and Applications Compliance Reporting”, found at: <https://www.its.ny.gov/document/accessibility-web-based-information-and-applications-compliance-reporting>.
- Demonstrate how automated data validity checking and flagging of questionable data will be provided.
- Demonstrate how the website server, databases, and applications shall be constructed so that it is secured against unauthorized threats and complies with guidelines outlined in NYS policy “NYS-S15-OO2 Enterprise Vulnerability Scanning”, found at: <https://www.its.ny.gov/document/vulnerability-scanning-standard>. The website will be scanned for vulnerabilities by the NYSERDA Information Security Officer (ISO) prior to publishing. The website will not be published until the vulnerability scan has been approved by the NYSERDA ISO. The Contractor will be responsible for applying security patches as they become available. The Contractor will notify the NYSERDA Project Manager in the event new software features/functionality have been added to the website so that it may be scanned for vulnerabilities. The Contractor will be responsible for remediating any vulnerabilities. Provide automatically generated DG system

performance reports as web pages; The Contractor will include the use of a web analytics package, such as Google Analytics, or an equivalent web analytics package. Monthly high-level web traffic reports will be provided to the NYSERDA Project Manager, which will at a minimum, include: User-sessions, Most visited pages, Least visited pages, Top entrance pages, Top Exit pages, Top Traffic Sources, Top Search Terms leading visitors to the website.

- The website is required to meet New York State and/or NYSERDA branding guidelines, including the addition of the NYS Global Navigation, NYS Universal Navigation, NYS Global Footer, and NYS Universal Footer. Resources for these common elements can be found on the GitHub website at: <https://github.com/ny>. Access to some features will require elevated permission, which can be requested by the Contractor to the NYSERDA Project Manager who will work in conjunction with NYSERDA Web Operations and New York State Information Technology Services (ITS) to establish credentials.
- The contractor will create the website using current best practices in both semantic HTML creation and search engine optimization, utilizing a “responsive” design that allows the website to gracefully scale to high-definition smart television, desktop computers, tablets, and smart phones. The website will be compatible with the current and two-previous versions of mainstream web browsers including, but not limited to: Microsoft Internet Explorer, Microsoft Edge, Google Chrome, Apple Safari, and Mozilla Firefox.
- Since data collected, analyzed and presented by the DG Integrated Data System may be used as the basis of production payments for many of the DG projects, the Contractor shall implement a data quality assurance/quality control (QA/QC) protocol. This protocol shall include automated and manual inspection of received data and data posted to the database and website for completeness and reasonableness; procedures for contacting appropriate persons and/or entities to inform them of identified problem(s); and follow-up procedures to verify timely resolution.
- The Contractor shall develop and implement an automated backup system which shall, at a minimum, provide for daily incremental backups of Database Files, weekly full backups of Database Files, monthly full backups of all DG Integrated Data System files, and the automated storage of all backup files in at least two (2) different physical locations.
- The Contractor shall provide access to a copy of the most recent full backup of the DG Integrated Data System Files to NYSERDA’s project manager.
- The Contractor shall make improvements to the Hardware and Software Environments as required to accommodate growth in data storage needs and DG Integrated Data System user loads.

- The web and database server(s) shall be hosted, for the period of this Agreement, at secure location(s) with redundant power supplies and redundant Internet access. The database server shall utilize a fault tolerant disk configuration (RAID or other functional equivalent) to ensure data integrity. It will be the Contractor's responsibility to acquire secure and reliable website hosting, which will be available to users at a minimum of 99.9% of the time during the contract period, exclusive of a scheduled maintenance window (during an agreed-upon window of low-volume traffic, typically between 2am and 5am).
- Have the resources (human and financial) to achieve quality goals.

Preference will be given to proposals that include qualifications and experience aligned with the bullets above. Specific areas of interest subject to proposer qualifications by program/technology area are defined below and as outlined in **Appendix 2: Program Descriptions**.

Proposers qualified under this solicitation will serve this market sector by performing an analysis of the current Distributed Generation, DG, Integrated Data System and identify areas of possible upgrade and improvement with a goal of improving the system's functionality and usefulness. The firm will also maintain, further develop and operate a web-based system to acquire, store, analyze, and present Performance Data and results from NYSERDA's battery electric storage projects.

VI. QUALIFICATIONS

A. General Eligibility Requirements

All proposers, regardless of the Service Category being proposed, must possess the following minimum, basic qualifications:

- Understanding of goals and objectives of the Clean Energy Fund and NYSERDA's mission
- Exceptional communication skills and ability to manage conflict
- Demonstrated expertise in appropriate energy efficiency and renewable energy technologies
- Computer software proficiency in MS Excel, MS Access, MS PowerPoint, MS Word, etc.

B. Eligibility Requirements by Program/Technology Area

The required professional credentials by program/technology area are listed below. Proposers may highlight staff with preferred additional professional qualifications to enhance the proposal.

Service Category 1: Field Inspection, Photo Inspection and Desk Review.

In addition to the minimum general eligibility requirements listed above, proposers responding to Service Category 1 must possess the specified required professional credentials outlined below

by program/ technology area and identify such credentials held by proposed staff in **Attachment B: 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.

All Inspectors must meet the required professional credentials listed below.

NY-Sun Solar Incentive Program

Residential and Nonresidential and Large Commercial / Industrial

Required Professional Credentials

- NABCEP Certified PV Installer,* OR IBEW Journeyman,* OR UL PV Installer Certification
- Three (3) or more years of combined experience installing, designing or inspecting solar PV systems

Preferred Additional Professional Qualifications

- Professional Engineer (PE)
- Licensed Electrician in region proposed

Energy Storage Technologies

Required Professional Credentials

- Three (3) or more years of combined experience installing, designing or inspecting energy storage systems

Preferred additional Professional Qualifications

- Professional Engineer (PE)
- Licensed Electrician in region proposed

Onsite Resilient Power

Required Professional Credentials

- Inspection Team Lead: Three (3) or more years of combined experience installing, designing, or inspecting and assessing performance of CHP systems.
- On-Site Inspector: Familiarity with complex energy systems and comprehensive design documentation.

Preferred additional Professional Qualifications

- Professional Engineer (PE)
- Certified Commissioning Process Management Professional (CPMP)
- Certified Energy Manager (CEM)
- Certified M&V Professional (CMVP)

Energy Affordability and Equity

Required Professional Credentials

- BPI Healthy Home Evaluator
- BPI Building Analyst, OR BPI Energy Auditor
- BPI Envelope Professional
- BPI Heating
- BPI Manufactured Housing

Preferred additional Professional Qualifications

- BPI Quality Control Inspector
- BPI Rater
- RESNET Home Energy Rater
- BPI Air Conditioning and Heat Pump

Service Category 2: Technical Assistance and Standards Development Support Services

In addition to the minimum general eligibility requirements listed above, proposers responding to Service Category 2 are encouraged to identify professional credentials for proposed staff in **Attachment B: Qualifications Matrix and** are required only to describe relevant staff experience in the Personnel Qualifications section of the Proposal.

Service Category 3: Data Collection and Management System

Proposers responding to Service Category 3 must possess the following minimum, basic qualifications:

- For any data collected on behalf of NYSERDA, ability to provide clean, coded data in a manner satisfactory to NYSERDA and in a manner consistent with the Open NY Handbook and Open NY Submission Guidelines.
- Ability to apply expert technical report writing and editing skills to all project deliverables.
- Demonstrated expertise in appropriate statistical sampling, analyses and interpretation of various statistical tests associated with survey or other data.
- Ability to quickly develop tactical and cost-effective approaches to evaluation and market research.
- Ability to quickly implement evaluation and market research to assist in planning future activities, as specified by NYSERDA.
- Ability to work with data provided by others (e.g., survey contractor, industry data sources – open and commercially available).

- Statistical software and data visualization expertise with SAS and Tableau are strongly preferred and are currently in use by NYSERDA; other tools for analysis may be considered on an as needed basis where appropriate.
- Web-enabled primary data collection experience with Qualtrics is strongly preferred and is currently in use by NYSERDA.
- Solid understanding and ability to engage in advisement or development of evaluation approaches to meet NYSERDA's evolving needs, as evidenced by current and cited protocols and standards.
- Computer software proficiency in the suite of Microsoft products (Excel, Access, PowerPoint, Word, Teams) and SharePoint is required

In addition to the minimum general eligibility requirements listed above, proposers responding to Service Category 3 are encouraged to identify professional credentials for proposed staff in **Attachment B: Qualifications Matrix** and are required only to describe relevant staff experience in the Personnel Qualifications section of the Proposal.

VII. CONTRACTUAL ARRANGEMENT AND RESPONSIBILITY

A. Umbrella Agreement

All proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the program/technology area(s) and Service Area(s) in which they have been qualified. This Umbrella Agreement will not guarantee any specific amount of work. The amount of work and funding subsequently assigned to each Quality 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. NYSERDA reserves the right to extend and/or add funding should additional program funding become available. It is also anticipated that NYSERDA will re-evaluate each qualified consultant and the qualified consultant pools and add new firms to the pool at any time, as needed, due to shifts in NYSERDA's emphasis, consultant performance, expertise and other similar indicators. NYSERDA will re-evaluate and potentially reissue this RFQL to expand its qualified consultant pool on an annual or more frequent basis at NYSERDA's discretion.

Quality Assurance Service Providers who, at any time, cease to provide value to NYSERDA due to poor performance, lack of timeliness, inferior deliverable quality, lack of engagement with NYSERDA and its partners, or in any way fail to meet the objectives of NYSERDA's Standards and Quality Assurance team may be issued a written warning. Should there be no improvement following this written warning, the consultant will be removed from the qualified list.

B. Task Work Orders

Service Category 1: Field Inspections, Photo Inspections and Desk Reviews

Proposers qualified through this RFQL to conduct field inspections, photo inspections and desk reviews may be assigned work by program/technology area and Region through separate written TWO(s) as outlined in **Attachment C-1: Scope of Work for Field and Photo Inspection Services**, and **Attachment C-2: Scope of Work for Combined Heat and Power 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.

****Note: NYSERDA will not reimburse the purchase or rental of tools and equipment or training and certification of staff.***

Service Category 2: Technical Assistance and Standards Development Support Services

Proposers qualified through this RFQL to support quality methods, standards and technical assistance will be assigned work only for the program/technology area for which they are qualified. Projects will be assigned through separate written TWO(s), which will become binding agreements between NYSERDA, and the consultant qualified to perform the work. TWO(s) will either be assigned to the top ranked proposer or may be competitively bid through mini-bid request within the qualified pools of consultants in the relevant program/technology area.

TWO requests issued by NYSERDA may be fully developed by NYSERDA or may require the qualified consultant(s) to develop a proposed work scope and other key components of the TWO. Fully developed TWO requests issued by NYSERDA shall include a detailed work scope, description of the deliverables required, schedule and budget. Typically, these TWOs will be implemented according to the TWO 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 and equipment or training and certification of staff.***

At NYSERDA's discretion, mini-bid requests may be issued to all qualified providers in a specified program/technology area. These requests will likely include the outline of the scope and deliverables, regional considerations, and other pertinent information needed to develop a sound proposal. Each mini-bid request will require a detailed response from the qualified providers. Mini bids will be reviewed by NYSERDA and a provider will be selected to implement the TWO.

If, following proposal review, but before implementing the TWO, the selected provider is unable to implement the work due to workload, expertise or other similar factor, NYSERDA may select the next-ranked provider to implement the work.

The details of these TWO responses will be consistent with the level of complexity of the proposed project or activity and determined in consultation with NYSERDA but are anticipated to be one - five pages in length. In limited circumstances, during the development of a work scope, NYSERDA may consider partnering and teaming arrangements between qualified consultants and other expert entities as necessary. NYSERDA will not reimburse providers for the cost of preparing TWOs.

In all cases, hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement. NYSERDA must review and approve all TWO(s) before implementation.

Service Category 3: Data Collection and Management System

Proposers qualified through this RFQL will support maintaining, further development and operating a web-based system; to acquire, store, analyze, and present Performance Data and results from NYSERDA's distributed generation, combined heat and power, and battery electric storage projects program/technology area and Region through separate written TWO(s). Proposers will be assigned work only for the program/technology area for which they are qualified. Projects will be assigned through separate written TWO(s), which will become binding agreements between NYSERDA, and the consultant qualified to perform the work. TWO(s) will either be assigned to the top ranked proposer or may be competitively bid through mini-bid request within the qualified pools of consultants in the relevant program/technology area.

TWO requests issued by NYSERDA may be fully developed by NYSERDA or may require the qualified consultant(s) to develop a proposed work scope and other key components of the TWO. Fully developed TWO requests issued by NYSERDA shall include a detailed work scope, description of the deliverables required, schedule and budget. Typically, these TWOs will be implemented according to the TWO 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 and equipment or training and certification of staff***

At NYSERDA's discretion, mini-bid requests may be issued to all qualified providers in a specified program/technology area. These requests will likely include the outline of the scope and deliverables, regional considerations, and other pertinent information needed to develop a sound proposal. Each mini-bid request will require a detailed response from the qualified providers. Mini bids will be reviewed by NYSERDA and a provider will be selected to implement the TWO.

If, following proposal review, but before implementing the TWO, the selected provider is unable to implement the work due to workload, expertise or other similar factor, NYSERDA may select the second-ranked provider to implement the work.

The details of these TWO responses will be consistent with the level of complexity of the proposed project or activity and determined in consultation with NYSERDA but are anticipated to be one - five pages in length. In limited circumstances, during the development of a work scope, NYSERDA may consider partnering and teaming arrangements between qualified consultants and other expert entities as necessary. NYSERDA will not reimburse providers for the cost of preparing TWOs.

In all cases, hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement. NYSERDA must review and approve all TWO(s) before implementation.

C. Contractor Responsibility

Upon selection through this RFQL and upon agreement and approval of any TWO(s), the qualified proposer shall be responsible for the following:

- Demonstrating value-added, timely completion of TWOs that align with the requirements and qualifications described in **Section III: Range of Services** and **Section V: Specific Services Requested**.
- Keeping NYSERDA informed regularly on the progress of assigned work, including meeting with NYSERDA staff on a periodic basis, as needed.

- Submitting deliverables to NYSERDA for review and approval in accordance with the timeline outlined in the TWO.
- Providing required documentation of expenditures by task when seeking reimbursement.
- Ensuring the effort is based on the following principles:
 - Objectivity, fairness, and balance in terms of the types of data collected; only those data deemed necessary for quality assessment shall be collected and reported
 - Sound methodology, credible data and analysis, adherence to professional standards

D. NYSERDA’s Responsibility

Designated NYSERDA project managers will be responsible for overseeing and managing TWOs undertaken by qualified proposers, including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders; promoting coordination among service providers qualified for each Service Area and across all program/Technology areas, as appropriate; assisting in the presentation and dissemination of findings; and reviewing and approving invoices promptly.

VIII. Proposal Requirements

All Proposals should be responsive to the range of services presented in **Section III: Range of Services** and **Section V: Specific Services Requested** as relevant to the program/technology area proposed.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

1) Cover Letter (1 page)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 4272
- 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 shall 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

B. Service Category 1 Proposals: Field and/or Photo Inspections 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 B: Qualifications Matrix
- Attachment B-1: Bid and Rate Sheet
- Attachment C-1: Scope of Work for Field and Photo Inspection Services
- Attachment C-2: Scope of Work for Combined Heat and Power Inspection Services
- 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 B – Qualifications Matrix
- Attachment B-2: Project Personnel and Rates Form
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

D. Service Category 3 Proposals: Data Collection and Management System 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 B – 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 amount 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 listed in **Attachment B: 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 Categories 1, 2 and 3.

- **Service Category 1: Field and/or Photo Inspections 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: 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-1: Scope of Work for Field and Photo Inspection Services** and **Attachment C-2: Scope of Work for Combined Heat and Power Inspection Services**, as these requirements will serve as the Statement of Work under the TWO for awards granted under the field and/or photo inspection and desk review services. Any exception must be stated clearly in the Proposal. Electronic submission of redlined version of Attachment C-1 or Attachment C-2 is acceptable.

Note: Any escalation rates must be identified for up to a five-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**).
- **Service Category 3: Data Collection and Management System 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 Service Categories 2 and 3 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 Elsyda Forbes at the address on page 3 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. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

III. 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 and/or Photo 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 and Service Category 3. Each proposal section (by technology area) will be scored and ranked independent from other technology areas.

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.

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 RFQL. • Proposer thoroughly read the RFQL 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 RFQL.
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 and Service Category 3. Each proposal Section (by technology area) will be scored and ranked independent from other technology areas.

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.

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 RFQL; • 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 RFQL and executed all Proposal Requirements fully; • Proposal itself was well written and comprehensive.
25 Points	B: Ability to Serve Region(s) Proposed <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 RFQL.
25 Points	C: Relevant Experience and Qualifications <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	D: Cost <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.

D. Proposal Evaluation for Service Category 3: Data Collection and Management System Support Services

The scoring committee will evaluate all Proposals for Service Category 3 separate from those proposed under Service Category 1 and Service Category 2. Each proposal Section (by technology area) will be scored and ranked independent from other technology areas.

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.

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 RFQL; • 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 RFQL and executed all Proposal Requirements fully; • Proposal itself was well written and comprehensive.
25 Points	<p>B: Ability to Serve Region(s) 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 RFQL.
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.

E. 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 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 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.

F. 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.

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.

IV. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates 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 E) to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement (Attachment E) to those specifically identified in the 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 - 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.

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

V. Appendices

Appendix 1 – Regional Map and Production Estimates

Appendix 2 – Program Descriptions

Appendix 3 – Checklists

Appendix 4 – Sample Inspection Report – Pass Report

Appendix 4A – Sample Inspection Report – Fail Report

VI. Attachments

All Proposals Submitted Must Include:

Attachment A – Qualifications Matrix

Attachment B – Bid and Rate Sheet

Attachment B-1 – Project Personnel and Rates Form

Attachment C – Scope of Work for Field and Photo Inspection Services

Attachment C-1 – Scope of Work for Combined Heat and Power Inspection Services

Attachment D – Sample Agreement

NYSERDA
Public Authority Law Report
October 1, 2020 to March 31, 2021

Section Break

Projects Selected for Funding by Region

Period 10/1/2020 through 3/31/2021

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	Albany	National Grid	154,352,216
	Columbia	Central Hudson Gas and Electric	21,022
		National Grid	12,675,659
		NYS Electric and Gas	2,688,421
	Greene	Central Hudson Gas and Electric	30,185,132
	Rensselaer	National Grid	17,698,667
		NYS Electric and Gas	3,500
	Saratoga	National Grid	46,066,397
	Schenectady	National Grid	1,513,228
	Warren	National Grid	34,981
	Washington	National Grid	16,515,847
Total			281,755,070
Central New York	Cayuga	National Grid	2,264,941
		NYS Electric and Gas	4,657,251
		Rochester Gas and Electric	12,028
	Cortland	National Grid	44,676,365
		NYS Electric and Gas	2,321,038
	Madison	National Grid	11,521,617
		NYS Electric and Gas	72,347
	Onondaga	National Grid	22,135,060
		NYS Electric and Gas	45,528
	Oswego	National Grid	4,078,342
	Total		
Finger Lakes	Genesee	National Grid	152,634,539
	Livingston	National Grid	8,076,057
		NYS Electric and Gas	11,177
		Rochester Gas and Electric	4,291,306
	Monroe	Municipal Utilities	28,580
		National Grid	8,126,605
		Rochester Gas and Electric	7,698,687
	Ontario	National Grid	2,195,088
		NYS Electric and Gas	802,977
		Rochester Gas and Electric	1,248,139
	Orleans	National Grid	3,594,361
	Seneca	NYS Electric and Gas	2,138,758
	Wayne	NYS Electric and Gas	32,814
		Rochester Gas and Electric	756,932
	Wyoming	National Grid	1,566,000
		NYS Electric and Gas	10,526,357
Yates	Municipal Utilities	2,275,258	
	NYS Electric and Gas	2,110,355	
Total			208,113,988

Projects Selected for Funding by Region

Period 10/1/2020 through 3/31/2021

REDC Region	County	Electric Utility	Total Funded Amount
Long Island	Nassau	Long Island Power Authority	4,768,993
	Suffolk	Long Island Power Authority	2,585,158
	Total		7,354,151
Mid-Hudson	Dutchess	Central Hudson Gas and Electric	1,572,071
		NYS Electric and Gas	12,852
	Orange	Central Hudson Gas and Electric	7,775,997
		NYS Electric and Gas	820,069
		Orange and Rockland Utilities	7,287,981
	Putnam	Central Hudson Gas and Electric	37,681
		NYS Electric and Gas	38,314
	Rockland	Orange and Rockland Utilities	1,471,331
	Sullivan	Central Hudson Gas and Electric	16,513
		NYS Electric and Gas	222,429
		Orange and Rockland Utilities	11,870
	Ulster	Central Hudson Gas and Electric	5,571,009
		NYS Electric and Gas	893,236
	Westchester	Consolidated Edison	24,174,916
		NYS Electric and Gas	176,503
Total		50,082,773	
Mohawk Valley	Fulton	National Grid	2,440,200
	Herkimer	National Grid	22,783,945
	Montgomery	National Grid	47,565,078
	Oneida	National Grid	18,770,385
	Otsego	National Grid	7,800
		NYS Electric and Gas	146,301
	Schoharie	National Grid	25,152
Total		91,738,861	
New York City	Bronx	Consolidated Edison	6,532,048
	Kings	Consolidated Edison	6,467,674
	New York	Consolidated Edison	334,000
		Consolidated Edison	18,161,656
	Queens	Consolidated Edison	4,429,678
		Long Island Power Authority	36,784
	Richmond	Consolidated Edison	2,654,166
Total		38,306,005	
North Country	Clinton	Municipal Utilities	150,000
		National Grid	5,712
		NYS Electric and Gas	189
	Essex	National Grid	174,785
	Franklin	National Grid	3,664,259
		NYS Electric and Gas	581,467
	Jefferson	National Grid	158,668,702
	Lewis	National Grid	7,182,206
St. Lawrence	National Grid	31,590,293	

Projects Selected for Funding by Region

Period 10/1/2020 through 3/31/2021

REDC Region	County	Electric Utility	Total Funded Amount
North Country	Total		202,017,612
Southern Tier	Broome	NYS Electric and Gas	174,453,188
	Chemung	NYS Electric and Gas	874,776
	Chenango	NYS Electric and Gas	138,871,313
	Delaware	NYS Electric and Gas	12,543
	Steuben	NYS Electric and Gas	47,182,454
	Tioga	NYS Electric and Gas	19,152,861
	Tompkins	NYS Electric and Gas	2,132,803
	Total		382,679,938
Statewide	STATEWIDE	Statewide	298,817,617
	Total		298,817,617
Western New York	Allegany	National Grid	8,396,791
		Rochester Gas and Electric	2,048,400
	Cattaraugus	National Grid	26,144,897
		NYS Electric and Gas	122,919,687
	Chautauqua	Municipal Utilities	3,000,000
		National Grid	287,393
		NYS Electric and Gas	1,900,080
	Erie	National Grid	9,360,219
		NYS Electric and Gas	8,806,100
	Niagara	National Grid	7,972,900
		NYS Electric and Gas	3,115,577
	Total		193,952,044
Grand Total			1,846,757,575

NYSERDA
Public Authority Law Report
October 1, 2020 to March 31, 2021

Section Break

Projects Selected for Funding by Region
Period 10/1/2020 through 3/31/2021

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Able Grid Infrastructure Holdin..	Albany	National Grid	ESTOR:Bulk Storage Incentive, Bulk Storage Inc..	22,500,000
	ACEEE	Albany	National Grid	Prof & Expert Engagement, ASAP 2021 sponsor..	25,000
	Active Solar Development, LLC	Saratoga	National Grid	<200KW PV, NY-Sun	32,154
				NY-SUN, NY-Sun	3,510
	Adam C. Boese	Rensselaer	NYS Electric and Gas	Technical Services, AEAP	3,500
	AES DE RS X, LLC	Washington	National Grid	>200KW PV, NY-Sun C&I	1,480,024
	AES DE RS XV, LLC	Columbia	NYS Electric and Gas	>200KW PV, NY Sun	256,074
	AES Distributed Energy, Inc.	Rensselaer	National Grid	>200KW PV, NY-Sun	1,254,926
	Allegis Group Holdings Inc	Albany	National Grid	Home Perf w Energy Star, SA.070_TWO#11 - E..	403,767
				Pay for Performance, SA.055_TWO #10 - P4P PM	39,248
	Allen Power, Inc.	Albany	National Grid	<200KW PV, PON 2112 NY SUN	39,778
	Alliance to Save Energy	Albany	National Grid	Prof & Expert Engagement, 2020 ASE Members..	35,000
	American Energy Care, Inc.	Albany	National Grid	<200KW PV, NY-Sun	6,232
				<200KW PV, PON 2112 NY SUN	6,867
		Rensselaer	National Grid	<200KW PV, NY-Sun	9,156
				<200KW PV, PON 2112 NY SUN	12,785
		Saratoga	National Grid	<200KW PV, NY-Sun	17,789
				<200KW PV, PON 2112 NY SUN	5,494
		Schenectady	National Grid	<200KW PV, NY-Sun	10,464
				<200KW PV, PON 2112 NY SUN	15,438
	APPEXTREMES, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Conga Compose..	14,400
	Arcadis of New York, Inc.	Albany	National Grid	Strategic Energy Manager, SA.046_TWO #4 - E..	277,661
				Technical Services, FT13304 - Mohawk View - F..	31,605
	Argus Media Inc.	Albany	National Grid	ENERGY ANALYSIS, Energy Analysis	15,442
	Atlantic Data Security, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Checkpoint Profe..	16,650
	Aztech Geothermal, LLC	Saratoga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,960
	Barbera Homes and Development, Inc.	Albany	National Grid	New Construction Housing, 2019 LRNCP	5,700
				New Construction Housing, 2020 LRNCP	17,100
	Basilica Industries LLC	Columbia	National Grid	Net Zero Energy for Eco Dev, Net Zero Economi..	950,139
	Beacon Communities Services LLC	Albany	National Grid	New Construction Housing, 2019 LRNCP	60,800
		Saratoga	National Grid	New Construction Housing, 2019 LRNCP	54,800
	Beacon Meadows Intergen LLC	Albany	National Grid	New Construction Housing, 2019 LRNCP	59,000
	Boralex US Energy Inc	Saratoga	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	11,879,960
		Washington	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	11,879,960
	Borrego Solar Systems, Inc.	Columbia	National Grid	>200KW PV, NY Sun	965,075
				NY-SUN, NY Sun	1,187,784
		Rensselaer	National Grid	>200KW PV, NY Sun	630,115
				NY-SUN, NY Sun	916,531
		Saratoga	National Grid	NY-SUN, NY Sun	1,649,762
	Building Performance Institute..	Albany	National Grid	Talent Pipeline:CE and OJT, Energy & Efficiency ..	185,000
	C.J. Brown Energy, P.C.	Albany	National Grid	Technical Services, FT13033 - Meadowbrook - F..	5,300
		Rensselaer	National Grid	Technical Services, FT13027 - Towers - FTC	5,300
	C&S Engineers, Inc.	Albany	National Grid	Technical Services, FT13279 - Courthouse - FTC	8,000
	Cairo NY 1, LLC	Greene	Central Hudson Gas and Electric	>200KW PV, NY-Sun C&I	496,776
				NY-SUN, NY-Sun C&I	876,663
	Canandaigua Power Partners ..	Albany	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	43,104,630
	Carahsoft Technology Corporation	Albany	National Grid	NYSERDA ADMINISTRATION, Event Monitoring..	5,227
Salesforce 2021 Licensing				1,509,403	
Carter Ledyard & Milburn LLP	Albany	National Grid	NYSERDA ADMINISTRATION, Indian Point PAA..	15,179	

Projects Selected for Funding by Region
Period 10/1/2020 through 3/31/2021

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Catskill View Solar, LLC	Columbia	National Grid	>200KW PV, NY Sun	974,173
	CHA Consulting Inc.	Albany	National Grid	CI Carbon Challenge, SA.019_TWO#1 - Industrial	124,400
				CI Carbon Challenge, SA.030_TWO#2 - Industrial	124,400
				CI Carbon Challenge, SA.031_TWO#3 - Industrial	124,400
				CI Carbon Challenge, SA.034_TWO#5 - Industrial	124,400
				Industrial Process Effic, SA.019_TWO#1 - Indust..	21,968
				Industrial Process Effic, SA.030_TWO#2 - Indust..	21,968
				Industrial Process Effic, SA.031_TWO#3 - Indust..	21,968
				Industrial Process Effic, SA.034_TWO#5 - Indust..	21,968
				K-12 SCHOOLS, SA.035_TWO#4 - EPE	168,695
				Strategic Energy Manager, SA.019_TWO#1 - Ind..	42,530
				Strategic Energy Manager, SA.030_TWO#2 - Ind..	32,632
				Strategic Energy Manager, SA.031_TWO#3 - Ind..	11,132
				Strategic Energy Manager, SA.034_TWO#5 - Ind..	3,774
				Technical Services, SA.019_TWO#1 - Industrial	113,450
	Charter Communications Holdings, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Dedicated Intern..	35,964
				NYSERDA ADMINISTRATION, West Valley - Fib..	8,910
	Christopher Lutgens	Albany	National Grid	Home Perf w Energy Star, EmPower Repairs/Ins..	6,470
	Claverack Creek Solar, LLC	Columbia	National Grid	>200KW PV, NY Sun	974,173
	Claverack Solar 1, LLC	Columbia	National Grid	>200KW PV, NY Sun	965,075
				NY-SUN, NY Sun	1,187,784
	CLEAResult Consulting, Inc.	Albany	National Grid	Centralized Services & Support	482,665
				EMPOWER NY, Centralized Services & Support	85,499
				Geothermal Incentive Program, Centralized Servi..	74,599
				Home Perf w Energy Star, Centralized Services ..	1,383,707
	Clinton Avenue Apartments II ..	Albany	National Grid	New Construction Housing, 2019 LRNCP	69,000
	CMC Energy Services, Inc	Albany	National Grid	NYCH: Supply Chain, Electrification Workshops	50,000
	COGENT Infotech Corporation	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 1 Asst. BA ..	196,560
	Cohen Ventures Inc	Albany	National Grid	Air Source Heat Pumps, TWO1 Prod & Appliance..	75,000
				Product Standards, TWO2 Emissions Appliance ..	250,000
	Croton Energy Group, Inc.	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	125,433
	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, DELL Wyse 304..	17,367
				NYSERDA ADMINISTRATION, Microsoft EA 3 y..	426,549
	Direct Packet Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Video Service R..	29,341
	Dowmont Solar, LLC	Washington	National Grid	>200KW PV, NY Sun	974,173
	DTN, LLC	Albany	National Grid	ENERGY ANALYSIS, Energy Analysis	20,639
	E Source Companies LLC	Albany	National Grid	Informat. Products & Brokering, DER Data Platfor..	92,176
				Subscription/Data Access, One-Year Subscripion	65,521
	East Light Partners PBC	Columbia	National Grid	>200KW PV, NY Sun	1,798,848
				NY-SUN, NY Sun	1,199,232
	Eiger 3970 Consultants Inc.	Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	9,758
	ELP Ghent Solar LLC	Columbia	NYS Electric and Gas	NY-SUN, NY Sun	945,648
	ELP Kipp Solar LLC	Columbia	National Grid	>200KW PV, NY Sun	650,052
				NY-SUN, NY Sun	800,064
	EME Consulting Engineering Group, LLC	Albany	National Grid	CI Carbon Challenge, SA.034_TWO#4 - Industrial	124,400
				Industrial Process Effic, SA.034_TWO#4 - Indust..	21,968
				Strategic Energy Manager, SA.034_TWO#4 - Ind..	8,389
				Strategic Energy Manager, SA.044_TWO#5_EP..	198,123
	Employee Leasing of Greater ..	Albany	National Grid	NYSERDA ADMINISTRATION, TS016_Marketing	66,000
	Energy Resources		National Grid	Technical Assistance Services AEP	3,439
	Energy and Environmental Economics inc		Consolidated Edison	New Construction TWO 20	155,000
	ePlus inc	Albany	National Grid	NYSERDAADMINIST RAT ONpVidia/DLlic e..	17,760
				NYSERDAADMINIST RAT ON/MWareSupport..	53,382

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	ePlus inc	Albany	National Grid	Server Racks for datacenter	5,085
				VDI Server Cluster Hardware	192,536
	Erie Wind LLC	Albany	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	3,421,760
	FFP NY Schaghticoke Project..	Rensselaer	National Grid	>200KW PV, NY Sun	393,608
	First Columbia Property Servi..	Albany	National Grid	NYSERDA ADMINISTRATION, Property Manage..	230,072
	Fresh Maintenance LLC	Albany	National Grid	Home Perf w Energy Star, PO for EmPower Proj..	6,700
	Fusco Personnel, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TS.015 Contract ..	66,495
	Galvan Initiatives Foundation, ..	Columbia	National Grid	Buildings of Excellence, Buildings of Excellence ..	850,000
	Gartner Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Gartner 2021	39,164
	Geothermal Innovations, LLC	Schenectady	National Grid	Large-Scale GSHP Rebate	71,724
	Harris Beach PLLC	Albany	National Grid	NEW YORK GREEN BANK, Green Bank PAAA	2,225
				NYSERDA ADMINISTRATION, On Bill Financing..	10,000
	HECATE ENERGY ALBANY ..	Albany	National Grid	REC:CES REC Contracts, Coeymans Solar	18,449,496
	HECATE ENERGY GREENE ..	Greene	Central Hudson Gas a..	REC:CES REC Contracts, Greene County 1	18,449,496
	HECATE ENERGY GREENE ..	Greene	Central Hudson Gas a..	REC:CES REC Contracts, Greene County 2	9,224,210
	Hidden Meadows Solar, LLC	Washington	National Grid	>200KW PV, NY-Sun C&I	974,173
				NY-SUN, NY-Sun C&I	1,198,982
	Hodgson Russ LLP	Albany	National Grid	Code to Zero, Zoning Code/Land Use Policy	7,000
				ESTOR:Consumer Education, PSC Energy Stora..	15,000
				NYSERDA ADMINISTRATION, EmPower Claim ..	5,000
	Home Leasing, LLC	Schenectady	National Grid	New Construction Housing, 2019 LRNCP	50,600
	Hubbs Road Solar, LLC	Saratoga	National Grid	>200KW PV, NY Sun	799,193
				NY-SUN, NY Sun	983,622
	Hudson River Renewables	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	6,899
	Hudson Valley Clean Energy Inc.	Columbia	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,222
			National Grid	<200KW PV, PON 2112 NY SUN	8,750
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,157
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	8,463
	Ida Yarbrough Phase IV LLC	Albany	National Grid	Technical Services, FT13199 - Multiple - PON	32,088
	Indeed Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Job Postings	30,500
	Info-Tech Research Group Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 1-yr Info-Tech R..	34,458
	Insight Public Sector, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Eset Endpoint A..	8,723
	Kasselmann Solar LLC	Albany	National Grid	<200KW PV, NY-Sun	18,560
				<200KW PV, PON 2112 NY SUN	17,791
		Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,236
		Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	10,920
		Rensselaer	National Grid	<200KW PV, NY-Sun	5,880
		Saratoga	National Grid	<200KW PV, NY-Sun	28,496
				<200KW PV, PON 2112 NY SUN	12,102
		Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	8,400
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	6,956
	Knox PV, LLC	Albany	National Grid	>200KW PV, NY Sun	720,720
	Kool-Temp Heating & Cooling	Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,946
	L&S Energy Services, Inc.	Rensselaer	National Grid	Commercial New Construc, RFP3771 Umbrella ..	17,370
				New Construction- Commercial, Commercial Ne..	26,000
		Warren	National Grid	Technical Services, FT13157 - Cronin High Rise..	8,934
				Technical Services, FT13159 - Stichman Towers ..	9,491
	Washington	National Grid	Technical Services, FT13158 - Earl Towers - FTC	8,534	
Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, Insurance SL/LT../.	231,617	
Livingston Energy Group	Schenectady	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	28,800	
Low-Level Radioactive Waste ..	Albany	National Grid	NYSERDA ADMINISTRATION, LLRW Forum Me..	5,000	
Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 4301 Insura..	274,284	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Maureen Data Systems, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, VMWare Airwatc..	7,020
	Michaels Group Homes, LLC	Albany	National Grid	New Construction Housing, 2020 LRNCP	7,600
		Saratoga	National Grid	New Construction Housing, 2019 LRNCP	15,200
	Milliman, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 2021 GASB74 Li..	5,500
	MSAP 13 LLC	Rensselaer	National Grid	>200KW PV, NY Sun	780,000
	MVP Consulting Plus, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 20-21 License R..	10,473
	Nautilus Owner 2020, LLC	Saratoga	National Grid	>200KW PV, NY-Sun C&I	2,587,553
	Network Craze Technologies	Albany	National Grid	Network.Equip.NYGB.1333.NYC	28,323
				NYSERDA ADMINISTRATION, Network.Equip.N..	28,323
	Network Experts of New York,..	Albany	National Grid	NYSERDA ADMINISTRATION, Network Consulti..	10,860
	New Buildings Institute, Inc.	Albany	National Grid	Prof & Expert Engagement, 2020 NBI Membership	25,000
				Prof & Expert Engagement, 2021 NBI Membership	25,000
	Newport Ventures, Inc.	Albany	National Grid	Code to Zero, Newport TWO #1 Training	242,964
				Code to Zero, TWO3 Energy Code and NYStretch	1,150,000
	Noresco LLC	Albany	National Grid	Code to Zero, TWO-2 Online Training Class	27,242
	NY 5 King LLC	Saratoga	National Grid	>200KW PV, NY Sun	919,776
	NY 24 Sherman LLC	Saratoga	National Grid	>200KW PV, NY Sun	899,184
	NYC Energy LLC	Albany	National Grid	ESTOR: Bulk Storage Incentive, Bulk Storage Inc..	23,970,000
	O'Brien & Gere Engineers, Inc.	Albany	National Grid	NYCH: Technical Assistance, FT13315 - Uni. at ..	179,919
	Old Mill Road Solar A, LLC	Columbia	NYS Electric and Gas	>200KW PV, NY Sun	739,939
	Old Mill Road Solar B, LLC	Columbia	NYS Electric and Gas	>200KW PV, NY Sun	725,625
	Orange EV LLC	Saratoga	National Grid	CLEAN TRANSPORTATION, NYTVIP	216,160
	OwnBackup Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Own backupSale..	32,383
	Pearl Over Look Corporation	Albany	National Grid	Multifam Performance Pgm, Multifamily	268,800
	PlugPV, LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	5,824
		Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,742
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	5,376
		Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	5,600
	Promantek Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Employee Web-b..	42,309
	Provantage, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, APC Smart UPS ..	6,965
	Randstad North America, Inc.	Albany	National Grid	Air Source Heat Pumps, Payroll Services_CHC	48,750
				Campus/Technical Assistance, Payroll Services_..	39,000
				Cleantech ICC Engage, Payroll Services_Innovat..	305,897
				Cleantech Incubator, Payroll Services_T2M	251,478
				Community RH&C, Payroll Services_CHC	48,750
				ENERGY ANALYSIS, Payroll Services_Modeling..	21,600
				Geothermal Incentive Program, Payroll Services_..	48,750
				Housing Agencies Support, Payroll Services_Mul..	283,920
				NEW YORK GREEN BANK, PS.038_NYGB Anal..	199,095
				NYSERDA ADMINISTRATION, Payroll Services..	43,095
				NYSERDA ADMINISTRATION, Payroll Services..	21,600
				NYSERDA ADMINISTRATION, Payroll Services..	187,590
				NYSERDA ADMINISTRATION, Temp Services_..	141,183
				OTHER PROGRAM AREA, Payroll Services_Inn..	130,000
				Pay for Performance, Payroll Services_Utility Affai	626,613
	Renewable Heat NY, Payroll Services_CHC	48,750			
	Regional Greenhouse Gas Init..	Albany	National Grid	ENERGY ANALYSIS, 2021 RGGI Funding Agree..	286,131
Rensselaer Polytechnic Institu..	Rensselaer	National Grid	Industrial Process Effic, Industrial Process Efficie..	415,673	
Resource Refocus LLC	Albany	National Grid	Code to Zero, TWO 2 NYStretch Res CE	6,000	
Ricoh USA Inc	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 3919-Siteco..	606,692	
Rosenblum Property Services,..	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	24,600	
Saratoga Solar II, LLC	Saratoga	National Grid	>200KW PV, NY Sun	843,243	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Saratoga Solar II, LLC	Saratoga	National Grid	NY-SUN, NY Sun	1,167,566
	Seed Renewables Inc.	Rensselaer	National Grid	<200KW PV, NY-Sun	14,080
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Embarcadero ER..	18,208
				NYSERDA ADMINISTRATION, Monitor Docks 1..	12,474
				NYSERDA ADMINISTRATION, Monitors - Retur..	5,477
	Sive Paget & Riesel PC	Albany	National Grid	Innovation, NY Climate Forward Loan Prog	40,000
				NYSERDA ADMINISTRATION, GJGNY Loan Off..	12,000
	Sky High Solar, LLC	Saratoga	National Grid	REC:CES REC Contracts, RESRFP17-1	22,362,290
	Solar Liberty Energy Systems, Inc	Albany	National Grid	>200KW PV, NY Sun	288,660
		Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,237
		Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	5,801
	SolarCommunities Inc.	Columbia	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,004
			National Grid	<200KW PV, PON 2112 NY SUN	7,612
	South End Development LLC	Albany	National Grid	Buildings of Excellence, Buildings of Excellence ..	559,317
	Southworth-Milton Inc.	Albany	National Grid	Remote Asset Monitoring System	5,173
	Standard Solar, Inc	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	1,055,126
	Steven Winter Associates, Inc.	Albany	National Grid	Code to Zero, TWO #4 - ANSI Standards	83,000
				New Construction Housing, TWO #4 - ANSI Stan..	25,000
				Single Family New Construction, TWO #4 - ANSI..	25,000
				Workforce Industry Partnership, PON 3715 BOM ..	688,901
				Workforce Industry Partnership, PON 3715 Workf..	399,936
	Stockholm Environment Institu..	Albany	National Grid	NYSERDA ADMINISTRATION, LEAP Licenses f..	5,000
	Sugar Hill Solar 1, LLC	Saratoga	National Grid	>200KW PV, NY Sun	1,446,432
	Sun Source Technologies	Columbia	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,796
	SunEast Renewables LLC	Rensselaer	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	11,681,550
	SunPower Capital, LLC	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	8,736
	Systems Management Planning, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Horizon Cloud S..	19,850
				NYSERDA ADMINISTRATION, Horizon Licensin..	24,768
				NYSERDA ADMINISTRATION, SMP - HPE DL3..	14,523
	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, SecureAuth Ren..	41,949
				NYSERDA ADMINISTRATION, TWO # 3 Salesfo..	195,520
				NYSERDA ADMINISTRATION, TWO Sr. Softwar..	187,200
				NYSERDA ADMINISTRATION, TWO Sr.Softwar..	183,300
				REC:CES REC System Dev Costs, TWO 1 Sales..	88,725
	ZEC:CES ZEC System Dev Costs, TWO 1 Salesf..	88,725			
	TestingXperts Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Website Accessi..	10,000
	The Business Council of NYS,..	Albany	National Grid	Prof & Expert Engagement, Membership Busines..	6,705
	The Levy Partnership, Inc.	Albany	National Grid	New Construction- Commercial, Commercial Ne..	16,960
	The Radiant Store	Greene	Central Hudson Gas a..	Renewable Heat NY, Radiant Store - Ray Siegar	12,000
	Thermal Associates, LLC	Warren	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,600
	ThunderCat Technology LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Atlassian Licens..	55,965
NYSERDA ADMINISTRATION, Checkmarx - Lic..				61,606	
NYSERDA ADMINISTRATION, Docusign Subscr..				94,115	
NYSERDA ADMINISTRATION, Rightstar Scanni..				5,460	
VDI Project Network Switches				43,200	
Town of Catskill	Greene	Central Hudson Gas and Electric	CEC400062-Twn of Catskill	30,000	
			Clean Energy Communities, CEC400062-Twn of ..	5,000	
TRC Energy Services	Albany	National Grid	Commercial New Construc, SA.041_TWO#14 - N..	50,435	
			Commercial New Construc, Staff Augmentation S..	46,589	
			ENERGY ANALYSIS, Staff Augmentation Servic..	380,030	
			K-12 SCHOOLS, SA.026a_TWO#13 - EPE	346,403	
Low Rise New Construction, SA.041_TWO#14 - ..	139,087				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	TRC Energy Services	Albany	National Grid	Low Rise New Construction, Staff Augmentation ..	55,907
				Multifam New Construction, SA.042_TWO#17 - ..	150,410
				Multifam New Construction, Staff Augmentation ..	52,801
				Multifam Performance Pgm, SA.014_TWO #7_M..	0
				Multifam Performance Pgm, SA.017_TWO #9_M..	0
				New Construction Housing, SA.041_TWO#14 - N..	135,000
				New Construction Housing, SA.042_TWO#17 - N..	66,849
				New Construction Housing, Staff Augmentation S..	108,708
				New Construction- Commercial, SA.041_TWO#1..	75,000
				New Construction- Commercial, SA.042_TWO#1..	36,891
				New Construction- Commercial, Staff Augmentati..	46,589
				NYSERDA ADMINISTRATION, SA.069_TWO#1..	292,929
				SA.072_TWO #25_NY-SUN_Sr. PM	557,709
				Single Family New Construction, SA.041_TWO#..	20,000
				Single Family New Construction, SA.042_TWO#..	23,398
				Strategic Energy Manager, SA.047_TWO #19 - E..	322,016
				Troy Web Consulting, LLC	Albany
	True Building Performance LLC	Albany	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	7,040
	Tully Rinckey PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, outside counsel ..	15,500
	U.S. Department of Energy/Wv	Albany	National Grid	WVDP PO FFY2021	20,300,000
	U.S. Nuclear Regulatory Com..	Albany	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, P..	100,000
	Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP3143 Umbre..	393,510
				NYSERDA ADMINISTRATION, TWO Sr. Softwar..	176,800
	Urban Architectural Initiatives,..	Columbia	National Grid	Buildings of Excellence, BoE Rnd 1 - Design Tea..	150,000
	Urban Green Council	Albany	National Grid	Electrification, Advanced Electrification	50,000
	Verizon Wireless	Albany	National Grid	NYSERDA ADMINISTRATION, Verizon Wireless..	90,111
	Vidaris, Inc.	Albany	National Grid	New Construction- Commercial, Commercial Ne..	29,995
	W & E Phillips Locksmith, Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Facilities Manag..	5,000
	W. W. Grainger, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Air Purifier equip..	8,946
	Wagner Farms	Rensselaer	National Grid	Anaerobic Digesters, PON 3739 CAT C	277,750
	Washington Avenue Solar LLC	Schenectady	National Grid	NY-SUN, NY Sun	1,316,401
	White River Solar, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	1,124,046
	Whitmore Court Apartments LLC	Saratoga	National Grid	Multifam Performance Pgm, Multifamily	77,000
Technical Services, FT13173 - 82 Crescent - PON				10,000	
Willdan Energy Solutions	Albany	National Grid	Cleantech Ignition, SA.062a_TWO#4 Tech to Ma..	164,340	
			Cleantech Incubator, SA.062a_TWO#4 Tech to ..	164,340	
Zones LLC	Albany	National Grid	NYSERDA ADMINISTRATION, G9 HP Server S..	20,038	
			NYSERDA ADMINISTRATION, SMARTnet - Mai..	26,909	
			VOIP - Hardware Purchase	130,508	
Total				281,755,070	
Central New York	3GI CPO, LLC	Onondaga	National Grid	CLEANER GREENER COMMUNITIES, CGC 26..	864,523
	AHA Development Corporation	Cayuga	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	57,200
	Alternative Power Solutions of NY, LLC	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,883
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,320
		Madison	National Grid	<200KW PV, PON 2112 NY SUN	8,750
		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	13,942
				NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Antares Group, Inc.	Oswego	National Grid	Technical Services, FT13204 - 2885 State - FTC	36,637
	Apex Solar Power LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	6,720
	Bergmann Associates, Architects,	Onondaga	National Grid	Commercial Real Estate Ten, Bergmann Associa..	21,069
				Technical Services, AGG1009-Bergmann-Portfoli..	50,000
Breathe Easy of CNY Inc.	Oswego	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	C2 NY Sentinel Heights Solar, LLC	Onondaga	National Grid	>200KW PV, NY Sun	649,771
				NY-SUN, NY Sun	899,683
	C.J. Brown Energy, P.C.	Onondaga	National Grid	Technical Services, FT13028 - Residences - FTC	5,400
				Technical Services, FT13030 - 4710 Kehoe - FTC	5,400
				Technical Services, FT13034 - 4399 Plantation -..	5,300
	CDS Monarch Inc	Onondaga	National Grid	New Construction Housing, 2019 LRNCP	50,000
	CHA Consulting Inc.	Onondaga	National Grid	Technical Services, FT13174 - 2900 McLane - F..	35,200
	City of Auburn	Cayuga	NYS Electric and Gas	Technical Services, FT13009 - Auburn WWTF - ..	23,988
	Classic American Vintage, LLC	Onondaga	National Grid	Technical Services, FT13172 - 300 Main Ave - P..	10,000
	ClearPath Energy LLC	Onondaga	National Grid	>200KW PV, NY Sun	2,827,345
				NY-SUN, NY Sun	3,914,783
	DEMCO New York Corp.	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	DG New York CS, LLC	Cortland	National Grid	NY-SUN, NY Sun	3,300,000
		Onondaga	National Grid	>200KW PV, NY Sun	961,728
				NY-SUN, NY Sun	1,331,624
	EDF Renewables Developme..	Cortland	National Grid	REC:CES REC Contracts, RESRFP20-1	38,222,829
	EF NY CDG 001 LLC	Onondaga	National Grid	>200KW PV, NY Sun	1,123,919
				NY-SUN, NY Sun	1,348,705
	EF NY CDG 002 LLC	Onondaga	National Grid	>200KW PV, NY Sun	1,125,000
				NY-SUN, NY Sun	1,350,000
	EF NY CDG 003 LLC	Cayuga	NYS Electric and Gas	>200KW PV, NY Sun	1,124,999
				NY-SUN, NY Sun	1,350,001
	EF NY CDG 011 LLC	Cayuga	NYS Electric and Gas	>200KW PV, NY Sun	825,000
				NY-SUN, NY Sun	1,200,000
	Eiger 3970 Consultants Inc.	Oswego	National Grid	>200KW PV, NY Sun	414,777
				NY-SUN, NY Sun	510,494
	Extraterrestrial Materials Inc.	Madison	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,521
		Oswego	National Grid	<200KW PV, PON 2112 NY SUN	21,728
	Green Visions Solar LLC	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	5,460
	Greenway Apartments Vintage, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	29,400
				NYCH: Technical Assistance, FT13302 - 205 Ha..	7,500
	GSPP 4643 Twelve Corners Road, LLC	Cayuga	National Grid	>200KW PV, NY Sun	949,814
				NY-SUN, NY Sun	1,315,126
	GSPP 5059 State Route 104, ..	Oswego	National Grid	>200KW PV, NY Sun	370,656
	Housing Visions Unlimited,Inc.	Onondaga	National Grid	New Construction Housing, 2019 LRNCP	59,600
	J&A Electrical Construction LL..	Madison	National Grid	<200KW PV, PON 2112 NY SUN	8,288
	Kasselman Solar LLC	Onondaga	National Grid	<200KW PV, NY-Sun	6,720
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,670
	Lawrence Terrace Vintage, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	25,200
				Technical Services, Ft13297 - 402 Lawrence - P..	5,400
	Locust Solar, LLC	Cortland	National Grid	>200KW PV, NY Sun	871,077
				NY-SUN, NY Sun	1,072,094
	Maple Manor Vintage LLC	Onondaga	National Grid	Technical Services, FT13298 - 7500 Windview - ..	6,300
Marathon Solar Farm II, LLC	Madison	National Grid	>200KW PV, NY- Sun C&I	788,970	
Marathon Solar Farm, LLC	Madison	National Grid	>200KW PV, NY-Sun C&I	1,203,384	
Nexamp Capital, LLC	Madison	National Grid	NY-SUN, NY Sun	753,152	
Next Generation Solar, LLC	Madison	National Grid	<200KW PV, PON 2112 NY SUN	16,751	
NYS Labor Management Coo..	Onondaga	National Grid	Talent Pipeline:CE and OJT, PON3981 Round 9	181,461	
O'Brien & Gere Engineers, Inc.	Madison	NYS Electric and Gas	REV Campus Challenge, FT13335 - Morrisville - ..	32,065	
O'Connell Electric Company	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	17,514	
ONIX, Inc.	Onondaga	National Grid	Real Time Enrgy Management, ONIX Inc. - Multi..	123,413	
Orange EV LLC	Onondaga	National Grid	CLEAN TRANSPORTATION, NYTVIP	140,080	

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Central New York	OYA Pulaski LLC	Oswego	National Grid	>200KW PV, NY Sun	712,919
				NY-SUN, NY Sun	855,505
	Pathfinder Engineers & Archit..	Onondaga	NYS Electric and Gas	Technical Services, FT13166 - 4341 State - FTC	39,858
	PlugPV, LLC	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	7,560
	Renewable Rochester LLC	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,590
	Renovus Energy, Inc.	Cortland	National Grid	<200KW PV, PON 2112 NY SUN	5,387
		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	86,751
		Oswego	National Grid	<200KW PV, NY-Sun	223,871
				NY-SUN, NY-Sun	115,133
	Sigora Solar	Cortland	National Grid	<200KW PV, PON 2112 NY SUN	6,048
	Skyline Solar Inc.	Madison	National Grid	<200KW PV, PON 2112 NY SUN	6,370
		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	6,029
		Oswego	National Grid	<200KW PV, PON 2112 NY SUN	5,005
	SSC Cicero LLC	Onondaga	National Grid	>200KW PV, NY Sun	964,969
				NY-SUN, NY Sun	1,187,654
	SSC Oswego II LLC	Oswego	National Grid	>200KW PV, NY Sun	788,357
	Standard Solar, Inc	Madison	National Grid	>200KW PV, NY-Sun C&I	1,728,000
				Solar Plus Energy Storage, NY-Sun C&I	7,000,000
	Steed Energy LLC	Madison	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,272
	Stellar Renewable Designs, L..	Madison	National Grid	<200KW PV, PON 2112 NY SUN	7,952
	Steven Winter Associates, Inc.	Onondaga	National Grid	NYCH: Talent Ppln:CE and OJT, PON3981 Roun..	249,880
	SUNY College of Environmen..	Onondaga	National Grid	Commercial New Construc, Commercial New Co..	47,179
	SUNY Morrisville	Madison	NYS Electric and Gas	Technical Services, OsEM30-C - SUNY Morrisville	27,489
	SUNY Upstate Medical University	Onondaga	National Grid	New Construction- Commercial, SF184516 - SU..	100,625
				Technical Services, OsEM72-C-SUNY Upstate	214,000
	Sustainable Comfort, Inc	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	31,309
	Sustainable Energy Developm..	Cayuga	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	6,708
	Tadcon Electric LLC	Cortland	NYS Electric and Gas	>200KW PV, NY Sun	973,339
				NY-SUN, NY Sun	1,347,699
	Taft Solar, LLC	Onondaga	National Grid	>200KW PV, NY Sun	662,539
				NY-SUN, NY Sun	795,048
	Two Plus Four Construction C..	Cayuga	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	36,000
	Urban Green Council	Onondaga	National Grid	Talent Pipeline:CE and OJT, PON3981 Round 9	182,170
	Valentine Gardens Vintage, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	35,000
				Technical Services, FT13322 - 222 Merrill - PON	6,300
	Valley View Realty Holdings, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	63,000
Technical Services, FT13277 - Valley View - PON				7,875	
Viola Homes Inc.	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,590	
Willdan Lighting & Electric, Inc.	Onondaga	National Grid	Talent Pipeline:CE and OJT, PON3981 Round 7	250,000	
Yellow 3 LLC	Cortland	National Grid	>200KW PV, NY Sun	537,451	
			NY-SUN, NY Sun	661,478	
Zerodraft Residential Inc.	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	24,592	
Total				91,784,517	
Finger Lakes	3rd ROC Solar LLC	Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,653
		Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	6,944
	2645 Union Street Solar, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY-Sun C&I	1,610,820
	2648 Union Street Solar, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY-Sun C&I	1,405,620
	2675 Union Street Solar, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY-Sun C&I	1,462,050
	Abundant Solar Power Inc.	Ontario	National Grid	>200KW PV, NY Sun	910,091
				NY-SUN, NY Sun	1,260,126
	AES Distributed Energy, Inc.	Genesee	National Grid	>200KW PV, NY-Sun C&I	1,065,178
		Monroe	National Grid	>200KW PV, NY-Sun C&I	1,456,407

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Finger Lakes	Alternative Carbon Energy Sy..	Monroe	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
	AMP US HoldCo Inc.	Livingston	Rochester Gas and El..	>200KW PV, NY Sun	3,168,963
	Atlas Contractors, LLC	Monroe	Rochester Gas and El..	New Construction Housing, 2019 LRNCP	8,500
	Buffalo Solar Solutions Inc	Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	8,750
		Orleans	National Grid	<200KW PV, PON 2112 NY SUN	5,493
		Wyoming	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,117
	C2 Omega LLC	Yates	NYS Electric and Gas	>200KW PV, NY Sun	939,747
				NY-SUN, NY Sun	1,156,611
	C.J. Brown Energy, P.C.	Monroe	National Grid	Technical Services, FT13032 - 18 N. Main - FTC	5,300
			Rochester Gas and El..	Technical Services, FT13031 - 2001 E Henrietta--	5,400
		Yates	NYS Electric and Gas	Technical Services, AEAP	3,497
	CEMC Associates LLC	Monroe	Rochester Gas and Electric	Multifam Performance Pgm, Multifamily	104,300
				Technical Services, FT13224 - Flower City - PON	9,875
	Council Rock Enterprises	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	20,480
	Day Automation Systems, Inc.	Livingston	Rochester Gas and El..	K-12 SCHOOLS, P12GC-39_E - Geneseo CSD -..	18,113
	Delaware River Solar, LLC	Monroe	Rochester Gas and El..	>200KW PV, NY Sun	765,160
		Ontario	Rochester Gas and El..	>200KW PV, NY Sun	1,074,060
		Seneca	NYS Electric and Gas	>200KW PV, NY Sun	1,056,354
	DePaul Properties, Inc.	Genesee	National Grid	New Construction Housing, 2019 LRNCP	20,000
	DG New York CS, LLC	Livingston	National Grid	>200KW PV, NY Sun	910,031
		Orleans	National Grid	>200KW PV, NY Sun	495,609
	Eco Heating & Cooling Inc	Monroe	Municipal Utilities	NYCH: Talent Ppln:CE and OJT, OJT HIRE	23,400
	Ecovis, Inc.	Orleans	National Grid	<200KW PV, NY-Sun	7,488
	EF NY CDG 010 LLC	Wyoming	National Grid	>200KW PV, NY Sun	702,000
				NY-SUN, NY Sun	864,000
	EMCOR Services Betlem	Monroe	Rochester Gas and El..	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
		Wayne	Rochester Gas and El..	Technical Services, FT13415 - Keurig - FTC	9,989
	FFP NY Rush Project1, LLC	Monroe	National Grid	>200KW PV, NY Sun	952,333
	Fusion Energy Services LLC	Livingston	National Grid	<200KW PV, NY-Sun	18,480
		Ontario	National Grid	<200KW PV, PON 2112 NY SUN	7,371
	Geotherm Inc.	Monroe	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,160
			Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	Hawn Heating & Energy Services LLC	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT HIRE	40,560
				Talent Pipeline:CE and OJT, OJT HIRE	8,160
	Hecate Energy-	Genesee	National Grid	REC:CES REC Contracts, RESRFP20-1_Hecate..	150,155,815
	Helios Energy New York 4, LLC	Monroe	National Grid	>200KW PV, NY Sun	1,124,970
	Helios Energy New York 9 LLC	Monroe	National Grid	>200KW PV, NY Sun	876,096
	Helios Energy New York 10, L..	Monroe	National Grid	>200KW PV, NY Sun	876,096
	Helios Energy New York 11, L..	Monroe	National Grid	>200KW PV, NY Sun	1,124,970
	HELIOS ENERGY NEW YORK 15 LLC	Livingston	National Grid	>200KW PV, NY Sun	973,440
				NY-SUN, NY Sun	1,347,840
	Hobart and William Smith Coll..	Ontario	NYS Electric and Gas	Technical Services, OsEM51-C-Hobart&William ..	82,514
	Home Leasing, LLC	Monroe	Rochester Gas and El..	New Construction Housing, 2019 LRNCP	15,000
		Wayne	Rochester Gas and El..	>200KW PV, NY Sun	333,099
	Imperial Manor Associates LLC	Monroe	Rochester Gas and El..	Multifam Performance Pgm, Multifamily	35,400
	Ithaca Neighborhood Housing ..	Seneca	NYS Electric and Gas	Technical Services, FT13097 - Verona - PON	6,250
	James Garrison	Monroe	Rochester Gas and El..	Buildings of Excellence, BoE Rnd 1 - Design Tea..	98,703
	John Betlem Heating & Coolin..	Monroe	Rochester Gas and El..	NYCH: Talent Ppln:CE and OJT, OJT HIRE	28,800
	Kinetic Services Engineering ..	Wayne	Rochester Gas and El..	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	LaBella Associates, P.C.	Monroe	National Grid	Technical Services, FT13437 - 711 North - FTC	33,000
Rochester Gas and El..			New Construction- Commercial, Commercial Ne..	27,000	
Lake Country Geothermal, Inc.	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT HIRE	11,520	

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Finger Lakes	Leenhouts Solar Farm I, LLC	Wayne	Rochester Gas and El..	>200KW PV, NY Sun	333,099
	Liberty Square Associates LLC	Genesee	National Grid	New Construction Housing, 2019 LRNCP	53,000
	M/E Engineering, P.C.	Monroe	Rochester Gas and El..	New Construction- Commercial, Commercial Ne..	38,325
	Nautilus Owner 2020, LLC	Monroe	National Grid	>200KW PV, NY-Sun C&I	1,626,885
	Nicholas Noyes Memorial Hos..	Livingston	NYS Electric and Gas	Technical Services, FT13175 - 111 Clara - PON	5,465
	NY Benton I, LLC	Yates	Municipal Utilities	>200KW PV, NY Sun	1,034,207
				NY-SUN, NY Sun	1,241,051
	NY Fayette I, LLC	Seneca	NYS Electric and Gas	>200KW PV, NY-Sun	1,056,354
	NY Portage I, LLC	Livingston	Rochester Gas and El..	>200KW PV, NY-Sun C&I	1,029,990
	NYS Office of Parks, Recreati..	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	20,286
	O'Connell Electric Company	Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	36,225
	OYA Main Street LLC	Livingston	National Grid	>200KW PV, NY Sun	1,124,760
				NY-SUN, NY Sun	1,349,712
	Paradise Energy Solutions, LLC	Wayne	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	8,085
		Yates	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,500
	Pathfinder Engineers & Archit..	Livingston	Rochester Gas and El..	New Construction- Commercial, Commercial Ne..	74,240
	Pathstone Corporation	Monroe	Rochester Gas and El..	OTHER PROGRAM AREA, CEEP Finger Lakes ..	33,075
	PEMM LLC	Livingston	National Grid	Technical Services, FT13365 - 265 E Main - PON	5,573
	Providence Housing Develop..	Monroe	Rochester Gas and El..	New Construction Housing, 2019 LRNCP	93,000
	RED Rochester	Monroe	Rochester Gas and Electric	Real Time Enrgy Management, REDRoch-1200 ..	579,544
				Technical Services, FT13182-RED-Rochester- P..	19,725
				Technical Services, FT13293 - 1200 Ridgeway - ..	22,825
	Renewable Rochester LLC	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	5,184
		Livingston	National Grid	<200KW PV, PON 2112 NY SUN	37,343
		Monroe	Municipal Utilities	<200KW PV, PON 2112 NY SUN	5,180
			National Grid	<200KW PV, PON 2112 NY SUN	14,210
		Rochester Gas and Electric	<200KW PV, NY-Sun	17,386	
			<200KW PV, PON 2112 NY SUN	63,743	
		Ontario	National Grid	<200KW PV, PON 2112 NY SUN	8,750
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	15,553
	Wayne	Rochester Gas and El..	<200KW PV, NY-Sun	7,110	
	Romulus Central School Distri..	Seneca	NYS Electric and Gas	NYCH: Technical Assistance, P12GC-18_E - Ro..	19,800
	Ryan Homes (Virginia)	Ontario	Rochester Gas and Electric	New Construction Housing, 2019 LRNCP	34,200
				New Construction Housing, 2020 LRNCP	103,550
	School House Manor, Inc.	Genesee	National Grid	Technical Services, FT13240 - 1 North Pearl - P..	6,375
	SCS Penfield One 010750 Pe..	Monroe	Rochester Gas and El..	>200KW PV, NY Sun	921,517
	Siemens Industry, Inc.	Wyoming	NYS Electric and Gas	Real Time Enrgy Management, Siemens-153 W ..	22,866
	SL Pembroke, LLC	Genesee	National Grid	>200KW PV, NY Sun	1,308,701
	Solar Liberty Energy Systems,..	Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	11,084
	Standard Solar, Inc	Livingston	National Grid	>200KW PV, NY Sun	1,046,549
				NY-SUN, NY Sun	1,255,861
	Sulpher Creek Solar, LLC	Ontario	NYS Electric and Gas	>200KW PV, NY Sun	720,463
	SunEast Renewables LLC	Wyoming	NYS Electric and Gas	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	10,461,974
	Sustainable Energy Developments Inc.	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	6,468
		Monroe	National Grid	<200KW PV, PON 2112 NY SUN	11,858
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	29,453
		Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,082
Wayne		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	21,294	
Tesla Energy Operations Inc	Livingston	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,712	
TJA-NY- 11202 Ridge Rd Medina, LLC	Orleans	National Grid	>200KW PV, NY Sun	783,297	
			NY-SUN, NY Sun	1,139,341	
TJA-NY-11074 Ridge Rd Medina, LLC	Orleans	National Grid	>200KW PV, NY Sun	460,832	

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Finger Lakes	Medina, LLC	Orleans	National Grid	NY-SUN, NY Sun	670,301
	Total Comfort Heating and Air ..	Monroe	Rochester Gas and El..	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,600
	True Energy Solutions	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT HIRE	23,560
				Talent Pipeline:CE and OJT, OJT HIRE	54,560
	US Ceiling CORP	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	14,640
	Van Hee Mechanical	Wayne	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT HIRE	36,000
				Talent Pipeline:CE and OJT, OJT HIRE	12,960
	Village of Sodus	Wayne	Rochester Gas and El..	Technical Services, FT13377 - 14-16 Mill - PON	6,350
	Viola Homes Inc.	Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	34,991
		Ontario	National Grid	<200KW PV, PON 2112 NY SUN	8,750
	Wendel Energy Services, LLC	Monroe	Rochester Gas and El..	REV Campus Challenge, FT13252 - Uni. Roches..	20,434
		Orleans	National Grid	Technical Services, FT13330 - Multiple - FTC	32,000
	Wise Home Energy, LLC	Monroe	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,640
			Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	Wyoming County Community ..	Wyoming	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	36,400
	Total				
Long Island	Agilitas Energy, LLC	Suffolk	Long Island Power Au..	ENERGY STORAGE, Retail Storage	850,000
	Community Energy Solar, LLC	Suffolk	Long Island Power Au..	>200KW PV, NY Sun	825,000
	Empower CES, LLC	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	106,250
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	43,750
	Green Home Logic, Inc.	Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	12,000
	Green Team USA, LLC	Suffolk	Long Island Power Authority	NYCH: Talent Ppln:CE and OJT, OJT HIRE	46,240
				WORKFORCE DEVELOPMENT, OJT HIRE	30,560
	GreenLogic, LLC	Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	62,500
	GSPP 641 Ferris Road East, LLC	Nassau	Long Island Power Authority	>200KW PV, NY Sun	769,080
				NY-SUN, NY Sun	1,064,880
	GSPP 641 Ferris Road West, LLC	Nassau	Long Island Power Authority	>200KW PV, NY Sun	480,675
				NY-SUN, NY Sun	665,550
	Harvest Power, LLC	Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	12,500
	Hytech Solar Inc	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	6,250
	J Synergy Green Inc	Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	9,600
	Long Island Power Solutions	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	6,250
	NuWorld Lighting Solutions Inc	Suffolk	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	11,520
	NYSS LLC	Nassau	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	4,624
				ENERGY STORAGE, NY-Sun	6,840
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	5,050
	Peak Power LI, Inc.	Suffolk	Long Island Power Au..	ESTOR:Consumer Education, Solar + Storage O..	30,000
	Premier Solar Solutions LLC	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	5,700
	SEA Electric LLC	Nassau	Long Island Power Au..	CLEAN TRANSPORTATION, NYTVIP	980,950
	Smart Home Energy Source	Nassau	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	322
				ENERGY STORAGE, NY-Sun	11,640
	Solar Liberty Energy Systems,..	Suffolk	Long Island Power Au..	ENERGY STORAGE, Retail Storage	34,250
	SuNation Solar Systems, Inc.	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	106,250
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	150,000
	SunRun, Inc	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	100,000
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	81,250
	Surf Clean Energy Inc	Nassau	Long Island Power Au..	COMMUNITY SOLAR, PON 2112 NY SUN	5,280
				Suffolk	Long Island Power Authority
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	12,738
				ENERGY STORAGE, NY-Sun	6,691
ENERGY STORAGE, PON 2112 NY SUN				6,250	
Tesla Energy Operations Inc	Nassau	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	4,352	

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Long Island	Tesla Energy Operations Inc	Nassau	Long Island Power Authority	ENERGY STORAGE, NY-Sun	10,000	
				ENERGY STORAGE, PON 2112 NY SUN	412,500	
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	368,750	
Total					7,354,151	
Mid-Hudson	1st Light Energy, Inc.	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	16,415	
	174 Power Global NorthEast, ..	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	518,400	
	Adam C. Boese	Westchester	Consolidated Edison	New Construction- Commercial, Commercial Ne..	34,804	
	Advanced Radiant Design, Inc.	Ulster	Central Hudson Gas a..	NYCH: Talent Ppln:CE and OJT, OJT HIRE	30,720	
	American Energy Care, Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,608	
	Apex Roofing, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,370	
	Arcadis of New York, Inc.	Sullivan	NYS Electric and Gas	Technical Services, AEAP	2,500	
	Autonomous Energies LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	12,160	
	Bergmann Associates, Architects,		Dutchess	Central Hudson Gas a..	Commercial Real Estate Ten, Bergmann Associa..	1,061
			Orange	Orange and Rockland..	Commercial Real Estate Ten, Bergmann Associa..	189
			Rockland	Orange and Rockland..	Commercial Real Estate Ten, Bergmann Associa..	1,061
	Bourne & Kenney Redevelop..	Orange	Central Hudson Gas a..	Technical Services, FT13156 - Kenney Apts. - P..	10,000	
	Bright Power, Inc.	Westchester	Consolidated Edison	<200KW PV, NY-Sun	46,116	
				>200KW PV, NY-Sun	19,764	
	CBRE, Inc.	Orange	Orange and Rockland..	On-Site Energy Manager, OsEM57-I IBM Sterling..	211,051	
	CES Danbury Solar, LLC	Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,376	
	Christina Griffin Architect P.C.	Westchester	Consolidated Edison	New Construction Housing, 2019 LRNCP	5,000	
	CON EDISON SOLUTIONS, INC.	Ulster	Central Hudson Gas and Electric	>200KW PV, NY-Sun C&I	241,118	
				NY-SUN, NY-Sun C&I	419,672	
				>200KW PV, PON 2112 NY SUN	2,382,694	
	County Heat & AC, LLC	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	518,744	
				NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,600	
				Talent Pipeline:CE and OJT, OJT HIRE	5,120	
	Dandelion Energy Inc	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT HIRE	30,080	
	Davis Solar, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	654,947	
				Solar Plus Energy Storage, NY Sun	1,424,500	
	Dimension Energy LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	865,592	
	Distributed Solar Development, LLC	Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun	471,101	
				NY-SUN, NY Sun	1,284,822	
				>200KW PV, NY-Sun	5,139,215	
		Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,236,673	
				CLEAN TRANSPORTATION, NYTVIP	90,000	
	Don Brown Bus Sales Inc.	Rockland	Orange and Rockland..	CLEAN TRANSPORTATION, NYTVIP	90,000	
	Ecogy New York XI LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	1,060,128	
	Ecogy New York XIII LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	429,444	
	Eiger 3970 Consultants Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,236	
				<200KW PV, NY-Sun	129,276	
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	52,634	
				NY-SUN, NY-Sun	147,744	
	EMCOR Services Betlem	Sullivan	NYS Electric and Gas	Real Time Enrgy Management, EMCOR - Multisit..	211,991	
	Empire Solar Solutions LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	14,961	
<200KW PV, PON 2112 NY SUN				5,460		
Orange		Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	21,886		
			<200KW PV, PON 2112 NY SUN	5,236		
Putnam		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,236		
Rockland		Orange and Rockland..	<200KW PV, PON 2112 NY SUN	30,617		
Sullivan	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,208			
		<200KW PV, PON 2112 NY SUN	5,159			
Energy & Resource Solutions, Inc.	Westchester	Consolidated Edison	New Construction- Commercial, Commercial Ne..	39,260		
			Technical Services, FT13150 - 1101 Kitchawan - ..	13,301		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	Energy Management Solution..	Rockland	Orange and Rockland..	Talent Pipeline:CE and OJT, OJT HIRE	11,360	
	Enica Engineering, PLLC	Westchester	Consolidated Edison	Technical Services, FT13348 - 777 Old Saw - FTC	58,000	
	Environmental Systems Desig..	Westchester	Consolidated Edison	Real Time Enrgy Management, ESD-2000 Purch..	111,971	
	FFP NY Goshen Project2, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	786,308	
				NY-SUN, NY Sun	1,072,238	
	Florenton River LLC	Putnam	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,750	
			Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	14,420
			Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,355
	FORK IN THE ROAD SOLAR LLC	Dutchess	Central Hudson Gas and Electric	>200KW PV, NY Sun	574,938	
				NY-SUN, NY Sun	616,005	
	G&S Operations LLC	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	127,140	
				>200KW PV, PON 2112 NY SUN	2,698,152	
	Generate NY Community Sola..	Orange	NYS Electric and Gas	ESTOR:Retail Storage Incentive, Retail Storage	814,000	
	Green Hybrid Energy Solutions Inc.	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	17,374	
		Westchester	Consolidated Edison	<200KW PV, NY-Sun	8,110	
	GSPP Baxter 1, LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	672,730	
				NY-SUN, NY Sun	1,834,715	
	GSPP Baxter 2, LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	491,048	
				NY-SUN, NY Sun	1,339,223	
	Healthy Home Energy & Cons..	Westchester	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	17,920	
	Homes for Heroes, Inc.	Rockland	Orange and Rockland..	New Construction Housing, 2020 LRNCP	21,000	
	Housing Action Council, Inc.	Westchester	Consolidated Edison	New Construction Housing, 2019 LRNCP	85,400	
	Hudson River Renewables	Dutchess	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,048	
	Hudson Valley Clean Energy Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	11,471	
				Putnam	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	143,780	
				<200KW PV, PON 2112 NY SUN	94,707	
				NY-SUN, NY-Sun	123,240	
	NYS Electric and Gas	<200KW PV, NY-Sun	5,888			
	Hudson Valley Housing Devel..	Ulster	Central Hudson Gas a..	New Construction Housing, 2019 LRNCP	56,000	
	Infinity Solar Systems, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,508	
	Integral Building & Design, Inc.	Ulster	Central Hudson Gas a..	Low Rise New Construction, 2019 LRNCP	10,000	
	International Business Machines	Orange	Orange and Rockland..	On-Site Energy Manager, OsEM57-I IBM Sterling..	211,051	
		Westchester	Consolidated Edison	Technical Services, FT13294 - 1 North Castle - P..	33,948	
	International Business Machin..	Westchester	Consolidated Edison	Technical Services, FT13280 - 1101 Kitchawan - ..	30,606	
	IPPsolar Integration LLC	Westchester	NYS Electric and Gas	<200KW PV, NY-Sun	124,837	
				NY-SUN, NY-Sun	13,628	
	IRN 694 Binnewater LLC	Ulster	Central Hudson Gas a..	<200KW PV, NY-Sun	61,583	
	J Synergy Solar LLC	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	11,026	
	Jones Lang LaSalle Americas,..	Westchester	Consolidated Edison	On-Site Energy Manager, OsEM61-I - IBM Yorkt..	214,000	
	Jordan Energy and Food Ente..	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	8,750	
	JouleSmart Solutions, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, JouleSmar-500 Y..	5,863	
	Kamtech Restoration Corp	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	7,021	
	Kasselman Solar LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,650	
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	15,400	
		Ulster	Central Hudson Gas a..	<200KW PV, NY-Sun	9,152	
	Kawi Energy Group Corp.	Westchester	Consolidated Edison	Commercial Real Estate Ten, Kawi - 20 Sickles A..	5,430	
Commercial Real Estate Ten, Kawi Energy Grou..				82		
LaBella Associates, P.C.	Dutchess	Central Hudson Gas a..	NYCH: Technical Assistance, FT13363 - 30 Cam..	162,561		
Landau Solar II LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	472,782		
Lighthouse Landing Communi..	Westchester	Consolidated Edison	NYCH: Technical Assistance, FT13143 - Edge o..	15,370		
Long Island Power Solutions	Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,472		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	Long Island Power Solutions	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	6,346	
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,021	
	Malcarne Contracting, Inc.	Dutchess	Central Hudson Gas a..	NYCH: Talent Ppln:CE and OJT, OJT HIRE	32,560	
	Manhattan Avenue Senior LLC	Westchester	Consolidated Edison	New Construction Housing, 2019 LRNCP	62,000	
	MJ Garden LLC	Westchester	Consolidated Edison	New Construction- Commercial, Commercial Ne..	55,048	
	New Paltz, Town of	Ulster	Central Hudson Gas a..	Commercial New Construc, Commercial New Co..	9,643	
	New York Medical College	Westchester	Consolidated Edison	REV Campus Challenge, REVCC_ETL_Comp_R..	1,300,000	
	New York State Solar Farm Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,608	
			Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	8,750
			Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	23,405
			Westchester	Consolidated Edison	<200KW PV, NY-Sun	7,219
	NJR Clean Energy Ventures III Corp.	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	1,143,162	
				NY-SUN, NY Sun	1,008,672	
	NY CDG 004 LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	4,100	
				>200KW PV, NY-Sun	4,100	
	NYS Office of Parks, Recreati..	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	12,800	
	OLA Consulting Engineers, P.C.	Ulster	Central Hudson Gas and Electric	Commercial New Construc, Commercial New Co..	22,000	
				New Construction- Commercial, Commercial Ne..	47,990	
	PlugPV, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	40,359	
			Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	11,312
		Putnam	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	13,188	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,048	
			Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,152
	Premier Solar Solutions LLC	Sullivan	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	6,711	
	Revere Smelting & Refining C..	Orange	Orange and Rockland..	On-Site Energy Manager, OsEM58-I Revere Sm..	214,000	
	Rural Ulster Preservation Co..	Ulster	Central Hudson Gas a..	Low Rise New Construction, New Construction	22,800	
	Sea Bright Solar, LLC	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	8,750	
	Siemens Industry, Inc.	Rockland	Orange and Rockland..	>200KW PV, NY Sun	180,289	
	Sol Customer Solutions LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	1,562,076	
	Solar Liberty Energy Systems,..	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,938	
	SolarCommunities Inc.	Dutchess	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,804	
			Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,930
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	11,305	
			Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	29,735	
	State Route 52 LLC	Ulster	NYS Electric and Gas	>200KW PV, NY Sun	887,348	
	Sun Source Technologies	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	1,124,999	
				NY-SUN, NY Sun	2,250,001	
		Putnam	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,307	
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	11,520	
			<200KW PV, PON 2112 NY SUN	17,500		
	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,742		
	SuNation Solar Systems, Inc.	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	82,400	
	Sunlight General Capital LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	191,576	
	Sunnova Energy Corp	Orange	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,069	
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	7,140	
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,474	
SunPower Capital, LLC	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	21,454		
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	10,568	
	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,765		
Sunrise Solar Solutions, LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	266,841		
			ESTOR:Retail Storage Incentive, Retail Storage	664,650		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	SunRun, Inc	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	11,743	
		Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	34,544	
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	28,034	
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	14,081	
	Sustainable Westchester	Westchester	Consolidated Edison	NY-SUN, NY-Sun	200,000	
	Syracuse University	Westchester	Consolidated Edison	REV Campus Challenge, REVCC_ETL_Comp_R..	1,390,000	
	Tesla Energy Operations Inc	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,712	
			Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	11,424
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,712	
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	17,136	
	The City College of New York	Westchester	Consolidated Edison	REV CAMPUS CHALLENGE, REVCC_ETL_Co..	1,437,906	
	Thermodynamix LLC	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240	
	Trinity Heating & Air, Inc.	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,355	
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	23,205	
	Urban Electric Power, LLC	Rockland	Orange and Rockland..	Talent Pipeline:CE and OJT, OJT HIRE	25,600	
	Vassar College	Dutchess	Central Hudson Gas a..	Technical Services, OsEM8-C Vassar College	63,720	
		Westchester	Consolidated Edison	REV Campus Challenge, REVCC_ETL_Comp_R..	1,171,594	
	Vivint Solar	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,712	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,182	
	Watchtower Bible &	Rockland	Orange and Rockland..	New Construction Housing, 2019 MFCNP	1,003,000	
	Wawayanda Solar LLC	Orange	Orange and Rockland..	NY-SUN, NY Sun	378,378	
	West Shore Solar	Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun	741,312	
				NY-SUN, NY Sun	855,360	
	Total				50,082,773	
	Mohawk Valley	1639 RT 29 Solar 2, LLC	Fulton	National Grid	>200KW PV, NY Sun	899,964
		Alternative Power Solutions of..	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	6,160
American Energy Care, Inc.		Herkimer	National Grid	<200KW PV, NY-Sun	14,388	
Apex Solar Power LLC		Otsego	National Grid	<200KW PV, NY-Sun	7,800	
Bullitt Farm Solar, LLC		Oneida	National Grid	>200KW PV, NY Sun	974,130	
C.J. Brown Energy, P.C.		Oneida	National Grid	K-12 SCHOOLS, FT13226 - NY Mills UFSD - FTC	9,884	
		Otsego	NYS Electric and Gas	K-12 SCHOOLS, FT13227 - Cooperstown CSD -..	19,567	
Camden Renewables, LLC		Oneida	National Grid	>200KW PV, NY Sun	514,707	
				NY-SUN, NY Sun	712,670	
Cypress Creek Renewables L..		Montgomery	National Grid	>200KW PV, NY Sun	1,128,204	
Doherty Electric, LLC		Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,395	
Eden Renewables, LLC		Montgomery	National Grid	NY-SUN, NY Sun	1,648,601	
EDF Renewables Distributed ..		Oneida	National Grid	>200KW PV, NY Sun	1,686,388	
EF Columbus Renewables, LLC		Oneida	National Grid	>200KW PV, NY Sun	975,000	
				NY-SUN, NY Sun	1,350,000	
Eureka North Solar, LLC		Oneida	National Grid	>200KW PV, NY Sun	550,220	
				NY-SUN, NY Sun	800,320	
Eureka South Solar, LLC		Oneida	National Grid	>200KW PV, NY Sun	825,000	
				NY-SUN, NY Sun	1,200,000	
Fred F. Collis & Sons, Inc.		Oneida	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,960	
				Talent Pipeline:CE and OJT, OJT HIRE	22,320	
GSPP 1450 Curtis Rd, LLC		Oneida	National Grid	>200KW PV, NY Sun	700,128	
GSPP 7024 Fox Rd, LLC		Oneida	National Grid	>200KW PV, NY Sun	1,249,356	
				NY-SUN, NY Sun	1,616,816	
Hudson Valley Clean Energy I..		Schoharie	National Grid	<200KW PV, NY-Sun	5,520	
Kasselman Solar LLC		Oneida	National Grid	<200KW PV, PON 2112 NY SUN	5,954	
Nextera Energy Capital Holdings Inc	Montgomery	National Grid	>200KW PV, NY-Sun C&I	2,547,838		
			NY-SUN, NY-Sun C&I	3,297,202		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mohawk Valley	NP Environmental LLC	Oneida	National Grid	Large-Scales GSHP Rebate	159,336
	OYA State Route 5 LLC	Oneida	National Grid	>200KW PV, NY Sun NY-SUN, NY Sun	643,566 712,000
	Palatine Caswell Solar, LLC	Montgomery	National Grid	>200KW PV, NY Sun	750,750
	PlugPV, LLC	Herkimer	National Grid	<200KW PV, NY-Sun	10,240
		Schoharie	National Grid	<200KW PV, NY-Sun <200KW PV, PON 2112 NY SUN	9,216 5,152
	Potentia Management Group ..	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	35,131
	Rivercrest Development Corp.	Montgomery	National Grid	Multifam Performance Pgm, Multifamily	133,700
	Siemens Industry, Inc.	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	233,436
	Sigora Solar	Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	5,264
	Solitude Solar LLC	Oneida	National Grid	>200KW PV, NY Sun	486,486
				NY-SUN, NY Sun	707,616
	Standard Insulating Company	Oneida	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	17,920
				Talent Pipeline:CE and OJT, OJT HIRE	70,042
	Standard Solar, Inc	Fulton	National Grid	>200KW PV, NY Sun	1,306,800
	SunEast Renewables LLC	Herkimer	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	11,320,113
				REC:CES REC Contracts, CESRFP1_Tier 1 RE..	11,439,204
		Montgomery	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	10,380,223
				REC:CES REC Contracts, CESRFP1_Tier 1 RE..	27,678,561
	SUNY Oneonta	Otsego	NYS Electric and Gas	New Construction- Commercial, Commercial Ne..	113,339
	TJA-NY-10761 Buck Rd Remsen, LLC	Oneida	National Grid	>200KW PV, NY Sun	637,042
NY-SUN, NY Sun				784,051	
Whaling Solar, LLC	Oneida	National Grid	>200KW PV, NY Sun	585,082	
			NY-SUN, NY Sun	720,101	
Total					91,738,861
New York City	20 TSQ Lessee	New York	Consolidated Edison	Technical Services, FT13353 - 701 7th - PON	9,938
	43 & 2 Property Co LLC	New York	Consolidated Edison	Technical Services, FT13359 - 801 2nd - PON	11,910
	65 Broadway Owner LLC	New York	Consolidated Edison	Technical Services, FT13231 - 65 Broadway - P..	37,376
	174 Power Global NorthEast, ..	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	356,018
	211 Sea Foam Properties LLC	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	425,000
	223 East 25th Street LLC	New York	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	167,459
	300 W 108 Owners Corp	New York	Consolidated Edison	NYCH: Technical Assistance, FT13357 - 300 W ..	12,790
	411 East 57th Street Corporati..	New York	Consolidated Edison	Technical Services, FT13161 - 411 E. 57th - PON	11,000
	414 Gerard LLC	Bronx	Consolidated Edison	New Construction Housing, 2019 MFCNP	298,400
	415 Second Owners Corp	New York	Consolidated Edison	NYCH: Technical Assistance, FT13368 - 240 E 2..	5,450
	445 Gerard LLC	Bronx	Consolidated Edison	New Construction Housing, 2019 MFCNP	300,000
	712 Fith Avenue Owner LP	New York	Consolidated Edison	Technical Services, FT13225 - 712 Fifth Ave - P..	27,946
	770 Electric Corp.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	42,582
				>200KW PV, NY-Sun	22,878
		Kings	Consolidated Edison	<200KW PV, NY-Sun	73,850
				>200KW PV, NY-Sun	19,360
	1182 Woodycrest LLC	Bronx	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	350,931
				Multifam New Construction, New Construction	157,500
	1397 E. 2nd LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	21,700
	Accord Power, Inc.	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	5,985
				<200KW PV, NY-Sun	148,103
		Kings	Consolidated Edison	>200KW PV, NY-Sun	14,648
				>200KW PV, PON 2112 NY SUN	45,805
New York		Consolidated Edison	>200KW PV, PON 2112 NY SUN	16,485	
			Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN
ACI V REIT HOLDCO JV LLC	New York	Consolidated Edison	Technical Services, FT13427 - 110 Leroy - PON	11,550	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	ACPBKI LLC	Kings	Consolidated Edison	Technical Services, FT13214 - 630 Flushing - PO..	18,035		
	Adam C. Boese	Bronx	Consolidated Edison	Technical Services, FT13208 - 3400 Cannon - F..	7,800		
	AE Duke Management LLC	Kings	Consolidated Edison	Technical Services, FT13184 - AE Duke - PON	10,000		
	Allegis Group Holdings Inc	New York	Consolidated Edison	NEW YORK GREEN BANK, Staff Augmentation ..	75,266		
	Allison van Hee	New York	Consolidated Edison	Contractor to NY Green Bank	50,000		
	Altanova LLC	Bronx	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	61,929		
				New Construction- Commercial, Commercial Ne..	39,999		
				Rmve Barriers Dist Enrgy Storg, FT13162 - Lega..	9,004		
		Kings	Consolidated Edison	NYCH: Technical Assistance, FT13306 - 430 W ..	39,688		
	AltPOWER, Inc.	Kings	Consolidated Edison	<200KW PV, NY-Sun	525,096		
	Amergy Solar Inc.	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	7,524		
	Architectural Flooring Resourc..	New York	Consolidated Edison	New Carpet/Cleaning NYGB	23,285		
	Arctic Air Mechanical Corp	New York	Consolidated Edison	NYSERDA ADMINISTRATION, HVAC Preventati..	16,800		
	Atash Energy, LLC	Kings	Consolidated Edison	Commercial Real Estate Ten, Atash-4 Metrotech ..	5,000		
		New York	Consolidated Edison	Commercial Real Estate Ten, Atash Energy - 11 ..	24,775		
				Commercial Real Estate Ten, Atash-875 3rd Ave ..	6,790		
	Automated Logic Contracting ..	New York	Consolidated Edison	Real Time Enrgy Management, ALCS-412 E 9th ..	119,250		
	Best Energy Power	Bronx	Consolidated Edison	<200KW PV, NY-Sun	791,809		
				>200KW PV, NY-Sun	78,311		
				>200KW PV, PON 2112 NY SUN	20,880		
		Kings	Consolidated Edison	<200KW PV, NY-Sun	61,916		
				>200KW PV, NY-Sun	6,124		
				>200KW PV, PON 2112 NY SUN	203,040		
		New York	Consolidated Edison	<200KW PV, NY-Sun	22		
				>200KW PV, NY-Sun	23		
				>200KW PV, PON 2112 NY SUN	62,856		
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	56,592		
		BlocPower LLC	Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680	
		BOP NW LLC	New York	Consolidated Edison	Commercial New Construc, SF106903 - BOP N..	55,132	
		BPP MFNY Employer LLC	New York	Consolidated Edison	Real Time Enrgy Management, BPPMFNYEmpL..	1,074,404	
	Bright Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	117,711		
				>200KW PV, NY-Sun	61,189		
				Buildings of Excellence, BoE Rnd 1 - Design Tea..	37,500		
				NYCH: Technical Assistance, FT13229 - 1520 S..	8,120		
				NYCH: Technical Assistance, FT13328 - 1065 G..	6,300		
				NYCH: Technical Assistance, FT13329 - 1075 G..	6,300		
				NYCH: Technical Assistance, FT13374 - 2260 Cr..	6,930		
				NYCH: Technical Assistance, FT13375 - 711 Gar..	8,280		
				NYCH: Technical Assistance, FT13402 - 3468 Fe..	12,000		
				Kings	Consolidated Edison	<200KW PV, NY-Sun	53,606
						>200KW PV, NY-Sun	28,685
						NYCH: Technical Assistance, FT13241 - Brighto..	7,740
						Technical Services, FT13115 - 125 Court - FTC	10,125
		Technical Services, FT13180 - 30 Washington - ..	8,660				
		Technical Services, FT13194 - 110 Livingston - F..	12,480				
		Technical Services, FT13222 - 25 Washington - ..	8,325				
		New York	Consolidated Edison	Technical Services, FT13376 - Brooklyn Ren. - F..	42,750		
				Commercial Real Estate Ten, Bright Power-56 W..	5,000		
				NYCH: Technical Assistance, FT13290 - 320 W ..	15,525		
				NYCH: Technical Assistance, FT13295 - 335 W. ...	8,000		
NYCH: Technical Assistance, FT13331 - 1179 2n..	12,150						
NYCH: Technical Assistance, FT13401 - 8 West ..	7,950						

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Bright Power, Inc.	New York	Consolidated Edison	REV Campus Challenge, RM45 - Marymount Ma..	49,605
				Technical Services, FT13176 - 1755 York - FTC	8,600
				Technical Services, FT13192 - 438-448 W 37th - ..	6,750
				Technical Services, FT13201 - 550 W 54th - FTC	17,210
				Technical Services, FT13202 - 1500 Lexington - ..	5,550
				Technical Services, FT13203 - 56 W 22nd - FTC	8,550
				Technical Services, FT13220 - 50 W 23rd - FTC	14,175
	Queens	Consolidated Edison	<200KW PV, NY-Sun	698,742	
			>200KW PV, NY-Sun	465,828	
			ESTOR:Retail Storage Incentive, Retail Storage	171,000	
	Richmond	Consolidated Edison	NYCH: Technical Assistance, FT13190 - 200 Har..	5,850	
			Technical Services, FT13191 - 830 Howard - FTC	5,850	
	Broad Financial Center, LLC	New York	Consolidated Edison	Technical Services, FT13409 - Broad Financial -..	9,360
	Bronx Park Phase I Preservati..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	285,600
	Bronx Park Phase II Preservat..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	375,200
	Bronx Park Phase III Preserva..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	231,700
	Brooklyn Housing Preservation Limited Pa	Kings	Consolidated Edison	<200KW PV, NY-Sun	456,364
				>200KW PV, NY-Sun	45,136
	Brooklyn SolarWorks LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	6,188
	Cameron Engineering & Asso..	New York	Consolidated Edison	Technical Services, FT13205 - 395 Broadway - F..	5,075
	Carbon Lighthouse	New York	Consolidated Edison	Real Time Enrgy Management, CL-Multisite-RTE..	167,133
	CC Controlled Combustion Co..	New York	Consolidated Edison	Real Time Enrgy Management, Cc Cont.-295 Ch..	29,768
	Center for Economic and Envi..	New York	Consolidated Edison	Retrofit NY, Retrofit NY Assist	49,500
	Charis Realty Corp.	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	33,600
	Citadel SPV LLC	New York	Consolidated Edison	Financing with CCR	140,000
	City Skyline Realty, Inc.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13275 - 507 W ..	5,475
	Clinton Complex Housing Dev..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	7,200
Code Green Solutions, Inc.	New York	Consolidated Edison	Commercial Real Estate Ten, CodeGreen-599 Le..	12,000	
			NYCH: Technical Assistance, FT13138 - 158 W ..	19,750	
			NYCH: Technical Assistance, FT13139 - 599 11t..	14,584	
			NYCH: Technical Assistance, FT13209 - 25 East ..	14,249	
			NYCH: Technical Assistance, FT13405 - 309 5th ..	11,750	
			Technical Services, FT13085 - 120 E 16th - FTC	16,988	
			Technical Services, FT13125 - 2 Park - FTC	46,625	
			Technical Services, FT13152 - 170 E 83rd - FTC	17,250	
Columbia Property Trust	New York	Consolidated Edison	NYCH: Technical Assistance, OsEM64-C-575 Le..	214,000	
Columbia Property Trust Operating Partne	New York	Consolidated Edison	NYCH: Technical Assistance, FT13263 - 218 W ..	23,085	
			NYCH: Technical Assistance, FT13264 - 243 W ..	29,985	
Comunilife LaCentral House D..	Bronx	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	850,000	
Concourse Village, Inc.	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	561,600	
Control Solutions Group, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, HVAC Maintena..	6,600	
Cortex Building Intelligence, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, CBI - 600 Madiso..	5,587	
			Real Time Enrgy Management, CBI-250 W 57th-..	41,839	
			Real Time Enrgy Management, CBI-501 7th-RTE..	41,839	
			Real Time Enrgy Management, CBI-1333 Broad..	84,434	
			Real Time Enrgy Management, CBI-1350 Broad..	31,590	
			Real Time Enrgy Management, CBI-1359 Broad..	109,898	
CubeSmart TRS Inc	Bronx	Consolidated Edison	>200KW PV, NY-Sun	39,960	
	Kings	Consolidated Edison	>200KW PV, NY-Sun	24,720	

Projects Selected for Funding by Region
Period 10/1/2020 through 3/31/2021

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Cutone & Company Consultants, LLC	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	6,400
		New York	Consolidated Edison	Commercial Real Estate Ten, LCA - 425 Lexingto..	7,515
				Commercial Real Estate Ten, LCA-880 Broadway	17,329
				Commercial Real Estate Ten, LCA-1140 Ave of A..	9,638
	Cycle Architecture PLLC	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	35,838
	DALY 180 Housing Fund Dev..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	8,400
	Dandelion Energy Inc	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	Datagryd Data Centers, LLC	New York	Consolidated Edison	Industrial Process Effic, IPE16240 - Datagryd Dat..	1,000,000
	Deutsche Bank	New York	Consolidated Edison	Commercial Real Estate Ten, Deutsche Bank-1 ..	250,000
				Industrial Process Effic, Industrial Process Efficie..	219,290
	Do-It-With Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	24,960
	Dori Doors & Security, Inc	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Doors for NYC of..	1,800
	EME Consulting Engineering Group, LLC	Bronx	Consolidated Edison	REV Campus Challenge, FT13218 - Rose Hill - F..	270,000
				NYCH: Technical Assistance, FT13217 - 334 Eas..	36,000
		New York	Consolidated Edison	Commercial Real Estate Ten, SA.045_TWO# 6_..	141,144
				NYCH: Technical Assistance, FT13169 - 577 Firs..	9,054
				NYCH: Technical Assistance, FT13307 - 2109 Br..	17,500
				NYCH: Technical Assistance, FT13407 - 410 Cat..	12,500
				Real Time Enrgy Management, SA.073_TWO# 1..	405,633
				REV Campus Challenge, FT13270 - Barnard - F..	315,000
				Talent Pipeline:CE and OJT, OJT HIRE	60,192
		Queens	Consolidated Edison	NYCH: Technical Assistance, FT13326 - 105-05 ..	10,000
		NYCH: Technical Assistance, FT13327 - 25-98 3..	8,750		
	Talent Pipeline:CE and OJT, OJT HIRE	10,240			
	Empower CES, LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	21,879
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	15,336
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	18,144
	Energy & Resource Solutions, Inc.	Bronx	Consolidated Edison	Technical Services, FT13163 - 650 Brush Ave - F..	22,554
		New York	Consolidated Edison	TWO post-closing reviews	66,048
		Queens	Consolidated Edison	Technical Services, FT13281 - 18-1 Steinway - F..	28,913
	Energy Conservation & Suppl..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	12,000
	Energy Technology Savings, Inc.	Bronx	Consolidated Edison	Real Time Enrgy Management, ETS-825-875Boy..	41,550
				Real Time Enrgy Management, Energy Tech-260..	10,350
				Real Time Enrgy Management, Energy Tech-325..	10,350
		New York	Consolidated Edison	Real Time Enrgy Management, Two Trees-60 W..	8,166
				Real Time Enrgy Management, EnergyTech-Mer..	11,770
		Richmond	Consolidated Edison	Real Time Enrgy Management, Energy-2655 Ric..	200,000
	Enertiv Inc.	Kings	Consolidated Edison	Real Time Enrgy Management, Enertiv - 50 N 5th..	14,321
				Real Time Enrgy Management, Enertiv - 515 E 8..	60,447
		New York	Consolidated Edison	Real Time Enrgy Management, Enertiv-10Barcla..	23,247
				Real Time Enrgy Management, Enertiv-350 E 79t..	23,035
				Real Time Enrgy Management, Enertiv-515 W 52..	18,323
	Enica Engineering, PLLC	New York	Consolidated Edison	Real Time Enrgy Management, Enica-731 Lexint..	102,705
EnterSolar LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	162,108	
ESNY-EW-STATENISLAND L..	Richmond	Consolidated Edison	>200KW PV, NY-Sun	1,045,737	
Etrog Inc	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	24,480	
Fifth Avenue Committee, Inc.	Kings	Consolidated Edison	New Construction Housing, 2019 MFCNP	65,600	
Fordham University	Bronx	Consolidated Edison	NYCH: Technical Assistance, OsEM53-C - Fordh..	214,000	
			Technical Services, OsEM62-C - Fordham - Linc..	214,000	
	New York	Consolidated Edison	Technical Services, OsEM62-C-Fordham-Lincoln	151,387	
Fox Television Stations, Inc.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13185 - 205 Eas..	25,347	
Frontier Energy, Inc.	New York	Consolidated Edison	Technical Services, FT13181 - 450 W 17th - FTC	9,898	

Projects Selected for Funding by Region
Period 10/1/2020 through 3/31/2021

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	G&S Operations LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	154,876
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	98,640
	G&S Commissioning Services..	New York	Consolidated Edison	Technical Services, FT13305 - 11 West 53rd - FT..	154,472
	Geatrain Engineering PLLC	Kings	Consolidated Edison	Commercial Real Estate Ten, Geatrain-9920 Four..	5,000
		New York	Consolidated Edison	Commercial Real Estate Ten, Geatrain-481 Eight..	5,000
	Generate Capital Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	356,616
		New York	Consolidated Edison	<200KW PV, NY-Sun	64,780
	Goldman Copeland Associates, P.C.	Kings	Consolidated Edison	Commercial Real Estate Ten, Goldman-60 E 42n..	6,990
				Commercial Real Estate Ten, GoldmanCopeland..	5,479
		New York	Consolidated Edison	Commercial Real Estate Ten, GCA-245 Park Ave..	20,000
				Commercial Real Estate Ten, GCA-250 W 57th S..	8,986
				Commercial Real Estate Ten, GCA-919 3rd Ave(..	15,000
				Commercial Real Estate Ten, GCA-1333 Broadw..	5,986
				Commercial Real Estate Ten, GCA-1400 Broadw..	8,986
				Commercial Real Estate Ten, GCA-1515 Broadw..	15,000
				Commercial Real Estate Ten, GCA-Multisite	20,000
				Commercial Real Estate Ten, Goldman110 E 42 ..	20,000
				NYCH: Technical Assistance, FT13134 - 140 W. ..	12,494
				NYCH: Technical Assistance, FT13155 - 10 East ..	20,913
				REV Campus Challenge, FT13271 - 101 Ludlow ..	9,580
				REV Campus Challenge, FT13346 - 214-220 E 2..	11,984
				REV Campus Challenge, FT13347 - 335 W 16th ..	13,092
				REV Campus Challenge, FT13349 - 133 21st - F..	8,395
				Technical Services, FT13123 - Soho Grand - FTC	17,468
				Technical Services, FT13259 - 1 West 54th - FTC	29,951
				Technical Services, FT13260 - 601 W 26th - FTC	29,970
				Technical Services, FT13272 - 555-557 Broad. - ..	14,998
				Technical Services, FT13274 - 512 W 22nd - FTC	5,988
		Technical Services, FT13292 - 866 UN Plaza - F..	17,986		
		Technical Services, FT13308 - 750 7th - FTC	29,990		
	Technical Services, FT13400 - 30 Lincoln - FTC	14,991			
	Queens	Consolidated Edison	Commercial Real Estate Ten, GCA-3300 Norther..	6,986	
			Technical Services, FT13122 - Roxy Hotel - FTC	15,991	
	Gree Mechanical Services US..	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT HIRE	29,480
	Group-S LLC	Kings	Consolidated Edison	Technical Services, FT13242 - 11 Chapel - FTC	9,750
				New York	Null
		New York	Consolidated Edison	NYCH: Technical Assistance, FT13358 - 200 Ce..	23,500
				Technical Services, FT13117 - 235 East 87th - F..	16,050
				Technical Services, FT13170 - 3 Park Ave - FTC	32,500
				Technical Services, FT13179 - 1293 Broadway - ..	10,500
				Technical Services, FT13183 - D&D Building - FT..	18,800
				Technical Services, FT13189 - 135 E 57th - FTC	15,400
				Technical Services, FT13197 - 131 Madison - FTC	14,300
				Technical Services, FT13221 - 60 Sutton - FTC	12,250
				Technical Services, FT13233 - 501 10th - FTC	13,500
				Technical Services, FT13234 - 42 W 39th - FTC	14,800
				Technical Services, FT13251 - 9 Barrow - FTC	15,725
Technical Services, FT13361 - 375 Pearl - FTC				8,000	
Queens	Consolidated Edison	NYCH: Technical Assistance, FT13177 - 47-05 C..	25,500		
		Technical Services, FT13296 - 47-25 34th - FTC	13,000		
GSPP 181 Bay, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	87,552	
GSPP Avenue H, LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	191,808	

Projects Selected for Funding by Region
Period 10/1/2020 through 3/31/2021

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	GSPP East 91 LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	114,552
	GSPP KR Hylan, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	380,952
	GSPP Preston CT, LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	197,136
	Hamilton Heights Cluster Ass..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	60,200
	Harvest Power, LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	36
				>200KW PV, NY-Sun	54
	HDFC 185 East 2nd Street Co..	New York	Consolidated Edison	Technical Services, FT13151 - 185 East - PON	6,250
	Integrated Energy Service Corp	Kings	Consolidated Edison	Real Time Enrgy Management, IES-470 Vanderb..	84,420
				Real Time Enrgy Management, Integrated-SL Gr..	71,069
				New York	Consolidated Edison
	Integrated HVAC Systems and Services	Kings	Consolidated Edison	Real Time Enrgy Management, Integrated 251 W..	78,720
				Real Time Enrgy Management, Integrated-185 S ..	28,800
		New York	Consolidated Edison	Real Time Enrgy Management, Integrated-401 W..	23,250
				Real Time Enrgy Management, Integreated-260 ..	24,060
	Queens	Consolidated Edison	Real Time Enrgy Management, Integrated-3446 ..	155,000	
	Intralinks, Inc.	New York	Consolidated Edison	NEW YORK GREEN BANK, VDR Services	4,500
	J Synergy Green Inc	Queens	Consolidated Edison	WORKFORCE DEVELOPMENT, OJT HIRE	27,360
	Jaros, Baum & Bolles	New York	Consolidated Edison	NYCH: Technical Assistance, FT13167 - 745 Sev..	38,542
	Jones Lang LaSalle Americas,..	New York	Consolidated Edison	Commercial Real Estate Ten, JLL Americas-Multi..	17,035
	Kamtech Restoration Corp	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	121,260
				Queens	Consolidated Edison
	Kanji No Koen Consulting LLC	New York	Consolidated Edison	NEW YORK GREEN BANK, Tibita Kaneene with ..	161,956
	Kawi Energy Group Corp.	Bronx	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	329
				Commercial Real Estate Ten, Kawi Energy Grou..	28,238
		Kings	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	1,577
		New York	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	81,324
				Commercial Real Estate Ten, Kawi- 155 W 23rd -..	14,198
				Commercial Real Estate Ten, Kawi-1 Liberty Plaz..	9,018
				NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
		Talent Pipeline:CE and OJT, OJT HIRE	15,360		
		Queens	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	207
				Long Island Power Au..	34
	Richmond	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	314	
	KBRA Holdings, LLC	New York	Consolidated Edison	Public Rating on NYGB Bonds	750,000
	Knoll, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Furniture for Gre..	610
	Latham & Watkins LLP	New York	Consolidated Edison	Commercial Real Estate Ten, Latham&Watkins-1..	22,501
	M. Zion Security Systems Corp	New York	Consolidated Edison	Card Access Security System	23,245
	Magnusson Architecture and ..	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	150,000
	Masmore Corporation	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	203,082
	MGT Property Management L..	New York	Consolidated Edison	NYCH: Technical Assistance, FT13249 - 38 E 29..	36,707
	MIR Queens Place, LLC	Queens	Consolidated Edison	Technical Services, FT13318 - 88-01 Queens - P..	44,146
	Moelis & Company Group LP	New York	Consolidated Edison	NEW YORK GREEN BANK, 3PC raise advisory ..	250,000
	Montefiore Medical Center	Bronx	Consolidated Edison	Technical Services, OsEM69-C-Montefiore Medic..	214,000
	Morgan Stanley	New York	Consolidated Edison	NYCH: Technical Assistance, FT13356 - 2000 W..	15,995
	Morningside Housing Associat..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	97,300
	Museum of Modern Art	Queens	Consolidated Edison	NYCH: Technical Assistance, FT13303 - Queens..	65,448
	Netgains Engineering P.C.	Kings	Consolidated Edison	Commercial Real Estate Ten, Netgains-975 Geor..	5,000
NYCH: Technical Assistance, FT13196 - 149-151..				5,000	
NYCH: Technical Assistance, FT13372 - Montten..				5,000	
Technical Services, FT13370 - Stages 1-6 - FTC				20,450	
Technical Services, FT13371 - Stages 10-15 - FT..				5,000	
New York		Consolidated Edison	NYCH: Technical Assistance, FT13291 - 300 Alb..	5,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Netgains Engineering P.C.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13316 - 160 Ce..	26,604
				NYCH: Technical Assistance, FT13324 - 181 Var..	7,950
	NexRev, LLC	New York	Consolidated Edison	Real Time Enrgy Management, NexRev-Multisite..	136,821
	NG 645 Madison Ave LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13337 - 645 Ma..	24,075
	Nightingale Realty, LLC	Kings	Consolidated Edison	Technical Services, FT13317 - 14 53rd - PON	10,000
	Noresco LLC	Kings	Consolidated Edison	New Construction- Commercial, Commercial Ne..	26,640
		New York	Consolidated Edison	REV Campus Challenge, FT13325 - Morningside..	138,886
				Technical Services, FT13149 - 1 State - FTC	38,892
				Technical Services, FT13232 - 50 Vanderbilt - FT..	19,854
				Technical Services, FT13267 - 240 Greenwich - ..	94,005
			Technical Services, FT13440 - Smilow - FTC	42,653	
	Northwell Health, Inc.	Richmond	Consolidated Edison	Fuel Cells, Fuel Cell Incentive - FC-037	550,000
	NYSS LLC	Bronx	Consolidated Edison	<200KW PV, NY-Sun	7,888
	Office Resource, Inc	New York	Consolidated Edison	Furniture Purchase	47,685
	Omni New York LLC	Bronx	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	212,500
	Parity Inc	New York	Consolidated Edison	Real Time Enrgy Management, Parity-300 East 7..	60,901
				Real Time Enrgy Management, Parity-450 North ..	42,763
	Patriot Energy Solutions Corp	Kings	Consolidated Edison	<200KW PV, NY-Sun	24,696
		Queens	Consolidated Edison	<200KW PV, NY-Sun	25,332
	Paul A. Castrucci, Architects ..	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	Penn Power Group LLC	New York	Consolidated Edison	Combined Heat and Power, CHPA-CCMH Times..	1,550,250
	PGREF I 1633 Broadway Land, LP	New York	Consolidated Edison	Technical Services, FT13219 - 1633 Broadway - ..	69,854
				Technical Services, OsEM59-C - Paramount Gro..	214,000
	PH Affordable Housing Fund I..	Bronx	Consolidated Edison	Multifam New Construction, MFNCP PHIUS T3-1..	300,000
	PLB Oil & Gas Consult LLC	New York	Consolidated Edison	NYGB Investment Support	50,000
	Pratt Institute	Kings	Consolidated Edison	Technical Services, OsEM60-C - Pratt Institute	163,038
	Premier Solar Solutions LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	79,772
	Proenergy Consulting LLC	New York	Consolidated Edison	NEW YORK GREEN BANK, Green Bank	60,000
	Prospect Realty Group LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	95,900
	Quest Energy Group	New York	Consolidated Edison	Commercial Real Estate Ten, Quest-330 Madiso..	10,500
		Queens	Consolidated Edison	Commercial Real Estate Ten, Quest- 20 W 34th ..	10,000
	Quixotic Systems, Inc.	Kings	Consolidated Edison	<200KW PV, NY-Sun	120,000
				>200KW PV, NY-Sun	83,808
	Randstad North America, Inc.	New York	Consolidated Edison	NEW YORK GREEN BANK, Payroll Services -N..	199,095
	RBFunding LLC	Bronx	Consolidated Edison	Combined Heat and Power, CHPA-2418 Olinville..	5,773
	RCPI Landmark Properties, L..	New York	Consolidated Edison	Technical Services, OsEM63-C-TS-Rockefeller C..	214,000
	RGBS Enterprises, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, RGBS-1345 Ave..	250,000
	Riseboro Community Partnership, Inc.	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	341,003
				New Construction Housing, PHIUS T3 Atlantic	2,200
				On-Site Energy Manager, OsEM67-M-RiseBoro ..	178,430
	Rizzo Compliance Solutions, ..	New York	Consolidated Edison	Installation of HVAC Unit	9,850
	Robert Derector Associates	New York	Consolidated Edison	Commercial Real Estate Ten, RDA- 28 Liberty St..	22,750
				Commercial Real Estate Ten, RDA-1 Penn Plaza..	10,150
				Commercial Real Estate Ten, Robert Derector-66..	52,750
		Queens	Long Island Power Au..	Commercial Real Estate Ten, RDA-2 Bryant Park	36,750
	RXR SL Owner LLC	New York	Consolidated Edison	Technical Services, OsEM70-C-RXR - Starrett Le..	214,000
	Sanford Plaza Apartment Corp	Queens	Consolidated Edison	Multifam Performance Pgm, Multifamily	126,000
	SEA Electric LLC	Queens	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP	109,250
	Shurgard Storage Centers LLC	Queens	Consolidated Edison	Commercial New Construc, Commercial New Co..	39,473
	Siemens Industry, Inc.	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	518,938
				Real Time Enrgy Management, Siemens-11 Wall..	200,000
				Real Time Enrgy Management, Siemens-150 W ..	135,559

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Smith Engineering PLLC	New York	Consolidated Edison	REV Campus Challenge, FT13168 - 413 E 69th ..	92,585
				Technical Services, FT13193 - 150 East 42nd - F..	47,575
	Solar Energy Systems, LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	142,920
	Solar Liberty Energy Systems, Inc	Bronx	Consolidated Edison	<200KW PV, NY-Sun	12,528
		New York	Consolidated Edison	<200KW PV, NY-Sun	23,714
	Solo Energy & Electrical, Inc.	Richmond	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	Soltage, LLC	New York	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	960,000
	St. John's Condominium	Kings	Consolidated Edison	NYCH: Technical Assistance, FT13373 - St. John..	8,306
	Stas Zakrzewski Architect PC	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd.1 - Design Tea..	75,000
	Steven Winter Associates, Inc.	Bronx	Consolidated Edison	Commercial New Construc, New Construction	9,966
				NYCH: Technical Assistance, FT13276 - 75 Livin..	19,875
		New York	Consolidated Edison	Technical Services, FT13186 - Electchester - FTC	40,475
				New Construction- Commercial, Commercial Ne..	198,950
				NYCH: Technical Assistance, FT13369 - 80 LaS..	24,094
		New York	Consolidated Edison	Real Time Enrgy Management, SWA - 255 Huds..	4,193
				Real Time Enrgy Management, SWA - 400 2nd A..	35,901
		New York	Consolidated Edison	Workforce Industry Partnership, PON 3715 Workf..	510,706
				Queens	Consolidated Edison
		Richmond	Consolidated Edison	Technical Services, FT13084 - 522 Main - FTC	7,505
	Sugar Hill Capital Partners, LL..	New York	Consolidated Edison	Technical Services, FT13165 - Sugar Hill - PON	15,000
	Sunkeeper Solar LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	9,912
	SunPower SolarProgram 1, L..	Queens	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,200,000
	SUNY: Polytechnic Institute	Richmond	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 7	246,421
	SURF AVENUE LCAL LLC	Kings	Consolidated Edison	NYCH: District, FT13258 - 1517 Surf - PON	55,181
	Surf Clean Energy Inc	Bronx	Consolidated Edison	<200KW PV, NY-Sun	6,336
				<200KW PV, NY-Sun	15,680
		New York	Consolidated Edison	<200KW PV, PON 2112 NY SUN	26,120
				Queens	Consolidated Edison
	Sustainable Investment Group	Kings	Consolidated Edison	Technical Services, FT13286 - 499 7th Ave - FTC	10,950
				New York	Consolidated Edison
		New York	Consolidated Edison	Technical Services, FT13285 - 218 W 40th - FTC	10,600
				Technical Services, FT13287 - 530 7th Ave - FTC	21,725
	Switch Automation Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Switch-450 E 29t..	32,370
	Syska Hennessy Group	New York	Consolidated Edison	Technical Services, FT13187 - 555 West 18th - F..	25,383
	T.M. Bier & Associates	New York	Consolidated Edison	Real Time Enrgy Management, TMB-535 E 70th..	96,840
	Taitem Engineering, P.C.	Kings	Consolidated Edison	NYCH: Technical Assistance, FT13228 - 1240 B..	7,731
				New York	Consolidated Edison
		New York	Consolidated Edison	Technical Services, FT13188 - 115 E 9th - FTC	15,791
	Tetra Tech Engineers, Archite..	New York	Consolidated Edison	Commercial New Construc, Commercial New Co..	18,287
	The Center for New York City	New York	Consolidated Edison	Community Energy Engagement, CEEP New Yor..	137,382
				OTHER PROGRAM AREA, CEEP New York City..	15,212
	The Joint Ownership Entity Ne..	New York	Consolidated Edison	Technical Services, FT13022 - JOE Housing - P..	10,000
	Thornton Tomasetti, Inc.	Kings	Consolidated Edison	Commercial Real Estate Ten, TTI - 100 6th Aven..	68,712
	Trane	Kings	Consolidated Edison	Real Time Enrgy Management, Trane-760 Parksi..	32,932
				New York	Consolidated Edison
		New York	Consolidated Edison	Real Time Enrgy Management, Trane-320 Park-..	250,000
	Tremont Apartments Housing ..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	1,700
Trilok Fusion Arts, Inc.	Kings	Consolidated Edison	Net Zero Energy for Eco Dev, New Construction	56,639	
Unique Electric Solutions of NYS LLC	Kings	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP	120,000	
	New York	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP	330,000	
Universal McCann Worldwide,...	New York	Null	Commercial Real Estate Ten, RDA-Universal-30..	8,500	
Urban Green Council	New York	Consolidated Edison	Workforce Industry Partnership, PON 3715 Workf..	8,364	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Urban Health Plan Inc.	Bronx	Consolidated Edison	Technical Services, FT13256 - 1054 Simpson - P..	9,175
				Technical Services, FT13257 - 1065 Southern - ..	6,898
	Venture Home Solar LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	17,640
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	9,950
	Verizon Communications Inc	Kings	Consolidated Edison	Industrial Process Effic, IPE16247 - Verizon Wire..	954,419
	Vidaris, Inc.	New York	Consolidated Edison	Commercial Real Estate Ten, Vidaris- 1 Bryant P..	192,157
				Technical Services, FT13154 - 845 Third - FTC	8,584
	WB Engineering & Consulting ..	Queens	Consolidated Edison	Commercial Real Estate Ten, WB-165-19 Jamaic..	34,389
	Wendel Energy Services, LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13268 - Group ..	500,000
				NYCH: Technical Assistance, FT13269 - Group ..	500,000
	West Publishing Corporation	New York	Consolidated Edison	NEW YORK GREEN BANK, Westlaw Core Plan ..	45,320
	Willdan Lighting & Electric, Inc.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	10,800
	Total				38,306,005
	North Country	ADK Solar	Clinton	National Grid	<200KW PV, PON 2112 NY SUN
Alternative Power Solutions of..		Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	8,120
Apex Solar Power LLC		Essex	National Grid	<200KW PV, PON 2112 NY SUN	14,784
		Lewis	National Grid	<200KW PV, NY-Sun	7,540
Bangor Solar, LLC		Franklin	National Grid	>200KW PV, NY Sun	929,483
				NY-SUN, NY Sun	1,286,976
Bergmann Associates, Archite..		Clinton	NYS Electric and Gas	Commercial Real Estate Ten, Bergmann Associa..	189
Borex US Energy Inc		Jefferson	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	16,715,860
Borex US Energy Inc.		Jefferson	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	69,916,454
Burke Solar, LLC		Franklin	NYS Electric and Gas	>200KW PV, NY Sun	581,467
Butterville Road Solar, LLC		Jefferson	National Grid	>200KW PV, NY Sun	144,191
				NY-SUN, NY Sun	199,649
C&S Engineers, Inc.		Jefferson	National Grid	Technical Services, FT13459 - 22643 Fisher - FT..	18,500
CHA Consulting Inc.		Lewis	National Grid	Technical Services, FT13334 - 9567 Main - FTC	11,668
ClearPath Energy LLC		Lewis	National Grid	>200KW PV, NY Sun	989,938
Clinton County		Clinton	Municipal Utilities	Clean Energy Communities, Communities & Loc..	150,000
Community Energy Solar, LLC		St. Lawrence	National Grid	>200KW PV, NY Sun	715,000
				NY-SUN, NY Sun	1,040,000
Cornerstone Energy Services		St. Lawrence	National Grid	Renewable Heat NY, Cornerstone Services - Mar..	9,500
Day Automation Systems, Inc.		St. Lawrence	National Grid	K-12 SCHOOLS, P12GC-38_E - Lisbon CSD - P..	10,005
Dunn Paper		St. Lawrence	National Grid	On-Site Energy Manager, OsEM73-I - Dunn Paper	209,993
EDF Renewables Developme..		Jefferson	National Grid	REC:CES REC Contracts, RESRFP20-1	57,198,394
EDF Renewables Distributed Solutions Inc		St. Lawrence	National Grid	>200KW PV, NY Sun	2,157,496
				NY-SUN, NY Sun	2,716,485
Fourth Coast, Inc.		Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	8,750
GSPP 126 Little Bow Rd N, LLC		St. Lawrence	National Grid	>200KW PV, NY Sun	861,462
				NY-SUN, NY Sun	1,263,478
GSPP 126 Little Bow Rd S, LLC		St. Lawrence	National Grid	>200KW PV, NY Sun	881,433
				NY-SUN, NY Sun	1,292,768
GSPP 409 Ferris Road, LLC		St. Lawrence	National Grid	>200KW PV, NY Sun	961,350
				NY-SUN, NY Sun	1,331,100
GSPP 9557 E Rd S, LLC		Lewis	National Grid	>200KW PV, NY Sun	444,741
				NY-SUN, NY Sun	615,794
GSPP 9605 E Rd N, LLC		Lewis	National Grid	>200KW PV, NY Sun	444,741
				NY-SUN, NY Sun	615,794
Heat Keepers, Inc.		Essex	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
				Talent Pipeline:CE and OJT, OJT HIRE	7,680
Hilltop Heating Corporation	Essex	National Grid	Renewable Heat NY, Ray Brook Large Biomass ..	125,209	
Jefferson County	Jefferson	National Grid	Clean Energy Communities, CEC711068 - Jeffer..	250,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
North Country	Kasselman Solar LLC	Essex	National Grid	<200KW PV, PON 2112 NY SUN	8,750
	Lawrence Avenue Community..	St. Lawrence	National Grid	Multifam Performance Pgm, Multifamily	41,100
	Madrid Solar 1, LLC	St. Lawrence	National Grid	NY-SUN, NY Sun	1,449,048
	Max Solar Inc	Jefferson	National Grid	<200KW PV, NY-Sun	11,520
				<200KW PV, PON 2112 NY SUN	14,910
	Military Road Solar, LLC	Jefferson	National Grid	>200KW PV, NY Sun	682,110
	NY 18144 Game Farm, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,024,043
				NY-SUN, NY Sun	1,228,854
	Oswegatchie Solar, LLC	St. Lawrence	National Grid	>200KW PV, NY-Sun C&I	861,224
				NY-SUN, NY-Sun C&I	1,192,464
	OYA ROBINSON ROAD LLC	Jefferson	National Grid	NY-SUN, NY Sun	1,644,100
	OYA WAYSIDE DRIVE LLC	Jefferson	National Grid	NY-SUN, NY Sun	1,644,100
	Pamelia Solar, LLC	Jefferson	National Grid	>200KW PV, NY Sun	900,736
				NY-SUN, NY Sun	1,108,598
	Paradise Energy Solutions, LL..	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	13,309
	PEMM LLC	Jefferson	National Grid	Technical Services, FT13366 - 1279 Coffeen - P..	5,573
				Technical Services, FT13367 - 23582 NY-342 - P..	5,573
	PlugPV, LLC	Essex	National Grid	<200KW PV, PON 2112 NY SUN	5,054
	RHM Inc.	Franklin	National Grid	Renewable Heat NY, AEON Heating and A/C - F..	21,300
	Salmon River Renewables, LLC	Franklin	National Grid	>200KW PV, NY Sun	598,210
				NY-SUN, NY Sun	828,290
	Solar Liberty Energy Systems,..	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	5,474
	Solitude Solar LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,867,362
				NY-SUN, NY Sun	2,240,838
		Lewis	National Grid	>200KW PV, NY Sun	1,123,199
	Stockholm Solar, LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	577,777
				NY-SUN, NY Sun	799,999
	SunEast Renewables LLC	St. Lawrence	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	10,352,286
	SUNY Potsdam	St. Lawrence	National Grid	Commercial New Construc, New Construction	10,244
	Triangle Electrical Systems, In..	Essex	National Grid	<200KW PV, PON 2112 NY SUN	5,628
	Waddingham Road Solar, LLC	Jefferson	National Grid	>200KW PV, NY Sun	734,467
NY-SUN, NY Sun				1,077,220	
Waddington Solar, LLC	St. Lawrence	National Grid	NY-SUN, NY Sun	1,530,529	
Wildcat Renewables, LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	540,040	
			NY-SUN, NY Sun	785,512	
Total					202,017,612
Southern Tier	C.J. Brown Energy, P.C.	Steuben	NYS Electric and Gas	Technical Services, AEAP1296 - FLX Grape LLC	5,997
		Tompkins	NYS Electric and Gas	Technical Services, AEAP1282 - CRS Growers	5,997
	Canisteo Solar I	Steuben	NYS Electric and Gas	>200KW PV, NY Sun	759,845
	Catlin Solar 1 LLC	Chemung	NYS Electric and Gas	>200KW PV, NY-Sun C&I	512,068
	CHA Consulting Inc.	Steuben	NYS Electric and Gas	>200KW PV, DC for SEQR Assistance	10,000
	Cornell NCRE Solar 1 LLC	Tompkins	NYS Electric and Gas	<200KW PV, NY-Sun	198,281
	Cornell NCRE Solar 2 LLC	Tompkins	NYS Electric and Gas	<200KW PV, NY-Sun	236,643
	Cornell University	Tompkins	NYS Electric and Gas	CI Carbon Challenge, C&I Carbon Challenge	1,200,000
	Delaware River Solar, LLC	Steuben	NYS Electric and Gas	>200KW PV, NY Sun	895,050
		Tioga	NYS Electric and Gas	>200KW PV, NY Sun	1,839,334
				NY-SUN, NY Sun	2,546,769
	EDF Renewables Developme..	Steuben	NYS Electric and Gas	REC:CES REC Contracts, RESRFP20-1	39,029,473
	Empower Equity Inc	Tompkins	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	7,360
	Extraterrestrial Materials Inc.	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	25,148
		Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,610

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Southern Tier	Extraterrestrial Materials Inc.	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,110	
	Fingerlakes Renewables	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,720	
	Foam It Insulation, LLC	Broome	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	36,800	
	Generate Capital Inc.	Tioga	NYS Electric and Gas	>200KW PV, NY Sun	358,050	
	George E Denmark II	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,082	
	Halcyon, Inc.	Tompkins	NYS Electric and Gas	<200KW PV, NY-Sun	5,440	
	Hudson Valley Clean Energy I..	Delaware	NYS Electric and Gas	<200KW PV, NY-Sun	5,954	
	Johnson Controls, Inc. (Syrac..	Tompkins	NYS Electric and Gas	NYCH: Technical Assistance, FT13230 - Multiple..	38,240	
	LaBella Associates, P.C.	Steuben	NYS Electric and Gas	Technical Services, AEAP1284 - Lismore Dairy L..	6,000	
	Micatu, Inc.	Chemung	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	21,120	
	Northland Power U.S. Projects Inc.	Broome	Chenango	NYS Electric and Gas	REC:CES REC Contracts, Bluestone Wind	174,333,640
				NYS Electric and Gas	REC:CES REC Contracts, High Bridge Wind	137,079,080
	Norwich Housing Authority	Chenango	Chenango	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	43,400
					Technical Services, FT13273 - Peacock Park - P..	7,000
	NY Afton I, LLC	Chenango	Chenango	NYS Electric and Gas	>200KW PV, NY-Sun C&I	902,880
	NY Bath I, LLC	Steuben	Steuben	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,175,040
	NY Newark Valley I, LLC	Tioga	Tioga	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,378,944
	NY Owego II, LLC	Tioga	Tioga	NYS Electric and Gas	>200KW PV, NY Sun	896,314
					NY-SUN, NY Sun	1,241,049
	NY Troupsburg I, LLC	Steuben	Steuben	NYS Electric and Gas	>200KW PV, NY Sun	895,050
	ONIX, Inc.	Tioga	Tioga	NYS Electric and Gas	Real Time Enrgy Management, ONIX Inc. - Multi..	155,824
	Owego Gardens Associates II ..	Tioga	Tioga	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	82,800
	Paradise Energy Solutions, LL..	Steuben	Steuben	NYS Electric and Gas	<200KW PV, NY-Sun	8,000
	Park Grove Development, LLC	Tompkins	Tompkins	NYS Electric and Gas	New Construction Housing, 2019 LRNCP	42,000
	PlugPV, LLC	Chenango	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,376
	QwikSolar, LLC	Steuben	Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,280
					<200KW PV, PON 2112 NY SUN	255,487
	Renovus Energy, Inc.	Chemung	Tioga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	61,965
					<200KW PV, PON 2112 NY SUN	6,804
					<200KW PV, PON 2112 NY SUN	13,853
	Siemens Industry, Inc.	Chemung	Steuben	NYS Electric and Gas	Real Time Enrgy Management, Siemens - Multisi..	19,053
					Real Time Enrgy Management, Siemens - Multisi..	3,662,149
	Solar Liberty Energy Systems,..	Tompkins	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	30,317
	SunEast Renewables LLC	Tioga	Tioga	NYS Electric and Gas	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	10,646,972
	Sustainable Comfort, Inc	Tompkins	Tompkins	NYS Electric and Gas	Buildings of Excellence, BoE Rnd 1 - Design Tea..	139,842
	Tadcon Electric LLC	Chenango	Chenango	NYS Electric and Gas	>200KW PV, NY Sun	824,967
	Taitem Engineering, P.C.	Tompkins	Tompkins	NYS Electric and Gas	CI Carbon Challenge, CICC1903 - Cornell	89,706
					Real Time Enrgy Management, Taitem-55 Brown..	60,894
	Tesla Energy Operations Inc	Delaware	Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,589
	Thurston Ridge Solar, LLC	Steuben	Steuben	NYS Electric and Gas	>200KW PV, NY Sun	728,571
	Town of Ithaca	Tompkins	Tompkins	NYS Electric and Gas	Clean Energy Communities, CEC001218 - Town ..	50,000
	Vecino Group New York, LLC	Tompkins	Tompkins	NYS Electric and Gas	Multifam New Construction, New Construction	2,400
	Venture at Endicott LLC	Broome	Broome	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	47,600
					Technical Services, FT13171 - 15 Delaware - PO..	10,000
	Total					382,679,938
	Statewide	ACEEE	STATEWIDE	Statewide	Prof & Expert Engagement, 2021 Membership	12,000
					Subscription/Data Access, ACEEE sponsored re..	40,000
Activate Global, Inc		STATEWIDE	Statewide	Innovation, Research Plan	50,000	
Actuate Innovation, Inc.		STATEWIDE	Statewide	Innovation, Investment Plan	50,000	
Adewale Aremu Adesanya		STATEWIDE	Statewide	Havenergy Technical Assistance	500,000	
Aequita Consulting LLC		STATEWIDE	Statewide	OTHER PROGRAM AREA, Resilience Consultan..	218,000	
Agbotic Project #1, LLC		STATEWIDE	Statewide	NY Green Bank, Agbotic - Restructuring	1,000,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Akimeka, LLC	STATEWIDE	Statewide	Electric Vehicles - Innovation, Used EV Sales De..	298,997
	Allegis Group Holdings Inc	STATEWIDE	Statewide	ENERGY ANALYSIS, SA.020_TWO #5_EEA Co..	15,067
	Alliance for Sustainable Energ..	STATEWIDE	Statewide	OREC: Technical Support, TWO 5 - NREL NY Gr..	550,000
	American Society of Heating,..	STATEWIDE	Statewide	Technical Services, ASHRAE - EPE Team Supp..	105,000
	Amp Solar Group Inc.	STATEWIDE	Statewide	NY Green Bank, Amp Solar IX	10,000,000
	Ansari Services	STATEWIDE	Statewide	Low-Income Forum on Energy, Climate strategy ..	284,962
	Antares Group, Inc.	STATEWIDE	Statewide	NYCH: Technical Assistance, Antares TWO-NG ..	20,000
	Aon Risk Consultants, Inc.	STATEWIDE	Statewide	Risk Consulting for Rudarpa Tr	5,000
	Apprise, Incorporated	STATEWIDE	Statewide	Geothermal Incentive Program, TWO #3 - Survey..	44,339
				Home Perf w Energy Star, EnergyAffordability an..	50,061
				On-Site Energy Manager, RFQ3183 Umbrella Ag..	9,789
				Strategic Energy Manager, RFQ3183 Umbrella A..	9,789
	APX Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, NYGATS	95,000
	Arch Street Communications, ..	STATEWIDE	Statewide	OTHER PROGRAM AREA, RFP4459 Marketing ..	500,000
	BDO USA LLP	STATEWIDE	Statewide	Background Investigation Servi	31,100
				NYSERDA ADMINISTRATION, Background Inve..	1,900
	Benchmark Printing, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, External Progra..	8,000
	BioDiversity Research Institute	STATEWIDE	Statewide	OREC: Technical Support, BRI TWO #5 E-TWG ..	370,131
	BLUEPRINT POWER TECHN..	STATEWIDE	Statewide	High Performing Grid, A DECARBONIZATION B..	3,000,000
	BME Yellowjacket LLC	STATEWIDE	Statewide	Anaerobic Digesters, PON 3739 CAT C	970,950
	Boice Dunham Group Inc	STATEWIDE	Statewide	High Performing Grid, Smart Grid Syst & Dist En..	377,026
	Brattle Group Inc.	STATEWIDE	Statewide	OREC: Technical Support, Clean Energy Deliver..	100,000
				REC4:CES REC4 Tech Support, TWO #4 Large ..	40,036
				REC:CES REC System Dev Costs, TWO #4 Larg..	259,964
	Bruce Harley Energy Consulti..	STATEWIDE	Statewide	Air Source Heat Pumps, Heat Pump Technical A..	50,000
	BTMI Engineering, PC	STATEWIDE	Statewide	OREC: Technical Support, State's Engineer for P..	65,000
	Buckeye Terminals, LLC	STATEWIDE	Statewide	FUEL NY, Upstate NY Strategic Fuels Res	1,282,334
	Buddy Jason Folson	STATEWIDE	Statewide	OREC: Technical Support, ORECRFP20 Speciali..	8,000
	Build Edison LLC	STATEWIDE	Statewide	High Performing Grid, PATHWAY TO SCALE	495,000
	BW Research Partnership	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO# 2 JTWG Jobs Study	33,333
				NYCH: Talent Ppln:CE and OJT, TWO# 2 JTWG ..	266,667
	Cali Harris	STATEWIDE	Statewide	EVPRZ:Implementation, Prize Program Impleme..	50,000
	Capital District Regional Plann..	STATEWIDE	Statewide	Clean Energy Communities, Clean Energy Com..	1,668,654
	Carbon Upcycling Inc	STATEWIDE	Statewide	76 West, 76West	250,000
	Caroline Hazard	STATEWIDE	Statewide	Consumer Ed and Market Support, SFR Consulti..	175,000
				NYCH: Supply Chain, SFR Consulting Project Su..	175,000
	Central New York Regional Pl..	STATEWIDE	Statewide	Clean Energy Communities, Clean Energy Com..	1,501,519
	CHA Consulting Inc.	STATEWIDE	Statewide	CI Carbon Challenge, Outreach Support	60,000
				Strategic Energy Manager, Outreach Support	60,000
	Chautauqua Green Energy, L..	STATEWIDE	Statewide	NY Green Bank, CGE (Vireo/Emkey)	18,400,000
	City Winery Hudson Valley, LL..	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, New Construction	805,756
	Clean Energy Leadership Insti..	STATEWIDE	Statewide	OTHER PROGRAM AREA, Sponsorship	50,000
	Clean Energy of New York Inc	STATEWIDE	Statewide	NYCH: Innovation, NextGen HVAC Innovation	67,856
	Clean Power Research	STATEWIDE	Statewide	Electric Vehicles - Innovation, 2021 WattPlan Lic..	18,900
	Cleancar Energy Storage, LLC	STATEWIDE	Statewide	ESTOR: Bulk Storage Incentive, Bulk Storage Inc..	6,000,000
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	>200KW PV, Centralized Services & Support	144,743
ASSISTED HOME PERFORMANCE WITH ENE..				15,001	
Commercial New Construc, Centralized Services ..				60,000	
Community RH&C, Centralized Services & Supp..				71,584	
EMPOWER NY, Centralized Services & Support				67,200	
EMPOWER NY, Technical Support SFR				371,295	
Home Perf w Energy Star, Centralized Services ..				457,800	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	CLEARresult Consulting, Inc.	STATEWIDE	Statewide	Home Perf w Energy Star, Technical Support SFR	5,148,025
				LMI Community Solar, Centralized Services & Su..	72,075
				Low Rise New Construction, Centralized Service..	70,000
				Multifam New Construction, Centralized Services..	70,000
				New Construction Housing, Centralized Services ..	201,500
				New Construction- Commercial, Centralized Serv..	65,000
				NYSERDA ADMINISTRATION, Phone Email & ..	123,078
				Renewable Heat NY, Centralized Services & Sup..	52,615
				Technical Support SFR	1,053,945
Code Green Solutions, Inc.	STATEWIDE	Statewide	Empire Building Challenge, EBC - Market Charac..	131,250	
			NYCH: Empire Build Challenge, EBC - Market C..	18,750	
COI Energy Services Inc	STATEWIDE	Statewide	OTHER PROGRAM AREA, 76 West	500,000	
Consensus Building Institute, Inc.	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, TWO #2 A-TWG..	99,949	
			Environmental Research, TWO #1 -Facilitator	414,965	
			REC:CES REC System Dev Costs, TWO #2 A-T..	50,000	
CoolGreenPower LLC	STATEWIDE	Statewide	Air Source Heat Pumps, VHE HVAC	545	
			NYCH: Innovation, VHE HVAC	806,691	
Cornell University	STATEWIDE	Statewide	Technical Services, NYS CEA Database GLASE	224,817	
CTG:i LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, CTG i3 subscription	8,925	
CTY, Inc	STATEWIDE	Statewide	Pub Transit & Elect Rail, Data analytics for bus n..	460,755	
curbFlow Inc	STATEWIDE	Statewide	Pub Transit & Elect Rail, Terminal Frontage Man..	96,103	
CVENT, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Event Managem..	186,480	
DARE Management, LLC	STATEWIDE	Statewide	NY Green Bank, Daroga Power	26,500,000	
DIBD NYC Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Circular City Week 2..	10,000	
Dimension Energy LLC	STATEWIDE	Statewide	ESTOR: Bulk Storage Incentive, utility dispatch ri..	1,981,290	
DNV Energy Insights USA Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO#1 OSW Resource Pl..	204,865	
DNV GL Energy USA, Inc.	STATEWIDE	Statewide	Environmental Research, PV Solar Site Design- ..	184,725	
Dowd-Witbeck Printing Corp.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Program Externa..	12,000	
E Source Companies LLC	STATEWIDE	Statewide	Informat. Products & Brokering, RFQL3711 TWO..	290,000	
Eastern Research Group, Inc.	STATEWIDE	Statewide	Environmental Research, TWO #2 Coordinator A..	2,600,000	
Ecology & Environment, Inc.	STATEWIDE	Statewide	Environmental Research, Owner's Engineering	15,908	
Ecology and Environment Engineering	STATEWIDE	Statewide	OREC: Technical Support, E&E TWO 21	261,350	
			OREC: Technical Support, TWO #22 Coastal Ca..	249,720	
Eden Devco Borrower, LLC	STATEWIDE	Statewide	NY Green Bank, EdenDevco Upsize 3	1,400,000	
Egg Geo, LLC	STATEWIDE	Statewide	New Construction- Commercial, SUNY Heat Pum..	50,000	
Electric Power Research Institute	STATEWIDE	Statewide	High Performing Grid, Improved Grid Flexibility/R..	337,993	
			High Performing Grid, Interconnection Solutions i..	246,474	
Electrification Coalition Found..	STATEWIDE	Statewide	Electric Vehicles - Innovation, Task Work Order ..	298,075	
EME Consulting Engineering Group, LLC	STATEWIDE	Statewide	Empire Building Challenge, SA.065a - TWO #12 ..	477,103	
			NYCH: Technical Assistance, Westchester Tech ..	200,000	
Energy & Resource Solutions, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, TWO 6 - Performance M..	112,238	
			Geothermal Incentive Program, TWO 6 - Perform..	112,238	
			NYCH: District, Concierge Services - ERS - TWO	100,000	
			NYCH: Technical Assistance, Westchester Tech ..	200,000	
Energy and Environmental Economics Inc.	STATEWIDE	Statewide	>200KW PV, TWO#27 CValue&Solar Wht Papers	204,000	
			ENERGY ANALYSIS, TWO#22 Bldg. Elec. Road..	56,284	
			Grid Emissions Whitepaper, TWO#26 Grid Emiss..	180,667	
			Mkt Char: Tech Assist, TWO#27 CValue&Solar ..	51,000	
			OTHER PROGRAM AREA, TWO#22 Bldg. Elec. ..	123,716	
Environmental Defense Fund	STATEWIDE	Statewide	Commercial Real Estate Ten, Tenant Engageme..	49,888	
Essense Partners Inc.	STATEWIDE	Statewide	Buildings of Excellence, Round 2 BOE Awards S..	45,000	
			OTHER PROGRAM AREA, Marketing Support fo..	23,760	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Facility Strategies Group, LLC	STATEWIDE	Statewide	NYCH: LMI, Clean Heating & Cooling	32,200
	Fort Orange Press Incorporat..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Program Externa..	5,000
	Frontier Energy, Inc.	STATEWIDE	Statewide	ESTOR: Implementation Support, TWO 2 Cat. 3 ..	400,000
				Geothermal Incentive Program, 3695 TWO Umbr..	100,000
	Fund for Public Health in New ..	STATEWIDE	Statewide	Environmental Research, Assessment for Energy..	273,900
	Fund for the City of New York, Inc.	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	100,000
				NYCH: LMI, CH&C Communities Round 3	100,000
	General Electric Co. Global Research	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	549,784
				Natl Offshore Wind R&D	549,784
	GENEVA Group Inc.	STATEWIDE	Statewide	Cleantech Incubator, Innovation Team Consultant	50,000
	GI Endurant LLC	STATEWIDE	Statewide	NYCH: Innovation, Advanced Buildings	50,000
	Greenwood Strategies LLC	STATEWIDE	Statewide	EVPRZ:Implementation, Clean Transportation Pri..	40,000
	Groundvault Energy Storage, ..	STATEWIDE	Statewide	ESTOR: Bulk Storage Incentive, Bulk Storage Inc..	5,000,000
	Group-S LLC	STATEWIDE	Statewide	NYCH: Technical Assistance, Natural Gas Constr..	200,000
	Guidehouse Inc.	STATEWIDE	Statewide	EVALUATION, TWO #4 PM&IP	47,137
				Healthy Homes VB Payment Pilot, TWO 3 NYS ..	198,960
				NYCH: LMI, TWO 5	397,709
				TWO #3 - Natural Gas Price For	7,667
				TWO #5 - NG and REC Price Fore	9,926
	Guth Deconzo Consulting Eng..	STATEWIDE	Statewide	Technical Services, IAQ-Higher Education-Guth ..	75,000
	Halcyon Inc.	STATEWIDE	Statewide	NYCH: Comfort Home, Comfort Home -P4P Bac..	50,000
	Harris Beach PLLC	STATEWIDE	Statewide	Code to Zero, Codes	3,000
	Harris Wiltshire & Grannis LLP	STATEWIDE	Statewide	REC4:CES REC4 Tech Support, CES 2.0 Support	250,000
	Harrisburg University of Scien..	STATEWIDE	Statewide	Environmental Research, spatial and temporal va..	499,976
	Hester Street Collaborative, In..	STATEWIDE	Statewide	NY-SUN, SEEF Stakeholder Engagement	50,000
	HEVO Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, PON 3578 R1 CAT2	250,000
	Holland & Knight LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	42,477
				OREC: Technical Support, OSW Reg Matters_C..	100,000
	HomeCycle Technologies, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, RESRFP20-..	41,145
	Honeywell International Inc.	STATEWIDE	Statewide	>200KW PV, TWO 1 - SQA	15,003
				Combined Heat and Power, TWO 1 - SQA	15,003
				ESTOR: Implementation Support, TWO 1 - SQA	29,988
				Healthy Homes VB Payment Pilot, TWO 1 - SQA	15,003
				Home Perf w Energy Star, SQA HPwES/EmPow..	25,000
				NY-SUN, TWO 1 - SQA	15,003
	HPDC Energy LLC	STATEWIDE	Statewide	Housing Agencies Support, Affordable housing st..	499,920
	iCatalysts LLC	STATEWIDE	Statewide	Innovation Advisors, Innovation Advisor - Innov O..	175,000
	ICF Resources, LLC	STATEWIDE	Statewide	Campus/Technical Assistance, Natural Gas Cons..	39,508
				ENVIRONMENTAL RESEARCH, TWO #8 Electri..	49,671
				ENVIRONMENTAL RESEARCH, TWO#9 NYS E..	35,329
	IHS Global Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, IHS Markit/PointLogic Sub..	54,190
				ENERGY ANALYSIS, OPIS Alerts and Newsletter	6,300
	Illume Advising LLC	STATEWIDE	Statewide	Home Perf w Energy Star, EnergyAffordability an..	450,000
	Industrial Economics, Incorporated	STATEWIDE	Statewide	CLEAN TRANSPORTATION, TWO 2 New York ..	1,612,767
				Code to Zero, TWO 1 StretchtoZero	5,000
				Electric Vehicles - Innovation, TWO2 - CT Evalua..	300,000
				Electric Vehicles - Rebate, TWO2 - CT Evaluation	600,000
ENERGY ANALYSIS, TWO 1 EE Supply Curve ..				20,000	
Eval MCDC: MF Potential Study, TWO 1 EE Sup..				20,000	
Mkt Char: Tech Assist, TWO 3 Utility Outages Ph..				299,994	
Mkt Char: Tech Assist, TWO #2 Outage Damages				45,000	
OTHER PROGRAM AREA, Market Evaluation D..				367,136	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Industrial Economics, Incorporated	STATEWIDE	Statewide	Pub Transit & Elect Rail, TWO2 - CT Evaluation	70,794
	inMotion, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, inMotion Subscri..	84,848
	Institute for Market Transformation	STATEWIDE	Statewide	Air Source Heat Pumps, VHE HVAC	16,502
				NYCH: Innovation, VHE HVAC	618,838
	Interstate Renewable Energy ..	STATEWIDE	Statewide	NY-SUN, LI Community Solar Pgm Dev	21,635
	Ithaca College	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Methane emiss..	49,913
	Jaros, Baum & Bolles	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - JB..	18,000
	JFL Consulting LLC	STATEWIDE	Statewide	Innovation, Hydrogen Energy Consulting	125,000
	Julie Markham LLC	STATEWIDE	Statewide	Cleantech Ignition, J. Markham Consulting contra..	25,000
				Innovation, J. Markham Consulting contract	25,000
	Kathleen B Hogan	STATEWIDE	Statewide	NYCH: Empire Build Challenge, Support for EBC	20,000
	Kearns & West, Inc.	STATEWIDE	Statewide	Environmental Research, TWO 4 Learning from ..	49,943
	Kelliher Samets Volk	STATEWIDE	Statewide	Capital Planning, TWO 38 MF Low Carbon	20,060
				Empire Building Challenge, TWO 35: EBC Strat. ..	25,000
				ENERGY ANALYSIS, KSVTWO 37: Climate Act ..	46,000
	Kinetic Communities Consulti..	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	699,994
	L&S Energy Services, Inc.	STATEWIDE	Statewide	Clean Energy Communities, L&S GJGNY Energy..	249,460
				NYCH: Technical Assistance, L&S GJGNY Energ..	200,000
				NYCH: Technical Assistance, L&S TWO - NG C..	20,000
	Levitan & Associates, Inc.	STATEWIDE	Statewide	REC4:CES REC4 Tech Support, CES Solicitatio..	1,330,000
				REC:CES REC System Dev Costs, CES Solicitat..	25,000
	Long Island High Technology I..	STATEWIDE	Statewide	Cleantech Incubator, PON3413 Clean Energy Inc..	300,000
	Luminate, LLC	STATEWIDE	Statewide	Outside Technical and Eng. Srv	35,000
	M.J. Beck Consulting LLC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, RESRFP20-..	33,000
	M/E Engineering, P.C.	STATEWIDE	Statewide	NYCH: Technical Assistance, M/E TWO - NG CH..	20,000
				NYCH: Technical Assistance, Westchester Tech ..	200,000
	Matt Fronk and Associates LLC	STATEWIDE	Statewide	Innovation, Innovation Hydrogen Programs	40,000
	Merrimack Energy Group, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, RESRPF20-..	40,700
	Michael Te Lin	STATEWIDE	Statewide	Cleantech Ignition, Michael Te Lin consulting	40,000
	Michaels Energy, Inc.	STATEWIDE	Statewide	On-Site Energy Manager, TWO 1 - EMP Impact ..	440,573
				Strategic Energy Manager, TWO 1 - EMP Impact..	146,858
	NASEO	STATEWIDE	Statewide	ENERGY ANALYSIS, USEER Support 2021	50,000
	National Renewable Energy Laboratory	STATEWIDE	Statewide	M-Corps, 2021 Ind Grow Frm Sponsorship	12,000
				Nat'l OffShWind R&D Consortium, Nat'l Offshore ..	600,000
				Nat'l Offshore Wind R&D	600,000
	NESCAUM	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, CFD Modeling	49,500
				ENVIRONMENTAL RESEARCH, TWO #8 AERO..	523,427
				ENVIRONMENTAL RESEARCH, TWO #10 Air Q..	295,000
				ENVIRONMENTAL RESEARCH, TWO #11 Woo..	399,500
				Renewable Heat NY, TWO #10 Air Quality	540,000
	New Buildings Institute, Inc.	STATEWIDE	Statewide	New Construction- Commercial, 2021 Getting to ..	49,965
				New Construction- Commercial, RFQL 3711- GT..	50,000
				NYCH: Cost Reduction, TWO #2 Bldg Elec Road..	8,453
				NYCH: Roadmap, TWO #2 Bldg Elec Roadmap ..	202,862
	New York Power Authority,	STATEWIDE	Statewide	Pub Transit & Elect Rail, NYPA transit bus study ..	525,000
	Nexamp, Inc	STATEWIDE	Statewide	NY Green Bank, Nexamp	25,000,000
	Niagara Wind Power LLC	STATEWIDE	Statewide	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	6,376,580
Nixon Peabody LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	62,810	
			RFP 12 - NYGB Legal Services	49,755	
NMR Group, Inc.	STATEWIDE	Statewide	Eval MCDC Clean Transportation, Clean Transp..	11,500	
Noresco LLC	STATEWIDE	Statewide	Code to Zero, Third-party E-Code Support	97,210	
North American Passive Hous..	STATEWIDE	Statewide	New Construction Housing, NAPHN 2021	25,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Northco Products, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Program Externa..	12,000
	Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	NYCH: Critical Tools, Heat Pump Spec Develop..	49,760
				NYCH: Critical Tools, VRF Field Validation Project	50,000
	NYC Climate Action Alliance I..	STATEWIDE	Statewide	Commercial Real Estate Ten, NYC Climate Actio..	50,000
	NYGB CCRD Borrower, LLC	STATEWIDE	Statewide	NY Green Bank, CCR/Investec	15,000,000
	NYS Economic Development Council	STATEWIDE	Statewide	New Construction Housing, Gen. Marketing & Ou..	40,000
				New Construction- Commercial, Gen. Marketing ..	10,000
	NYSDEC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Cooperative Agreem..	0
	NYSERDA	STATEWIDE	Statewide	NY Green Bank, Green Jobs Companion Loan	5,000,000
	Okeenea Digital	STATEWIDE	Statewide	Pub Transit & Elect Rail, Transit accessibility bea..	198,559
	OLA Consulting Engineers, P...	STATEWIDE	Statewide	NYCH: Technical Assistance, Westchester Tech ..	200,000
	Opinion Dynamics Corporation	STATEWIDE	Statewide	Cleantech Startup Growth, RFQ3183 Umbrella A..	108,669
	Orangeville Energy Storage L..	STATEWIDE	Statewide	ESTOR: Bulk Storage Incentive, Bulk Storage Inc..	2,310,000
	Ove Arup & Partners Consulti..	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO1 CommBldg Elect R..	50,000
	Owahgena Consulting, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, Heat Pump Technical A..	106,413
	Oya Solar CDG LLC	STATEWIDE	Statewide	NY Green Bank, Greenbacker Capital - OYA Solar	13,000,000
	PA Consulting Group	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #3 Nat. Gas Tech. S..	200,000
	Pace University	STATEWIDE	Statewide	Environmental Research, A-TWG facilitation serv..	49,997
				NYCH: District, Clean Thermal District Systems	44,000
	Performance Systems Develo..	STATEWIDE	Statewide	NYCH: Comfort Home, TWO 3 - HPR OpenStudi..	266,337
	PitchBook Data, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, OneYear Pitchbook ..	25,000
	Pivotal 180, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	40,000
	Principle Power Inc	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	290,000
				Natl Offshore Wind R&D	290,000
	Propmodo Inc.	STATEWIDE	Statewide	Real Time Enrgy Management, Strategic Industry..	10,140
	Radiant Labs, LLC	STATEWIDE	Statewide	Informat. Products & Brokering, Dynamic Market ..	1,400,000
	Randstad North America, Inc.	STATEWIDE	Statewide	Home Perf w Energy Star, Payroll Services	60,000
	Recurve Analytics, Inc.	STATEWIDE	Statewide	NYCH: Comfort Home, RFP 3901 P4P-AMV Platf..	25,000
				Pay for Performance, RFP 3901 P4P-AMV Platfo..	25,000
	Red Rochester LLC	STATEWIDE	Statewide	NY Green Bank, RED Rochester	25,000,000
	Rensselaer Polytechnic Institute-LRC	STATEWIDE	Statewide	NYCH: Innovation, Advanced Buildings	50,000
				Prof & Expert Engagement, LRC Assist members..	25,000
				Prof & Expert Engagement, Partner Program Me..	60,000
	Research Foundation of CUNY	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, RFP 3407 TWO 3	81,000
	Research Foundation of SUNY	STATEWIDE	Statewide	Anaerobic Digesters, PON 3739 CAT B	250,000
				Electric Vehicles - Innovation, Surface Mod Grap..	60,000
				Energy Storage Tech/Prod Dev, Surface Mod Gr..	65,000
				High Performing Grid, Machine Learning for Hi-fi..	215,345
				High Performing Grid, Stability Impact Analysis	400,000
	Resource Systems Group, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Modeling support f..	20,000
	RFP Enterprises LLC	STATEWIDE	Statewide	Cleantech Ignition, RFP Enterprises LLC	25,000
	Robert F. Parker, Jr.	STATEWIDE	Statewide	Cleantech Ignition, Technology to Market	25,000
	Rocky Mountain Institute	STATEWIDE	Statewide	New Construction Housing, 140390 TWO#1	125,000
				New Construction- Commercial, 140390 TWO#1	125,000
				Pub Transit & Elect Rail, Clean Transportation	195,983
	Rudarpa North Country, LLC,	STATEWIDE	Statewide	NY Green Bank, Darling Transportation Energy S..	29,500,000
	Sandra Meier	STATEWIDE	Statewide	Environmental Research, Science Advisor	30,000
SAW Associates LLC	STATEWIDE	Statewide	High Performing Grid, Integrated Energy Data Re..	339,040	
Scott A Weiner	STATEWIDE	Statewide	High Performing Grid, Integrated Energy Data Re..	47,900	
Sealed, Inc.	STATEWIDE	Statewide	NY Green Bank, Sealed 2020 Upsize	2,500,000	
Siemens Industry, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #1: 100x40 Study	404,358	
			REC4:CES REC4 Tech Support, TWO #1: 100x4..	361,270	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Sive Paget & Riesel PC	STATEWIDE	Statewide	BR: Program Implementation, BR Outside Couns..	100,000
				NEW YORK GREEN BANK, RFP 12: NYGB Leg..	19,182
				OREC: Technical Support, OSW Regulatory Matt..	100,000
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	NYCH: Innovation, Cold Climate PTHP	146,354
				NYCH: Technical Assistance, Multifamily	50,000
	Stillwell Energy Storage, LLC	STATEWIDE	Statewide	ESTOR: Bulk Storage Incentive, Bulk Storage Inc..	4,000,000
	Stove Boat, LLC	STATEWIDE	Statewide	Environmental Research, Fishermen's Gateway	49,000
	Sustainable Energy Advantag..	STATEWIDE	Statewide	REC: CES REC System Dev Costs, REMO Subs..	38,000
	Switched Source LLC	STATEWIDE	Statewide	High Performing Grid, Tie Controller for Renewab..	2,250,000
	Switched Source TC LLC	STATEWIDE	Statewide	High Performing Grid, Tie Controller for Renewab..	2,124,975
	Sycamore Advisors, LLC	STATEWIDE	Statewide	GJGNY REVOLVING LOAN FUND, Financial Ad..	220,000
	Syracuse University	STATEWIDE	Statewide	Air Source Heat Pumps, VHE HVAC	92
				NYCH: Innovation, Advanced Buildings	50,000
				NYCH: Innovation, VHE HVAC	135,683
	Tagup Inc.	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	154,213
				Natl Offshore Wind R&D	154,213
	Taitem Engineering, P.C.	STATEWIDE	Statewide	Multifam Performance Pgm, Multifamily	599,837
	Terri Hartwell Easter Consulti..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Human Resourc..	49,000
	Tetra Tech, Inc.	STATEWIDE	Statewide	Environmental Research, PON 4270 PV Site Des..	233,000
				OREC: Technical Support, TWO #2- Cable Burial	49,870
	The Board of Trustees	STATEWIDE	Statewide	NYCH: Technical Assistance, Modeling Blower D..	50,000
	The Cadmus Group, LLC	STATEWIDE	Statewide	Air Source Heat Pumps, TWO #9 Whole House ..	50,000
				Clean Energy Communities, BOB Support Contra..	1,600,000
				Electric Vehicles - Innovation, TWO No. 7	133,670
				Eval MCDC: MF Building Stock, Statewide Multif..	3,500,000
				TWO #10 Climate Facilitation	925,672
	The Common Pool, LLC	STATEWIDE	Statewide	EVPRZ: Implementation, Common Pool Contract	600,000
				EVPRZ: Implementation, Prize Administrator	2,298,000
	The Lightman Company, LLC	STATEWIDE	Statewide	Cleantech Ignition, Mi Lightman	225,000
				Innovation, Mi Lightman	225,000
	The Renewables Consulting ..	STATEWIDE	Statewide	OREC: Technical Support, OSW Strategic Outlook	49,900
	The Research Foundation for the State	STATEWIDE	Statewide	Environmental Research, Low-Cost AQ Sensors	544,569
				Environmental Research, Mobile Laboratory Mea..	398,946
	The Trustees of Columbia Uni..	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, methane emiss..	49,743
	tkFabricate, LLC	STATEWIDE	Statewide	Air Source Heat Pumps, VHE HVAC	5,403
				NYCH: Innovation, VHE HVAC	202,597
	Town of Amherst	STATEWIDE	Statewide	Clean Transportation	327,034
	Town of Queensbury	STATEWIDE	Statewide	Clean Transportation	60,000
	TPR Enterprises LLC	STATEWIDE	Statewide	NYSERDA Administration	10,360
	Transect Inc.	STATEWIDE	Statewide	BR: Prospecting, Mapping Service Subscription	45,000
	TRC Energy Services	STATEWIDE	Statewide	Commercial New Construc, SA.040_TWO #16 - ..	19,863
				EVPRZ: Implementation, SA.071_TWO# 20_Clea..	405,633
				Low Rise New Construction, SA.040_TWO #16 - ..	23,836
				Low-Income Forum on Energy, LIFE Implementat..	85,853
				Multifam New Construction, SA.040_TWO #16 - ..	22,512
				New Construction Housing, SA.040_TWO #16 - ..	46,348
				New Construction- Commercial, SA.040_TWO #..	19,863
				NYCH: Comfort Home, Comfort Home Implement..	299,400
				NYCH: Supply Chain, Upstream Partners Initiative	900,000
				NYCH: Technical Assistance, RFP3628FlexTech..	60,000
				Renewable Heat NY, Technical Review and Prog..	315,150
				NYCH: Innovation, PON3519 Round 1	560,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	TRC Engineers, Inc.	STATEWIDE	Statewide	NYCH: Supply Chain, Upstream Partners Initiative	900,000
	Triton Systems, Inc	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	546,040
				Natl Offshore Wind R&D	546,040
	True Green Capital Fund III, L..	STATEWIDE	Statewide	NY Green Bank, CIT / TGC Upsize	10,300,000
	Trustees of Tufts College	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	399,945
				Natl Offshore Wind R&D	399,945
	Trustees of University of PA	STATEWIDE	Statewide	Low-Income Forum on Energy, Climate Justice in..	50,000
	University at Albany	STATEWIDE	Statewide	Community RH&C, CH&C Fellow	23,500
				High Performing Grid, Enhancing Predictability	612,325
	University of Maine	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	750,000
				Natl Offshore Wind R&D	750,000
	University of Massachusetts Amherst	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	150,000
				Natl Offshore Wind R&D	150,000
	University of Rochester	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, AQHE PON 39..	49,057
				Environmental Research, Changes in PM Compo..	548,153
	Urban Electric Power, Inc.	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, PON 3585 R2	50,000
	Urban Green Council	STATEWIDE	Statewide	Empire Building Challenge, EBC - Retrofit - Urba..	25,000
				NYCH: Empire Build Challenge, EBC - Retrofit - ..	25,000
	Urban League of Westchester County, Inc.	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	900,000
				NYCH: LMI, CH&C Communities Round 3	200,000
	Vermont Energy Investment Corporation	STATEWIDE	Statewide	NYCH: LMI, TWO #1 LMI Electrification	99,860
				Strategic Energy Manager, RFP 3352	1,252,083
	Vidaris, Inc.	STATEWIDE	Statewide	Code to Zero, RFL3711 Vidaris RES/COMcheck	8,366
				Code to Zero, TWO6-NYStretch Overlay Assist	37,746
	VRS Meetings and Events, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, 76West Award's Eve..	26,500
	Wadsworth Energy LLC	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIW..	75,000
	Walter Snyder Printer, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, External Progra..	30,000
	Wendel Energy Services, LLC	STATEWIDE	Statewide	NYCH: Technical Assistance, RFP3628FlexTech..	40,000
	WFHA Brooklyn L.P.	STATEWIDE	Statewide	NY Green Bank, Workforce Housing Group	500,000
	Willdan Energy Solutions	STATEWIDE	Statewide	Commercial Real Estate Ten, Advanced Efficienc..	200,000
				NYCH: Technical Assistance, Natural Gas Constr..	200,000
	Wood Mackenzie Power & Renewables, Inc.	STATEWIDE	Statewide	NY-SUN, GTM Squared, Solar and Wind	27,000
Subscription/Data Access, GTM Squared, Solar ..				82,648	
Woods Hole Oceanographic Institution	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	611,934	
			Natl Offshore Wind R&D	203,978	
Worley Group, Inc.	STATEWIDE	Statewide	OREC: Technical Support, TWO 2 Buyer's Eng S..	150,000	
			OREC: Technical Support, TWO#1 Advisian GL ..	331,096	
WSP USA Corp.	STATEWIDE	Statewide	Clean Energy Communities, TA Community Sup..	597,986	
			Environmental Research, ENV & Fisheries Rsrch..	408,081	
			Flexible Tech Assistance, Commercial Market En..	71,210	
			REV Campus Challenge, Commercial Market En..	133,475	
Zeroth LLC	STATEWIDE	Statewide	NYCH: Innovation, Site Demonstrations of Solar	101,431	
Total				298,817,617	
Western New York	AC Power, LLC	Erie	NYS Electric and Gas	>200KW PV, NY Sun	3,436,997
				NY-SUN, NY Sun	1,061,338
	AECOM Technical Services In..	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, E..	191,525
	AES Distributed Energy, Inc.	Erie	National Grid	>200KW PV, NY Sun	1,100,498
		Niagara	National Grid	>200KW PV, NY-Sun C&I	997,682
	Algonquin Power Fund Inc.	Cattaraugus	National Grid	>200KW PV, NY-Sun C&I	566,100
	Amherst Community Solar LLC	Erie	National Grid	>200KW PV, NY Sun	722,110
				NY-SUN, NY Sun	1,050,342
AMP US HoldCo Inc.	Allegany	Rochester Gas and El..	>200KW PV, NY Sun	2,041,200	

Projects Selected for Funding by Region
Period 10/1/2020 through 3/31/2021

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Western New York	Axis Geospatial	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, 20..	287,568	
	Belmont Housing Resources f..	Erie	National Grid	New Construction Housing, 2019 LRNCP	37,000	
	Borrego Solar Systems, Inc.	Niagara	National Grid	>200KW PV, NY Sun	662,964	
				NY-SUN, NY Sun	795,558	
	Buffalo Climate Action LLC	Erie	National Grid	>200KW PV, NY Sun	1,269,840	
	Buffalo Geothermal Heating	Erie	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,200	
	Buffalo Neighborhood Stabiliz..	Erie	National Grid	New Construction Housing, 2019 LRNCP	6,800	
	Buffalo Solar Solutions Inc	Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,719	
			Niagara	National Grid	<200KW PV, PON 2112 NY SUN	7,434
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,545
	C.J. Brown Energy, P.C.	Niagara	National Grid	K-12 SCHOOLS, FT13132 - N. Tonawanda - FTC	66,290	
	C&R Housing Inc.	Erie	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	7,200	
	C&S Engineers, Inc.	Niagara	National Grid	Technical Services, FT13418 - 2221 Niagara - F..	8,361	
	CIR ELECTRICAL CONSTRUCTION CORP.	Cattaraugus	National Grid	<200KW PV, PON 2112 NY SUN	5,198	
		Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	10,493	
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	23,531	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,392	
	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	13,022		
	City of Jamestown	Chautauqua	Municipal Utilities	Cleantech Geo Coverage, PON 4242	750,000	
	Cornell University	Chautauqua	Municipal Utilities	Cleantech Geo Coverage, PON 4242	1,500,000	
	Cuba Rushford Central School	Allegany	National Grid	K-12 SCHOOLS, P12GC-19_E -Cuba-Rushford -..	41,675	
	Day Automation Systems, Inc.	Niagara	National Grid	K-12 SCHOOLS, P12GC-27_E - Barker CSD - P..	10,143	
	DePaul Properties, Inc.	Niagara	National Grid	New Construction Housing, 2019 LRNCP	68,000	
	Dimension Energy LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	910,003	
				>200KW PV, NY-Sun C&I	899,144	
				NY-SUN, NY Sun	1,120,003	
				NY-SUN, NY-Sun C&I	1,078,975	
	Ecovis, Inc.	Erie	National Grid	<200KW PV, PON 2112 NY SUN	13,745	
	Elk Street Solar LLC	Erie	National Grid	>200KW PV, NY Sun	1,048,522	
				NY-SUN, NY Sun	599,155	
	EMCOR Services Betlem	Cattaraugus	National Grid	Real Time Enrgy Management, EMCOR-St Bona..	200,000	
	Erie Solar Gardens LLC	Erie	National Grid	<200KW PV, NY-Sun	268,800	
	Fredonia Solar LLC	Chautauqua	National Grid	>200KW PV, NY Sun	242,216	
	Generate NY Community Sola..	Erie	NYS Electric and Gas	>200KW PV, NY-Sun C&I	932,677	
	GSPP 2496 Lewis Road LLC	Allegany	National Grid	>200KW PV, NY Sun	1,048,319	
				NY-SUN, NY Sun	1,257,985	
	GSPP 4474 Lower Birch Run Rd, LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	492,601	
				NY-SUN, NY Sun	682,063	
	Hanover PV, LLC	Chautauqua	NYS Electric and Gas	>200KW PV, NY Sun	851,760	
				NY-SUN, NY Sun	1,048,320	
	Joseph R Chimera	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, O..	800,000	
	KRN CG LLC	Erie	National Grid	Multifam Performance Pgm, Multifamily	235,200	
	LR Wheatfield Solar 1, LLC	Niagara	National Grid	>200KW PV, NY-Sun C&I	1,574,235	
	M/E Engineering, P.C.	Niagara	National Grid	New Construction- Commercial, Commercial Ne..	197,650	
	Machias PV, LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	361,998	
				NY-SUN, NY Sun	445,536	
	Martin Rd Solar LLC	Cattaraugus	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	15,282,332	
National Solar Technologies	Erie	NYS Electric and Gas	>200KW PV, NY Sun	2,100,000		
			NY-SUN, NY Sun	1,200,000		
New York Geothermal Founda..	Erie	National Grid	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240		
Niagara Depot Solar, LLC	Niagara	National Grid	>200KW PV, NY Sun	1,191,154		
			NY-SUN, NY Sun	765,741		

Projects Selected for Funding by Region
Period 10/1/2020 through 3/31/2021

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Niagara Square Apartments H..	Erie	National Grid	Low Rise New Construction, New Construction	146,600
	Northland Power U.S. Project..	Cattaraugus	NYS Electric and Gas	REC:CES REC Contracts, Ball Hill Wind Farm	122,865,629
	OYA Independence East LLC	Allegany	National Grid	>200KW PV, NY Sun	1,124,760
				NY-SUN, NY Sun	1,349,712
	OYA Independence North LLC	Allegany	National Grid	>200KW PV, NY Sun	865,280
				NY-SUN, NY Sun	1,064,960
	OYA INDEPENDENCE ROAD..	Allegany	National Grid	NY-SUN, NY Sun	1,644,100
	OYA Ruhlmann A LLC	Niagara	NYS Electric and Gas	>200KW PV, NY Sun	974,792
				NY-SUN, NY Sun	1,199,744
	OYA Ruhlmann B LLC	Niagara	NYS Electric and Gas	>200KW PV, NY Sun	377,208
				NY-SUN, NY Sun	522,288
	Pendleton Solar 1, LLC	Niagara	National Grid	>200KW PV, NY-Sun C&I	1,229,904
	People Inc	Erie	National Grid	New Construction Housing, 2020 LRNCP	44,000
	Portville CSG 1, LLC	Cattaraugus	National Grid	>200KW PV, NY-Sun C&I	895,751
				NY-SUN, NY-Sun C&I	1,074,903
	SANFILIPPO SOLUTIONS IN..	Chautauqua	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	10,880
	Siemens Industry, Inc.	Niagara	National Grid	Real Time Enrgy Management, Siemens-5285 L..	81,180
	Sigora Solar	Erie	National Grid	<200KW PV, PON 2112 NY SUN	7,308
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,040
	Solar Liberty Energy Systems, Inc	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	23,804
			Erie	<200KW PV, NY-Sun	6,802
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	21,179
				>200KW PV, NY Sun	1,269,840
	Stantec Consulting Services, I..	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, W..	829,696
	Stone Environmental, Inc.	Erie	NYS Electric and Gas	Community RH&C, Westchester Ground Source ..	49,738
	Stuart Alexander and Associates	Erie	National Grid	New Construction Housing, 2019 LRNCP	429,200
				New Construction Housing, 2020 LRCNP	323,800
	The RF of SUNY Binghamton ..	Chautauqua	Municipal Utilities	Cleantech Geo Coverage, PON 4242	750,000
	Timothy Marlett	Allegany	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	TM Montante Solar Developm..	Erie	National Grid	<200KW PV, PON 2112 NY SUN	335,592
	Tonawanda Housing Authority	Erie	National Grid	Multifam Performance Pgm, Multifamily	177,100
	Trane	Cattaraugus	NYS Electric and Gas	K-12 SCHOOLS, P12GC-25_E - Gowanda CSD ..	54,058
		Erie	National Grid	Real Time Enrgy Management, Trane-403 Main-..	150,814
Wendel Energy Services, LLC	Cattaraugus	National Grid	Technical Services, FT13195 - Multiple - FTC	21,500	
	Erie	National Grid	Technical Services, FT13207 - Amherst WWTF - ..	55,000	
	Niagara	National Grid	K-12 SCHOOLS, P12GC-28_E - Starpoint - FTC	52,800	
		NYS Electric and Gas	Technical Services, FT13164 - Multiple - FTC	35,000	
William Timkey	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	5,082	
Total					193,952,044
Grand Total					1,846,757,575

NYSERDA
Public Authority Law Report
October 1, 2020 to March 31, 2021

Section Break

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
3rd ROC Solar LLC	<200KW PV, PON 2112 NY SUN	6,944
4 Minden Realty LLC	Multifam Performance Pgm, Multifamily	3,600
15 William Street Condominium	Low Carbon Tech Demos, Multifamily	1,920
	Multifam Performance Pgm, Multifamily	-1,920
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
24-42 Bennett Avenue Corp	>200KW PV, NY-Sun	29,230
64 Solar LLC	<200KW PV, PON 2112 NY SUN	238,635
70 West MM LLC	Multifam Performance Pgm, Multifamily	21,800
139 East 56th Street Landlord, LLC	Commercial New Construc, NCP15062 - 139 E 56th St	79,308
174 Power Global NorthEast, LLC	>200KW PV, NY-Sun	971,298
444 River Lofts, LLC	Low Rise New Construction, New Construction	62,850
680 St. Nicholas Owner LLC	Multifam Performance Pgm, Multifamily	50,400
770 Electric Corp.	<200KW PV, NY-Sun	65,983
	>200KW PV, NY-Sun	87,357
2018 ESA Project Company, LLC	Fuel Cells, Fuel Cell Incentive - FC-025	474,375
2018 Vento XVIII LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,460,338
Abt Associates Inc.	ENERGY ANALYSIS, TWO 2 formerly 30191 TWO #5	79,671
	Environmental Research, Environmental Res. Outreach	1,119
	ENVIRONMENTAL RESEARCH, TWO#1 Pathways Health	14,534
Abundant Solar Power Inc.	>200KW PV, NY Sun	393,498
Acacia Real Estate Development Inc.	Multifam New Construction, MFNCP - Sendero Verde - C	127,575
Access Supports for Living Inc.	New Construction Housing, 2019 LRNCP	78,800
Accion Group, LLC	REC:CES REC System Dev Costs, RFP 4146 LSR Support	63,000
Accord Power, Inc.	>200KW PV, PON 2112 NY SUN	17,518
ACM Medical Laboratory, Inc.	>200KW PV, NY Sun	36,086
Actasys	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	75,000
Active Solar Development, LLC	<200KW PV, NY-Sun	32,154
	<200KW PV, PON 2112 NY SUN	60,588
	NY-SUN, NY-Sun	3,510
Adam C. Boese	Commercial Real Estate Ten, Daylight Savings - 64 Fulton	5,000
	New Construction- Commercial, Commercial New Construction	34,804
	Technical Services, AEAP	6,000
Adirondack Lakes Survey Corporation	Environmental Research, RFP 3702 Stream Sampling	57,621
Adirondack North Country Association	CLEANER GREENER COMMUNITIES, CGC54038 - ANCA	77,711
Adirondack Solar, LLC	>200KW PV, NY-SUN C&I	75,588
ADK Solar	<200KW PV, PON 2112 NY SUN	10,332
Advanced Radiant Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	1,226
	Talent Pipeline:CE and OJT, OJT HIRE	-1,226
Advent Software Luxembourg S A R L	NEW YORK GREEN BANK, Fund Administration/Loan Inves	247,422
AECOM Technical Services Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitoring S..	147,424
Aegis Solar, LLC	>200KW PV, NY-Sun C&I	261,952
AES Broadalbin Solar, LLC	>200KW PV, NY Sun C/I	127,797
AES DE RS VII, LLC.	>200KW PV, NY-Sun C&I	77,719
AES DE RS VIII, LLC	>200KW PV, NY-Sun	554,304
	>200KW PV, NY-Sun C&I	651,901
AES DE RS X, LLC	>200KW PV, NY-Sun CI	1,569,257
AES Holland Solar, LLC	>200KW PV, NY-Sun C&I	22,977
Affordable Housing Partnership	CLEANER GREENER COMMUNITIES, CGC54941 - AHP	67,131

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Affordable Housing Partnership	Community Energy Engagement, CEEP Capital Region (AHP)	27,264
AKF-engineers	NYCH: Technical Assistance, FT12285 - 1 Liberty Plaza -FTC	42,897
	Rmve Barriers Dist Enrgy Storg, FT12241-TishmanSpe-200Park-FTC	68,288
	Technical Services, FT13007 - Related - FTC	28,339
	Technical Services, FT13040 - 200 Park - FTC	18,065
	Technical Services, FT13101 - 333 W 34th - FTC	2,000
	Technical Services, Indoor Air Quality TWO - AKF	9,099
	Workforce Industry Partnership, PON 3715 Workforce Training	39,303
Akwesasne Housing Authority	Low Rise New Construction, Low-rise residential new const	45,000
Albany Engineering Corp.	LARGE SCALE RENEWABLES, Mechanicville Hydro	110,443
	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	43,388
Albany Housing Authority	Multifam New Construction, New Construction	28,400
Albany, City of,	Clean Energy Communities, City of Albany	37,500
Albert Einstein College of Medicine Inc.	Flexible Tech Assistance, FlexTech Program - PON1746	85,980
Albireo Energy, LLC	Real Time Enrgy Management, Albireo-425 E 58th-RTEM	154,879
	Real Time Enrgy Management, ARE - 69 fifth Ave - RTEM	35,970
	Real Time Enrgy Management, Signature Theatre - RTEM	3,045
All-State Air Control Sales & Service In	Talent Pipeline:CE and OJT, OJT HIRE	6,210
Allegis Group Holdings Inc	Community RH&C, Staff Augmentation Services	30,709
	ENERGY ANALYSIS, Staff Augmentation Services	38,885
	Home Perf w Energy Star, SA.070_TWO#11 - EAE PM	24,735
	Informat. Products & Brokering, Staff Augmentation Services	28,712
	NEW YORK GREEN BANK, Staff Augmentation Services	30,750
	NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	55,685
	Pay for Performance, SA.055_TWO #10 - P4P PM	38,345
	Real Time Enrgy Management, SA.043a_TWO #7 - RTEM	47,674
	Real Time Enrgy Management, Staff Augmentation Services	62,607
	Renewable Heat NY, Staff Augmentation Services	30,709
Alliance for Housing Inc.	Multifam Performance Pgm, Multifamily	38,055
Alliance for Sustainable Energy, LLC	CLEAN TRANSPORTATION, TWO 2 - NREL TWO for Mobility	71,333
	ENERGY ANALYSIS, TWO 1 - 100% Carbon-free Power	2,099
	OREC: Technical Support, TWO 5 - NREL NY Great Lakes	250,000
alpha-En Corporation	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	225,000
Altanova LLC	Commercial New Construc, Commercial New Construction	23,895
	Commercial Real Estate Ten, Altanova - Multisite	23,947
	Commercial Real Estate Ten, Altanova LLC - 2 Hanson Place	5,000
	Commercial Real Estate Ten, Altanova-110 W 44th	5,000
	Commercial Real Estate Ten, Altanova-151 W 42ndFI26-28-CTP	10,288
	Commercial Real Estate Ten, Altanova-295 Fifth	5,000
	Commercial Real Estate Ten, Altanova-Multisite	30,000
	Flexible Tech Assistance, FT12220-Cush&Wake-MC-CHP-FTC	1,076
	New Construction- Commercial, Commercial New Construction	26,543
	Rmve Barriers Dist Enrgy Storg, FT13162 - Legacy - FTC	7,954
	Technical Services, FT13051 - 564 Park - FTC	4,534
	Technical Services, FT13053 - 564 Park - FTC	3,358
Alternative Carbon Energy Systems Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	1,929
Alternative Power Solutions of NY, LLC	<200KW PV, PON 2112 NY SUN	56,227
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,840

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Alternative Power Solutions of NY, LLC	Talent Pipeline:CE and OJT, OJT HIRE	-3,313
Amergy Solar Inc.	>200KW PV, PON 2112 NY SUN	590,571
American Energy Care, Inc.	<200KW PV, NY-Sun	33,177
	<200KW PV, PON 2112 NY SUN	67,493
American Society of Heating,Refrigeratin	Talent Pipeline:CE and OJT, TWO Umbrella Agreement 152136	32,328
	Technical Services, ASHRAE - EPE Team Support TWO	38,129
American Solar Grazing Association, I..	Environmental Research, PON 4270 PV Site Design	1,925
American Solar Partners, LLC	NY-SUN, Solar for Electchester Housing	40,000
Ampersand Tannery Island Hydro, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	1,169
Amphenol Corporation	>200KW PV, NY Sun	507,563
AMPLY Power Inc.	Novel Bus Models & Offers, Fleet Charging as a Service	164,240
Annadale Community Clean Energy P..	Fuel Cells, Fuel Cell Incentive - FC-027	500,000
Antares Group, Inc.	Campus/Technical Assistance, FT12091-St. John's U - FTC	0
	Industrial Process Effic, Technical Review and Program S	2,600
	NYCH: Technical Assistance, Antares TWO-NG CHC Screenings	10,916
	NYCH: Technical Assistance, FT13111 - 515 E 71st - FTC	27,958
Apex Roofing, LLC	<200KW PV, PON 2112 NY SUN	6,370
Apex Solar Power LLC	<200KW PV, PON 2112 NY SUN	5,040
Apprise, Incorporated	Air Source Heat Pumps, TWO #3 - Survey Work	923
	EVALUATION, TWO #3 - Survey Work	205
	Geothermal Incentive Program, TWO #3 - Survey Work	923
	Home Perf w Energy Star, EnergyAffordability and Equity	16,352
	TWO 1 LMI Commun. Solar survey	41,150
APX Inc.	LARGE SCALE RENEWABLES, NYGATS	199,718
	REC:CES REC System Dev Costs, NYGATS	30,918
	ZEC:CES ZEC System Dev Costs, NYGATS	11,667
Arcadis of New York, Inc.	Commercial New Construc, Staff Augmentation Services	20,790
	Commercial Real Estate Ten, SA.046_TWO #4 - EPE	20,645
	Low Rise New Construction, Staff Augmentation Services	59,591
	Multifam New Construction, Staff Augmentation Services	23,561
	New Construction Housing, Staff Augmentation Services	13,865
	New Construction- Commercial, Staff Augmentation Services	20,790
	ORES Support, ORES Technical Assistance	107,905
	REV Campus Challenge, SA.046_TWO #4 - EPE	20,645
	Strategic Energy Manager, SA.046_TWO #4 - EPE	0
	Technical Services, AEAP	4,937
	Technical Services, FT13114 - 830 River - FTC	21,500
	Technical Services, FT13304 - Mohawk View - FTC	6,428
	Technical Services, SA.046_TWO #4 - EPE	20,645
Arcadis U.S., Inc.	Advancing Ag Enrgy Technologie, AAET Tech Review_Arcadis TWO	2,867
	ANAEROBIC DIGESTER, ADG - Arcadis - TWO	5,451
	Combined Heat and Power, ADG - Arcadis - TWO	5,451
	COMBINED HEAT AND POWER, Tech Review & Program Staff	2,485
	FUEL NY, Tech Review & Program Staff	90,966
	Industrial Process Effic, Tech Review & Program Staff	245
	K-12 SCHOOLS, P-12 Gap Pre-Qual Incentive	18,245
Arch Street Communications, Inc.	OTHER PROGRAM AREA, RFP4459 Marketing Support	8,931
Arnold & Porter Kaye Scholer LLP	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Counsel ..	1,161

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Arts Center and Theater of Schenectaa..	CLEANER GREENER COMMUNITIES, CGC27842 - Marquee Power Proct	35,000
Atelier Ten	New Construction- Commercial, Commercial New Construction	4,279
	New Construction- Commercial, SUNY - Mini Bid (2019)	124,115
Aurelius Development LLC	Multifam New Construction, New Construction	25,600
Autonomous Energies LLC	<200KW PV, PON 2112 NY SUN	16,920
Avangrid Renewables, LLC	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	554,120
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	654,751
Axis Geospatial	WEST VALLEY DEVELOPMENT PROGRAM, 2020 WNYNSC LiDAR Map..	186,919
Aztech Geothermal, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	14,553
	Talent Pipeline:CE and OJT, OJT HIRE	0
Bacon Triangle LLC	>200KW PV, NY-Sun C&I	29,153
Barbera Homes and Development, Inc.	Low Rise New Construction, 2019 LRNCP	6,650
	Low Rise New Construction, New Construction	2,850
	New Construction Housing, 2019 LRNCP	950
Bard College	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	63,600
Barnard College	Technical Services, OsEM26-C Barnard College Mult	50,524
BASF Colors and Effects USA, LLC	Industrial Process Effic, Industrial Process Efficiency	12,908
Battelle Memorial Institute	Code to Zero, BMI TWO #1-NYStretch Support	7,697
BDO USA LLP	Background Investigation Servi	38,800
	NYSERDA ADMINISTRATION, Background Investigation Servi	1,900
Beech-Nut Nutrition Company	On-Site Energy Manager, OsEM37-I - Beech-Nut Nutrition	46,332
Belle Apartments Housing Developme..	Multifam Performance Pgm, Multifamily	2,100
Belmont Daniel LP	Multifam Performance Pgm, Multifamily	22,400
Belmont Housing Resources for WNY,..	Low Rise New Construction, New Construction	37,000
Belmonte Builders	Low Rise New Construction, 2019 LRNCP	4,750
	New Construction Housing, 2019 LRNCP	5,700
Bergmann Associates, Architects,	CI Carbon Challenge, CICC1902	590
	Commercial Imp Assist, Tech Review_Support_Umbrella	2,070
	Commercial Real Estate Ten, Bergmann Associates - Multisite	12,382
	Flexible Tech Assistance, Bergmann Tech Review TWO	3,778
	Flexible Tech Assistance, FlexTech Umbrella Agreement	2,392
	Industrial Process Effic, Tech Review_Support_Umbrella	3,163
	K-12 SCHOOLS, Bergmann Tech Review TWO	1,364
	REV Campus Challenge, Bergmann Tech Review TWO	7,145
	Technical Services, Bergmann Tech Review TWO	4,534
	Technical Services, FT13089 - 16 W Main - FTC	3,594
	Technical Services, Tech Review_Program Support	1,081
Best Energy Power	>200KW PV, NY-Sun	6,125
	>200KW PV, PON 2112 NY SUN	646,669
Bigwood Systems Inc	High Performing Grid, PON4074 High Perfrm Grid Prgr	55,000
Binghamton Northside LP	Multifam New Construction, New Construction	24,000
Binghamton Regional	Community RH&C, CH&C Communities Round 3	46,000
	NYCH: LMI, CH&C Communities Round 3	0
BioDiversity Research Institute	Environmental Research, ENV & Fisheries Rsrch for OSW	80,557
	OREC: Technical Support, BRI TWO #5 E-TWG Services	34,201
	OREC: Technical Support, BRI TWO1 ETWG Support	134,930
BJ's Wholesale Club	>200KW PV, NY-Sun	983,664
Black Cherry Services Group, Inc.	<200KW PV, PON 2112 NY SUN	5,418

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Contractor	Contract Description	Total Expended Amount
Black River Hydroelectric, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	86,370
BlocPower Community Corporation	Community RH&C, PON 3922 CH&C Communities	20,000
BlocPower LLC	Novel Bus Models & Offers, Novel Business Models R2	50,000
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	5,280
Bloom Energy Corporation	REC:CES REC Contracts, 11th Main Tier Solicitation	25,466
Blue Heron Trail I Housing Developme..	Low Rise New Construction, New Construction	70,200
BME Yellowjacket LLC	Anaerobic Digesters, PON 3739 CAT C	1,239,562
Bond, Schoeneck & King, PLLC	BR: Program Implementation, BR-Outside Legal	85,389
	CI Engy Siting & Soft Cost Red, BR-Outside Legal	-14,930
	ESTOR:Consumer Education, Distributed Solar Incentives	5,654
	NYSERDA ADMINISTRATION, HR Outside Counsel Assistance	3,888
Bonded Energy Solutions Corp.	WORKFORCE DEVELOPMENT, OJT HIRE	3,904
Booz Allen Hamilton, Inc.	High Performing Grid, PON 3397 CAT D	95,000
Borrego Solar Systems, Inc.	Rmve Barriers Dist Enrgy Storg, Energy Storage +CommunitySolar	343,000
Bourne & Kenney Redevelopment Co..	Multifam Performance Pgm, Multifamily	24,000
BPP MFNY Employer LLC	Real Time Enrgy Management, BPP - multisite - RTEM	299,152
	Real Time Enrgy Management, BPPMFNYEmpLLC1	315,772
	Real Time Enrgy Management, BPPMFNYEmpLLC#3-Multi-RTEM	265,913
	Real Time Enrgy Management, BPPMFNYEmpLLC#4-Multi-RTEM	523,471
	Real Time Enrgy Management, BPPMFNYEmpLLC#5-multi-RTEM	456,928
BQ Energy, LLC	ESTOR:Retail Storage Incentive, Retail Storage	417,600
BQE Services Inc	Talent Pipeline:CE and OJT, OJT HIRE	8,307
Brattle Group Inc.	CI Engy Siting & Soft Cost Red, TWO 5 LSR siting analysis	-29,619
	High Performing Grid, Clean Energy Deliverability	450,000
	ORES Support, TWO 5 LSR siting analysis	191,992
	REC4:CES REC4 Tech Support, TWO #4 Large Scale Hydropower	13,690
	REC:CES REC System Dev Costs, TWO 5 LSR siting analysis	-88,569
	REC:CES REC System Dev Costs, TWO #4 Large Scale Hydropower	88,893
Breaking Ground II Housing	Multifam New Construction, New Construction	105,000
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	20,004
	Talent Pipeline:CE and OJT, OJT HIRE	-8,872
Brenner Builders	Low Rise New Construction, New Construction	5,000
Bright Power, Inc.	<200KW PV, NY Sun	9,119
	<200KW PV, NY-Sun	369,387
	>200KW PV, NY-Sun	187,956
	>200KW PV, PON 2112 NY SUN	70,436
	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	25,000
	Campus/Technical Assistance, FT12238-LeFracCity-5917Jct-FTC	19,884
	Geothermal Incentive Program, FT12238-LeFracCity-5917Jct-FTC	-19,884
	Housing Agencies Support, Notice to Proceed	11,908
	Multifam Performance Pgm, Notice to Proceed	0
	NY-Sun	246,273
	NYCH: Technical Assistance, FT13190 - 200 Hart - FTC	2,925
	NYCH: Technical Assistance, FT13241 - Brighton House - FTC	5,780
	NYCH: Technical Assistance, RM35 - NYU - Alumni Hall	15,470
	Real Time Enrgy Management, BP - Multisite - RTEM	27,110
	Real Time Enrgy Management, BP-1755 York-RTEM	17,610
	Real Time Enrgy Management, Brght Pwr-9745 Queens Blv-RTEM	9,543

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Real Time Enrgy Management, Bright Power - Multi - RTEM	19,470
	Real Time Enrgy Management, Bright Power - Multisite- RTEM	3,825
	Real Time Enrgy Management, Bright Power -Multisite- RTEM	5,570
	Real Time Enrgy Management, Bright Power-60 E 86th St-RTEM	20,005
	Real Time Enrgy Management, Bright Power-655 Morris-RTEM	28,000
	Real Time Enrgy Management, Bright Power-2980 Park-RTEM	48,000
	Real Time Enrgy Management, Bright Power-Multisite-RTEM	79,481
	Real Time Enrgy Management, Bright Power, Inc - Multisites	328,243
	Real Time Enrgy Management, BrightPower-201 E 86th St-RTEM	14,160
	Real Time Enrgy Management, BrightPower-333 Lenox-RTEM	6,156
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	187,488
	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	15,180
	Real Time Enrgy Management, TwoTrees-300 Ashland PI-RTEM	14,250
	REV Campus Challenge, FT13118 - 3260 Henry - FTC	4,752
	REV Campus Challenge, RM36-NYU-Stern Business School	57,985
	Technical Services, FT13115 - 125 Court - FTC	4,870
	Technical Services, FT13127 - 114 W. 26th - FTC	4,105
	Technical Services, FT13140 - 165 E 56th - FTC	4,538
	Technical Services, FT13176 - 1755 York - FTC	4,135
	Technical Services, FT13191 - 830 Howard - FTC	2,925
	Technical Services, FT13192 - 438-448 W 37th - FTC	3,545
	Technical Services, FT13194 - 110 Livingston - FTC	6,208
	Technical Services, FT13203 - 56 W 22nd - FTC	4,275
	Technical Services, FT13220 - 50 W 23rd - FTC	7,055
	Technical Services, FT13222 - 25 Washington - FTC	4,163
	Technical Services, FT13266 - 185 Varick - FTC	3,375
	Brookfield District Energy Microgrid L..	SMART GRID SYSTEMS, RFP 3044 R2
Brooklyn Greenway Initiative, Inc.	Pub Transit & Elect Rail, Tech-based bike-transit study	92,809
Brooklyn Solar One LLC	>200KW PV, NY Sun	74,136
Brooklyn Solar Two LLC	>200KW PV, NY Sun	128,577
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	11,307
Broome Community College	REV Campus Challenge, RFP 3214 REV Campus Challenge	0
Broome County	Clean Energy Communities, CEC011267-Broome Cnty	89,250
Bruns Associates, LLC	Buildings of Excellence, Buildings of Excellence R1	187,500
BTMI Engineering, PC	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	10,412
	OREC: Technical Support, Large-Scale Renewables	14,623
Buckeye Terminals, LLC	FUEL NY, Upstate NY Strategic Fuels Res	651,236
Buckhurst, Fish, Jacquemart, Inc.	CLEAN TRANSPORTATION, Mobile New Rochelle Feasibilit	1,156
Buckley Road East Solar 1, LLC	>200KW PV, NY-Sun C&I	151,058
Buckley Road West Solar 1, LLC	>200KW PV, NY-Sun C&I	149,532
Buffalo Geothermal Heating	Geothermal Incentive Program, Large-Scale GSHP Rebate	12,953
	Large-Scale GSHP Rebate	32,748
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,200
Buffalo Solar Solutions Inc	<200KW PV, NY-Sun	6,912
	<200KW PV, PON 2112 NY SUN	46,733
Buffalo Urban Development Corporati..	Commercial New Construc, NCP15003 - Workforce Train Ctr	7,827
Build Edison LLC	SMART GRID SYSTEMS, Innovation Advisors	8,100
Building Performance Institute, Inc.	Talent Pipeline:CE and OJT, Energy & Efficiency Credential	32,520

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Contractor	Contract Description	Total Expended Amount
BuildingIQ, Inc.	Real Time Enrgy Management, BuildingIQ - Multisite - RTEM	8,400
Buro Happold Consulting Engineers, ..	Commercial Real Estate Ten, Buro Happold - 20 W 34th St	376,669
Buzzard's Ridge Group LLC	<200KW PV, PON 2112 NY SUN	6,405
BVG Associates LLC	OREC: Technical Support, IE ORECRFP20-1	65,000
BW Research Partnership	ENERGY ANALYSIS, TWO# 1 CE Industry Report	0
	Home Perf w Energy Star, TWO# 1 CE Industry Report	19,738
	Talent Pipeline:CE and OJT, TWO# 1 CE Industry Report	138,167
Byrne Dairy, Inc.	On-Site Energy Manager, OsEM31-I - Byrne Dairy	37,035
C.J. Brown Energy, P.C.	Commercial New Construc, Commercial New Construction	392
	Commercial Real Estate Ten, CJ Brown-131 Woodsedge Dr- CTP	5,000
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	9,428
	K-12 SCHOOLS, FT13120 - Windsor CSD - FTC	57,988
	K-12 SCHOOLS, FT13132 - N. Tonawanda - FTC	47,307
	K-12 SCHOOLS, FT13226 - NY Mills UFSD - FTC	4,895
	K-12 SCHOOLS, FT13227 - Cooperstown CSD -FTC	9,378
	Technical Services, AEAP	19,904
	Technical Services, AEAP1282 - CRS Growers	5,881
	Technical Services, AEAP1296 - FLX Grape LLC	4,984
	Technical Services, FT13027 - Towers - FTC	2,647
	Technical Services, FT13028 - Residences - FTC	2,689
	Technical Services, FT13030 - 4710 Kehoe - FTC	2,692
	Technical Services, FT13031 - 2001 E Henrietta-FTC	2,690
	Technical Services, FT13032 - 18 N. Main - FTC	2,634
	Technical Services, FT13033 - Meadowbrook - FTC	2,649
	Technical Services, FT13034 - 4399 Plantation -FTC	2,648
C&S Engineers, Inc.	Campus/Technical Assistance, FlexTech Consultant Selection	13,256
	Flexible Tech Assistance, FlexTech Consultant Selection	-13,256
	REV Campus Challenge, FT13036 - 432 Western - FTC	96
	Technical Services, FT13148 - Glens Falls - FTC	17,672
	Technical Services, FT13279 - Courthouse - FTC	4,594
Cadenza Innovation, Inc.	Energy Storage Tech/Prod Dev, PON3249 ACE	72,000
Calstart	Electric Vehicles - Innovation, PON 3578 Round 2	265,000
Capital District Regional Planning Comm.	Clean Energy Communities, Clean Energy Communities	388,295
	Community RH&C, Cap Dist Heat & Cool Smart Cam	40,000
Carrera RS, LLC	Buildings of Excellence, Buildings of Excellence R1	125,000
Carter Ledyard & Milburn LLP	NYSERDA ADMINISTRATION, Indian Point PAAA advice	15,179
Catlin Solar 1 LLC	>200KW PV, NY-Sun C&I	512,068
Cayuga / Onondaga BOCES	Flexible Tech Assistance, FT12254 - Cayuga BOCES - PON	21,400
Cayuga Country Homes	New Construction Housing, 2019 LRNCP	6,800
CBP 441 Ninth Avenue Owner, LLC	Commercial New Construc, SF106912 - 441 Ninth Avenue	488,362
CBRE, Inc.	On-Site Energy Manager, OsEM57-I IBM Sterling Forest	15,000
CEC Stuyvesant Cove, Inc.	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	372,539
	NY-SUN, HPD Technical Assistance	33,833
	Talent Pipeline:CE and OJT, PON3981 Round 6	22,745
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	968
Cedarwood Community Partners, LP	Multifam Performance Pgm, Multifamily	123,600
Center for Carbon Removal	OTHER PROGRAM AREA, Carbon180 Consulting Contract	50,000
Center for Community Transportation	CLEAN TRANSPORTATION, Ithaca Bikeshare Demonstration	85,026

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Contractor	Contract Description	Total Expended Amount
Center for Sustainable Energy	CLEAN TRANSPORTATION, Centralized Services & Support	99,263
	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	57,474
	Consumer Ed and Market Support, RFP3945 Home Energy Rating Pil	0
	Electric Vehicles - Rebate, TWO #3 - Drive Clean Program	303,210
	Home Energy Ratings, RFP3945 Home Energy Rating Pil	44,868
	OTHER PROGRAM AREA, Centralized Services & Support	82,967
Centerstate Corporation for	Cleantech Incubator, PON3413 Clean Energy Incubator	40,000
Central New York Regional Planning and	CLEANER GREENER COMMUNITIES, CGC57053 - CNY RPDB	295,418
	Community RH&C, CH&C Communities Round 3	39,000
	Community RH&C, PON3723 RH&C Campaigns	3,000
CH4 Biogas, LLC	Anaerobic Digesters, PON 3739 CAT C	265,775
CHA Consulting Inc.	CI Carbon Challenge, CICC RED Roch. Tech Review	17,339
	CI Carbon Challenge, CICC1906 - SABIC	8,481
	CI Carbon Challenge, Outreach Support	0
	CI Carbon Challenge, SA.019_TWO#1 - Industrial	0
	CI Carbon Challenge, SA.030_TWO#2 - Industrial	0
	CI Carbon Challenge, SA.031_TWO#3 - Industrial	0
	CI Carbon Challenge, SA.034_TWO#5 - Industrial	0
	Commercial Real Estate Ten, SA.051_TWO #6_EP&E APM	17,607
	EXISTING FACILITIES, SA.051_TWO #6_EP&E APM	0
	Flexible Tech Assistance, FT12226-UltraDairy-6750W-FTC	8,053
	Flexible Tech Assistance, FT12261 - Union Coll CHP - FTC	34,309
	Flexible Tech Assistance, FT12295 - HVCC - CHP	12,909
	Flexible Tech Assistance, Staff Augmentation Services	54,990
	FLEXIBLE TECHNICAL ASSISTANCE, Staff Augmentation Services	0
	Industrial Process Effic, IPE16223	253
	Industrial Process Effic, IPE16259	1,214
	Industrial Process Effic, Outreach Support	70,723
	Industrial Process Effic, SA.019_TWO#1 - Industrial	0
	Industrial Process Effic, SA.030_TWO#2 - Industrial	0
	Industrial Process Effic, SA.031_TWO#3 - Industrial	0
	Industrial Process Effic, SA.034_TWO#5 - Industrial	12,448
	Industrial Process Effic, Staff Augmentation Services	106,647
	Industrial Process Effic, Technical Review and Program S	21,938
	INDUSTRIAL PROCESS EFFICIENCY, Staff Augmentation Services	0
	K-12 SCHOOLS, SA.035_TWO#4 - EPE	0
	K-12 SCHOOLS, SA.051_TWO #6_EP&E APM	41,404
	On-Site Energy Manager, Outreach Support	31,499
	On-Site Energy Manager, Staff Augmentation Services	77,338
	REV Campus Challenge, SA.051_TWO #6_EP&E APM	17,775
	Strategic Energy Manager, Outreach Support	0
	Strategic Energy Manager, SA.019_TWO#1 - Industrial	0
	Strategic Energy Manager, SA.030_TWO#2 - Industrial	0
	Strategic Energy Manager, SA.031_TWO#3 - Industrial	0
Strategic Energy Manager, SA.034_TWO#5 - Industrial	0	
Strategic Energy Manager, Staff Augmentation Services	27,550	
Technical Services, FT13124 - 2 Tech Place - FTC	6,931	
Technical Services, FT13174 - 2900 McLane - FTC	9,845	

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Contractor	Contract Description	Total Expended Amount
CHA Consulting Inc.	Technical Services, SA.019_TWO#1 - Industrial	0
	Technical Services, SA.051_TWO #6_EP&E APM	14,059
Channel Capital LLC	OTHER PROGRAM AREA, Innovation Advisor	11,694
Chautauqua County	Clean Energy Communities, CEC111465 Chautauqua Co	99,750
	LARGE SCALE RENEWABLES, Chautauqua LFGE	168,075
Chester NY 1, LLC	>200KW PV, NY-Sun C/I	67,354
Chestnut Commons Apartments LLC	Multifam New Construction, New Construction	30,000
CIR ELECTRICAL CONSTRUCTION C..	<200KW PV, PON 2112 NY SUN	59,726
Citizens Chenango Solar LLC	>200KW PV, NY Sun	368,284
City Centre Assoiates, LLC	Multifam New Construction, MFNCP - City Centre	152,710
City of Binghamton	Clean Energy Communities, City of Binghamton	75,000
City of Cortland	Clean Energy Communities, PON 3298 CEC	37,500
City of Geneva	Clean Energy Communities, CEC300343 - City of Geneva	27,500
City of Ithaca	Clean Energy Communities, City of Ithaca	25,000
City of Middletown	Flexible Tech Assistance, FT12264 - Middletwn WWTP - PON	36,147
City Of New York	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	70,458
	OTHER PROGRAM AREA, Newtown Creek WWTP food waste	35,390
City of Rochester	Community RH&C, PON3723 RH&C Campaigns	33,000
	Technical Services, OsEM32-C - City of Rochester	42,873
City of Rome	Net Zero Energy for Eco Dev, Net Zero Economic Development	400,000
City of Utica	Community RH&C, Heat & Cool for Utica NYTBD	27,100
	NY-SUN, Affordable Solar in Utica	37,000
City of White Plains	CLEANER GREENER COMMUNITIES, City of White Plains	159,750
City Winery Hudson Valley, LLC	Net Zero Energy for Eco Dev, New Construction	120,863
Civic Consulting NYC Inc	CLEAN TRANSPORTATION, Clean Transportation	17,000
CJ Solar 1, LLC	>200KW PV, C&I PV Project City of Utica	213,098
Classic American Vintage, LLC	Multifam Performance Pgm, Multifamily	26,000
Clean Technologies A LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	19,947
CleanFiber LLC	76 West, 76West Clean Energy Bus. Comp	50,000
	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	290,000
	Cleantech Ignition, PON 3871 Ignition Grants	100,000
CLEAResult Consulting, Inc.	>200KW PV, Centralized Services & Support	42,209
	Air Source Heat Pumps, Centralized Services & Support	7,039
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralized S..	856
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	7,111
	Centralized Services & Support	130,732
	Commercial New Construc, Centralized Services & Support	34,732
	Commercial Real Estate Ten, Centralized Services & Support	8,985
	Community RH&C, Centralized Services & Support	29,499
	EMPOWER NY, Centralized Services & Support	37,513
	EMPOWER NY, Technical Support SFR	272,375
	ESTOR: Implementation Support, Centralized Services & Support	9,318
	Geothermal Incentive Program, Centralized Services & Support	21,629
	GJGNY Market Rate Audits, TWO #13 - SFR	39,729
	Healthy Homes VB Payment Pilot, Centralized Services & Support	2,504
	Healthy Homes VB Payment Pilot, Technical Support SFR	0
	Home Energy Ratings, TWO #13 - SFR	9,932
Home Perf w Energy Star, Centralized Services & Support	894,813	

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Contractor	Contract Description	Total Expended Amount
CLEARresult Consulting, Inc.	Home Perf w Energy Star, Technical Support SFR	1,600,885
	HOME PERFORMANCE WITH ENERGY STAR, Centralized Services & Su..	392
	HOME PERFORMANCE WITH ENERGY STAR, Technical Support SFR	1,797
	LMI Community Solar, Centralized Services & Support	64,419
	Low Rise New Construction, Centralized Services & Support	31,914
	Multifam New Construction, Centralized Services & Support	14,640
	Multifam Performance Pgm, Centralized Services & Support	26,827
	New Construction Housing, Centralized Services & Support	14,225
	New Construction- Commercial, Centralized Services & Support	6,096
	NYSERDA ADMINISTRATION, Phone Email & Web Support	56,030
	Real Time Enrgy Management, Centralized Services & Support	10,629
	Renewable Heat NY, Centralized Services & Support	4,090
	Technical Services, Centralized Services & Support	7,342
	Technical Support SFR	222,601
Climate Change & Environmental	Commercial Real Estate Ten, CCES - Multisite	9,400
Clinton Complex Housing Developme..	Multifam Performance Pgm, Multifamily	3,200
CMR Solar LLC	>200KW PV, NY-Sun C/I	322,404
Code Green Solutions, Inc.	Commercial Real Estate Ten, Code Green - 2 Penn Plaza	15,750
	Commercial Real Estate Ten, Code Green-390 Madison Ave-CT	9,300
	Commercial Real Estate Ten, CodeGreen - 2 Penn Plaza	15,519
	Commercial Real Estate Ten, CodeGreen - 535 Madison Avenue	5,000
	Flexible Tech Assistance, FT12201 - Super Nova 330 - FTC	1,906
	Flexible Tech Assistance, FT12235-OneCity-111 8th-FTC	9,005
	Flexible Tech Assistance, FT12240-RXR Realty-530 5th-FTC	9,783
	Flexible Tech Assistance, FT12251 - Macklowe - FTC	8,478
	Flexible Tech Assistance, FT12269 - 1211 6th - FTC	1,505
	Flexible Tech Assistance, FT12284 - 2 Penn Plaza - FTC	2,600
	NYCH: Technical Assistance, FT13091 - 470 Park S - FTC	3,375
	NYCH: Technical Assistance, FT13138 - 158 W 27th - FTC	9,500
	NYCH: Technical Assistance, FT13209 - 25 East 78th - FTC	5,000
	REV Campus Challenge, FT13058 - 7 East 12th - FTC	21,745
	Technical Services, FT13056 - 1140 AOA - FTC	5,500
	Technical Services, FT13057 - 200 W 41st - FTC	6,000
	Technical Services, FT13062 - 175 Varick - FTC	5,830
	Technical Services, FT13064 - 275 7th - FTC	4,106
	Technical Services, FT13069 - 381 Park - FTC	4,595
	Technical Services, FT13078 - 145 W 57th - FTC	9,238
	Technical Services, FT13079 - 101 W. End - FTC	11,580
	Technical Services, FT13081 - 21 West End - FTC	5,580
	Technical Services, FT13090 - 158-15 Liberty - FTC	9,500
	Technical Services, FT13092 - 119 W. 57th - FTC	10,916
Technical Services, FT13093 - Kestrel - FTC	5,450	
Technical Services, FT13107 - 51 Astor Place - FTC	12,045	
Technical Services, FT13152 - 170 E 83rd - FTC	4,313	
Technical Services, FT13153 - 70 Little West - FTC	4,813	
Cogeneration Contractors, Inc.	COMBINED HEAT AND POWER, CHPA - 1 North 4th Place	115,500
	Combined Heat and Power, CHPA - 626 Flatbush	51,480
	COMBINED HEAT AND POWER, CHPA - Fresh Direct	459,000

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Contractor	Contract Description	Total Expended Amount
Cogeneration Contractors, Inc.	Combined Heat and Power, CHPA - Fresh Meadows	230,175
	COMBINED HEAT AND POWER, CHPA - Morris Avenue Apartment	39,780
	COMBINED HEAT AND POWER, CHPA - Riu Hotel New York	186,469
	COMBINED HEAT AND POWER, CHPA - Riu Hotel Times Square	78,897
	COMBINED HEAT AND POWER, CHPA - Village East Towers	76,577
Cohen Ventures Inc	Air Source Heat Pumps, TWO1 Prod & Appliance Standard	39,577
	Product Standards, TWO2 Emissions Appliance Stand	77,073
Cold Spring Harbor Laboratory	RM41 - Cold Spring Harbor Lab	11,625
Columbia University	Environmental Research, TWO#1 Updating CLIMAID	86,772
	OTHER PROGRAM AREA, On-Site Power	54,994
Combined Energies LLC	Cleantech Ignition, PON 3871 Ignition Grants	22,500
	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat B	40,428
Common Energy LLC	LMI Community Solar, RFP3802 Low Income Comm Solar	117,916
CON EDISON SOLUTIONS, INC.	<200KW PV, NY-Sun	323,280
	>200KW PV, PON 2112 NY SUN	119,556
Consensus Building Institute, Inc.	CI Engy Siting & Soft Cost Red, TWO #2 A-TWG Facilitator	10,330
	Environmental Research, TWO #1 -Facilitator	43,271
	REC:CES REC System Dev Costs, TWO #2 A-TWG Facilitator	1,292
Convoy Solutions	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	20,000
Corelogic, Inc.	Informat. Products & Brokering, RFQL 3711 CoreLogic Bldg Data	44,100
Cornell Cooperative Ext. Dutchess County	Community Energy Engagement, CEEP Mid-Hudson Region (CCEDC)	38,636
	OTHER PROGRAM AREA, CEEP Mid-Hudson Region (CCEDC)	45,193
Cornell Cooperative Extension - Tompkins	Community Energy Engagement, CEEP Central New York (CETC)	73,931
	Community Energy Engagement, CEEP North Country	14,267
	Community Energy Engagement, CEEP Southern Tier Region (CCE	55,271
	OTHER PROGRAM AREA, CEEP North Country	6,142
	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	32,000
Cornell Cooperative Extension of Sch..	Community RH&C, CH&C Communities Round 3	21,534
Cornell University	70333 TWO 32	0
	>200KW PV, NY Sun	114,620
	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	22,800
	Environmental Research, AQHE PON 3921	30,978
	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	0
	OTHER PROGRAM AREA, 70333 TWO 32	209,754
Cortex Building Intelligence, Inc.	Real Time Enrgy Management, CBI - 1 Court Square - RTEM	391,250
	Real Time Enrgy Management, CBI - 140 E 45th St - RTEM	14,007
	Real Time Enrgy Management, CBI - 529 5th Ave - RTEM	5,460
	Real Time Enrgy Management, CBI - 600 Madison Ave - RTEM	5,210
	Real Time Enrgy Management, CBI-1285 Ave of Americas-RTEM	16,079
	Real Time Enrgy Management, Cortex - 1400 Broadway - RTEM	262,590
Council Rock Enterprises	Talent Pipeline:CE and OJT, OJT HIRE	8,192
County of Chenango	Clean Energy Communities, CEC011260-Chen Cnty	111,750
CRE Spruce Haven LLC	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	32,263
	NEW CONSTRUCTION PROGRAM, RPS CST ADG-to-Electricity Dai	32,263
Cream Street Solar, LLC	>200KW PV, NY Sun	709,560
	NY-SUN, NY Sun	212,868
Crest Solar LLC	<200KW PV, PON 2112 NY SUN	8,750
CrystalCreek Organics Inc.	OTHER PROGRAM AREA, Trial to enhance anaerobic dig	19,500

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Contractor	Contract Description	Total Expended Amount
CSA Parma Solar 1, LLC	>200KW PV, NY Sun C/I	263,908
CubeSmart TRS Inc	>200KW PV, NY-Sun	39,960
CUCS Housing Development Fund Co..	Multifam New Construction, MFNCP PHI T3-CUCS W 127 St	44,900
curbFlow Inc	Pub Transit & Elect Rail, Terminal Frontage Management	72,110
Custom Electronics, Inc.,	CLEAN TRANSPORTATION, Commercial intro of GEC	0
Cutone & Company Consultants, LLC	Commercial Real Estate Ten, LC Associates - 123 William St	11,665
	Commercial Real Estate Ten, LCA - 40 Wall Street Fl 46	10,468
	Commercial Real Estate Ten, LCA - 200 Lexington Ave - CT	12,093
	Commercial Real Estate Ten, LCA-315 Park Avenue South-CTP	10,468
Dagmy Motors Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	41,670
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,152
	Talent Pipeline:CE and OJT, OJT HIRE	0
DALY 180 Housing Fund Development..	Multifam Performance Pgm, Multifamily	16,800
Dandelion Energy Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	39,410
	Talent Pipeline:CE and OJT, OJT HIRE	0
Dash Markets Inc	Commercial New Construc, SF106913 - Dashes Market	32,326
Dattner Architects D.P.C	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	75,000
David Homes, Inc.	New Construction Housing, 2019 LRNCP	16,150
Dayton T. Brown, Inc.	Pub Transit & Elect Rail, Subway energy use analysis	11,493
DealCloud Inc.	NEW YORK GREEN BANK, DealCloud Licensing	2,585
DeChantal Apartments, Inc.	Multifam Performance Pgm, Multifamily	21,550
Delaware River Solar, LLC	>200KW PV, NY Sun C&I	385,091
	>200KW PV, NY Sun CI Assignment	201,032
	>200KW PV, NY-Sun C&I	722,555
	>200KW PV, NY-Sun CI Assignment	82,663
Delta Connects, Inc.	Real Time Enrgy Management, Delta - 148 W 90 St - RTEM	2,334
Delta Dental of New York	NYSERDA ADMINISTRATION, Delta Dental Premiums 2020-202	149,900
DEMCO New York Corp.	Talent Pipeline:CE and OJT, OJT HIRE	6,690
Dewberry Consultants LLC	ENVIRONMENTAL RESEARCH, East Hampton resiliency	58,308
Dewberry Engineers Inc	Environmental Research, Transportation Climate ADP	34,798
Digital Energy Corp	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	8,000
Digital Realty Trust	Industrial Process Effic, Industrial Process Efficiency	62,517
DiLernia Marine Services, Inc	OREC: Technical Support, OSW Fisheries Liaison	58,885
Dillon Klepetar	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	10,089
Dimien Inc.	Energy Storage Tech/Prod Dev, zVO pouch cell proof concept	42,500
Dimitri House, Inc.	New Construction Housing, 2019 LRNCP	6,000
DNV Energy Insights USA Inc.	Campus/Technical Assistance, RFQ 3183 KEMA, Inc	1,619
	Clean Energy Communities, TWO 9 - CEC	45,023
	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	15,097
	Community RH&C, RFQ 3183 KEMA, Inc	1,237
	ENERGY ANALYSIS, TWO#1 OSW Resource Planning	517,033
	EVALUATION, TWO 7 - T&MD 2014-18 Impact Ev	15,011
	Geothermal Incentive Program, RFQ 3183 KEMA, Inc	9,130
	K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	16,369
	Off-Shore Wind Pre-Dev Act, RFP3855 Cat2 DMAC Float. LiDar	81,950
	OREC: Technical Support, TWO#1 OSW Resource Planning	182,130
	Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	0
	Renewable Heat NY, RFQ 3183 KEMA, Inc	3,154

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Contractor	Contract Description	Total Expended Amount
DNV Energy Insights USA Inc.	REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	18,466
DNV GL Energy USA, Inc.	Environmental Research, PV Solar Site Design- PON 4270	85,680
	High Performing Grid, Backfeed Control Testing	48,000
Do-It-With Inc.	>200KW PV, PON 2112 NY SUN	31,658
	Talent Pipeline:CE and OJT, OJT HIRE	11,539
Doherty Electric, LLC	<200KW PV, PON 2112 NY SUN	46,020
Dollaride, Inc.	Pub Transit & Elect Rail, Tech-enabled dollar vans	85,490
Dolomite Products Group, Inc.	Industrial Process Effic, Industrial & Agriculture	57,714
DRYDEN-TOMPKINS SOLAR I LLC	>200KW PV, NY-Sun C&I	2,612,959
Dual Fuel Corp	Real Time Enrgy Management, DF - 19 E 4th Street - RTEM	5,100
	Real Time Enrgy Management, DF - 450 W 147th Street - RTEM	32,850
	Real Time Enrgy Management, DF - 4526 44th Street - RTEM	28,859
	Real Time Enrgy Management, DF- 819 E 173 St - RTEM	41,400
	Real Time Enrgy Management, Dual Fuel-51Cross-RTEM	6,900
	Real Time Enrgy Management, Dual Fuel-531ELincoln-RTEM	13,800
	Real Time Enrgy Management, Dual Fuel-Multisite-RTEM	11,400
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	143,750
Dynamic Energy Solutions, LLC	>200KW PV, NY Sun	485,413
	>200KW PV, NY-Sun C&I	42,941
E-Mobility Market Services, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Eagle Creek Hydro Power LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	52,350
Eagle's Nest Housing Development	Multifam Performance Pgm, Multifamily	6,000
EagleHawk One, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	15,000
Earth Environmental Group, LLC	RENEWABLE THERMAL, Solar Thermal Incentives	26,481
	RENEWABLE THERMAL, ST Incentive Program	13,241
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	826,087
East Fishkill Solar LLC	>200KW PV, NY Sun	155,327
Eastern Research Group, Inc.	ENERGY ANALYSIS, TWO #1 CLCPA GHG	150,846
	Environmental Research, Environmental Outreach	31,548
	Environmental Research, TWO #2 Coordinator Assessment	24,432
Eco Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	5,440
	Talent Pipeline:CE and OJT, OJT HIRE	-2,209
Ecogy Croton Community Solar LLC	>200KW PV, NY-Sun	151,088
Ecogy New York VIII LLC	>200KW PV, NY-Sun	132,720
Ecoelectro Inc	Energy Storage Tech/Prod Dev, Modular Ultra-Stable Alkaline	25,340
Ecology & Environment, Inc.	Environmental Research, ENV & Fisheries Rsrch for OSW	1,886
	Environmental Research, Owner's Engineering	350,731
Ecology and Environment Engineering	Clean Energy Communities, TA Community Support Services	165,650
	Commercial Imp Assist, Commercial Market Engagement	0
	Environmental Research, TWO #20 G&G Survey	19,594
	Flexible Tech Assistance, Commercial Market Engagement	0
	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	7,016
	OREC: Technical Support, TWO#19 SEIS for CLCPA	39,647
	REC:CES REC System Dev Costs, TWO#19 SEIS for CLCPA	16,991
	REV Campus Challenge, Commercial Market Engagement	0
EcoMarkets LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	25,800
Ecosave, Inc.	Real Time Enrgy Management, Ecosave-334 Amsterdam Ave-RTEM	173,176
Edison Energy, LLC	NYCH: Technical Assistance, FT13141 - 55 John - FTC	10,245

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Contractor	Contract Description	Total Expended Amount
Edison Energy, LLC	Technical Services, Indoor Air Quality TWO -Edison	170,655
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	166,001
	<200KW PV, PON 2112 NY SUN	63,201
	NY-SUN, NY-Sun	110,667
Ekostinger, Inc.	76 West, 76 West Energy Bus Competition	100,000
	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	185,000
	OTHER PROGRAM AREA, 76 West Energy Bus Competition	0
Electric Power Research Institute	DER Integration(Intrcnct), PON 3404 DER Integration	139,920
	DER Integration(Intrcnct), PON4094 DER Interconnection	29,000
	High Performing Grid, 3265_EPRI	48,500
	High Performing Grid, "Learning" Smart Inverters	37,207
	High Performing Grid, PON 3397 CAT D	40,300
	High Performing Grid, PON 3397 Round 2 - Category A	397,000
	High Performing Grid, PON 3397 Round 2 - Category D	175,000
	High Performing Grid, PON 3770	52,436
	High Performing Grid, PON4128 Future Grid Challenge	10,975
	High Performing Grid, RFP3265 Umbrella Contract	123,237
	High Performing Grid, Smart Inverter Setting Guide	269,977
Electrical Distribution Design, Inc.	DER Integration(Intrcnct), PON 3404 DER Integration	47,750
	High Performing Grid, Solar, Load, Outage Forecast	80,935
Electrification Coalition Foundation	Electric Vehicles - Innovation, Task Work Order No. 1	3,247
Elisa Miller-Out	Innovation Advisors, RFP 3859	82,184
Elmwood East Solar 1, LLC	>200KW PV, NY-Sun C&I	105,091
ELP Greenport Solar LLC	>200KW PV, NY Sun	668,000
ELP Kinderhook Solar LLC	>200KW PV, NY Sun	748,800
ELP Saugerties Solar LLC	>200KW PV, NY Sun	899,262
	NY-SUN, NY Sun	149,877
EMCOR Services Betlem	Flexible Tech Assistance, FT12084 - Gleason Works - FTC	1,817
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,672
	Talent Pipeline:CE and OJT, OJT HIRE	0
	Technical Services, Indoor Air Quality TWO - Emcor	31,243
EME Consulting Engineering Group, LLC	Commercial Real Estate Ten, SA.052_TWO #9 - EP&E	22,135
	Commercial Real Estate Ten, Staff Augmentation Services	92,673
	EXISTING FACILITIES, SA.052_TWO #9 - EP&E	0
	EXISTING FACILITIES, Staff Augmentation Services	0
	Flexible Tech Assistance, FT12080-NYU Langone Bkyn-FTC	23,576
	Flexible Tech Assistance, Staff Augmentation Services	157,906
	Home Perf w Energy Star, Staff Augmentation Services	48,486
	Industrial Process Effic, Staff Augmentation Services	69,858
	INDUSTRIAL PROCESS EFFICIENCY, Staff Augmentation Services	0
	K-12 SCHOOLS, SA.052_TWO #9 - EP&E	44,562
	New Construction Housing, SA.038A_TWO #7 - New Con	125,328
	New Construction- Commercial, SA.038A_TWO #7 - New Con	0
	NY-SUN, Staff Augmentation Services	0
	NYCH: Technical Assistance, Westchester Tech Services	14,975
	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	91,420
	Renewable Heat NY, Staff Augmentation Services	12,113
	Retrofit NY, SA.057_TWO #11 - Multifamily	73,084

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Contractor	Contract Description	Total Expended Amount	
EME Consulting Engineering Group, LLC	REV Campus Challenge, SA.036c_TWO #8 - EP&E	49,681	
	REV Campus Challenge, SA.052_TWO #9 - EP&E	22,181	
	REV Campus Challenge, Staff Augmentation Services	23,910	
	Staff Augmentation Services	60,532	
	Strategic Energy Manager, Staff Augmentation Services	21,654	
	Technical Services, FT13061 - NYU Langone - FTC	120,142	
	Technical Services, SA.036c_TWO #8 - EP&E	49,681	
	Technical Services, SA.052_TWO #9 - EP&E	17,915	
	Technical Services, Staff Augmentation Services	0	
	Technical Services, Westchester Tech Services	2,775	
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	103,740	
Empower CES, LLC	>200KW PV, PON 2112 NY SUN	60,500	
	ENERGY STORAGE, PON 2112 NY SUN	53,375	
Empower Equity Inc	Talent Pipeline:CE and OJT, OJT HIRE	4,453	
Encompass Energy LLC	New Construction- Commercial, Commercial New Construction	17,729	
ENER-G Rudox, LLC	Combined Heat and Power, CHPA - The Rector	112,646	
Enercon Services Inc	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Consultat..	7,462	
Energetic Insurance, Inc.	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	75,000	
Energy & Resource Solutions, Inc.	Air Source Heat Pumps, TWO 6 - Performance Monitoring	181,369	
	Campus/Technical Assistance, Concierge Services - ERS - TWO	396	
	Combined Heat and Power, RFP 3643 Tech To Market	90,373	
	Combined Heat and Power, TWO 1 On Site Res Power	41,795	
	Commercial New Construc, New Construction	0	
	Commercial Real Estate Ten, Efficiency Planning & Engineer	6,793	
	Commercial Real Estate Ten, TWO 5 CEF Comm Impact_ERS	65,502	
	Electric Vehicles - Innovation, Concierge Services - ERS - TWO	198	
	EVALUATION, TWO 3 - GJGNY Audit Only Study	3,508	
	EVALUATION, TWO 6 - Performance Monitoring	40,304	
	Geothermal Incentive Program, TWO 6 - Performance Monitoring	181,369	
	Industrial Process Effic, Concierge Services - ERS - TWO	198	
	Industrial Process Effic, Industrial & Agriculture	0	
	Industrial Process Effic, Technical Review and Program S	18,460	
	K-12 SCHOOLS, Efficiency Planning & Engineer	0	
	K-12 SCHOOLS, TWO 5 CEF Comm Impact_ERS	77	
	Multifam Performance Pgm, Concierge Services - ERS - TWO	198	
	NYCH: Technical Assistance, Westchester Tech Services	6,094	
	On-Site Energy Manager, Concierge Services - ERS - TWO	198	
	On-Site Energy Manager, Industrial & Agriculture	25,745	
	Real Time Enrgy Management, Concierge Services - ERS - TWO	396	
	Real Time Enrgy Management, TWO 5 CEF Comm Impact_ERS	0	
	REV Campus Challenge, Efficiency Planning & Engineer	40,937	
	REV Campus Challenge, TWO 5 CEF Comm Impact_ERS	43,244	
	Strategic Energy Manager, Industrial & Agriculture	0	
	Technical Services, Cannabis - TWO - ERS	2,697	
	Technical Services, Concierge Services - ERS - TWO	396	
	Technical Services, Efficiency Planning & Engineer	3,008	
	Technical Services, Westchester Tech Services	-6,094	
	Energy and Environmental Economics	CEF Review BC Analysis, TWO#25 BCA Technical Support	50,000

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Contractor	Contract Description	Total Expended Amount
Energy and Environmental Economics Inc.	Community RH&C, TWO 18 for Phase 2 Analysis	235
	Electric Vehicles - Innovation, TWO#24 REV for CTR Grid Impact	31,704
	ENERGY ANALYSIS, TWO#21 - NG Avoided Cost Tool	12,044
	ENERGY ANALYSIS, TWO#22 Bldg. Elec. Roadmap	56,260
	ENERGY ANALYSIS, TWO#23 CLCPA Techno-Economic	451,438
	Grid Emissions Whitepaper, TWO#26 Grid Emission Factors	93,536
	Mkt Char: Tech Assist, TWO 13 - VDER Phase 2	2,302
	NYCH: Roadmap, TWO#22 Bldg. Elec. Roadmap	119,041
	OTHER PROGRAM AREA, TWO#22 Bldg. Elec. Roadmap	123,663
Energy Conservation & Supply, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	12,000
Energy Improvement Corporation	Community RH&C, PON3723 RH&C Campaigns	66,000
Energy Management Solutions, LLC	Talent Pipeline:CE and OJT, OJT HIRE	1,867
Energy Power investment Company, L..	LARGE SCALE RENEWABLES, Large-Scale Renewables	230,452
Energy Technology Savings, Inc.	Real Time Enrgy Management, Energy Tech-131 Varick St-RTEM	311
	Real Time Enrgy Management, Energy Tech-260 Kent Avenue	4,950
	Real Time Enrgy Management, Energy Tech-325 Kent Ave-RTEM	4,950
	Real Time Enrgy Management, EnergyTech-Mercedes House-RTEM	6,370
	Real Time Enrgy Management, ETS - 90 Washington St - RTEM	1,080
	Real Time Enrgy Management, ETS - Moinian Sky - RTEM	4,320
	Real Time Enrgy Management, ETS-90-15 Queens-RTEM	150,177
	Real Time Enrgy Management, ETS-825-875Boynnton-RTEM	40,650
	Real Time Enrgy Management, Two Trees-60 Water St-RTEM	2,766
Energy Vision	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	2,000
Enertiv Inc.	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	420,000
	Real Time Enrgy Management, Enertiv - Multisite - RTEM	7,400
ENGIE North America Inc.	<200KW PV, PON 2112 NY SUN	250,614
Enica Engineering, PLLC	NYCH: Technical Assistance, FT13147 - NYPH Manhattan - FTC	24,863
Ensave, Inc.	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	34,719
	Agriculture Energy Eff Pgm, AEEP Implementation Contractor	0
	AGRICULTURE ENERGY EFFICIENCY, AEEP Implementation Contractor	0
	Technical Services, AEEP Implementation Contractor	150,608
	Technical Services, Agricultural Best Practices	12,743
Enterprise Community Partners, Inc.	NY-SUN, Enterprise Solar Community	30,000
EnterSolar LLC	>200KW PV, NY Sun	141,823
	>200KW PV, NY-Sun C/I	85,289
Environmental Defense Fund	Commercial Real Estate Ten, Support_NYC Carbon Challenge	6,253
Equinix Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	128,300
Erdman Anthony & Associates, Inc.	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUmbrella	1,690
	Commercial New Construc, RFP3771 Umbrella Contract	13,969
	Industrial Process Effic, Technical Review and Program S	887
	NYSERDA ADMINISTRATION, Building 17 FlexTech Study TWO	13,325
	Technical Services, AEAP	640
Erie Boulevard Hydropower LP	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	3,143
	LARGE SCALE RENEWABLES, School Street Hydro Project	85,296
	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	107,410
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	13,313
	REC:CES REC Contracts, 11th Main Tier Solicitation	28,716
Erie County	CLEANER GREENER COMMUNITIES, CGC - Erie County	5,500

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Contractor	Contract Description	Total Expended Amount
ESS Group, Inc.	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	2,195
Essense Partners Inc.	Electric Vehicles - Innovation, Marketing Support for NYSERDA	77,685
	OTHER PROGRAM AREA, Marketing Support for NYSERDA	56,066
Essex County Government Center	CLEANER GREENER COMMUNITIES, CGC31777 - Essex County	48,456
Extraterrestrial Materials Inc.	<200KW PV, PON 2112 NY SUN	91,447
Faraday, Inc.	Community RH&C, RFP3761 Customer Targeting Too	101,000
	Informat. Products & Brokering, RFP3761 Customer Targeting Too	0
FFP NY Guilderland Project1, LLC	>200KW PV, NY-Sun C&I	109,745
FFP NY Schaghticoke Project1, LLC	>200KW PV, NY-Sun C&I Payee Assignment	119,203
FFP NY Schenectady Project1, LLC	>200KW PV, NY-Sun C&I Assignment	110,431
FFP NY Watertown Project1, LLC	>200KW PV, NY-Sun C&I Assignment	111,309
Finger Lakes United Cerebral Palsy, Inc	New Construction Housing, 2019 LRNCP	30,000
Fingerlakes Renewables	<200KW PV, PON 2112 NY SUN	6,720
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management	88,114
First Jamaica Community & Urban	Buildings of Excellence, Buildings of Excellence R1	200,000
Flight Center Hotel, LLC	Commercial New Construc, NCP16002 - TWA Hotel	75,000
Florenton River LLC	<200KW PV, PON 2112 NY SUN	22,289
	>200KW PV, PON 2112 NY SUN	26,386
Foam It Insulation, LLC	Talent Pipeline:CE and OJT, OJT HIRE	14,280
Ford Motor Company	Industrial Process Effic, Industrial Process Efficiency	38,569
Fordham University	Campus/Technical Assistance, Clean Heating & Cooling	32,378
	Flexible Tech Assistance, Efficiency Planning & Engineer	-32,378
	Fuel Cells, Fuel Cell Incentive - FC-013	144,375
Fort Hill Development Fund Company,..	Multifam Performance Pgm, Multifamily	11,400
Four Points Group, Inc.	OTHER PROGRAM AREA, RFQL 3685 R2	47,596
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	8,750
Fran Corp	>200KW PV, NY-Sun C&I	367,393
Fred F. Collis & Sons, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	50,560
	Talent Pipeline:CE and OJT, OJT HIRE	12,446
Frederick Douglass I 2017, LLC	Multifam Performance Pgm, Multifamily	28,275
Fresenius KabiUSA, LLC	On-Site Energy Manager, OsEM44-I Fresenius KabiUSA	25,164
Frontier Energy, Inc.	ANAEROBIC DIGESTER, ADG - Frontier - TWO	1,311
	Campus/Technical Assistance, Technical Review_Prgm Support	10,156
	Combined Heat and Power, ADG - Frontier - TWO	1,311
	COMBINED HEAT AND POWER, DG Integrated Data System	361,614
	COMBINED HEAT AND POWER, Technical Review_Prgm Support	39,679
	Community RH&C, Technical Review_Prgm Support	2,038
	ENERGY ANALYSIS, TWO - Heat Pump Analysis	12,841
	ESTOR: Implementation Support, TWO 1 Cat 2 Energy Storage	19,196
	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	60,515
	EVALUATION, Technical Review_Prgm Support	948
	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	85,643
	Geothermal Incentive Program, Technical Review_Prgm Support	4,292
	Industrial Process Effic, IPE16229	50
	Industrial Process Effic, IPE16254	154
	Industrial Process Effic, Technical Review_Prgm Support	11,776
FS Energy, LLC	Workforce Industry Partnership, PON 3442 Workforce Training	7,494
Fund for Public Housing, Inc.	NY-SUN, Affordable Solar NYCHA ACCESSo	22,019

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Fusco Personnel, Inc.	Multifam Performance Pgm, TS.002_Multifamily Coordinator	431
	REC:CES REC System Dev Costs, TS.007/TS.016 - Office Adm LSR	27,816
	Retrofit NY, TS.002_Multifamily Coordinator	431
Fusion Energy Services LLC	<200KW PV, PON 2112 NY SUN	53,186
Gaia Sharbel Energy Contracting	Renewable Heat NY, Gaia Sharbel Energy Contractin	7,000
Gardline Marine Sciences Inc	Environmental Research, G&G Investigation for OSW	1,578,921
Garnet Solar Partners LLC	>200KW PV, Commercial/Industrial PV	169,675
Gas Technology Institute	NYCH: Innovation, PON3519 Round 1.	7,617
GBA Commissioning Services, Inc	Technical Services, FT13305 - 11 West 53rd - FTC	40,046
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce	699,630
GDS Associates, Inc.	Technical Services, Agricultural Best Practices	33,551
Geatain Engineering PLLC	Commercial Real Estate Ten, GE - 1916 Park Avenue	5,000
	Commercial Real Estate Ten, Geatain-400 Fifth Ave	5,000
	Commercial Real Estate Ten, Geatain-481 Eighth Ave	5,000
GenE Solar I LLC	>200KW PV, NY-Sun C&I	101,801
General Electric Co. Global Research	On-Site Energy Manager, OsEM23- GE Global Research Cen	58,900
General Electric Company	Natl OffShWind R&D Consortium, Natl Offshore Wind R&D	36,775
	Natl Offshore Wind R&D	36,775
General Electric International Inc	>200KW PV, Commercial/Industrial PV	270,256
	>200KW PV, NY-Sun CI	80,119
Generate Buffalo Digester LLC	REC:CES REC Contracts, 8th RPS Main Tier Solicitation	189,360
Generate NY Community Solar I, LLC	>200KW PV, NY-Sun C&I	576,278
Generate NY Community Solar Lessor II, L	>200KW PV, NY Sun	373,221
	>200KW PV, NY Sun Assignment	138,823
	>200KW PV, NY Sun C&I	297,297
	>200KW PV, NY Sun CI Assignment	287,558
	>200KW PV, NY-Sun C&I Assignment	262,185
	>200KW PV, NY-Sun Full/Payee Assignment	191,875
Generate NY Community Solar Lessor III,	>200KW PV, NY-Sun C&I	466,338
	>200KW PV, NY-Sun CI Assignment	722,555
Generate NY Solar Community Lessor..	>200KW PV, NY Sun	327,474
Geotherm Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	19,815
	Talent Pipeline:CE and OJT, OJT HIRE	5,835
GES MEGAELEVEN, LLC	>200KW PV, NY Sun	155,756
GF55 Architects LLP	Buildings of Excellence, BoE Rnd 1 - Design Team Incent	50,000
Gladstein, Neandross & Associates, L..	Electric Vehicles - Innovation, DCFC Permitting Study	2,899
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, G&C Associates - 280 Park Ave	5,000
	Commercial Real Estate Ten, GCA - 111 W 33rd 14th Fl	5,998
	Commercial Real Estate Ten, GCA-SLGreen-MultiSites(25)-CTP	66,490
	Commercial Real Estate Ten, Goldman&Copeland-600 Madison	9,000
	Technical Services, AGG1006 - GoCo - Portfolio 3	38,250
	Technical Services, FT13006 - 1290 AoA - FTC	9,993
	Technical Services, FT13012 - 280 Park - FTC	23,984
	Technical Services, FT13017 - 510 5th Avenue - FTC	2,363
	Technical Services, FT13041 - 1071 5th - FTC	13,859
	Technical Services, FT13043 - 245 Park - FTC	4,148
	Technical Services, FT13046 - 630 Second - FTC	2,001
	Technical Services, FT13052 - 395 Hudson - FTC	9,967

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Goldman Copeland Associates, P.C.	Technical Services, FT13073 - 888 7th Ave - FTC	1,206
	Technical Services, FT13074 - 909 3rd Ave - FTC	1,177
	Technical Services, FT13075 - 595 Madison Ave -FTC	648
	Technical Services, FT13086 - 520 8th Ave - FTC	8,892
	Technical Services, Indoor Air Quality TWO - Gold.	113,365
Gotham 360 LLC	Remote Energy Management, RFP 3683 REM Program	159,375
Goya Foods, Inc.	>200KW PV, NY Sun	63,482
Grabinski Solar LLC	>200KW PV, NY Sun	260,599
Graphenix Development Inc.	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	315,000
	Cleantech Ignition, PON 3871 Ignition Grants	52,000
GRE Fund III Holdco LLC	>200KW PV, NY Sun C/I	110,583
Gree Mechanical Services USA Corp	NYCH: Talent Ppln:CE and OJT, OJT HIRE	2,560
Green City Force	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	270
Green Eagle Solar II, LLC	>200KW PV, NY-Sun C/I	272,784
	>200KW PV, NY-Sun C&I	275,504
Green Eagle Solar IV, LLC Series I	LMI Community Solar, RFP3802 Low Income Comm Solar	101,962
Green Eagle Solar VI, LLC	>200KW PV, NY-Sun C&I	2,208,748
Green Hybrid Energy Solutions Inc.	<200KW PV, PON 2112 NY SUN	6,431
Green Light New York, Inc.	Commercial Real Estate Ten, Energy Efficiency Training TWO	51,244
	Real Time Enrgy Management, Market Engagement Support-RTEM	15,813
Green Street Power Partners LLC	>200KW PV, NY Sun	38,845
	>200KW PV, PON 2112 NY SUN	406,944
Green Team USA, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	18,400
	WORKFORCE DEVELOPMENT, OJT HIRE	35,105
	WORKFORCE DEVELOPMENT, OJT HIRE DAVID WHITE	355
GreenLogic, LLC	ENERGY STORAGE, PON 2112 NY SUN	12,500
Greenmount Lane Solar 1, LLC	>200KW PV, NY-Sun C&I	125,406
Greenpac Holding LLC	CI Carbon Challenge, C&I Carbon Challenge	1,664,049
Greenville NY 1, LLC	>200KW PV, NY-Sun C/I	131,562
Grid City Electric Corp	>200KW PV, PON 2112 NY SUN	29,568
Group-S LLC	Flexible Tech Assistance, FT12280 - 3611 14th - FTC	15,500
GSPP SP 1 55-30 58th St., LLC	>200KW PV, NY-Sun C&I	105,380
GSPP SP 2 Sing Po, LLC	>200KW PV, NY-Sun C&I	58,561
Guidehouse Inc.	Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement	19,882
	ENVIRONMENTAL RESEARCH, TWO 1 - Assessment of Carbon C	3,045
	Environmental Research, TWO #2 Equitable Cooling	54,857
	ENVIRONMENTAL RESEARCH, TWO #3 HFC Mitigation	265,790
	EVALUATION, TWO #4 PM&IP	41,990
	Healthy Homes VB Payment Pilot, TWO 3 NYS Healthy Homes VBP	49,911
	Mkt Char: Tech Assist, Tech Assist, REV Pool	83,544
	NEW YORK GREEN BANK, TWO #1 - Price Forecast	168,062
	NYCH: LMI, TWO 5	266,808
	REV Connect, REV Connect Initiative	369,219
	Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement	19,163
TWO #3 - Natural Gas Price For	15,335	
Guth Deconzo Consulting Engineers	Technical Services, IAQ-Higher Education-Guth TWO	60,130
	Technical Services, Indoor Air Quality TWO - Guth	155,093
GWE Project HoldCo 4, LLC	>200KW PV, NY-Sun C&I	125,989

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Habitat for Humanity - New York City	Multifam Performance Pgm, Multifamily	6,284
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	11,671
Halcyon, Inc.	<200KW PV, PON 2112 NY SUN	5,355
Harris Beach PLLC	Code to Zero, Codes	556
	Code to Zero, Codes, Products and Standards	43
	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel Servi	180
	NYSERDA ADMINISTRATION, RFP 3300 Outside Counsel Servi	114
	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Couns..	6,012
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Counsel ..	758
Harris Wiltshire & Grannis LLP	Code to Zero, Codes to Zero Outside Counsel	512
	NYSERDA ADMINISTRATION, Outside Counsel for Resource A	47,083
	OREC: Technical Support, RFP3776 Outside Counsel Servic	42,355
	REC4:CES REC4 Tech Support, CES 2.0 Support	62,044
	REC:CES REC System Dev Costs, 2020 RES Agreement Support	1,182
	REC:CES REC System Dev Costs, CES 2.0 Support	94,382
Harvest Power, LLC	<200KW PV, NY Sun	6,900
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	5,775
	Talent Pipeline:CE and OJT, OJT HIRE	20,033
Hazen & Sawyer, P.C.	ENVIRONMENTAL RESEARCH, Climate & algal blooms	79,892
Healthy Home Energy & Consulting, I..	Talent Pipeline:CE and OJT, OJT HIRE	9,609
Heat Keepers, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,954
	Talent Pipeline:CE and OJT, OJT HIRE	5,120
Hebrew Home for the Aged at Riverdale	COMBINED HEAT AND POWER, CHP Performance - PON2701	400,000
Helios NY I, LLC	>200KW PV, NY-Sun	107,726
	>200KW PV, NY-Sun C&I	131,052
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	359,264
HEVO Inc.	Electric Vehicles - Innovation, PON 3578 R1 CAT2	160,000
High Falls Operating Co, LLC	Industrial Process Effic, Industrial Process Efficiency	373,699
High Peaks Solar	>200KW PV, Commercial/Industrial Program	53,673
Hobart and William Smith Colleges	>200KW PV, commercial/industrial pv	177,250
	ENVIRONMENTAL RESEARCH, Mercury Dynamics in Finger Lak	94,600
Hodgson Russ LLP	NYSERDA ADMINISTRATION, RFP 3300 & RFP 3776 Outside Co	156
Holland & Knight LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	42,477
Hollingsworth & Vose Company	On-Site Energy Manager, OsEM49-I Hollingsworht & Vose	26,082
Homes for New Yorkers, Inc	Multifam Performance Pgm, Multifamily	83,580
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
Honeywell International Inc.	3695 TWO Umbrella Agreement	56,909
	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	13,499
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO U..	357
	EMPOWER NY, 3695 TWO Umbrella Agreement	67,151
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	422,323
	HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO Umbrella Agre..	0
	RENEWABLE HEAT NY, RHHY Pellet Stove QA Services	5,287
Hope Solar Farm, LLC	>200KW PV, NY Sun C&I	471,237
Houghton College	Technical Services, OSEM28-C - Houghton College	39,085
Housing Visions Consultants, Inc.	Low Rise New Construction, New Construction	24,000
	New Construction Housing, 2019 LRNCP	21,000
Housing Works	Workforce Industry Partnership, PON 3715 Workforce Training	26,107

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Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	115,921
	LARGE SCALE RENEWABLES, Howard Wind Farm	992,635
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	138,311
HUB Controls USA Inc	76 West, 76West Energy Bus Competition	150,000
Hudson River Renewables	<200KW PV, NY-Sun	12,584
	<200KW PV, PON 2112 NY SUN	13,542
Hudson Valley Clean Energy Inc.	<200KW PV, NY-Sun	421,903
	<200KW PV, PON 2112 NY SUN	271,237
	NY-SUN, NY-Sun	201,285
Hudson Valley Community College	REV Campus Challenge, RM26 - Hudson Valley CC	29,976
	Talent Pipeline:CE and OJT, PON3981 Round 3	94,124
Huron Real Estate Associates, LLC	On-Site Energy Manager, OsEM5-I Huron Campus	40,932
Hydronic Specialty Supply	RENEWABLE HEAT NY, Smart Thermal Storage System	30,000
Hyland Facility Associates	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	200,331
HyperGen Inc	NYSERDA ADMINISTRATION, PeopleSoft Support Services	398,380
Hytech Solar Inc	ENERGY STORAGE, PON 2112 NY SUN	6,250
ICF Resources, LLC	ADVANCED ENERGY CODES, ECode Microsite	0
	Air Source Heat Pumps, P12 Clean Energy Screening TWO	1,654
	Campus/Technical Assistance, Natural Gas Constrained Area	91,190
	Campus/Technical Assistance, P12 Clean Energy Screening TWO	6,508
	Code to Zero, ECode Microsite	8,322
	Combined Heat and Power, TWO #5 - RNG Potential	57,364
	ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	24,766
	ENERGY ANALYSIS, Tech Assist, REV Pool	51,697
	ENERGY ANALYSIS, TWO #4 - Statewide NG Study	191,316
	Environmental Research, TWO #5 - RNG Potential	14,341
	Environmental Research, TWO #6 Climate Technical Asst.	27,326
	K-12 SCHOOLS, P12 Clean Energy Screening TWO	1,627
	IGS Ventures, Inc.	>200KW PV, NY Sun
>200KW PV, NY Sun C/I		42,996
IKEA US Retail LLC	Fuel Cells, Fuel Cell Incentive - FC-022	144,375
	Fuel Cells, Fuel Cell Incentive - IKEA 1 B	82,500
Imperial Manor Associates LLC	Multifam Performance Pgm, Multifamily	61,950
In Time of Need, Inc.	NY-SUN, New Gospel Temple Bronx	35,600
Incorporated Village of Roslyn Harbor	CLEANER GREENER COMMUNITIES, Roslyn Harbor	15,000
Industrial Economics, Incorporated	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	159,838
	Code to Zero, TWO 1 StretchtoZero	118,544
	Community Energy Engagement, TWO1 - CEEP Evaluation	86,450
	Electric Vehicles - Innovation, TWO2 - CT Evaluation	9,346
	Electric Vehicles - Rebate, TWO2 - CT Evaluation	18,691
	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	37,586
	Environmental Research, TWO#4 Climate Econ. Impact	22,662
	Eval MCDC LMI, TWO 3 QA Benchmarking Project	26,624
	Eval MCDC: MF Potential Study, TWO 1 EE Supply Curve Analysis	7,586
	EVALUATION, TWO 1 EE Supply Curve Analysis	0
	Mkt Char: Tech Assist, TWO 1 EE Supply Curve Analysis	9,155
	Mkt Char: Tech Assist, TWO 3 Utility Outages Phase II	147,420
	Mkt Char: Tech Assist, TWO #2 Outage Damages	44,415

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Industrial Economics, Incorporated	OTHER PROGRAM AREA, Market Evaluation Dev. Study	9,619
	OTHER PROGRAM AREA, TWO 2 New York State Truck – V	2,822
	Pub Transit & Elect Rail, TWO2 - CT Evaluation	2,205
INF Associates LLC	Commercial Real Estate Ten, INF Associates LLC - Multisite	54,530
	Commercial Real Estate Ten, INF-177 Livingston-Multisite	19,773
	Commercial Real Estate Ten, INF-299 Park Ave-Multisite-CTP	69,815
Infinite Invention	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	120,000
	High Performing Grid, ConnectDER Monitor & Control	89,258
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	18,122
Innovative Energy Systems, LLC	LARGE SCALE RENEWABLES, DANC LFGE	270,036
Institute for Building Technology and Sa	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	90,394
	ESTOR: Implementation Support, TWO 2 Cat 1 Energy Storage	936
	NY-SUN, TWO 4 NYSUN Res NonRes	449,961
InTech Energy, Inc.	Real Time Enrgy Management, InTech-890 Washington Ave-RTEM	7,200
	Real Time Enrgy Management, InTech-6111 Queens Blvd-RTEM	4,950
Integral Building & Design, Inc.	Low Rise New Construction, 2019 LRNCP	10,000
Integrated Energy Service Corp	Real Time Enrgy Management, Integrated- 810 7th Ave - RTEM	6,870
Integrated HVAC Systems and Services	Real Time Enrgy Management, Integrated-401 W 25 ST-RTEM	19,530
IntelliGen Power Systems, LLC	Combined Heat and Power, CHPA - Huron	405,266
Interface Solutions, Inc.	On-Site Energy Manager, OsEM9-I-Interface Preformance	21,109
International Business Machines	CI Carbon Challenge, C&I Carbon Challenge	362,538
International Business Machines,	Industrial Process Effic, Industrial Process Efficiency	33,542
International Electronic Machines Cor..	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	81,338
Interstate Renewable Energy Council, ..	Workforce Industry Partnership, PON 3715 Workforce Training	4,590
Isomedix Operations Inc	<200KW PV, NY-Sun	178,200
Ithaca Neighborhood Housing Service..	On-Site Energy Manager, OsEM45-M - INHS	11,087
J Synergy Green Inc	WORKFORCE DEVELOPMENT, OJT HIRE	34,306
J Synergy Solar LLC	<200KW PV, NY-Sun	6,160
J. Ranck Electric, Inc.	>200KW PV, Commercial/Industrial	68,224
J&A Electrical Construction LLC	<200KW PV, NY-Sun	6,968
	<200KW PV, PON 2112 NY SUN	15,089
Jaros, Baum & Bolles	Commercial Real Estate Ten, JB&B - 1 Pennsylvania Plaza	40,998
	Flexible Tech Assistance, FT12286 - 3 Times Square - FTC	22,250
	Flexible Tech Assistance, FT12287 - 6 MetroTech - FTC	47,358
	NYCH: Technical Assistance, FT13167 - 745 Seventh - FTC	28,258
	Technical Services, FT13001 - NYS Exchange - FTC	22,250
	Technical Services, FT13005 - Grand Concourse -FTC	19,455
	Technical Services, FT13008 - 2501 Grand - FTC	15,975
	Technical Services, FT13054 - 1425 Madison - FTC	27,315
	Technical Services, Indoor Air Quality TWO - JB&B	133,265
Jason Salfi	OTHER PROGRAM AREA, Innovation Advisory Services	4,800
Jasper Van den Munckhof	Retrofit NY, Multifamily	1,650
JC Solutions LLC	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	83,343
	Natl Offshore Wind R&D	83,343
Jefferson County	Clean Energy Communities, CEC711068 - Jefferson County	62,500
JEM ENGINEERING SERVICES	High Performing Grid, PN3770 Model Fault overvoltage	66,167
	High Performing Grid, PON 3397 Round 2 - Category A	93,142
Jericho Rise Wind Farm, LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,648,132

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Contractor	Contract Description	Total Expended Amount
Jill Joseph Tower, LLC	Multifam Performance Pgm, Multifamily	25,400
Joel Bates	Net Zero Energy for Eco Dev, New Construction	150,000
John Siegenthaler	Renewable Heat NY, RFP 3165 Hydronic System Desig	14,161
Jones Lang LaSalle Americas, Inc.	Commercial Real Estate Ten, JLL Americas-Multisite	30,273
	Flexible Tech Assistance, FT12273 - IBM 2455 South - PON	85,979
	On-Site Energy Manager, OsEM25-I - IBM North Castle	36,360
	On-Site Energy Manager, OsEM29-I - IBM Poughkeepsie	49,539
	On-Site Energy Manager, OsEM61-I - IBM Yorktown	3,300
	Real Time Enrgy Management, JLL - Multisite - RTEM	53,820
Jordan Energy and Food Enterprises ..	<200KW PV, PON 2112 NY SUN	8,073
Joseph R Chimera	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	83,385
Joule Assets Inc	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	33,000
JouleSmart Solutions, Inc.	Real Time Enrgy Management, JouleSmar-500 Yonkers Ave-RTEM	14,811
	Real Time Enrgy Management, JouleSmart - MultiSite - RTEM	20,504
Kamtech Restoration Corp	>200KW PV, PON 2112 NY SUN	34,730
Karpman Consulting, LLC	Code to Zero, KARPMAN TWO#1 Training	3,938
Kasselmann Solar LLC	<200KW PV, NY-Sun	51,752
	<200KW PV, PON 2112 NY SUN	146,704
Kawi Energy Group Corp.	Commercial Real Estate Ten, Kawi Energy - Multisite	45,905
	Commercial Real Estate Ten, Kawi Energy Group - Multisite	14,131
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	5,888
	Talent Pipeline:CE and OJT, OJT HIRE	2,836
Kearns & West, Inc.	Consumer Ed and Market Support, TWO 1 - RMAG	44,708
	OREC: Technical Support, TWO 2 Facilitation ORECRFP20	43,964
	OREC: Technical Support, TWO 3 Facilitation ORECRFP20	39,089
Kearsarge Oppenheim LLC	>200KW PV, NY-Sun C/I	174,284
Kelliher Samets Volk	Air Source Heat Pumps, Marketing Support for NYSERDA	53,260
	Code to Zero, TWO 26 Codes Marketing	510
	Commercial Real Estate Ten, Marketing Support for NYSERDA	11,619
	Community RH&C, Marketing Support for NYSERDA	133,151
	Consumer Awareness, KSV TWO 30 Consumer Awareness	526,613
	Consumer Ed and Market Support, Marketing Support for NYSERDA	181,145
	Empire Building Challenge, TWO 35: EBC Strat. Plan	22,270
	ENERGY ANALYSIS, KSVTWO 37: Climate Act Website	18,870
	ESTOR:Consumer Education, KSV TWO 31 Energy Storage	15,344
	Flexible Tech Assistance, Marketing Support for NYSERDA	18,696
	Geothermal Incentive Program, Marketing Support for NYSERDA	133,151
	Home Perf w Energy Star, KSV TWO 32 LMI Website Hub	73,159
	Home Perf w Energy Star, Marketing Support for NYSERDA	38,624
	Industrial Process Effic, TWO 23: Industrial Mktg	30,342
	LMI Community Solar, Marketing Support for NYSERDA	2,419
	Market Tests, TWO 22 Building Labeling Mkt	54,336
	Multifam Performance Pgm, Marketing Support for NYSERDA	82,748
	New Construction Housing, TWO 28 Carbon Neutral Bldgs	53,450
	New Construction- Commercial, TWO 28 Carbon Neutral Bldgs	26,725
	NY-SUN, Marketing Support for NYSERDA	137,620
	NYCH: Consumer Awareness, KSV TWO 34 NYS Clean Heat	392,243
	NYSERDA ADMINISTRATION, KSV TWO 36 Website User Exper	15,768

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Contractor	Contract Description	Total Expended Amount
Kelliher Samets Volk	NYSERDA ADMINISTRATION, TWO 33: Social Media Support	4,760
	On-Site Energy Manager, TWO 23: Industrial Mktg	40,455
	Real Time Enrgy Management, Marketing Support for NYSERDA	26,545
	Real Time Enrgy Management, TWO 23: Industrial Mktg	20,228
	Renewable Heat NY, Marketing Support for NYSERDA	17,753
	Retrofit NY, Marketing Support for NYSERDA	65,816
	Strategic Energy Manager, TWO 23: Industrial Mktg	30,342
	Talent Pipeline:CE and OJT, TWO 21 WFD Talent Pipeline Mkt	23,966
	Talent Pipeline:Internship Pgm, TWO 21 WFD Talent Pipeline Mkt	4,793
	Workforce Industry Partnership, Marketing Support for NYSERDA	33,472
Key Capture Energy, LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	340,313
Kilfrost, Inc.	NYCH: Innovation, PON3519 Round 1	2,324
Kilowatt Engineering, Inc.	Commercial Real Estate Ten, FlexTech Consultant Selection	9,403
	Industrial Process Effic, 2621 Umbrella Contract	812
	Industrial Process Effic, Industrial Process Efficiency	1,389
	Industrial Process Effic, IPE16236	3,620
	Industrial Process Effic, IPE16243	2,233
	Industrial Process Effic, IPE16253	51
	Industrial Process Effic, IPE16255	8,366
	Industrial Process Effic, IPE16256	406
	Industrial Process Effic, IPE16257	203
	Industrial Process Effic, IPE16258	203
	Industrial Process Effic, IPE16260	276
	Industrial Process Effic, IPE16261	485
	Industrial Process Effic, IPE16262	2,822
Industrial Process Effic, IPE16265	6,574	
Kinetic Communities Consulting Corp..	Community RH&C, CH&C Communities Round 3	14,000
Kinetic Services Engineering P.C	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	WORKFORCE DEVELOPMENT, OJT HIRE	0
Kisco River Solar, LLC	>200KW PV, NY-Sun	477,792
L&S Energy Services, Inc.	Campus/Technical Assistance, L&S Technical Review - TWO	1,035
	Campus/Technical Assistance, Umbrella Contract	1,662
	Clean Energy Communities, L&S GJGNY Energy Audits	0
	Combined Heat and Power, Umbrella Contract	8,214
	Commercial New Construc, RFP3771 Umbrella Contract	2,422
	Commercial Real Estate Ten, FlexTech Consultant Selection	18,308
	Flexible Tech Assistance, L&S GJGNY Energy Audits	504,685
	Flexible Tech Assistance, L&S Technical Review - TWO	2,409
	Flexible Tech Assistance, Umbrella Contract	22,794
	FLEXIBLE TECHNICAL ASSISTANCE, Umbrella Contract	0
	GJGNY REVOLVING LOAN FUND, L&S GJGNY Energy Audits	8,155
	Industrial Process Effic, Industrial Process Efficiency	196
	Industrial Process Effic, Umbrella Contract	23,072
	INDUSTRIAL PROCESS EFFICIENCY, Umbrella Contract	0
	K-12 SCHOOLS, L&S Technical Review - TWO	1,056
	On-Site Energy Manager, Umbrella Contract	6,812
	Pay for Performance, L&S Technical Review - TWO	796
	REV Campus Challenge, L&S Technical Review - TWO	382

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Contractor	Contract Description	Total Expended Amount
L&S Energy Services, Inc.	REV Campus Challenge, RM43 - Paul Smith's College	3,628
	REV Campus Challenge, Tech Assistance for Roadmaps	11,464
	Technical Services, FT13133 - 401 S. Salina - FTC	11,503
	Technical Services, L&S Technical Review - TWO	5,592
	Technical Services, Tech Review - OsEM	10,709
L+M Workforce Housing Fund Holdco,...	Multifam Performance Pgm, Multifamily	118,300
LaBella Associates, P.C.	Campus/Technical Assistance, RFP3628FlexTechConsultUmbrella	11,996
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	-11,996
	Geothermal Incentive Program, Large Scale GSHP Rebate	10,381
	Geothermal Incentive Program, Large-Scale GSHP Rebate	135,600
	REV Campus Challenge, Novus PO Assignment	0
	Technical Services, Indoor Air Quality TWO-Labela	169,744
Latham & Watkins LLP	Commercial Real Estate Ten, Latham&Watkins-1271AOA,st3400	22,501
Launch New York, Inc.	Cleantech Incubator, Launch NY ECO Incubator	98,000
Lawrence Avenue Community Partner..	Multifam Performance Pgm, Multifamily	27,400
LC DRives	OTHER PROGRAM AREA, PON 3249 Advanced Clean Energy	4,254
Levitan & Associates, Inc.	OREC: Technical Support, Large-Scale Renewables	128,244
	REC4:CES REC4 Tech Support, CES Solicitation Support	315,991
	REC:CES REC System Dev Costs, CES Solicitation Support	25,743
	REC:CES REC System Dev Costs, Large-Scale Renewables 2020 So	140,456
Libolt & Sons, Inc.	Low Rise New Construction, 2019 LRNCP	31,000
Lifetime Housing Development Corpo..	Low Rise New Construction, 2019 LRNCP	48,000
Light Green Machines LLC	Pub Transit & Elect Rail, Lightweight bus chassis develo	54,052
Little Falls Solar I, LLC	>200KW PV, NY Sun	359,640
Little Falls Solar, LLC	>200KW PV, NY Sun	294,705
Local 32BJ Thomas Shortman Training	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	10,600
	Workforce Industry Partnership, PON 3715 Workforce Training	20,979
Long Island High Technology Incubat..	Cleantech Incubator, PON3413 Clean Energy Incubator	342,500
Long Island Power Authority	NY-SUN, LIPA MOU RGGI Compliance Progr	12,500,000
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	34,290
	ENERGY STORAGE, PON 2112 NY SUN	6,250
LR Wheatfield Solar 1, LLC	>200KW PV, NY-Sun C&I	787,118
Luminate, LLC	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	1,921
	Outside Technical and Eng. Srv	7,136
Luthin Associates, Inc.	REV Campus Challenge, C&I Buildings Outreach	0
	REV Campus Challenge, Efficiency Planning & Engineer	0
M/E Engineering, P.C.	Commercial New Construc, Commercial New Construction	34,443
	Commercial New Construc, New Construction	8,395
	Industrial Process Effic, Technical Review and Program S	1,400
	New Construction- Commercial, Commercial New Construction	150,134
	NYCH: Technical Assistance, Westchester Tech Services	19,775
	REV Campus Challenge, RM30-Cornell University-FTC	47,154
	Technical Services, Westchester Tech Services	-17,713
Magnusson Architecture and Plannin..	Buildings of Excellence, BoE R1 - Design Team Incentive	75,000
Malcarne Contracting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,535
	Talent Pipeline:CE and OJT, OJT HIRE	-2,540
Manifold Robotics, Inc.	High Performing Grid, PON4074 High Perfrm Grid Prgr	95,000
Marathon Solar Farm II, LLC	>200KW PV, NY- Sun C&I	394,485

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Contractor	Contract Description	Total Expended Amount
Marathon Solar Farm, LLC	>200KW PV, NY-Sun C&I	601,692
Marble River Wind Farm LLC	LARGE SCALE RENEWABLES, Marble River Wind Farm	5,095,467
Marsh Hill Energy, LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	809,205
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, Property Liability and Other	0
	NYSERDA ADMINISTRATION, RFP 4301 Insurance	74,603
Martin J. Wolff	Pub Transit & Elect Rail, Magnetic rail propulsion study	42,887
Max Solar Inc	<200KW PV, NY-Sun	11,520
	<200KW PV, PON 2112 NY SUN	27,870
McMahon and Mann Consulting Engineers	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Services WV	23,338
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 2 - Evaluation of Mitigati	1,922
	WEST VALLEY DEVELOPMENT PROGRAM, TWO #6 Engineering Servic..	32,521
Mechanical Solutions, Inc.	NYCH: Innovation, Two Stage Centrifugal Compress	271,000
Meister Consultants Group, Inc.	Commercial Market Mapping, NYSERDA-Utility Collaboration	144
	REV Campus Challenge, Efficiency Planning & Engineer	44,118
	REV Campus Challenge, REV CC - Meister CG	0
	Strategic Energy Manager, REV CC - Meister CG	0
MHANY 2004 HDFC	Multifam Performance Pgm, Multifamily	44,400
Micatu, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	43,599
Michael Robinson	Buildings of Excellence, Buildings of Excellence R1	13,902
Michaels Group Homes, LLC	New Construction Housing, 2019 LRNCP	15,200
	New Construction Housing, 2020 LRNCP	7,600
Michelangelo Preservation LLC	Multifam Performance Pgm, Multifamily	197,600
Micro Nano Technologies	NYCH: Innovation, PON3519 Round 1	30,000
MICROrganic Technologies Inc.	Cleantech Ignition, PON 3871 Ignition Grants	20,000
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYT-VIP	174,545
MIMiC Systems Inc	NYCH: Innovation, NextGen HVAC Innovation	89,945
Minisink Solar 1, LLC	>200KW PV, NY-Sun C&I	189,624
Minisink Solar 2, LLC	>200KW PV, NY-Sun C/I	256,968
MJW Technical Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	21,242
MLG 904 Development MM LLC	Multifam New Construction, New Construction	52,100
Mobileware Inc	Pub Transit & Elect Rail, On-demand commuter carpooling	64,712
Moelis & Company Group LP	NEW YORK GREEN BANK, 3PC raise advisory Services	250,000
Mohawk Garden Apartments, LLC	Multifam Performance Pgm, Multifamily	41,600
Mohawk Valley Economic Developme..	Community Energy Engagement, CEEP Mohawk Valley Region (MVE)	59,036
Molecular Glasses, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	40,000
	OTHER PROGRAM AREA, Technology to Market	10,000
Morgan Stanley	Technical Services, OsEM43-C - Morgan Stanley	48,657
Morgan Stanley Services Holding, LLC	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	37,900
Mount Hope Solar 1, LLC	>200KW PV, NY-Sun C&I	285,550
Mount Sinai Medical Center	Technical Services, OSEM34-C - Mount Sinai West	50,000
	Technical Services, OsEM35 - Mount Sinai St Lukes	50,000
	Technical Services, OsEM-Icahn School of Medicine	50,000
Munson Williams Proctor Arts Institute	Technical Services, OSEM38-C - MWPAI	33,318
MyPower Corp	>200KW PV, NY Sun C&I	823,744
	>200KW PV, NY Sun CI Assignment	221,289
	>200KW PV, NY-Sun	338,665
	>200KW PV, NY-Sun Assignment	189,111
NanoHydroChem	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	27,767

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National Oilheat Research Alliance	NextGen HVAC, NextGen HVAC Innovation	3,564
	NYCH: Innovation, NextGen HVAC Innovation	-3,564
National Renewable Energy Laboratory	Environmental Research, ENV & Fisheries Rsrch for OSW	147,744
	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	428,836
	Natl Offshore Wind R&D	310,381
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, National OSW R&D Concorcium.	402,188
	National OSW R&D Concorcium.	220,028
NESCAUM	ENVIRONMENTAL RESEARCH, 123059 TWO#5	7,064
	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	274,770
	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	86,322
	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assessment	27,753
	ENVIRONMENTAL RESEARCH, TWO #7 LISTOS Air Quality Mode	27,990
	ENVIRONMENTAL RESEARCH, TWO #8 AEROMMA	1,496
	ENVIRONMENTAL RESEARCH, TWO #8 Wood Analytical	36,007
	ENVIRONMENTAL RESEARCH, TWO #9 IDC Techology Transfer	9,627
	OTHER PROGRAM AREA, Tech Assist, REV Pool	0
	OTHER PROGRAM AREA, TWO #6 VOCs on Staten Island	133,633
	Renewable Heat NY, 123059 TWO#5	4,300
	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	3,257
	RENEWABLE HEAT NY, Next Gen Test Methods Research	25,779
	Renewable Heat NY, RFQL3685 Round 1	41,119
	RENEWABLE HEAT NY, Tech Assist, REV Pool	25,718
Net-Zero Development LLC	Buildings of Excellence, Buildings of Excellence R1	187,500
New Energy Nexus New York LLC	Cleantech POCC, Cleantech Accelerator	925,000
New England Waste Services of NY Inc.	LARGE SCALE RENEWABLES, Clinton Co. Landfill	104,733
New Flyer of America, Inc.	CLEAN TRANSPORTATION, NYT-VIP	1,108,258
	CLEAN TRANSPORTATION, NYTVIP	1,847,097
New Water Street Corporation	Technical Services, OsEM56-C-New Water Street Corp	122,263
New York Battery and Energy Storage	Rmve Barriers Dist Enrgy Storg, TWO #4	29,761
New York City Housing Authority	Clean Energy Communities, CEC811010 - City of New York	62,500
New York Power Authority	High Performing Grid, PON 3397 CAT B	310,000
New York Power Authority,	High Performing Grid, PON 3770	407,000
New York Presbyterian Hospital	Industrial Process Effic, Industrial Process Efficiency	0
New York State Foam & Energy LLC	Talent Pipeline:CE and OJT, OJT HIRE	3,300
New York State Marine	CLEAN TRANSPORTATION, NYS Canal Marine Freight	0
New York State Solar Farm Inc.	<200KW PV, NY-Sun	7,219
	<200KW PV, PON 2112 NY SUN	50,869
New York State Weatherization Direct..	Talent Pipeline:CE and OJT, PON3981 Round 3	46,813
New York University	Cleantech Incubator, PON3413 Clean Energy Incubator	570,000
	Technical Services, OsEM55-C - NYU - 370 Jay	30,969
Newport Ventures, Inc.	Code to Zero, Newport TWO #1 Training	33,634
	Code to Zero, TWO2 NYStretch Outreach	7,334
	Code to Zero, TWO3 Energy Code and NYStretch	34,744
Nexamp Inc.	>200KW PV, NY Sun	159,404
Nexant, Inc.	Electric Vehicles - Innovation, TWO #1	143,038
NexRev, LLC	Real Time Enrgy Management, NexRev - Multisite - RTEM	39,960
Next Generation Solar, LLC	<200KW PV, PON 2112 NY SUN	10,920
NextCorps Inc	Cleantech POCC, Cleantech Accelerator	633,000

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Contractor	Contract Description	Total Expended Amount
NextCorps Inc	M-Corps, ACT Prototypes to Mass Prod NY	1,200,000
Nextera Energy Capital Holdings Inc	>200KW PV, SUNY Poly Hoosick Falls 2	387,207
	>200KW PV, SUNY Poly Selkirk 3	353,777
	NY-SUN, NY Sun	427,379
NextEra Energy Capital Holdings, Inc.	>200KW PV, NY-Sun C&I	137,346
Niagara Frontier Transportation Autho..	CLEAN TRANSPORTATION, Integrated Corridor Management	0
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	261,037
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	8,736
Nixon Peabody LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	62,810
NMR Group, Inc.	EVALUATION, RFQ 3183 NMR Group, Inc.	0
	Home Perf w Energy Star, RFQ 3183 NMR Group, Inc.	7,087
	NEW YORK GREEN BANK, RFQ 3183 NMR Group, Inc.	0
Noblehurst Farms, Inc.	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	60,570
NOHMs Technologies, Inc.	Energy Storage Tech/Prod Dev, PON 3585 Round 3 Cat B	114,620
Noresco LLC	Code to Zero, TWO-2 Online Training Class	17,284
	Commercial New Construc, TWO Commercial NC	65,969
	Flexible Tech Assistance, FT12231 - NYPH - Multi - FTC	60,049
	Technical Services, FT13144 - IAQ Multiple - FTC	66,648
Normandeu Associates, Inc.	Environmental Research, Digital Aerial Baseline Survey	15,342
Norstar Solar LLC	>200KW PV, NY-SUN C&I (Assignment)	232,710
North American Passive House Netwo..	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	92,440
North Park Innovations Group, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 3	35,467
Northeast Green Building Consulting, ..	Code to Zero, TWO#1 NYStretch Outreach	18,191
Northeast Projects LLC	Buildings of Excellence, BoE Rnd 1 - Design Team InceR1	1,986
Northeast States for Coordinated Air ..	Environmental Research, NY climate clearinghouse	14,371
Northern Plains Power Technologies	High Performing Grid, PON3770 DER Screening Guide	58,866
Northwell Health, Inc.	Flexible Tech Assistance, FT12013 - Northwell Health	26,280
	Flexible Tech Assistance, FT12208 -N Westchester CHP-PON	17,618
Novel Approaches Solar Applications,..	<200KW PV, PON 2112 NY SUN	42,300
Novus Engineering, P.C.	REV Campus Challenge, FlexTech Consultant Selection	0
NP Environmental LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	14,304
	Talent Pipeline:CE and OJT, OJT HIRE	-2,304
NuWorld Lighting Solutions Inc	WORKFORCE DEVELOPMENT, OJT HIRE	12,030
NY Baldwin I, LLC	>200KW PV, NY-Sun C&I	274,384
NY Baldwin II, LLC	>200KW PV, NY-Sun C&I	321,241
NY BIG FLATS I, LLC	>200KW PV, NY Sun C&I	1,281,677
NY CDG 001 LLC	>200KW PV, NY-Sun	57,828
NY CDG 003 LLC	>200KW PV, NY-Sun	182,490
NY Delaware I, LLC	>200KW PV, NY-Sun C/I	301,239
NY Delaware II, LLC	>200KW PV, NY Sun C&I	206,989
NY Delaware V, LLC	>200KW PV, NY-Sun C&I	287,091
NY Delaware VI, LLC	>200KW PV, NY-Sun C&I	284,440
NY ENFIELD I LLC	>200KW PV, NY-Sun C&I	281,025
NY Horseheads I, LLC	>200KW PV, NY Sun c&I	640,839
NY Horseheads II, LLC	>200KW PV, NY Sun C&I	640,839
NY Mooers I, LLC	>200KW PV, NY-Sun	298,682
NY Mooers II, LLC	>200KW PV, NY-Sun C/I	297,290
NY Mooers III, LLC	>200KW PV, NY-Sun C/I	293,699

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Contractor	Contract Description	Total Expended Amount
NY Newfield IV, LLC	>200KW PV, Assignment Agreement	1,211,332
NY RNM Project1A, LLC	>200KW PV, NY-Sun	243,930
NY RNM Project2, LLC	>200KW PV, NY Sun C/I	221,153
NYC Partnership Housing Dev. Fund Co.	Multifam Performance Pgm, Multifamily MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	167,130 0
NYS Energy Solutions	WORKFORCE DEVELOPMENT, OJT HIRE	20,480
NYS Labor Management Cooperation ..	Talent Pipeline:CE and OJT, PON3981 Round 4	19,020
NYS Office of Information Technology..	NYSERDA ADMINISTRATION, Office 365 - Outstanding Bal.	55,718
NYS Office of Parks, Recreation and	<200KW PV, PON 2112 NY SUN	20,088
NYS OGS	OTHER PROGRAM AREA, Support for finalizing SGEIS	71,615
NYS Olympic Regional Development ..	Industrial Process Effic, Industrial Process Efficiency	15,039
NYSS LLC	<200KW PV, NY-Sun	7,888
NYU Langone Hospitals	Workforce Industry Partnership, WFD for building O&M	188,463
O'Brien & Gere Engineers, Inc.	New Construction- Commercial, Commercial New Construction	29,735
O'Connell Electric Company	<200KW PV, PON 2112 NY SUN	17,514
Oakvale Construction Co. Ltd.	LARGE SCALE RENEWABLES, Black Brook Hydro	10,075
Ocean Tech Services LLC	Off-Shore Wind Pre-Dev Act, RFP 3855 Metocean Cat. 1: FLSS	313,155
Office of the Brooklyn Borough Presid..	Community RH&C, Cap Dist Heat & Cool Smart Cam	103,000
Ogden Cap Properties, LLC	Flexible Tech Assistance, FT11667 - Biltmore Plaza	9,329
OLA Consulting Engineers, P.C.	New Construction- Commercial, Commercial New Construction NYCH: Technical Assistance, Westchester Tech Services Technical Services, Westchester Tech Services	23,415 36,993 -32,255
Old Stage Road Solar 1, LLC	>200KW PV, NY-Sun C&I	148,166
Omni New York LLC	Buildings of Excellence, Buildings of Excellence R1	100,000
Omniafiltra	Industrial Process Effic, Industrial Process Efficiency	191,362
OnForce Solar	>200KW PV, NY Sun NY-SUN, PV System @ Manhattan Beer Dis	345,151 216,601
Opinion Dynamics Corporation	Clean Energy Communities, RFQ3183 Umbrella Agreement Cleantech Startup Growth, RFQ3183 Umbrella Agreement Real Time Enrgy Management, RFQ3183 Umbrella Agreement Remote Energy Management, RFQ3183 Umbrella Agreement	14,077 31,390 124,020 0
Oppenheim Solar South, LLC	>200KW PV, PV System @ SunyPoly	245,941
Optimus Technologies Inc	76 West, 76 West Bus.Energy Comp.	400,000
Orchard Estates Vintage, LLC	Multifam Performance Pgm, Multifamily	60,000
Orion Polymer Corp	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	33,843
Otsego County	CLEANER GREENER COMMUNITIES, CEC610873 - Otsego County Flexible Tech Assistance, FT12210 - Otsego County - PON	48,750 13,750
Otsego County Conservation Associa..	Community RH&C, PON3723 RH&C Campaigns	10,000
Ozz Solar Development Inc.	>200KW PV, NY Sun C&I	54,898
PA Consulting Group	ENERGY ANALYSIS, TWO #3 Nat. Gas Tech. Support	183,587
Paradise Energy Solutions, LLC	<200KW PV, NY-Sun <200KW PV, PON 2112 NY SUN	8,000 93,555
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Commercial New Construction Commercial New Construc, RFP3771 Umbrella Contract New Construction- Commercial, Commercial New Construction Technical Services, FT13166 - 4341 State - FTC	15,174 19,598 35,477 16,008
Pathstone Corporation	Community Energy Engagement, CEEP Finger Lakes Region (PATH) OTHER PROGRAM AREA, CEEP Finger Lakes Region (PATH)	53,756 0

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Contractor	Contract Description	Total Expended Amount
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	19,784
	>200KW PV, PON 2112 NY SUN	7,722
Pearl Solar II, LLC	>200KW PV, NY-Sun C&I	192,213
Pelham Private Property Corp.	Net Zero Energy for Eco Dev, NZEED 2018	20,037
Pendleton Solar 1, LLC	>200KW PV, NY-Sun C&I	614,952
Penfield Sq Associates MM LLC.	New Construction Housing, 2019 LRNCP	88,400
Peninsula JV LLC	Multifam New Construction, New Construction	25,000
Penrose LLC	New Construction Housing, 2019 MFCNP	37,700
People United for Sustainable Housing In	Community Energy Engagement, CEEP Western New York Region	30,687
	Community RH&C, Community CH&C Dev in WNY	18,500
	REVitalize, RFP 3584 Revitalize	19,500
Pepsi-Cola Technical Operations, Inc.	>200KW PV, NY-Sun	70,737
Pepsico, Inc.	Commercial New Construc, NCP16005 - Technical Operatio	218,458
Perdita Flats Development, LLC	Buildings of Excellence, Buildings of Excellence R1	10,584
Performance Systems Development	Code to Zero, PSD TWO #1 Training	327,265
Performance Systems Development, Inc.	Market Tests, TWO 3 - HPR OpenStudio/EPI	409
	NYCH: Comfort Home, TWO 3 - HPR OpenStudio/EPI	209,812
	Retrofit NY, Multifamily Parametric Modelin	17,020
PH Affordable Housing Fund Inc.	Multifam New Construction, MFNCP PHIUS T3-1675 Westch	75,000
Phase Innovations LLC	NYCH: Innovation, Modular Membrane Dehumidifying	16,176
Pine Tree Vintage, LLC	Multifam Performance Pgm, Multifamily	13,000
Pintail Crossing, LLC	Low Rise New Construction, New Construction	58,400
Pioneer Valley Photovoltaics Coopera..	<200KW PV, PON 2112 NY SUN	6,048
Plugin Stations Online, LLC	Talent Pipeline:CE and OJT, OJT HIRE	1,134
PlugPV, LLC	<200KW PV, PON 2112 NY SUN	161,438
	Talent Pipeline:CE and OJT, OJT HIRE	11,642
Port Jervis Solar Project One, LLC	>200KW PV, NY Sun	22,949
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT HIRE	9,181
Potters Industries	Industrial Process Effic, Industrial Process Efficiency	73,671
PowerGEM, LLC	BR: Screening, TWO - Build Ready - Cat 1	22,660
	CI Engy Siting & Soft Cost Red, TWO - Build Ready - Cat 1	0
Powerlutions, LLC	<200KW PV, PON 2112 NY SUN	7,394
Premier Solar Solutions LLC	>200KW PV, PON 2112 NY SUN	119,487
Prescriptive Data	Real Time Engry Management, PD - 300 Vesey St - RTEM	12,528
	Real Time Engry Management, Prescriptive-630 3rd Ave-RTEM	2,749
	Real Time Engry Management, PrescriptiveData-40E 52nd-RTEM	6,432
ProjectEconomics, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	28,400
Proterra	CLEAN TRANSPORTATION, NYT-VIP.	4,170,000
Pterra, LLC	High Performing Grid, PON3770 Overvoltage Protection	-10,713
	High Performing Grid, PTerra work for ITWG	79,960
Pvillion Technologies, LLC	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Quanta Technology LLC	DER Integration(Intrcnct), Next Generation DER Gateway	107,714
	High Performing Grid, PON 3397 Round 2 - Category A	24,837
Quest Energy Group	Commercial Real Estate Ten, Quest Energy - 622 3rd Avenue	7,750
Quidnet Energy Inc	High Performing Grid, EPTD High Performance	119,541
QwikSolar, LLC	<200KW PV, PON 2112 NY SUN	7,280
R.W. Beck Group, Inc.	Commercial Real Estate Ten, StakeholderEngagement_Outreach	2,633
	K-12 SCHOOLS, StakeholderEngagement_Outreach	4,424

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Contractor	Contract Description	Total Expended Amount
R.W. Beck Group, Inc.	Technical Services, StakeholderEngagement_Outreach	5,471
	Technical Services, Targeted Healthcare Engagement	35,710
Radiant Labs, LLC	Informat. Products & Brokering, Dynamic Market Data Tool	72,000
RAHF IV Shore Hill, LLC	Multifam Performance Pgm, Multifamily	75,000
Raj Technologies Inc.	NYSERDA ADMINISTRATION, Modification - Name Change	180,121
Randstad North America Inc	Cleantech ICC Engage, TS.003_TBI Coordinator	5,461
	Energy Storage Tech/Prod Dev, TS.003_TBI Coordinator	5,461
	High Performing Grid, TS.003_TBI Coordinator	5,461
	NYCH: Innovation, TS.003_TBI Coordinator	5,461
	Pub Transit & Elect Rail, TS.003_TBI Coordinator	5,461
Randstad North America, Inc.	Air Source Heat Pumps, Payroll Services_CHC	9,375
	Air Source Heat Pumps, Payroll Services_CHC_TWO#29	13,862
	Campus/Technical Assistance, Payroll Services_CHC	7,500
	Clean Energy Communities, Temp Services	36,491
	CLEANER GREENER COMMUNITIES, Temp Services	0
	Cleantech ICC Engage, Payroll Services_Innovation	58,354
	Cleantech Incubator, Payroll Services_T2M	41,377
	Community RH&C, Payroll Services_CHC	9,375
	ENERGY ANALYSIS, Payroll Services_Modeling & An	10,111
	ENERGY ANALYSIS, Payroll Services_Policy Dev	21,168
	Energy Storage Tech/Prod Dev, Temp Services -	5,252
	Geothermal Incentive Program, Payroll Services_CHC	9,375
	Healthy Homes VB Payment Pilot, Payroll Services_EAE	47,625
	High Performing Grid, Temp Services -	5,252
	Home Perf w Energy Star, Payroll Services	18,403
	Housing Agencies Support, Payroll Services_Multifamily	44,517
	NEW YORK GREEN BANK, Payroll Services -NYGB Analyst	16,847
	NEW YORK GREEN BANK, PS.026_NYGB	45,946
	NEW YORK GREEN BANK, PS.027_NYGB	100,991
	NEW YORK GREEN BANK, PS.038_NYGB Analyst	24,504
	NYCH: Innovation, Temp Services -	5,252
	NYSERDA ADMINISTRATION, Payroll Services	22,638
	NYSERDA ADMINISTRATION, Payroll Services_Gov't Affairs	17,028
	NYSERDA ADMINISTRATION, Payroll Services_Perf Mgmt	17,641
	NYSERDA ADMINISTRATION, Payroll Services_SS APM	20,054
	NYSERDA ADMINISTRATION, Payroll Services_Web Ops	22,988
	NYSERDA ADMINISTRATION, Temp Services	-14,272
	NYSERDA ADMINISTRATION, Temp Services - Marketing	22,578
	NYSERDA ADMINISTRATION, TS.010 - Payroll Services	2,633
	OTHER PROGRAM AREA, Payroll Services_Innovation	29,411
	Pay for Performance, Payroll Services_Utility Affai	111,547
	Payroll Services	24,234
Pub Transit & Elect Rail, Temp Services -	5,252	
Renewable Heat NY, Payroll Services_CHC	9,375	
Solar Thermal, Payroll Services_CHC	0	
Temporary Services	24,448	
RCPI Landmark Properties, LLC	Real Time Enrgy Management, RCPI - Multisite - RTEM	1,638,619
RE-Nuble, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	27,000

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Contractor	Contract Description	Total Expended Amount
re: Charge-e, Inc.	CLEAN TRANSPORTATION, Inductive charging for e-bikes	67,500
Recurve Analytics, Inc.	NYCH: Comfort Home, RFP 3901 P4P-AMV Platform	0
	Pay for Performance, RFP 3901 P4P-AMV Platform	177,375
Red Hook CSA, LLC	>200KW PV, NY-Sun C&I	130,176
RED Rochester	CI Carbon Challenge, RED C&I Carbon Challenge	885,184
	Industrial Process Effic, Industrial Process Efficiency	143,179
	Technical Services, FT13142 - 1200 Ridgeway - PON	19,845
ReEnergy Black River LLC	LARGE SCALE RENEWABLES, Black River Facility	5,108,367
Regan Development Corp	Low Rise New Construction, New Construction	64,400
	New Construction Housing, 2019 LRNCP	63,200
Regeneron Pharmaceuticals Inc.	Technical Services, FT13110 - 777 Old Saw Mill-PON	42,516
Renew Solar CS4 Fund LLC	>200KW PV, NY-Sun C&I	598,512
Renewable Rochester LLC	<200KW PV, NY-Sun	23,266
	<200KW PV, PON 2112 NY SUN	85,509
Renovus Energy, Inc.	<200KW PV, PON 2112 NY SUN	271,810
	>200KW PV, NY Sun	54,354
Rensselaer Polytechnic Institute	OTHER PROGRAM AREA, PON 3249	150,000
Rensselaer Polytechnic Institute-LRC	Industrial Process Effic, Industrial Process Efficiency	193,148
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	56,806
Research Foundation of CUNY	Environmental Research, AQHE PON 3921	63,416
	High Performing Grid, PON 3397 Round 2 - Category A	90,000
	NY-SUN, Affordable Solar NYCHA Commerc	26,100
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 1	85,068
Research Foundation of SUNY	ENVIRONMENTAL RESEARCH, Combining Measurements and Mod	45,117
	ENVIRONMENTAL RESEARCH, IDEA-NYS air quality forecast	23,604
	ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	6,754
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-funding	28,319
Research Foundation of The City	ENVIRONMENTAL RESEARCH, Coastal monitoring framework	58,473
	Talent Pipeline:CE and OJT, PON3981 Round 4	23,435
Residences at Covered Bridge LLC	Multifam Performance Pgm, Multifamily	39,600
Resource Refocus LLC	Code to Zero, TWO 2 NYStretch Res CE	7,728
Resources for the Future Inc	ENERGY ANALYSIS, TWO #1 Social Cost of Carbon	46,501
Responsible Offshore Development AI..	Environmental Research, ENV & Fisheries Rsrch for OSW	76,159
Revere Smelting & Refining Corp.	On-Site Energy Manager, OsEM58-I Revere Smelting	7,800
RHM Inc.	Renewable Heat NY, AEON Heating and A/C - Forkey	21,300
Ricoh USA Inc	NYSERDA ADMINISTRATION, RFP 3919-Sitecore CMS Admin	398,188
Riley Road Windsor, LLC	>200KW PV, NY Sun C/I	166,694
	>200KW PV, NY-Sun C/I	145,361
Riseboro Community Partnership, Inc.	Multifam New Construction, New Construction	103,600
	Multifam New Construction, PHIUS T3 Atlantic	23,540
	New Construction Housing, PHIUS T3 Atlantic	0
	Retrofit NY, PON 4062	216,581
	Workforce Industry Partnership, PON 3442 Workforce Training	5,794
RIT HENRIETTA SOLAR 1, LLC	>200KW PV, NY Sun C/I	102,445
RM & PSG, LLC	Multifam Performance Pgm, Multifamily	73,500
Robert Derector Associates	Commercial Real Estate Ten, RDA - 250 W 55th Street	5,000
	Commercial Real Estate Ten, Robert Derector - 1271 AOA	11,370
Robert K. Harmon & Company LLC	Pay for Performance, P4P - MEETS TWO	27,770

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Contractor	Contract Description	Total Expended Amount
Rochester District Heating Cooperative	On-Site Energy Manager, OsEM20-I-Rochester District	53,746
Rochester Institute of Technology	Cleantech Incubator, PON3413 Clean Energy Incubator	152,500
	High Performing Grid, PON 3770	20,000
Rochester People's Climate Coalition	Community RH&C, CH&C Communities Round 3.	37,000
Rochester Regional Health	Technical Services, OsEM42-C - Rochester Regional	30,239
Rocky Mountain Institute	Code to Zero, 140390 TWO#1	0
	Consumer Ed and Market Support, 140390 TWO#1	0
	Empire Building Challenge, Empire Bldg. Challenge - RMI	125,005
	ENERGY ANALYSIS, TWO# 2 Bldg. Elec. Roadmap	441
	New Construction Housing, 140390 TWO#1	138,595
	New Construction- Commercial, 140390 TWO#1	119,573
	Remote Energy Management, Technical support for NYSERDA	33,253
	Technical Services, Technical support for NYSERDA	11,084
Rohan Development LLC	Multifam New Construction, MFNC-577 West 161st	5,000
Rome Housing Authority	Multifam Performance Pgm, Multifamily	4,150
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt Ser..	138,275
Ross Solar Group, LLC	>200KW PV, NY-Sun C&I	101,681
RRH PARMA SOLAR 1 LLC	>200KW PV, NY-Sun C&I	144,827
	>200KW PV, NYSUN C&I	217,663
Rural Ulster Preservation Company	Low Rise New Construction, New Construction	219,500
Ryan Homes (Virginia)	New Construction Housing, 2019 LRNCP	34,200
	New Construction Housing, 2020 LRNCP	102,600
Safari Energy LLC	>200KW PV, NY Sun	43,524
Salmon River Solar LLC	>200KW PV, NY-Sun C&I	301,825
SANFILIPPO SOLUTIONS INC.	NYCH: Talent PpIn:CE and OJT, OJT HIRE	2,464
	Talent Pipeline:CE and OJT, OJT HIRE	10,134
Schenectady County Solar Projects 2019,	>200KW PV, NY-Sun CI Full/Payee Assignmen	459,680
	>200KW PV, NY-Sun Full & Payee Assignment	206,635
	>200KW PV, NY-Sun Full/Payee Assignment	731,952
Schneider Electric Buildings Americas, I	Real Time Enrgy Management, Schneider - 1045 6th Ave -RTEM	17,897
	Real Time Enrgy Management, Schneider-100 E. 77th St-RTEM	100,000
	Real Time Enrgy Management, Schneider-225 Liberty St-RTEM	20,533
	Real Time Enrgy Management, SEBA Inc - 445 E 69 St - RTEM	30,000
Sea Bright Solar, LLC	<200KW PV, PON 2112 NY SUN	8,750
SecondMuse LLC	M-Corps, Technology to Market	420,000
Seed Renewables Inc.	<200KW PV, NY-Sun	14,080
Seneca County	Clean Energy Communities, CEC300326 - Seneca County	50,000
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFGE	296,556
	LARGE SCALE RENEWABLES, Seneca Energy	0
Seneca Nation	>200KW PV, NY Sun	163,562
Sentient Science Corporation	Pub Transit & Elect Rail, DigitalClone for rail	165,746
Settlement Housing Fund, Inc.	Multifam Performance Pgm, Multifamily	41,895
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
Shared Mobility, Inc.	CLEAN TRANSPORTATION, Informing Electric Micromobili	53,005
Sheldon Energy, LLC	LARGE SCALE RENEWABLES, High Sheldon Wind Farm	2,266,472
Siemens Industry, Inc.	<200KW PV, NY Sun	395,640
	Electric Vehicles - Innovation, Meter Integrated EVSE	89,186
	ENERGY ANALYSIS, TWO #1: 100x40 Study	103,314

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Siemens Industry, Inc.	Real Time Enrgy Management, Siemens - 10 Columbus Cir-RTEM	36,837
	Real Time Enrgy Management, Siemens - 15 Old Falls - RTEM	63,271
	Real Time Enrgy Management, Siemens - Multisite - RTEM	531,478
	Real Time Enrgy Management, Siemens Ind - Multisite - RTEM	60,773
	Real Time Enrgy Management, Siemens-84 Greenwood St-RTEM	99,514
	Real Time Enrgy Management, Siemens-100 Mendon-RTEM	27,327
	Real Time Enrgy Management, Siemens-745 7th Ave-RTEM	50,668
	Real Time Enrgy Management, Siemens-1585 Broadway-RTEM	92,085
	Real Time Enrgy Management, Siemens-Multisite-RTEM	73,672
	REC:CES REC System Dev Costs, TWO #1: 100x40 Study	172,190
Simple Energy, Inc.	Electric Vehicles - Innovation, PON 3578 R1 CAT4	217,283
Sive Paget & Riesel PC	BR: Program Implementation, BR Outside Counsel Support	98,356
	CI Enrgy Siting & Soft Cost Red, BR Outside Counsel Support	0
	CI Enrgy Siting & Soft Cost Red, Large-Scale Renewables	-305,824
	Innovation, NY Climate Forward Loan Prog	16,830
	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	19,182
	NYSERDA ADMINISTRATION, FOIL related Services	1,565
	NYSERDA ADMINISTRATION, GJGNY Loan Offering Assistance	5,198
	NYSERDA ADMINISTRATION, Internal SEQRA Practice Review	1,167
	Off-Shore Wind Master Plan, RFP 3300 & RFP 3776 Outside Co	17,870
	ORES Support, Large-Scale Renewables	376,396
WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RFP 3776 Outs..	12,177	
Skylands Renewable Energy, LLC	Small Wind, Wind Turbine Incentive	61,250
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	11,375
Skyven Technologies, Inc	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	382,500
	Cleantech Ignition, PON 3871 Ignition Grants	85,000
SL Green Management	Flexible Tech Assistance, FT12233 - 420 Lexington - PON	29,900
Smith Engineering PLLC	Flexible Tech Assistance, FT12237-Cornell-961EShore-FTC	13,220
	REV Campus Challenge, FT13168 - 413 E 69th - FTC	62,698
	Technical Services, FT13121 - 825 Eighth Ave - FTC	29,732
	Technical Services, FT13193 - 150 East 42nd - FTC	22,525
	Workforce Industry Partnership, PON 3715 Workforce Training	16,397
Snug Planet, LLC	Talent Pipeline:CE and OJT, OJT HIRE	11,448
Socore Energy, LLC	>200KW PV, NY Sun	155,743
	NY-SUN, New York Sun Competitive PV Pr	32,072
Solar and Wind FX, Inc. (Chris Schaefer..)	<200KW PV, PON 2112 NY SUN	8,750
Solar Energy Systems, LLC	<200KW PV, NY-Sun	13,824
	>200KW PV, NY-Sun	20,736
	>200KW PV, PON 2112 NY SUN	39,000
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	125,231
	<200KW PV, PON 2112 NY SUN	288,021
	>200KW PV, NY Sun	147,614
	>200KW PV, PON 2112 NY SUN	65,010
Solar Star Prime 2, LLC	>200KW PV, NY-Sun	4,200,768
Solar Tompkins Inc.	Community RH&C, CH&C Communities Round 3	47,700
	Community RH&C, PON3723 RH&C Campaigns	48,000
Solar Village Company LLC	Low Rise New Construction, 2019 LRNCP	8,000
SolarKal LLC	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	195,000

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Contractor	Contract Description	Total Expended Amount
Solcius, LLC	<200KW PV, PON 2112 NY SUN	5,208
SourceOne Power Technologies, Inc.	Real Time Enrgy Management, SourceOne - Multisite - RTEM	100,000
Spencer-Tioga Solar, LLC	>200KW PV, NY-Sun C&I	1,802,839
SRS Holdings LLC	Energy Storage Tech/Prod Dev, PON 3585 R2 Polymer-Clay separ	44,901
Stacks and Joules Inc.	Talent Pipeline:CE and OJT, PON3981 Round 4	59,234
Standard Insulating Company	NYCH: Talent PpIn:CE and OJT, OJT HIRE	23,611
	Talent Pipeline:CE and OJT, OJT HIRE	61,993
Standard Solar, Inc	>200KW PV, NY-Sun	654,823
	>200KW PV, NY-Sun C&I	379,883
Stantec Consulting Services, Inc.	Commercial New Construc, Commercial New Construction	3,556
	Industrial Process Effic, IPE16231	338
State University of New York	OTHER PROGRAM AREA, PON 3249	70,000
Stephen Taya Property Development	New Construction Housing, 2019 LRNCP	12,600
Steuben Churchpeople Against Poverty Inc	Low Rise New Construction, 2019 LRNCP	28,000
	Low Rise New Construction, New Construction	35,300
Steven Winter Associates, Inc.	ADVANCED BUILDINGS, Linkage-Less Burner Retrofit	0
	Air Source Heat Pumps, TWO 3 - Heat Pump Pattern Book	67,995
	Code to Zero, TWO #4 - ANSI Standards	25,073
	Commercial New Construc, New Construction	6,604
	Consumer Ed and Market Support, TWO 3 - Heat Pump Pattern Book	67,995
	Market Tests, Market Insights	97,057
	Market Tests, TWO 3 - Heat Pump Pattern Book	67,995
	New Construction Housing, TWO #4 - ANSI Standards	459
	New Construction Housing, TWO PON 3943	31,431
	New Construction- Commercial, Commercial New Construction	43,675
	New Construction- Commercial, TWO PON 3943	31,431
	NextGen HVAC, Linkage-Less Burner Retrofit	18,499
	NYCH: Comfort Home, Heat Pump Ready Training	287
	NYCH: Innovation, BAS for small & medium bldgs	12,114
	NYCH: Innovation, Cold Climate PTHP	19,887
	NYCH: Innovation, Linkage-Less Burner Retrofit	-18,499
	NYCH: Innovation, NextGen HVAC Innovation	4,587
	NYCH: Innovation, PON3519 Round 1	28,121
	NYCH: Talent PpIn:CE and OJT, PON3981 Round 8	3,707
	NYCH: Talent PpIn:CE and OJT, Steven Winter Assoc. Training	201,321
	Real Time Enrgy Management, Dunn Dev-1212 MLK Blvd-RTEM	1,200
	Real Time Enrgy Management, KibelCompanies-90 West St-RTEM	5,100
	Real Time Enrgy Management, SWA - 255 Hudson Street - RTEM	22,476
	Single Family New Construction, TWO #4 - ANSI Standards	459
	Talent Pipeline:CE and OJT, PON3981 Round 4	11,839
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	35,444
Talent Pipeline:CE and OJT, Steven Winter Assoc. Training	-186,631	
Technical Services, FT13186 - Electchester - FTC	9,585	
Workforce Industry Partnership, PON 3715 BOM Training	125,496	
Workforce Industry Partnership, PON 3715 Workforce Training	128,086	
Stone Environmental, Inc.	Community RH&C, Westchester Ground Source Heat	24,633
	Informat. Products & Brokering, Data Asset Matching STONE TWO	13,997
Stonework Capital LLC	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	1,626

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Contractor	Contract Description	Total Expended Amount
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,774,520
StorEn Technologies Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	79,964
Stratford Arms Housing LP	Multifam Performance Pgm, Multifamily	26,650
STREAM Collaborative Architecture + ..	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	7,056
Suffolk County Community College	REV CAMPUS CHALLENGE, RFP 3675 REV Campus Challenge	52,252
	RFP 3675 REV Campus Challenge	52,748
Summit Solar Company LLC	>200KW PV, PON 2112 NY SUN	12,654
Sun Source Technologies	<200KW PV, NY-Sun	11,520
	<200KW PV, PON 2112 NY SUN	23,296
SuNation Solar Systems, Inc.	<200KW PV, PON 2112 NY SUN	49,980
	COMMUNITY SOLAR, PON 2112 NY SUN	6,364
	ENERGY STORAGE, PON 2112 NY SUN	100,000
Sunnova Energy Corp	<200KW PV, PON 2112 NY SUN	16,807
SunPower Capital, LLC	<200KW PV, PON 2112 NY SUN	69,470
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	288,732
	<200KW PV, PON 2112 NY SUN	233,341
Sunrise Solar Solutions, LLC	<200KW PV, PON 2112 NY SUN	65,664
	>200KW PV, PON 2112 NY SUN	488,025
SunRun, Inc	<200KW PV, PON 2112 NY SUN	103,423
	ENERGY STORAGE, PON 2112 NY SUN	6,250
SUNSTARTER SOLAR XL LLC	>200KW PV, NY-Sun C&I Assignment	674,442
SUNSTARTER SOLAR XXXII LLC	>200KW PV, NY-Sun C&I	78,866
Sunvestment Energy Group NY 63, LLC	>200KW PV, NY-Sun C&I	466,216
Sunwealth Project Pool 14 LLC	<200KW PV, NY-Sun	18,367
	>200KW PV, NY-Sun	18,368
SUNY - ESF	Environmental Research, ALTM Streams 2018-2022	8,730
	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	30,231
	REV Campus Challenge, RM2 - SUNY ESF	13,062
	REV Campus Challenge, SUNY ESF - Energy Master Plan	18,112
SUNY at Albany	ENVIRONMENTAL RESEARCH, Climate Change & Renewables	22,885
SUNY Buffalo	Industrial Process Effic, Industrial Process Efficiency	186,860
SUNY Cobleskill	Technical Services, OsEM4-C SUNY Cobleskill	120,563
SUNY Morrisville	Technical Services, OsEM30-C - SUNY Morrisville	26,730
SUNY Ulster	Talent Pipeline:CE and OJT, PON3981 Round 4	13,233
Surf Clean Energy Inc	<200KW PV, NY-Sun	12,928
	<200KW PV, PON 2112 NY SUN	9,920
	COMMUNITY SOLAR, NY-Sun	6,240
Sustainable Comfort, Inc	Talent Pipeline:CE and OJT, OJT HIRE	29,559
Sustainable Endowment Institute	REV Campus Challenge, GRITS Goals Development - SEI	14,211
Sustainable Energy Advantage, LLC	NYSERDA ADMINISTRATION, Large Scales Renewables Techni	2,832
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	1,800
	REC:CES REC System Dev Costs, RES Program Review	8,916
	REC:CES REC System Dev Costs, Supply Curve Update 101124-15	6,066
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	0
Sustainable Energy Developments Inc.	<200KW PV, PON 2112 NY SUN	59,723
	Talent Pipeline:CE and OJT, OJT HIRE	12,627
Sustainable Tompkins	Community RH&C, Tompkins County CH&C	39,200
Sustainable Westchester	Community RH&C, CH&C Communities Round 3	147,500

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Contractor	Contract Description	Total Expended Amount
Sustainable Westchester	Community RH&C, PON3723 RH&C Campaigns	38,000
	NY-SUN, NY-Sun	5,000
Sweetwater Energy, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cellulosic Sugar..	10,000
Swiss Re Management (US) Corporati..	>200KW PV, NY Sun	417,356
Switched Source LLC	76 West, 76 West Energy Bus Competition	25,000
	High Performing Grid, Tie Controller for Renewable	125,025
Switched Source PB LLC	High Performing Grid, PON 3770 CATB - Phase Balance	170,090
Syracuse University	ADVANCED BUILDINGS, Flame-Assisted Fuel Cell	5,000
	ENVIRONMENTAL RESEARCH, Accelerated Recovery and Envir	9,020
	ENVIRONMENTAL RESEARCH, Marine Mercury Dynamics	58,284
	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	12,979
	ENVIRONMENTAL RESEARCH, Nutrient Dynamics in the ADKs	10,956
	NextGen HVAC, Flame-Assisted Fuel Cell	0
	NextGen HVAC, PON3519 Round 1	27,300
	NYCH: Innovation, Advanced Buildings	35,000
	NYCH: Innovation, Flame-Assisted Fuel Cell	50,000
	NYCH: Innovation, NextGen HVAC Innovation	20,000
Syracuse, City	Clean Energy Communities, CEC210174 - City of Syracuse	61,463
Syska Hennessy Group	Commercial New Construc, Commercial New Construction	33,361
	Technical Services, Indoor Air Quality TWO - Syska	64,116
Tagup Inc.	High Performing Grid, PON 3770	147,310
Taitem Engineering, P.C.	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	26,407
	Campus/Technical Assistance, FT12227-256SunsetLake-FTC	9,336
	Code to Zero, TWO#1 NYStretch Outreach CR	9,204
	Commercial New Construc, Commercial New Construction	5,200
	Geothermal Incentive Program, FT12227-256SunsetLake-FTC	-9,336
	Multifam Performance Pgm, 3695 TWO Umbrella Agreement	1,059
	Multifam Performance Pgm, Multifamily	45,457
	Multifam Performance Pgm, RFQL 3434 - Standards and Qual	34,434
	NYCH: Critical Tools, Heat Pump Conversion M&V	14,775
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	49,997
	Real Time Enrgy Management, Taitem-55 Brown-RTEM	20,317
	Technical Services, AEAP	5,962
Talen Energy Marketing, LLC	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	53,385
Talisen Technologies, Inc	Real Time Enrgy Management, Energy Mangt Data_Tech Supp	240,776
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	295,551
	NYSERDA ADMINISTRATION, TWO QA Analyst - Beth Graves	103,724
	NYSERDA ADMINISTRATION, TWO Salesforce BA - Himmelfarb	98,119
	NYSERDA ADMINISTRATION, TWO Salesforce BA Jason Thomas	81,936
	NYSERDA ADMINISTRATION, TWO Senior Software - Simon	123,888
	NYSERDA ADMINISTRATION, TWO Software Dev. Mgr. Yates	139,963
	NYSERDA ADMINISTRATION, TWO SR. Software Engineer Anan	71,454
	NYSERDA ADMINISTRATION, TWO Sr.Software Eng – Carrick	2,245
	NYSERDA ADMINISTRATION, TWO26 Server Ops	109,861
	REC:CES REC System Dev Costs, RFP3143 Umbrella Agreement	30,485
	REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	10,866
ZEC:CES ZEC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	3,622	
Tecogen	Combined Heat and Power, CHPA - 315 East 68th	64,573

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Contractor	Contract Description	Total Expended Amount
Tecogen	Combined Heat and Power, CHPA - 555 West 23rd St	138,600
	Combined Heat and Power, CHPA - 1249 Park Ave	58,140
	COMBINED HEAT AND POWER, CHPA - 3333 Broadway	250,800
	Combined Heat and Power, CHPA - Amherst	131,963
	Combined Heat and Power, CHPA - Lakeside Towers	68,372
	Combined Heat and Power, CHPA - Savoy Park II Building	14,280
	Combined Heat and Power, CHPA-22 South West St Tower	58,988
	Combined Heat and Power, CHPA-125 Broad Street	434,610
	Combined Heat and Power, CHPA-301 East 69th Street - Ma	50,490
	Combined Heat and Power, CHPA-Ballston Spa Schools	265,018
	Combined Heat and Power, CHPA-Park West Village 7	44,550
	Combined Heat and Power, CHPA-The Lucida	60,775
	TEKsystems Inc	NYSERDA ADMINISTRATION, TWO EVConsultant
Tern Construction & Development, LLC	Low Rise New Construction, 2019 LRNCP	63,800
Tesla Energy Operations Inc	<200KW PV, PON 2112 NY SUN	38,175
	>200KW PV, Commercial/Industrial	69,813
	>200KW PV, Commercial/Industrial PV	48,879
	>200KW PV, Commerical/IndustrialPV	24,571
	>200KW PV, NY Sun	43,482
	>200KW PV, PV System @ Dutchess County Ai	290,853
	ENERGY STORAGE, PON 2112 NY SUN	375,000
Tetra Tech MA, Inc.	OREC: Technical Support, TWO#1 OSW Fisheries WG	90,967
Tetra Tech, Inc.	Environmental Research, PON 4270 PV Site Design	69,042
	ORES Support, ORES Technical Assistance	458,401
The Cadmus Group, LLC	Air Source Heat Pumps, Stocking/Shelving Survey	131,411
	Air Source Heat Pumps, TWO #9 Whole House ASHP	7,823
	CLEAN TRANSPORTATION, TWO 5 Clean Transp Roadmap	779,012
	Code to Zero, RFQ3183 Umbrella Agreement	51,172
	Community RH&C, RFP3751 Clean Heating & Coolin	109,058
	COMMUNITY SOLAR, RFP 3764Solarize TA Provider	9,686
	Electric Vehicles - Innovation, TWO 5 Clean Transp Roadmap	0
	Electric Vehicles - Innovation, TWO No. 7	3,237
	ENERGY ANALYSIS, TWO #10 Climate Facilitation	0
	Eval MCDC Cross Cutting, TWO#2-Top_Down_Analysis	320
	Eval MCDC EE Master Soft Cost, TWO#4 Soft Cost study	21,314
	Eval MCDC: MF Potential Study, TWO #8 EE Potential - Multifam	225,162
	EVALUATION, TWO#2-Top_Down_Analysis	833
	EVALUATION, TWO#4 Soft Cost study	0
	Home Perf w Energy Star, EnergyAffordability and Equity	945
	Home Perf w Energy Star, TWO No. 6 COVID Consultant	16,182
	On-Site Energy Manager, RFQ3183 Umbrella Agreement	17,959
	OREC: Technical Support, RFP 3462 Umbrella Agreement	104,419
	OREC: Technical Support, TWO 4 - RegionalFundingEntity	12,861
	Real Time Enrgy Management, RFQ3183 Umbrella Agreement	16,099
	REV Campus Challenge, REV Campus Challenge Market Ev	91,483
	Strategic Energy Manager, RFQ3183 Umbrella Agreement	17,959
	Talent Pipeline:CE and OJT, TWO No. 6 COVID Consultant	5,394
	TWO 4 - RegionalFundingEntity	0

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The Cadmus Group, LLC	TWO #10 Climate Facilitation	348,963
The Center for New York City	Community Energy Engagement, CEEP New York City Region (CNY)	99,689
	OTHER PROGRAM AREA, CEEP New York City Region (CNY)	0
The City College of New York	Workforce Industry Partnership, PON 3715 Workforce Training	119,028
The Common Pool, LLC	EVPRZ:Implementation, Prize Administrator	532,500
The Community Builders, Inc.	Buildings of Excellence, Buildings of Excellence R1	187,500
	New Construction Housing, 2019 MFCNP	105,000
The Culinary Institute of America	Technical Services, OsEM47-C - Culinary Institute	14,264
The Garrick Co., LLC	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Evaluation	46,850
The Hartz Group, Inc.	Flexible Tech Assistance, FT12213 - Roxy Hotel - PON	34,400
	Flexible Tech Assistance, FT12214 - Soho Grand Hotel-PON	32,800
The Levy Partnership, Inc.	Air Source Heat Pumps, NextGen HVAC Innovation	40,632
	NextGen HVAC, Downstate gas fired heat pump	0
	NYCH: Innovation, Downstate gas fired heat pump	14,614
	NYCH: Innovation, NextGen HVAC Innovation	29,493
The Logue Group	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstration Project	11,687
The Nature Conservancy	Environmental Research, PV Site Design (PON 4270)	4,441
The Radiant Store	Renewable Heat NY, Radiant Store - Ray Siegar	12,000
	Renewable Heat NY, Radiant Store - Reed	7,200
The Renewables Consulting Group, LLC	OREC: Technical Support, IE ORECRFP20-1	70,000
	OREC: Technical Support, TWO#3- OSW-Mariners	18,933
The Research Foundation for the State	Environmental Research, Low-Cost AQ Sensors	6,056
The Research Foundation of SUNY at Bing	Cleantech Geo Coverage, PON3413 Clean Energy Incubator	54,500
	Cleantech Incubator, PON3413 Clean Energy Incubator	0
The RF of SUNY Binghamton Universi..	Energy Storage Tech/Prod Dev, PON 3585 R2	100,000
The Trustees of Columbia University	Cleantech EIR, PON 3819	834,150
	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	87,047
Therm Controls Incorporated	NextGen HVAC, NextGen HVAC Innovation	126,250
	NYCH: Innovation, NextGen HVAC Innovation	-126,250
Thermodynamix LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	30,725
	Talent Pipeline:CE and OJT, OJT HIRE	8,900
ThinkEco, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	10,650
Thornton Tomasetti, Inc.	Commercial New Construc, Commercial New Construction	7,006
	Commercial Real Estate Ten, TTI - 100 6th Avenue	233,642
Timothy Marlett	Talent Pipeline:CE and OJT, OJT HIRE	8,769
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	646,029
Tompkins Consolidated Area Transit	Pub Transit & Elect Rail, First/Last Mile in Tompkins Co	47,634
Tompkins County	Clean Energy Communities, CEC011216 - Tompkins County	55,000
Town of Aurora	Clean Energy Communities, CEC101467 - Town of Aurora	50,000
Town of Austerlitz, New York	CEC400162-Twn of Austerlitz	22,104
	Clean Energy Communities, CEC400162-Twn of Austerlitz	3,684
Town of Bedford	CLEANER GREENER COMMUNITIES, CGC62563 - Town of Bedford	88,500
Town of Bethlehem	CEC400006 - Town of Bethlehem	0
	Clean Energy Communities, CEC400006 - Town of Bethlehem	22,500
Town of Chester	ADVANCED BUILDINGS, Biomass Steam Boiler System	50,000
	RENEWABLE HEAT NY, Biomass Steam Boiler System	4,000
Town of Conewango	Clean Energy Communities, Town of Conewango	6,000
Town of Gallatin	Clean Energy Communities, CEC400159 - Town of Gallatin	30,000

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Contractor	Contract Description	Total Expended Amount
Town of Huntington	OTHER PROGRAM AREA, RFP 3044 R2	150,000
Town of Irondequoit	Clean Energy Communities, Town of Irondequoit	-55,623
	Town of Irondequoit	55,623
Town of Knox	Clean Energy Communities, Town of Knox	25,000
	Town of Knox	7,500
Town of Mount Morris	CLEANER GREENER COMMUNITIES, CGC40438 - Mt Morris Comp Zoni	10,975
Town of New Castle	CLEANER GREENER COMMUNITIES, Town of New Castle	75,000
Town of Ossining	CLEANER GREENER COMMUNITIES, Town of Ossining	37,500
Town of Pittsford	Clean Energy Communities, CEC300390 - Town of Pittsford	50,000
Town of Red Hook	Clean Energy Communities, CEC500662 - Town of Red Hook	36,000
Town of Richland	Clean Energy Communities, Town of Richland	-6,406
	Town of Richland	6,406
Town of Ulysses	Clean Energy Communities, PON 3298 CEC	75,000
Town of Westport	Clean Energy Communities, CEC701035 - Town of Westport	50,000
Town of Windsor	Clean Energy Communities, Town of Windsor	1,250
Trane	K-12 SCHOOLS, P12GC-20_E - Camden CSD - PON	103,362
	K-12 SCHOOLS, P12GC-21 - Lowville CSD - PON	52,392
	Real Time Enrgy Management, 310 Prospect Park West - RTEM	6,019
	Real Time Enrgy Management, Hines - 375 Hudson St - RTEM	6,380
	Real Time Enrgy Management, Hudson City Schools-RTEM	14,260
	Real Time Enrgy Management, Trane - 1 Manhattan Sq - RTEM	22,645
	Real Time Enrgy Management, Trane - 48 E 84 St - RTEM	45,015
	Real Time Enrgy Management, Trane Us Inc-Multisite-RTEM	28,520
	Real Time Enrgy Management, Trane-Wells College-RTEM	7,357
	Remote Energy Management, RFP 3683 REM Program	19,000
TransCore ITS LLC	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	78,089
TRC Energy Services	Cleantech ICC Engage, SA.063_TWO #22 - T2M	10,528
	Commercial New Construc, SA.040_TWO #16 - NC PM	0
	Commercial New Construc, SA.041_TWO#14 - NCP PM	5,931
	Commercial New Construc, Staff Augmentation Services	10,785
	Commercial Real Estate Ten, SA.047_TWO #19 - EPE	23,470
	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	75,546
	ENERGY ANALYSIS, Staff Augmentation Services	109,533
	Energy Storage Tech/Prod Dev, SA.063_TWO #22 - T2M	10,528
	EXISTING FACILITIES, Staff Augmentation Services	0
	Flexible Tech Assistance, Staff Augmentation Services	31,614
	FLEXIBLE TECHNICAL ASSISTANCE, Staff Augmentation Services	0
	High Performing Grid, SA.063_TWO #22 - T2M	10,528
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	104,723
	K-12 SCHOOLS, SA.026a_TWO#13 - EPE	0
	K-12 SCHOOLS, Staff Augmentation Services	259,808
	Low Carbon Tech Demos, Staff Augmentation Services	16,251
	Low Rise New Construction, SA.040_TWO #16 - NC PM	0
	Low Rise New Construction, SA.041_TWO#14 - NCP PM	16,357
	Low Rise New Construction, Staff Augmentation Services	59,775
	Low-Income Forum on Energy, LIFE Implementation Services	38,070
	Multifam New Construction, SA.040_TWO #16 - NC PM	0
	Multifam New Construction, SA.042_TWO#17 - NCP NYC PM	11,887

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Contractor	Contract Description	Total Expended Amount	
TRC Energy Services	Multifam New Construction, Staff Augmentation Services	16,223	
	Multifam Performance Pgm, SA.014_TWO #7_MF_PM	0	
	Multifam Performance Pgm, SA.017_TWO #9_MF_APM	0	
	Multifam Performance Pgm, Staff Augmentation Services	279,204	
	New Construction Housing, SA.040_TWO #16 - NC PM	0	
	New Construction Housing, SA.041_TWO#14 - NCP PM	15,877	
	New Construction Housing, SA.042_TWO#17 - NCP NYC PM	5,283	
	New Construction Housing, Staff Augmentation Services	55,997	
	New Construction- Commercial, SA.040_TWO #16 - NC PM	0	
	New Construction- Commercial, SA.041_TWO#14 - NCP PM	8,820	
	New Construction- Commercial, SA.042_TWO#17 - NCP NYC PM	2,915	
	New Construction- Commercial, Staff Augmentation Services	29,118	
	NYCH: Comfort Home, Comfort Home Implementation	131,368	
	NYCH: Innovation, SA.063_TWO #22 - T2M	10,528	
	NYCH: Technical Assistance, SA.061_TWO#23 - Multifamily	36,489	
	NYSERDA ADMINISTRATION, SA.059_TWO #21 - Financing Sol	96,194	
	NYSERDA ADMINISTRATION, SA.069_TWO#19 - Contracts	46,509	
	Pub Transit & Elect Rail, SA.063_TWO #22 - T2M	10,528	
	Real Time Enrgy Management, Staff Augmentation Services	120,969	
	Renewable Heat NY, Technical Review and Program S	94,434	
	REV Campus Challenge, SA.047_TWO #19 - EPE	23,470	
	Single Family New Construction, SA.041_TWO#14 - NCP PM	2,352	
	Single Family New Construction, SA.042_TWO#17 - NCP NYC PM	1,849	
	Strategic Energy Manager, SA.047_TWO #19 - EPE	1,642	
	Talent Pipeline:CE and OJT, Technical Review and Program S	340,168	
	Technical Services, RFP3628FlexTechConsultUmbrella	2,488	
	Technical Services, SA.047_TWO #19 - EPE	23,470	
	Technical Services, SA.061_TWO#23 - Multifamily	51,436	
	Technical Services, Staff Augmentation Services	79,123	
	Workforce Industry Partnership, Technical Review and Program S	161,795	
	TRC Engineers, Inc	NYCH: Innovation, PON3519 Round 1	126,490
	TRC Engineers, Inc.	BR: Screening, Cat 3: Feasibility Design	108,066
BR: Screening, Environmental Research		30,449	
BR: Screening, TWO- Cat 2_BR Site Crit. Issue		106,803	
CI Engy Siting & Soft Cost Red, Cat 3: Feasibility Design		0	
CI Engy Siting & Soft Cost Red, Large-Scale Renewables		0	
CI Engy Siting & Soft Cost Red, TWO- Cat 2_BR Site Crit. Issue		0	
NYCH: Innovation, PON3519 Round 1.		17,073	
NYCH: Supply Chain, Upstream Partners Initiative		38,886	
Technical Services, Virtual Audit & Assessment		19,011	
Trees New York	GREENING THE BRONX, Efficiency Planning & Engineer	119,770	
Tremont Apartments Housing Develo..	Multifam Performance Pgm, Multifamily	6,800	
Triangle Electrical Systems, Inc.	<200KW PV, PON 2112 NY SUN	5,628	
Trinity Financial, Inc.	Buildings of Excellence, Buildings of Excellence R1	112,500	
Trinity Heating & Air, Inc.	<200KW PV, PON 2112 NY SUN	11,410	
Triton Systems, Inc	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	1,250	
	Nat'l Offshore Wind R&D	1,250	
Trove Predictive Data Science, Inc.	Informat. Products & Brokering, DER Data Platform Pilot	8,233	

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Contractor	Contract Description	Total Expended Amount
Troy Housing Authority	Low Rise New Construction, New Construction	37,000
True Building Performance LLC	Talent Pipeline:CE and OJT, OJT HIRE	8,552
True Energy Solutions	NYCH: Talent Ppln:CE and OJT, OJT HIRE	5,760
	Talent Pipeline:CE and OJT, OJT HIRE	24,603
Trustees of Tufts College	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	7,500
	Natl Offshore Wind R&D	2,500
U.S. Geological Survey (Troy).	ENERGY ANALYSIS, Accelerated Recovery	50,292
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	23,458
	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury	26,150
	ENVIRONMENTAL RESEARCH, ALTM Stream Monitoring	79,989
	Environmental Research, USGS ALTM: Streams component	203,798
U&S Services, Inc.	Remote Energy Management, RFP3683 REM Program	18,396
Ulster, County of	Clean Energy Communities, CEC510646 Ulster County	7,500
Ultra Dairy, LLC	Industrial Process Effic, Industrial Process Efficiency	19,089
Unique Comp Inc.	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	417,024
	NYSERDA ADMINISTRATION, TWO SQL ETL Dev. NCM	59,288
	NYSERDA ADMINISTRATION, TWO Sr. Systems Admin. - Bhanu	98,600
	Pay for Performance, RFP3143 Umbrella Agreement	13,843
	REC:CES REC System Dev Costs, TWO Salesforce Dev. - Asrith	32,830
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP	330,000
Unique Technical Services, LLC	CLEAN TRANSPORTATION, Advanced Transportation Tech	6,297
	Pub Transit & Elect Rail, Advanced Transportation Tech	807
United States Department of the Interi..	Environmental Research, ENV & Fisheries Rsrch for OSW	59,588
United Way of Long Island	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	40,405
Unity Health System	Commercial Imp Assist, CIAP013 - Unity Hospital	150,000
University at Albany	Environmental Research, AQHE PON 3921	29,141
University of Maine	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	22,686
	Natl Offshore Wind R&D	7,562
University of North Carolina at Chapel..	Environmental Research, AQHE PON 3921	163,352
University of Rochester	Environmental Research, AQHE PON 3921	235,986
	ENVIRONMENTAL RESEARCH, Long-Term Monitoring of Methan	181,432
	High Performing Grid, PON 3770	28,900
	REV Campus Challenge, RFP 3675 REV Campus Challenge	630,000
University of Wisconsin System	Environmental Research, NADP LTM Ecosystems in NYS	56,997
University System of New Hampshire	U.S. DOE SEP Grant for oTherm	32,302
Uplight, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	90
	EMPOWER NY, Residential Program MgtRFP3545	90
	GJGNY Market Rate Audits, Residential Program MgtRFP3545	16,250
	Home Perf w Energy Star, Residential Program MgtRFP3545	22,315
	Residential Program MgtRFP3545	1,461
Upstate Alternative Energy	<200KW PV, NY Sun	6,840
Urban Electric Power, Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	60,000
Urban Green Council	Code to Zero, Urban Green TWO#1 Training	129,212
	Workforce Industry Partnership, PON 3715 Workforce Training	38,795
Urban Homesteading Assistance Inc	Community RH&C, CH&C Communities Round 3	34,000
	NYCH: LMI, CH&C Communities Round 3	0
Urban League of Rochester, NY, Inc	Low Rise New Construction, New Construction	19,000
	Multifam New Construction, New Construction	22,000

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Contractor	Contract Description	Total Expended Amount
USGS National Center MS270	ENVIRONMENTAL RESEARCH, Honnedage Lake Hg	13,958
	ENVIRONMENTAL RESEARCH, Monitoring Fish Assemblage/Hg	12,383
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Josie Robinson Surgery - RTEM	7,611
	Real Time Enrgy Management, UPM - 11 Times Square - RTEM	19,626
	Real Time Enrgy Management, UPM - 56-45 Main St - RTEM	19,800
	Real Time Enrgy Management, UPM - 401 N Middletown - RTEM	41,403
	Real Time Enrgy Management, utiliVisor-9 West 57th St-RTEM	76,868
	Real Time Enrgy Management, Utilivisor-327 E 64th St-RTEM	3,960
Van Hee Mechanical	NYCH: Talent Ppln:CE and OJT, OJT HIRE	27,740
	Talent Pipeline:CE and OJT, OJT HIRE	9,262
Vassar College	Technical Services, OsEM8-C Vassar College	31,219
Vecino Group New York, LLC	Multifam New Construction, New Construction	47,200
Venture at Endicott LLC	Multifam Performance Pgm, Multifamily	13,600
Verdant Power, Inc.	OTHER PROGRAM AREA, Environmentally Preferred Powe	585,000
	RENEWABLES & DER INTEGRATION, Environmentally Preferred Powe	0
Vermont Energy Investment Corporation	Electric Vehicles - Innovation, EV Policies and Pilots for LMI	23,203
	Industrial Process Effic, IPE16233	51
	Industrial Process Effic, Umbrella Contract	93
	NYCH: LMI, TWO #1 LMI Electrification	11,465
	Pay for Performance, Umbrella Contract	24,831
	Strategic Energy Manager, RFP 3352	313,726
Vervent Inc.	GJGNY REVOLVING LOAN FUND, Financing Solutions	36,636
VHB Engineering, Surveying and	New Construction Housing, New Construction	3,494
	New Construction- Commercial, New Construction	3,494
Vidaris, Inc.	Code to Zero, RFQL3711 Vidaris RES/COMcheck	9,568
	Code to Zero, TWO6-NYStretch Overlay Assist	21,855
	Commercial New Construc, Commercial New Construction	1,207
	Commercial New Construc, New Construction	76,291
	Commercial Real Estate Ten, Vidaris - 50 Hudson Yards -CTP	23,623
	Commercial Real Estate Ten, Vidaris- 1 Bryant Park - RTEM	51,208
	Flexible Tech Assistance, FT12256 - Trinity Hudson - FTC	4,645
	New Construction- Commercial, Commercail New Construction	25,402
	New Construction- Commercial, Commercial New Construction	20,061
	Technical Services, FT13004 - 355 Lexington - FTC	2,673
	Technical Services, FT13104 - 2000 Purchase - FTC	12,413
	Technical Services, FT13154 - 845 Third - FTC	7,488
	Technical Services, Indoor Air Quality TWO-Vidaris	95,886
Village of Altamont	Clean Energy Communities, Communities & Local Government	1,250
	Communities & Local Government	7,500
Village of Centre Island	CLEANER GREENER COMMUNITIES, Village of Centre Island	5,250
Village of Cold Spring	CLEANER GREENER COMMUNITIES, CGC30400 - Village of Cold Sp	13,300
Village of Dobbs Ferry	CLEANER GREENER COMMUNITIES, CEC500642 Village Dobbs Ferry	100,000
Village of Lakewood	Clean Energy Communities, Village of Lakewood	69,375
Village of Montour Falls	Clean Energy Communities, CEC001316 V Montour Falls	21,125
Village of Sea Cliff	CLEANER GREENER COMMUNITIES, Village of Sea Cliff	12,500
Village of Westfield	CLEANER GREENER COMMUNITIES, Village of Westfield	37,500
Vincents Heating and Fuel Service, LL..	Renewable Heat NY, Vincents Heating - Cross	15,672
Vivint Solar	<200KW PV, PON 2112 NY SUN	42,228

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Contractor	Contract Description	Total Expended Amount
W & E Phillips Locksmith, Inc	NYSERDA ADMINISTRATION, Facilities Management	3,837
Wadsworth Energy LLC	Rmve Barriers Dist Enrgy Storg, TWO #1 MDIWG Support	1,200
	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIWG Support	12,525
Wagner Farms	Anaerobic Digesters, PON 3739 CAT C	55,055
Wappingers Falls Hydroelectric, LLC	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	1,680
Wayne County Action Program	Talent Pipeline:CE and OJT, OJT HIRE	1,202
WB Engineering & Consulting PLLC	Commercial Real Estate Ten, WB Eng+Con - 1250 Broadway	16,400
WB Heritage Pointe Associates, LLC	Multifam Performance Pgm, Multifamily	16,400
Wedgewood West LLC	Multifam Performance Pgm, Multifamily	31,800
Weill Medical College at Cornell Unive..	REV Campus Challenge, RM46 - Weill Cornell - PON	58,484
Wellington Manor LLC	Multifam Performance Pgm, Multifamily	22,600
Wells College	REV Campus Challenge, RM32 - Wells College	26,832
Wendel Energy Services, LLC	Flexible Tech Assistance, FT12078OrleansCounty Water-FTC	2,406
	K-12 SCHOOLS, P12GC_13E - Rochester - FTC	175,651
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	158,692
	NYCH: Technical Assistance, RFP3628FlexTechConsultUmbrella	7,541
	REV Campus Challenge, RM34 - University of Rochester	28,808
	Technical Services, FT13195 - Multiple - FTC	16,054
	Technical Services, FT13207 - Amherst WWTF - FTC	11,648
	Technical Services, Indoor Air Quality TWO -Wendel	164,375
Westtown NY 1, LLC	>200KW PV, NY-Sun C&I	297,897
Westtown NY 2, LLC	>200KW PV, NY Sun	344,715
Westville Associates of New York 1 L..	Multifam Performance Pgm, Multifamily	156,000
WexEnergy LLC	Cleantech Ignition, PON 3871 Ignition Grants	25,000
Whiteface Mountain Solar 1, LLC	>200KW PV, NY-Sun CI Payee Assignment	554,644
Whitmore Court Apartments LLC	Multifam Performance Pgm, Multifamily	22,000
Willdan Energy Solutions	Air Source Heat Pumps, Staff Augmentation Services	1,391
	Campus/Technical Assistance, Staff Augmentation Services	1,391
	Cleantech Ignition, SA.062a_TWO#4 Tech to Market	28,784
	Cleantech Incubator, SA.062a_TWO#4 Tech to Market	28,784
	Code to Zero, SA.060_TWO #3 - Codes	120,569
	Commercial Real Estate Ten, Advanced Efficiency Solutions	0
	Commercial Real Estate Ten, Efficiency Planning & Engineer	101,562
	Commercial Real Estate Ten, Willdan-1345 AoA FI47-CTP	7,460
	Community RH&C, Staff Augmentation Services	1,391
	Geothermal Incentive Program, Staff Augmentation Services	1,391
	Industrial Process Effic, Industrial Process Efficiency	369
	Industrial Process Effic, IPE16224	2,203
	Industrial Process Effic, IPE16234	904
	Industrial Process Effic, IPE16240	904
	Industrial Process Effic, IPE16247	17,200
	Industrial Process Effic, Technical Review and Program S	3,493
	K-12 SCHOOLS, RFP 3788 P-12 Benchmarking	30,320
	Multifam Performance Pgm, Staff Augmentation Services	70,157
	NYCH: Technical Assistance, Natural Gas Constrained Areas	8,308
	Real Time Enrgy Management, Assignment of Agreement	-1,500
	Renewable Heat NY, Staff Augmentation Services	2,782
	Rmve Barriers Dist Enrgy Storg, FT12283 - 1250 Waters - FTC	39,657

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Contractor	Contract Description	Total Expended Amount
Willdan Energy Solutions	Technical Services, FT13038 - Phelps - FTC	11,723
	Technical Services, Natural Gas Constrained Areas	61,188
Willdan Lighting & Electric, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	5,400
	Talent Pipeline:CE and OJT, PON3981 Round 3	250,000
Willet Dairy, LLC	Anaerobic Digesters, Willet-Belltown Refurbishment	462,905
William Timkey	<200KW PV, PON 2112 NY SUN	5,082
Willrab Realty Corp	Multifam Performance Pgm, Multifamily	7,775
WNY Rural Preservation, LP	Multifam Performance Pgm, Multifamily	11,400
Woodcrest Dairy, LLC	ANAEROBIC DIGESTER, PON 2828 - Woodcrest	83,710
WSP USA Corp.	Commercial New Construc, RFP3771 Umbrella Contract	3,828
WTJ US Energy Services Inc	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	26,250
Yale University	U.S. DOE SEP Grant for oTherm	27,607
Yardi Systems, Inc.	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	19,745
You Save Green Incorporated	<200KW PV, PON 2112 NY SUN	2,772
Youth Action Programs and Homes, I..	Talent Pipeline:CE and OJT, PON3981 Round 3	84,301
Zero Energy Solutions LTD	Novel Bus Models & Offers, ZES Novel Business Model	70,636
Zerodraft Residential Inc.	Talent Pipeline:CE and OJT, OJT HIRE	9,459
ZG NY Solar, LLC	>200KW PV, NY-Sun C&I	104,413
Zotos International, Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	23,712
Grand Total		224,773,672

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Contractor	Contract Description	Total Expended Amount
1 Stop Electronics Center, Inc.	Home Perf w Energy Star, Single Family Residential	132,708
	Single Family Residential	52,318
42 Saratoga Ave LLC	OTHER PROGRAM AREA, Clean Transportation	8,000
52-01, LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
77 Reade Street Condominium	OTHER PROGRAM AREA, Clean Transportation	24,000
87-87, LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
93 North Pearl LLC	OTHER PROGRAM AREA, Clean Transportation	36,000
208 Broadway LLC	OTHER PROGRAM AREA, Clean Transportation	32,000
275 Broadhollow Owner LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
440 Jericho Turnpike Auto Sales, LLC	Clean Transportation	22,500
500 Seneca Street MT LLC	OTHER PROGRAM AREA, Clean Transportation	32,000
1135 Millersport HWY LLC	Clean Transportation	9,400
	Electric Vehicles - Rebate, Clean Transportation	28,400
1475 Winton Road North Inc	OTHER PROGRAM AREA, Clean Transportation	8,000
1590 Hylan Blvd Auto LLC	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	27,100
1591 Hylan Blvd Auto LLC	Clean Transportation	6,700
	Electric Vehicles - Rebate, Clean Transportation	6,200
2679bhwllc	Clean Transportation	10,600
	Electric Vehicles - Rebate, Clean Transportation	17,800
3955 WH Road, LLC	Clean Transportation	14,000
	Electric Vehicles - Rebate, Clean Transportation	30,000
20483 Associates LLC	OTHER PROGRAM AREA, Clean Transportation	8,000
Aasha LLC	OTHER PROGRAM AREA, Clean Transportation	8,000
Accelerate Wind LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,929
Actasys	Talent Pipeline: Internship Pgm, Workforce Dev & Train	114,763
Adirondack Carwash Co LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
Adirondack Chevrolet Buick	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	6,000
Adirondack Community Action	EMPOWER NY, Single Family Residential	699
	Home Perf w Energy Star, Single Family Residential	4,452
	Single Family Residential	2,591
Adirondack Community College	OTHER PROGRAM AREA, Clean Transportation	40,000
Adirondack North Country Association	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,765
ADK Gateway Development, LLC	OTHER PROGRAM AREA, Clean Transportation	40,000
ADK Stove & Fireplace	Renewable Heat NY, Clean Heating & Cooling	77,000
ADR Home Energy Solutions LLC.	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	188,982
	NYCH: Comfort Home, Single Family Residential	300
Advantage Suzuki LLC	Clean Transportation	25,100
	Electric Vehicles - Rebate, Clean Transportation	23,500
Advantage Title Agency, Inc.	GJGNY REVOLVING LOAN FUND, EnergyAffordability and Equity	12,525
	GJGNY REVOLVING LOAN FUND, Single Family Residential	166,398
Aerco International, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	28,117
Agarabi Engineering, PLLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	36,980
Air Company Holdings, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	39,586
Airtight Services, Inc.	EMPOWER NY, Single Family Residential	99
	Home Perf w Energy Star, Single Family Residential	61,575
	Single Family Residential	38,499
Albany Auto Management	Clean Transportation	13,400
	Electric Vehicles - Rebate, Clean Transportation	24,600

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Contractor	Contract Description	Total Expended Amount
Albany Port District Commission	OTHER PROGRAM AREA, Clean Transportation	24,000
Alco RE Properties LLC	OTHER PROGRAM AREA, Clean Transportation	32,000
All Star Energy, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,575
	EMPOWER NY, Single Family Residential	183,163
	Home Perf w Energy Star, Single Family Residential	563,877
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	9,964
Alternative Aviation Fuels, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,294
Alternative Carbon Energy Systems Inc	Geothermal Incentive Program, Clean Heating & Cooling	22,080
Alternative Power Solutions of NY, LLC	Geothermal Incentive Program, Clean Heating & Cooling	24,945
Amanda's Fireplace	Renewable Heat NY, Clean Heating & Cooling	28,000
Ambema Corporation	CLEAN TRANSPORTATION, Clean Transportation	8,000
AMERESCO, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	19,074
American AWS Corp.	EMPOWER NY, Single Family Residential	5,400
	Home Perf w Energy Star, Single Family Residential	400
	Single Family Residential	216,832
ANC Heating & Cooling	Renewable Heat NY, Clean Heating & Cooling	5,500
APD Properties, LLC	OTHER PROGRAM AREA, Clean Transportation	8,000
Appliance Recycling, Inc.	EMPOWER NY, Single Family Residential	59
	Home Perf w Energy Star, Single Family Residential	117,818
	Single Family Residential	43,899
Aris Wind LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,745
Arnold Chevrolet LLC	Clean Transportation	10,000
Association for Energy Affordability, In	EMPOWER NY, Single Family Residential	200
	Home Perf w Energy Star, Single Family Residential	64,855
	Single Family Residential	43,895
Auto Mall Hyundai, Inc.	Clean Transportation	202,600
	Electric Vehicles - Rebate, Clean Transportation	59,300
Automall Imports LLC	Clean Transportation	8,000
B&D Stoves Inc.	Renewable Heat NY, Clean Heating & Cooling	23,000
Barton Chevrolet Inc	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	8,000
Bay Ridge Hyundai LTD	Clean Transportation	21,600
	Electric Vehicles - Rebate, Clean Transportation	4,000
Bay Ridge Motor Sales Inc	Clean Transportation	3,900
	Electric Vehicles - Rebate, Clean Transportation	7,900
Bedford 2020 Coalition	Clean Energy Communities, Consumer Serv & Events Managem	2,500
	Geothermal Incentive Program, Consumer Serv & Events Managem	2,500
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	3,191
Beechwood, Inc.	OTHER PROGRAM AREA, Clean Transportation	32,000
Bejian Century Supply Inc	OTHER PROGRAM AREA, Clean Transportation	40,000
Benderson Development Co, LLC	OTHER PROGRAM AREA, Clean Transportation	18,000
Bensol Tech LLC	EMPOWER NY, Single Family Residential	400
	Home Perf w Energy Star, Single Family Residential	132,328
	Single Family Residential	11,706
Best Fire	Renewable Heat NY, Clean Heating & Cooling	42,500
Better Energy Solutions Inc.	EMPOWER NY, Single Family Residential	9,882
	GJGNY Market Rate Audits, Single Family Residential	1,200
	Home Perf w Energy Star, Single Family Residential	371,134
	Single Family Residential	208,142
Bettergy Corporation	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,873

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Contractor	Contract Description	Total Expended Amount
BFJ Enterprises of Latham	Electric Vehicles - Rebate, Clean Transportation	6,000
Biener Ford LLC	Clean Transportation	5,500
	Electric Vehicles - Rebate, Clean Transportation	2,200
Binghamton Regional	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,345
BioDiversity Research Institute	Environmental Research, Environmental Research	3,260
Black Cherry Services Group, Inc.	Home Perf w Energy Star, Single Family Residential	500
	Renewable Heat NY, Clean Heating & Cooling	6,500
Black Cloud Chimney Sweeps LLC	Renewable Heat NY, Clean Heating & Cooling	40,000
BlocPower LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	32,092
BlueOx Corporation	Air Source Heat Pumps, Codes, Products and Standards	22,248
BPTC	EMPOWER NY, Single Family Residential	99,594
	Home Perf w Energy Star, Single Family Residential	17,571
	Low Rise New Construction, New Construction	9,800
	Single Family Residential	40,287
Breathe Easy of CNY Inc.	Home Perf w Energy Star, Single Family Residential	137,944
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	39,791
Bright Building LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,558
Bright Power, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	87,742
Brooklyn Cooperative FCU	GJGNY REVOLVING LOAN FUND, Efficiency Planning & Engineer	300
Buffalo Energy, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	530
	EMPOWER NY, Single Family Residential	387,140
	Home Perf w Energy Star, Single Family Residential	557,535
	NYCH: Comfort Home, Single Family Residential	2,950
	NYCH: LMI, Single Family Residential	13,300
	Single Family Residential	20,056
Buffalo Geothermal Heating	Geothermal Incentive Program, Clean Heating & Cooling	24,660
Buffalo Solar Solutions Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	19,944
Building Efficiency Resources	Low Rise New Construction, New Construction	45,600
Building Performance Institute, Inc.	NYCH: Comfort Home, Single Family Residential	5,100
Burdick Motors Inc.	Clean Transportation	6,200
	Electric Vehicles - Rebate, Clean Transportation	21,800
Buzz Chew Chevrolet Cadillac Inc	Clean Transportation	16,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
C2 Energy Capital LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	40,632
C&H Cooling and Heating Inc.	Geothermal Incentive Program, Clean Heating & Cooling	10,500
C&R Housing Inc.	EMPOWER NY, Single Family Residential	220,265
	Home Perf w Energy Star, Single Family Residential	13,182
	Single Family Residential	12,487
C&S Engineers, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,763
Capro-X Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	27,732
Caribou Biofuels, Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,547
Cars Unlimited of Suffolk LLC	Clean Transportation	78,000
	Electric Vehicles - Rebate, Clean Transportation	3,300
Catholic Health System, Inc.	OTHER PROGRAM AREA, Clean Transportation	32,000
Cavallaro Neubauer Chevrolet Inc	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	6,000
Cazenovia College	CLEAN TRANSPORTATION, Clean Transportation	8,000
CEC Stuyvesant Cove, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	18,629
Central Heating & Cooling, Inc.	Home Perf w Energy Star, Single Family Residential	12,748
Central Hudson Gas & Electric Corp.	CLEAN TRANSPORTATION, Clean Transportation	120,000

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Contractor	Contract Description	Total Expended Amount
Central Hudson Gas and Electric Corporat	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,885
Central Nissan, LTD	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	12,000
Centsible House, Inc	GJGNY Market Rate Audits, Single Family Residential	2,000
	Home Perf w Energy Star, Single Family Residential	33,938
	NYCH: Comfort Home, Single Family Residential	300
	NYCH: LMI, Single Family Residential	15,200
	Single Family Residential	271
Charles Graves Inc.	EMPOWER NY, Single Family Residential	26,026
	Home Perf w Energy Star, Single Family Residential	246,413
	Single Family Residential	13,615
Charlotte Appliances	EMPOWER NY, Single Family Residential	2,507
	Home Perf w Energy Star, Single Family Residential	13,410
	Single Family Residential	2,956
Chautauqua Opportunities, Inc.	EMPOWER NY, Single Family Residential	27,976
	Home Perf w Energy Star, Single Family Residential	877
	Single Family Residential	6,910
CHHA Garages	OTHER PROGRAM AREA, Clean Transportation	24,000
CHHA2 Garages LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
	OTHER PROGRAM AREA, Clean Transportation	16,000
City of Glens Falls	OTHER PROGRAM AREA, Clean Transportation	8,000
City of Rochester	OTHER PROGRAM AREA, Clean Transportation	6,000
City Suburban Environmental Systems, Inc	Geothermal Incentive Program, Clean Heating & Cooling	7,005
City World Imports, Inc.	Electric Vehicles - Rebate, Clean Transportation	9,100
City World Motors, LLC	Clean Transportation	6,800
	Electric Vehicles - Rebate, Clean Transportation	1,700
Clifton Park Imports, Inc.	Clean Transportation	16,600
	Electric Vehicles - Rebate, Clean Transportation	52,400
Clover Heating & Cooling	GJGNY Market Rate Audits, Single Family Residential	2,250
	Home Perf w Energy Star, Single Family Residential	1,282
	NYCH: Comfort Home, Single Family Residential	300
CNY Home Tech Services	Home Perf w Energy Star, Single Family Residential	4,494
	Single Family Residential	1,197
CNY Insulation Plus, Inc	Home Perf w Energy Star, Single Family Residential	41,620
Colonie Import Distributors LTD	Clean Transportation	25,000
	Electric Vehicles - Rebate, Clean Transportation	38,000
Columbia Opportunities Inc.	EMPOWER NY, Single Family Residential	905
	Home Perf w Energy Star, Single Family Residential	37,682
	Single Family Residential	12,150
Commission on Economic Opportunity	EMPOWER NY, Single Family Residential	44
	Home Perf w Energy Star, Single Family Residential	111,884
	Single Family Residential	3,499
Common Energy LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	15,422
Community Action Planning Council of Jef	Home Perf w Energy Star, Single Family Residential	51,232
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	33,735
Competiton Microcars LLC	Clean Transportation	5,000
	Electric Vehicles - Rebate, Clean Transportation	500
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	1,521
	GJGNY REVOLVING LOAN FUND, Multifamily	158
	GJGNY REVOLVING LOAN FUND, Single Family Residential	684,326

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Contractor	Contract Description	Total Expended Amount
Concord Servicing Corporation	OTHER PROGRAM AREA, Single Family Residential	17,167
Condor Mount Kisco LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	36,000
Consolidated Edison Company	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	600
	GJGNY REVOLVING LOAN FUND, Single Family Residential	13,131
Cornell Cooperative Extension - Tompkins	OTHER PROGRAM AREA, Clean Transportation	8,000
Cornell University	REV Campus Challenge, Consumer Serv & Events Managem	1,000
Cornerstone Energy Services	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	750
	GJGNY Market Rate Audits, Single Family Residential	600
	Home Perf w Energy Star, Single Family Residential	29,964
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
	Single Family Residential	35,485
Corporate Commons Three LLC	OTHER PROGRAM AREA, Clean Transportation	80,000
Cortese Chrysler Dodge Jeep Inc	Clean Transportation	3,300
	Electric Vehicles - Rebate, Clean Transportation	3,300
Cortland County Community Action Program	EMPOWER NY, Single Family Residential	132
	Home Perf w Energy Star, Single Family Residential	12,932
	Single Family Residential	12,676
Country Lincoln Mercury West LLC	Clean Transportation	6,000
	Electric Vehicles - Rebate, Clean Transportation	1,100
Country Pointe at Plainview Homeowners A	OTHER PROGRAM AREA, Clean Transportation	16,000
Country Suburban Heating & Air Condition	Air Source Heat Pumps, Codes, Products and Standards	30,422
	Home Perf w Energy Star, Single Family Residential	8,359
Countryside Stove & Chimney of Marcy, In	Renewable Heat NY, Clean Heating & Cooling	72,000
County of Rockland	OTHER PROGRAM AREA, Clean Transportation	12,000
County of Schuyler	OTHER PROGRAM AREA, Clean Transportation	32,000
Cowles Company of Northern New York, Inc	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	124,218
	Single Family Residential	32,631
Crossfield Home Energy Solutions	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	734
	EMPOWER NY, Single Family Residential	682
	Home Perf w Energy Star, Single Family Residential	118,743
	NYCH: Comfort Home, Single Family Residential	1,000
	Single Family Residential	3,537
Crown Ford Inc.	Clean Transportation	4,400
	Electric Vehicles - Rebate, Clean Transportation	6,600
Curry Motor Cars LLC	Clean Transportation	6,000
	Electric Vehicles - Rebate, Clean Transportation	38,000
Custom Computer Specialists	OTHER PROGRAM AREA, Clean Transportation	8,000
Dachnowicz Automotive Inc	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	1,700
Dailey Electric Inc	Geothermal Incentive Program, Clean Heating & Cooling	28,995
Dana Motors, Ltd.	Electric Vehicles - Rebate, Clean Transportation	8,800
Dandelion Energy Inc	Geothermal Incentive Program, Clean Heating & Cooling	158,989
Daniel J. Ryan	EMPOWER NY, Single Family Residential	86,951
	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	23,504
Dave Hayes Appliance Center Inc.	EMPOWER NY, Single Family Residential	1,740
	Home Perf w Energy Star, Single Family Residential	8,741
	Single Family Residential	3,038
David Energy Systems, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,704

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Contractor	Contract Description	Total Expended Amount
David M Scott	EMPOWER NY, Single Family Residential	550
	Home Perf w Energy Star, Single Family Residential	41,455
	Single Family Residential	2,376
Dawn Homes Inc.	OTHER PROGRAM AREA, Clean Transportation	24,000
DCH NY Motors LLC	Clean Transportation	23,300
	Electric Vehicles - Rebate, Clean Transportation	32,900
Delaware Opportunities, Inc.	EMPOWER NY, Single Family Residential	1,364
	Home Perf w Energy Star, Single Family Residential	5,853
	Single Family Residential	3,444
Delaware Tower Condominium	CLEAN TRANSPORTATION, Clean Transportation	80,000
Della Auto Group, Inc.	Clean Transportation	8,800
	Electric Vehicles - Rebate, Clean Transportation	17,200
Delmar Auto Plaza LTD	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	68,500
DeNooyer Chevrolet, Inc.	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	12,000
Depaula Chevrolet Inc.	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	8,000
Destination 770 Auto Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
DGM, LLC	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	13,600
Dimien Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	749
Do-It-With Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,596
Dollaride, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,886
Domsco Motor	Clean Transportation	12,400
	Electric Vehicles - Rebate, Clean Transportation	14,700
Doyle Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	10,000
Driver's Village, Inc.	Clean Transportation	2,500
	Electric Vehicles - Rebate, Clean Transportation	15,500
Dual Fuel Corp	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,320
Dutchess Cars LLC	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	8,500
Dwight Getting Heating & Air Conditionin	Geothermal Incentive Program, Clean Heating & Cooling	23,663
E and V Energy Corporation	Air Source Heat Pumps, Codes, Products and Standards	16,430
E-Wave Technologies LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,688
Eagle Auto Mall Sales Inc	Clean Transportation	12,000
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Clean Heating & Cooling	14,505
East Greenbush Installs LLC	Renewable Heat NY, Clean Heating & Cooling	38,000
East Syracuse Sales Co Inc	Electric Vehicles - Rebate, Clean Transportation	10,000
East West Realty Development Group LLC	OTHER PROGRAM AREA, Clean Transportation	24,000
Easthills Chevrolet Oldsmobile Inc.	Clean Transportation	8,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
Eco Heating & Cooling Inc	EMPOWER NY, Single Family Residential	22,247
	Home Perf w Energy Star, Single Family Residential	215,552
	NYCH: LMI, Single Family Residential	24,100
	Single Family Residential	132,069
Ecogy Solar LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,568
ecoLong LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	16,646
Economic Opportunity Program	EMPOWER NY, Single Family Residential	572
	Home Perf w Energy Star, Single Family Residential	18,610
	Single Family Residential	570

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Contractor	Contract Description	Total Expended Amount
Edison Innovative Power, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,125
Empower Equity Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,376
Energy & Environmental Research	Talent Pipeline: Internship Pgm, Workforce Dev & Train	8,089
Energy Answers	Home Perf w Energy Star, Single Family Residential	19,903
	Single Family Residential	13,252
Energy Evolution Inc	EMPOWER NY, Single Family Residential	55
	Home Perf w Energy Star, Single Family Residential	120,428
	NYCH: Comfort Home, Single Family Residential	4,600
	Single Family Residential	795
Energy Improvement Corporation	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,805
Energy Management Solutions, LLC	GJGNY Market Rate Audits, Single Family Residential	21,050
	Home Perf w Energy Star, Single Family Residential	94,391
	NYCH: Comfort Home, Single Family Residential	21,100
Energy Savers Inc	EMPOWER NY, Single Family Residential	1,089
	Home Perf w Energy Star, Single Family Residential	589,626
	NYCH: Comfort Home, Single Family Residential	7,800
	Single Family Residential	20,005
Energy Saving Solutions, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	250
	EMPOWER NY, Single Family Residential	235,074
	Home Perf w Energy Star, Single Family Residential	73,215
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	19,610
Energy Service Technologies, LLC	Home Perf w Energy Star, Single Family Residential	31,016
	Single Family Residential	13,797
Enertiv Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	17,167
Environmental Contracting LLC	EMPOWER NY, Single Family Residential	99
	Home Perf w Energy Star, Single Family Residential	58,171
	Single Family Residential	8,255
Eric Maskell	Geothermal Incentive Program, Clean Heating & Cooling	14,655
Erie County	OTHER PROGRAM AREA, Clean Transportation	96,000
Essense Partners Inc.	Geothermal Incentive Program, Clean Heating & Cooling	4,750
Etrog Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,198
Euro and American Contracting	Home Perf w Energy Star, Single Family Residential	122,131
	Single Family Residential	11,688
F.G. Downing Development, Inc.	Clean Transportation	2,600
	Electric Vehicles - Rebate, Clean Transportation	7,000
Fairstead Affordable LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,477
Farmshelf Corporation	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,607
Foam It Insulation, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	2,150
	EMPOWER NY, Single Family Residential	14,562
	GJGNY Market Rate Audits, Single Family Residential	750
	Home Perf w Energy Star, Single Family Residential	495,442
	NYCH: Comfort Home, Single Family Residential	300
	NYCH: LMI, Single Family Residential	19,660
	Single Family Residential	86,309
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,283
Folia Water Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	22,069
Foster Lawrence Enterprises, LLC	EMPOWER NY, Single Family Residential	4,111
	Home Perf w Energy Star, Single Family Residential	675
	Single Family Residential	6,113
Fox Associates of Auburn, Inc	Electric Vehicles - Rebate, Clean Transportation	5,100

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Contractor	Contract Description	Total Expended Amount
Fox Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	18,900
Fred F. Collis & Sons, Inc.	Air Source Heat Pumps, Codes, Products and Standards	16,952
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	2,730
	EMPOWER NY, Single Family Residential	30,201
	GJGNY Market Rate Audits, Single Family Residential	8,600
	Home Perf w Energy Star, Single Family Residential	418,529
	Single Family Residential	220,164
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,731
Frederick J Goris, Jr.	EMPOWER NY, Single Family Residential	104,002
	Home Perf w Energy Star, Single Family Residential	11,676
	Single Family Residential	46,247
Fresh Maintenance LLC	Home Perf w Energy Star, Single Family Residential	3,500
Friello and Sons Heating and Cooling, In	EMPOWER NY, Single Family Residential	4,446
	Home Perf w Energy Star, Single Family Residential	68,203
	Single Family Residential	8,885
Fuccillo Autoworld Inc	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	4,400
Fuccillo Enterprises, Inc.	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	6,100
Fuccillo Hyundai of Schenectady	Clean Transportation	10,000
	Electric Vehicles - Rebate, Clean Transportation	3,100
Fuccillo Ventures Inc	Clean Transportation	7,300
	Electric Vehicles - Rebate, Clean Transportation	31,500
Fulmont Community Action Agency Inc.	Home Perf w Energy Star, Single Family Residential	50,908
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	38,214
G.W. Ehrhart, Inc.	Renewable Heat NY, Clean Heating & Cooling	20,500
G&H Auto Group	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	8,000
Gaia Sharbel Energy Contracting	Home Perf w Energy Star, Single Family Residential	347
	Renewable Heat NY, Clean Heating & Cooling	5,500
Gallagher Electrical Services Heat & Air	EMPOWER NY, Single Family Residential	10,192
	Home Perf w Energy Star, Single Family Residential	127,287
	Single Family Residential	6,553
Garsten Motors Inc	Clean Transportation	6,800
Garvey Hyundai North LLC	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	4,000
Garvey Hyundai, Inc	Clean Transportation	4,200
	Electric Vehicles - Rebate, Clean Transportation	26,000
Gary Boyd	EMPOWER NY, Single Family Residential	341
	Home Perf w Energy Star, Single Family Residential	12,001
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	31,434
Gault Auto Mall Co. Inc.	Clean Transportation	9,900
	Electric Vehicles - Rebate, Clean Transportation	20,100
Gault Chevrolet Co. Inc.	Clean Transportation	2,500
	Electric Vehicles - Rebate, Clean Transportation	5,500
Geatrain Engineering PLLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
Geotherm Inc.	Geothermal Incentive Program, Clean Heating & Cooling	40,665
Geothermal Energy Options	Geothermal Incentive Program, Clean Heating & Cooling	49,500
Ger-Am Properties, Inc.	OTHER PROGRAM AREA, Clean Transportation	16,000

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Contractor	Contract Description	Total Expended Amount
Glen Falls NMS, LLC	Electric Vehicles - Rebate, Clean Transportation	8,000
Global Dwelling, LLC	EMPOWER NY, Single Family Residential	55
	Home Perf w Energy Star, Single Family Residential	225,744
	NYCH: LMI, Single Family Residential	3,542
	Single Family Residential	65,824
Gold Coast Home Comfort Inc	Air Source Heat Pumps, Codes, Products and Standards	25,141
Goldstein Motors Inc	Clean Transportation	2,500
	Electric Vehicles - Rebate, Clean Transportation	3,500
Great Swamp Conservancy Inc.	OTHER PROGRAM AREA, Clean Transportation	24,000
Greater Opportunities for Broome and Che	EMPOWER NY, Single Family Residential	5,367
	Home Perf w Energy Star, Single Family Residential	35,062
	Single Family Residential	16,433
Gree Mechanical Services USA Corp	Air Source Heat Pumps, Codes, Products and Standards	50,000
Green City Force	Home Perf w Energy Star, Single Family Residential	40,948
Green Home Innovations, Inc	EMPOWER NY, Single Family Residential	194,922
	Home Perf w Energy Star, Single Family Residential	29,749
	Single Family Residential	83,583
Green Home Logic, Inc.	EMPOWER NY, Single Family Residential	3,800
	GJGNY Market Rate Audits, Single Family Residential	9,000
	Home Energy Ratings, Single Family Residential	4,300
	Home Perf w Energy Star, Single Family Residential	29,255
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	300
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	116,547
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,732
Green Team USA LLC	EMPOWER NY, Single Family Residential	400
	GJGNY Market Rate Audits, Single Family Residential	8,000
	Home Perf w Energy Star, Single Family Residential	5,361
	Single Family Residential	10,730
Green Team USA, LLC	Home Energy Ratings, Single Family Residential	1,694
Group-S LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,089
GSC Services Corp	Home Perf w Energy Star, Single Family Residential	110,496
Guth Deconzo Consulting Engineers	Talent Pipeline: Internship Pgm, Workforce Dev & Train	18,215
H & K VanValkenburgh, Inc.	Renewable Heat NY, Clean Heating & Cooling	258,000
Habberstad Motorsport Inc.	Clean Transportation	17,100
	Electric Vehicles - Rebate, Clean Transportation	1,500
Halcyon Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,704
	EMPOWER NY, Single Family Residential	114,737
	GJGNY Market Rate Audits, Single Family Residential	8,000
	Home Perf w Energy Star, Single Family Residential	1,795,245
	NYCH: Comfort Home, Single Family Residential	6,600
	NYCH: LMI, Single Family Residential	85,152
	Single Family Residential	341,027
Halcyon, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	4,500
Haraden Motorcar Corp	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	3,400
Harisi Energy, LLC	EMPOWER NY, Single Family Residential	88
	GJGNY Market Rate Audits, Single Family Residential	2,550
	Home Perf w Energy Star, Single Family Residential	18,754
	Single Family Residential	12,830
Harvey, Bloch, Ortiz & Bailer Inc.	Geothermal Incentive Program, Clean Heating & Cooling	7,365

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Contractor	Contract Description	Total Expended Amount
Hassett Ford Lincoln Mercury Inc	Clean Transportation	10,200
	Electric Vehicles - Rebate, Clean Transportation	2,200
Hawn Heating & Energy Services LLC	Home Perf w Energy Star, Single Family Residential	5,212
Hawthorne Ridge, Inc.	OTHER PROGRAM AREA, Clean Transportation	16,000
Healey Chevrolet Inc.	Electric Vehicles - Rebate, Clean Transportation	8,000
Healey Hyundai, Inc	Clean Transportation	10,200
	Electric Vehicles - Rebate, Clean Transportation	25,300
Healthy Home Energy & Consulting, Inc.	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	500
	NYCH: Comfort Home, Single Family Residential	48,900
Hearths A Fire Inc.	Renewable Heat NY, Clean Heating & Cooling	184,500
Heat Inverse LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,664
Heinrich Chevrolet Corp	Clean Transportation	10,000
Heli Ip LLC	OTHER PROGRAM AREA, Clean Transportation	24,000
Hempstead Lincoln Mercury Motors Corp.	Clean Transportation	23,000
	Electric Vehicles - Rebate, Clean Transportation	1,100
Herzog Supply Co. Inc	OTHER PROGRAM AREA, Clean Transportation	8,000
Home Energy Consultants Inc.	EMPOWER NY, Single Family Residential	9,676
	Home Perf w Energy Star, Single Family Residential	145,103
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	76,607
Home Energy Solutions of Western NY, Inc	EMPOWER NY, Single Family Residential	2,835
	Home Perf w Energy Star, Single Family Residential	55,528
Home Performance Professionals, Inc.	EMPOWER NY, Single Family Residential	33,681
	Home Energy Ratings, Single Family Residential	1,800
	Home Perf w Energy Star, Single Family Residential	10,729
	Single Family Residential	8,409
HomeWorks Energy, Inc.	GJGNY Market Rate Audits, Single Family Residential	1,200
	Home Perf w Energy Star, Single Family Residential	40,796
	Single Family Residential	657
Hoselton Chevrolet, Inc.	Clean Transportation	20,000
	Electric Vehicles - Rebate, Clean Transportation	26,000
Hoselton Imports, Inc	Clean Transportation	37,900
	Electric Vehicles - Rebate, Clean Transportation	73,600
Hoselton Nissan Inc	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	12,000
Hudson Valley Energy, Inc.	Home Perf w Energy Star, Single Family Residential	65,859
	Single Family Residential	23,179
Hyundai of White Plains LLC	Electric Vehicles - Rebate, Clean Transportation	8,200
Ide Pontiac Inc	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	5,100
Ideal Energy Solutions LLC	EMPOWER NY, Single Family Residential	421,440
	Home Perf w Energy Star, Single Family Residential	120,983
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	218,975
IGM Holdings, Inc.	Home Perf w Energy Star, Single Family Residential	834,777
	NYCH: Comfort Home, Single Family Residential	300
Illume Advising LLC	Home Perf w Energy Star, EnergyAffordability and Equity	4,880
INF Associates LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,091
Innovation Now, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	626
	EMPOWER NY, Single Family Residential	4,956

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Contractor	Contract Description	Total Expended Amount
Innovation Now, LLC	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	128,438
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	450
	Single Family Residential	34,889
Installed Building Products LLC	EMPOWER NY, Single Family Residential	73,856
	Home Perf w Energy Star, Single Family Residential	74,120
	Single Family Residential	91,863
Integrity Automotive Group LLC	Clean Transportation	10,600
	Electric Vehicles - Rebate, Clean Transportation	11,800
Interstate Renewable Energy Council, Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,990
Irving Ave 158 LLC	OTHER PROGRAM AREA, Clean Transportation	40,000
Isaac Heating and Air Conditioning, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	7,245
	GJGNY Market Rate Audits, Single Family Residential	53,250
	Home Perf w Energy Star, Single Family Residential	444,832
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	3,900
Ivy Lea Construction	EMPOWER NY, Single Family Residential	124,226
	Home Perf w Energy Star, Single Family Residential	21,079
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	12,886
J Synergy Green Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	250
	GJGNY Market Rate Audits, Single Family Residential	900
	Home Perf w Energy Star, Single Family Residential	3,869
J&M Motors Of Hempstead LLC	Clean Transportation	8,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
Jack Hall Plumbing and Heating, Inc.	Home Perf w Energy Star, Single Family Residential	174,340
	NYCH: LMI, Single Family Residential	13,849
	Single Family Residential	57,668
Jack Sherman Inc.	Clean Transportation	9,400
	Electric Vehicles - Rebate, Clean Transportation	21,800
James Cars of Rome LLC	Electric Vehicles - Rebate, Clean Transportation	5,500
James Richard Meehan III	Home Perf w Energy Star, Single Family Residential	6,884
Jardine Inc	Clean Transportation	12,300
	Electric Vehicles - Rebate, Clean Transportation	12,900
Jay Kennedy Country Heating	Renewable Heat NY, Clean Heating & Cooling	9,000
Jim Barnard Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
JM Huntington Motors LLC	Clean Transportation	11,000
JML Hotels LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
JMR Development Co., LLC	OTHER PROGRAM AREA, Clean Transportation	40,000
John Betlem Heating & Cooling Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	670
	Home Perf w Energy Star, Single Family Residential	56,053
	NYCH: Comfort Home, Single Family Residential	300
Johnson's Pool & Spas LLC	Renewable Heat NY, Clean Heating & Cooling	9,000
Joint Council of Economic Opportunity	EMPOWER NY, Single Family Residential	1,021
	Home Perf w Energy Star, Single Family Residential	7,856
Joule Assets Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	28,886
JS Autoworld, LLC	Clean Transportation	17,700
JS Huntington Auto Sales LLC	Clean Transportation	43,600
	Electric Vehicles - Rebate, Clean Transportation	1,700
JS Huntington Motors LLC	Clean Transportation	12,000
JS Hyundai Of Valley Stream, LLC	Clean Transportation	41,200
	Electric Vehicles - Rebate, Clean Transportation	12,800

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Kech Insulation and Remodeling, LLC	EMPOWER NY, Single Family Residential	22,470
	Home Perf w Energy Star, Single Family Residential	4,550
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	10,269
KI-PO Motors Chevrolet Inc	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	4,000
Kilbury's Feed Service Inc	Renewable Heat NY, Clean Heating & Cooling	26,500
Kinderhook Sales Inc	Clean Transportation	4,500
	Electric Vehicles - Rebate, Clean Transportation	15,600
Kingston Automotive LLC	Clean Transportation	6,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
Kitchen Hearth & Home, Inc.	Renewable Heat NY, Clean Heating & Cooling	42,500
KLZ Enterprises	Renewable Heat NY, Clean Heating & Cooling	28,000
Koepfel Nissan Inc	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	26,000
Koester Associates	OTHER PROGRAM AREA, Clean Transportation	8,000
L2 Automotive, Inc.	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	10,000
L.B. Auto of 112 LLC	Clean Transportation	5,500
Lake Country Geothermal, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	7,815
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	800
Lakeville United Church of Christ	OTHER PROGRAM AREA, Clean Transportation	16,000
Lamico Enterprises, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	692
	Home Perf w Energy Star, Single Family Residential	6,542
Larsen P.E.,L.S., P.C.	OTHER PROGRAM AREA, Clean Transportation	8,000
LC DRives	Talent Pipeline: Internship Pgm, Workforce Dev & Train	121,364
LeBrun LLC	Electric Vehicles - Rebate, Clean Transportation	10,600
Legend Nissan LTD	Clean Transportation	6,000
Lewis County Opportunities, Inc.	Home Perf w Energy Star, Single Family Residential	21,239
	Single Family Residential	1,725
Lia Automotive, LLC	Clean Transportation	4,500
	Electric Vehicles - Rebate, Clean Transportation	7,900
Linear Motors LLC	Clean Transportation	6,000
	Electric Vehicles - Rebate, Clean Transportation	14,400
Lithia of Yorkville -4, LLC	Clean Transportation	3,100
	Electric Vehicles - Rebate, Clean Transportation	18,200
Little Cars of L.I. Inc	Clean Transportation	10,200
Livingston Energy Group	OTHER PROGRAM AREA, Clean Transportation	116,000
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	66,723
LM Bonneville Parking LLC	CLEAN TRANSPORTATION, Clean Transportation	24,000
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Single Family Residential	137,436
Lotze Insulation Design, Inc.	EMPOWER NY, Single Family Residential	37,894
	Home Perf w Energy Star, Single Family Residential	287,952
	Single Family Residential	122,349
Loughlin Dawn LLC	OTHER PROGRAM AREA, Clean Transportation	8,000
Louzoun Enterprise	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	3,400
Luxury Cars of Bayside Inc.	Clean Transportation	6,700
	Electric Vehicles - Rebate, Clean Transportation	2,000
Lyford Motors	Clean Transportation	2,800
	Electric Vehicles - Rebate, Clean Transportation	18,400

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Contractor	Contract Description	Total Expended Amount
Mack Markowitz Inc	Clean Transportation	6,600
Maguire Automotive LLC	Clean Transportation	10,600
	Electric Vehicles - Rebate, Clean Transportation	25,700
Maguire Cars LLC	Clean Transportation	31,000
	Electric Vehicles - Rebate, Clean Transportation	58,600
Maguire CDJR LLC	Clean Transportation	8,800
	Electric Vehicles - Rebate, Clean Transportation	6,600
Maguire Honda of Ithaca	Electric Vehicles - Rebate, Clean Transportation	5,100
Maguire Motors LLC	Clean Transportation	42,000
	Electric Vehicles - Rebate, Clean Transportation	50,000
Malcarne Contracting, Inc.	Air Source Heat Pumps, Codes, Products and Standards	4,400
	Home Perf w Energy Star, Single Family Residential	250
Mangino Chevrolet Inc	Clean Transportation	24,000
	Electric Vehicles - Rebate, Clean Transportation	12,000
Mangino Value Center Inc.	Clean Transportation	3,300
	Electric Vehicles - Rebate, Clean Transportation	14,300
Manhattan Motorcars Inc	Clean Transportation	8,500
	Electric Vehicles - Rebate, Clean Transportation	11,000
Manufacturers & Traders Trust Co.	OTHER PROGRAM AREA, Clean Transportation	40,000
Mark E. Fulmer	Home Energy Ratings, Single Family Residential	19,817
Massapequa Motors LLC	Clean Transportation	23,400
	Electric Vehicles - Rebate, Clean Transportation	1,100
Metro NY Insulation LLC	Home Perf w Energy Star, Single Family Residential	133,402
	NYCH: Comfort Home, Single Family Residential	41,250
	Single Family Residential	26,401
Michael B Kearney	EMPOWER NY, Single Family Residential	9,110
	Home Perf w Energy Star, Single Family Residential	754
	Single Family Residential	7,946
Mid Island Hyundai LLC	Clean Transportation	46,100
	Electric Vehicles - Rebate, Clean Transportation	7,300
Mid-York Chimney and Stove LLC	Renewable Heat NY, Clean Heating & Cooling	25,500
Mike Basil Motors Inc.	Clean Transportation	18,200
	Electric Vehicles - Rebate, Clean Transportation	20,400
Millennium Hyundai, LLC	Clean Transportation	20,800
	Electric Vehicles - Rebate, Clean Transportation	2,000
Millennium Super Store, LLC	Clean Transportation	14,900
	Electric Vehicles - Rebate, Clean Transportation	2,800
Miller Motor Car Corp.	Clean Transportation	2,200
	Electric Vehicles - Rebate, Clean Transportation	4,800
MKJC Auto Group LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
Mohawk Gaming Enterprises, LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
MTM, LLC.	OTHER PROGRAM AREA, Clean Transportation	16,000
Mullarney's Garden Center	Renewable Heat NY, Clean Heating & Cooling	99,961
Municipality of City of Amsterdam	OTHER PROGRAM AREA, Clean Transportation	16,000
National Fuel Gas Dist. Corp.	EnergyAffordability and Equity	231,690
Nebraska Plumbing & Heating	GJGNY Market Rate Audits, Single Family Residential	2,700
	Home Perf w Energy Star, Single Family Residential	4,085
Neighborhood Housing Services of	EMPOWER NY, Single Family Residential	103,755
	GJGNY Market Rate Audits, Single Family Residential	750
	Home Perf w Energy Star, Single Family Residential	289,320

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Contractor	Contract Description	Total Expended Amount
Neighborhood Housing Services of	Single Family Residential	115,569
Nelson Properties, LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
New York City Energy Efficiency Corp	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,202
New York Homeowners Construction Co., LL	Home Perf w Energy Star, Single Family Residential	102,220
	Single Family Residential	12,180
New York State Foam & Energy LLC	Home Perf w Energy Star, Single Family Residential	423
	NYCH: Comfort Home, Single Family Residential	8,200
New York State Teachers Retirement Syste	OTHER PROGRAM AREA, Clean Transportation	32,000
NextCorps Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	8,376
Niagara Mohawk Power Corporation	GJGNY REVOLVING LOAN FUND, Single Family Residential	70,546
Nick's Home Energy Improvements Inc.	EMPOWER NY, Single Family Residential	744
	Home Perf w Energy Star, Single Family Residential	40,498
	Single Family Residential	981
Nicotra Hotel II LLC	OTHER PROGRAM AREA, Clean Transportation	40,000
Nispen Building Performance, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	375
	EMPOWER NY, Single Family Residential	132
	Home Perf w Energy Star, Single Family Residential	65,662
	Renewable Heat NY, Clean Heating & Cooling	19,500
	Single Family Residential	18,853
Norpc Restaurant Inc	OTHER PROGRAM AREA, Clean Transportation	8,000
North East Underlayments LLC	Home Perf w Energy Star, Single Family Residential	20,880
	Single Family Residential	3,031
North Shore Chevrolet of Smithtown	Clean Transportation	22,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
Northeast Home Improvement, LLC	EMPOWER NY, Single Family Residential	765
	Home Perf w Energy Star, Single Family Residential	55,205
	Single Family Residential	24,804
Northeastern Fireplace and Design	Renewable Heat NY, Clean Heating & Cooling	7,500
Northern Automotive Group Inc.	Clean Transportation	6,100
	Electric Vehicles - Rebate, Clean Transportation	14,000
Northern Development II, LLC	OTHER PROGRAM AREA, Clean Transportation	24,000
Northtown Hyundai Inc	Clean Transportation	18,600
	Electric Vehicles - Rebate, Clean Transportation	16,800
Nortz & Virkler Inc	OTHER PROGRAM AREA, Clean Transportation	8,000
NP Environmental LLC	Campus/Technical Assistance, Clean Heating & Cooling	2,040
	Geothermal Incentive Program, Clean Heating & Cooling	13,680
NR Automotive Inc	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	5,000
Nunda Farm Service Inc.	Renewable Heat NY, Clean Heating & Cooling	13,000
NY Greentop	GJGNY Market Rate Audits, Single Family Residential	2,000
	Home Perf w Energy Star, Single Family Residential	87,183
Nye Automotive Group, Inc	Clean Transportation	5,000
	Electric Vehicles - Rebate, Clean Transportation	15,100
NYLSI, INC	Clean Transportation	82,200
	Electric Vehicles - Rebate, Clean Transportation	3,900
NYS Dept. Taxation & Finance	Admin-General Charges	23,000,000
	ENERGY ANALYSIS, Energy Analysis	2,225,000
	OTHER PROGRAM AREA, Admin-General Charges	5,150,000
NYS Energy Audits, Inc.	EMPOWER NY, Single Family Residential	18,185
	GJGNY Market Rate Audits, Single Family Residential	8,000
	Home Perf w Energy Star, Single Family Residential	542,611

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Contractor	Contract Description	Total Expended Amount
NYS Energy Audits, Inc.	Single Family Residential	253,462
NYS Energy Solutions	EMPOWER NY, Single Family Residential	1,200
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	500
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	71,554
NYS Olympic Regional Development Auth.	OTHER PROGRAM AREA, Clean Transportation	104,000
NYSEG	GJGNY REVOLVING LOAN FUND, Single Family Residential	5,431
O'Connor Chevrolet, Inc.	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	6,000
ODA Community Development Corp.	Home Perf w Energy Star, Single Family Residential	39,825
	Single Family Residential	2,410
Olum's of Binghamton, Inc.	EMPOWER NY, Single Family Residential	1,880
	Home Perf w Energy Star, Single Family Residential	47,200
	Single Family Residential	22,509
One Alexander St LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
Oneida Public Library	OTHER PROGRAM AREA, Clean Transportation	16,000
OnRout Co.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,134
Opportunities for Otsego, Inc.	EMPOWER NY, Single Family Residential	5,611
	Home Perf w Energy Star, Single Family Residential	55,850
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	29,373
Orenda Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	43,547
Otis Ford Inc	Clean Transportation	5,500
Otsego County Conservation Association	Talent Pipeline: Internship Pgm, Workforce Dev & Train	540
Owahgena Consulting, Inc.	NYCH: Innovation, Advanced Buildings	320
OZF Holdings LLC	OTHER PROGRAM AREA, Clean Transportation	40,000
P.R.O. Home Improvement of CNY, LLC	EMPOWER NY, Single Family Residential	400
	Home Perf w Energy Star, Single Family Residential	97,470
	Single Family Residential	12,846
Paddock Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	6,000
Pana Nissan, LLC	Clean Transportation	16,000
	Electric Vehicles - Rebate, Clean Transportation	28,000
Parker Chevrolet, Inc.	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	8,000
Parkway II LLC	Clean Transportation	2,800
	Electric Vehicles - Rebate, Clean Transportation	13,500
Patchogue 112 Motors LLC	Clean Transportation	6,400
	Electric Vehicles - Rebate, Clean Transportation	1,100
Pathfinder Engineers & Architects, LLP	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,630
Pathstone Corporation	EMPOWER NY, Single Family Residential	6,160
	Home Perf w Energy Star, Single Family Residential	19,326
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	590
Patriot Energy Solutions Corp	Home Perf w Energy Star, Single Family Residential	1,187,768
	Single Family Residential	14,134
Paul A. Castrucci, Architects PLLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,413
PBL Equipment & Service Inc	Renewable Heat NY, Clean Heating & Cooling	13,000
PEG	Low Rise New Construction, New Construction	16,200
Penns Worldwide Auto Superstore LTD	Clean Transportation	31,200
	Electric Vehicles - Rebate, Clean Transportation	6,700

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Contractor	Contract Description	Total Expended Amount
People's Equal Action & Community Effort	Home Perf w Energy Star, Single Family Residential	63,923
	Single Family Residential	24,817
Performance Systems Development	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,203
Performance Systems Development, Inc.	Low Rise New Construction, New Construction	7,000
Pete Faber	Renewable Heat NY, Clean Heating & Cooling	26,500
Peter Tavino PE PC	Campus/Technical Assistance, Clean Heating & Cooling	15,121
Picotte Development Co., LP	OTHER PROGRAM AREA, Clean Transportation	40,000
PJD Hyundai West LLC	Clean Transportation	4,200
	Electric Vehicles - Rebate, Clean Transportation	35,900
Plankton Energy LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,643
Plaza Automotive, Ltd.	Clean Transportation	73,300
	Electric Vehicles - Rebate, Clean Transportation	139,500
Plaza Motors of Brooklyn, Inc.	Electric Vehicles - Rebate, Clean Transportation	6,200
Poseidon Systems, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	44,417
Preferred Air Systems, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	32,888
Prestige Automobiles Inc.	Clean Transportation	22,500
	Electric Vehicles - Rebate, Clean Transportation	43,100
Prime Time Energy Services, Inc.	EMPOWER NY, Single Family Residential	163,730
	Home Perf w Energy Star, Single Family Residential	30,116
	NYCH: Comfort Home, Single Family Residential	6,750
	Single Family Residential	58,207
Pro Action of Steuben & Yates, Inc.	Home Perf w Energy Star, Single Family Residential	12,407
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	50,512
Pro-Services Plumbing & Heating Inc	Air Source Heat Pumps, Codes, Products and Standards	5,724
Professional Commercial Group	OTHER PROGRAM AREA, Clean Transportation	8,000
ProjectEconomics, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,688
QUIK-AG, INC.	OTHER PROGRAM AREA, Clean Transportation	32,000
R. McLagan, Inc.	Home Perf w Energy Star, Single Family Residential	7,654
	NYCH: LMI, Single Family Residential	12,705
Rallye Westbury, LLC	Clean Transportation	19,800
	Electric Vehicles - Rebate, Clean Transportation	1,500
Ramp Motors Inc	Clean Transportation	18,700
Ray Catena of Westchester, LLC	Clean Transportation	3,000
	Electric Vehicles - Rebate, Clean Transportation	11,600
Regional Economic Community Action	Home Perf w Energy Star, Single Family Residential	175,750
	Single Family Residential	45,326
Regional Food Bank of NENY	OTHER PROGRAM AREA, Clean Transportation	32,000
Reyes Repair Inc	Renewable Heat NY, Clean Heating & Cooling	39,000
Renua Energy Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,313
Responsive to Our Community	OTHER PROGRAM AREA, Clean Transportation	16,000
Reynolds Group Enterprises, Inc.	Renewable Heat NY, Clean Heating & Cooling	43,000
RI Suresky and Sons Inc	Clean Transportation	7,100
	Electric Vehicles - Rebate, Clean Transportation	25,300
Rivera Auto Group Inc	Clean Transportation	8,900
	Electric Vehicles - Rebate, Clean Transportation	30,200
Riverhead Auto Mall LTD	Clean Transportation	10,000
RJ Chevrolet Inc	Clean Transportation	32,000
	Electric Vehicles - Rebate, Clean Transportation	40,000
RMR Marketing LLC	Renewable Heat NY, Clean Heating & Cooling	9,000
Robert Chevrolet Inc	Clean Transportation	6,000

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Contractor	Contract Description	Total Expended Amount
Rochester Genesee Regional Transportatio	OTHER PROGRAM AREA, Clean Transportation	48,000
Rochester Zen Center	OTHER PROGRAM AREA, Clean Transportation	16,000
Rodney Lind	EMPOWER NY, Single Family Residential	31,279
	Home Perf w Energy Star, Single Family Residential	261,893
	Single Family Residential	149,079
Roeliff Jansen Community Library	OTHER PROGRAM AREA, Clean Transportation	8,000
Romano Toyota	Clean Transportation	18,300
	Electric Vehicles - Rebate, Clean Transportation	51,200
Romeo Chevrolet Buick GMC	Clean Transportation	6,000
	Electric Vehicles - Rebate, Clean Transportation	14,000
Romeo Motors LLC	Electric Vehicles - Rebate, Clean Transportation	5,000
Rosewood Plaza LP	OTHER PROGRAM AREA, Clean Transportation	24,000
Route 59 Automotive LLC	Clean Transportation	24,000
	Electric Vehicles - Rebate, Clean Transportation	41,700
Ruge's Automotive, Inc.	Electric Vehicles - Rebate, Clean Transportation	6,000
Ryan Plumbing Heating Air Conditioning	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	500
	EMPOWER NY, Single Family Residential	1,158
	Home Perf w Energy Star, Single Family Residential	191,263
	Single Family Residential	23,193
S & H Associates LLC	Clean Transportation	6,000
	Electric Vehicles - Rebate, Clean Transportation	16,000
Sand Creek Associates	OTHER PROGRAM AREA, Clean Transportation	24,000
SANFILIPPO SOLUTIONS INC.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,376
	EMPOWER NY, Single Family Residential	227,812
	GJGNY Market Rate Audits, Single Family Residential	5,000
	Home Perf w Energy Star, Single Family Residential	64,200
	NYCH: Comfort Home, Single Family Residential	300
	Renewable Heat NY, Clean Heating & Cooling	1,500
	Single Family Residential	92,268
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,990
Santoshi Corporation	CLEAN TRANSPORTATION, Clean Transportation	8,000
Saranac Lake Resort Owner, LLC	OTHER PROGRAM AREA, Clean Transportation	24,000
Saratoga County EOC	EMPOWER NY, Single Family Residential	176
	Home Perf w Energy Star, Single Family Residential	26,808
	Single Family Residential	42,740
Saratoga Fireplace & Stove, Inc.	Renewable Heat NY, Clean Heating & Cooling	11,500
Saratoga Imports Inc	Clean Transportation	12,800
	Electric Vehicles - Rebate, Clean Transportation	16,100
Saratoga Regional Young Men's Christian	OTHER PROGRAM AREA, Clean Transportation	48,000
SC Auto Corp	Clean Transportation	64,100
	Electric Vehicles - Rebate, Clean Transportation	5,500
Science Academies of New York Charter Sc	OTHER PROGRAM AREA, Clean Transportation	32,000
SCOOP HVAC, LLC	Air Source Heat Pumps, Codes, Products and Standards	7,000
Seed Renewables Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,722
Seneca County Weatherization	EMPOWER NY, Single Family Residential	6,145
	Home Perf w Energy Star, Single Family Residential	44,379
	Single Family Residential	19,984
Sharp's Bulk Food Store	Renewable Heat NY, Clean Heating & Cooling	249,500
Sigma Tremblay, LLC	GJGNY Market Rate Audits, Single Family Residential	5,250
	Home Perf w Energy Star, Single Family Residential	71,237
	NYCH: Comfort Home, Single Family Residential	2,000

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Contractor	Contract Description	Total Expended Amount
Sigma Tremblay, LLC	Single Family Residential	15,301
Simply Home Performance	EMPOWER NY, Single Family Residential	26,825
	Home Perf w Energy Star, Single Family Residential	1,045,771
	Single Family Residential	640,017
Skyline Automobiles Inc	Clean Transportation	7,800
	Electric Vehicles - Rebate, Clean Transportation	19,000
Smarter Grid Solutions, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,630
Snug Planet, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	202
	EMPOWER NY, Single Family Residential	781
	Home Perf w Energy Star, Single Family Residential	216,229
	NYCH: LMI, Single Family Residential	14,000
	Single Family Residential	52,688
Solar Energy Haus, Inc.	EMPOWER NY, Single Family Residential	2,800
	Home Perf w Energy Star, Single Family Residential	200
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	116,020
Solar Tompkins Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,972
SolarKal LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	13,586
Sound Mountain	OTHER PROGRAM AREA, Clean Transportation	16,000
South Shore Motors Corp	Clean Transportation	5,500
Southampton Hospital Association	OTHER PROGRAM AREA, Clean Transportation	8,000
Stacey Bennett	Renewable Heat NY, Clean Heating & Cooling	16,500
Standard Insulating Company	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	2,752
	EMPOWER NY, Single Family Residential	30,545
	GJGNY Market Rate Audits, Single Family Residential	6,650
	Home Perf w Energy Star, Single Family Residential	1,552,551
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	300
	NYCH: Comfort Home, Single Family Residential	450
	Single Family Residential	150,770
Star Auto Sales of Bayside Inc	Clean Transportation	12,400
	Electric Vehicles - Rebate, Clean Transportation	23,200
State of New York	OTHER PROGRAM AREA, Clean Transportation	16,000
State University of New York at Buffalo	OTHER PROGRAM AREA, Clean Transportation	56,000
Stateside Auto Sales Inc.	Clean Transportation	7,200
	Electric Vehicles - Rebate, Clean Transportation	18,900
Steet Ponte Inc	Clean Transportation	10,000
		1,100
	Electric Vehicles - Rebate, Clean Transportation	22,900
		14,500
STNO, LLC	Clean Transportation	44,400
	Electric Vehicles - Rebate, Clean Transportation	2,800
Stohl Environmental, LLC	CLEAN TRANSPORTATION, Clean Transportation	24,000
Stoler of Westbury	Clean Transportation	42,100
	Electric Vehicles - Rebate, Clean Transportation	22,100
Sun Dance Pool N Patio Inc.	Air Source Heat Pumps, Clean Heating & Cooling	7,643
	Renewable Heat NY, Clean Heating & Cooling	62,000
Sun Source Technologies	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,123
Sundog Solar, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	14,010
Sunrise Automall LLC	Clean Transportation	5,100
Sunset Park Redevelopment Comm	Home Perf w Energy Star, Single Family Residential	20,127
SUNY Broome Community College	OTHER PROGRAM AREA, Clean Transportation	24,000

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Contractor	Contract Description	Total Expended Amount
SUNY Cortland	OTHER PROGRAM AREA, Clean Transportation	32,000
Superior Energy Innovations, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	978
	EMPOWER NY, Single Family Residential	70,956
	GJGNY Market Rate Audits, Single Family Residential	8,000
	Home Perf w Energy Star, Single Family Residential	26,655
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
	Single Family Residential	22,457
Superior Insulation Co., LLC	EMPOWER NY, Single Family Residential	9,849
	Home Perf w Energy Star, Single Family Residential	186,800
	Single Family Residential	40,758
Sustainable Comfort, Inc	Low Rise New Construction, New Construction	49,600
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	8,316
Sustainable Hudson Valley, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,112
Sustainable Tompkins	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,778
Syosset Hyundai LLC	Clean Transportation	40,600
Syracuse Signal Systems, Inc	OTHER PROGRAM AREA, Clean Transportation	8,000
Systemax Inc	OTHER PROGRAM AREA, Clean Transportation	24,000
T Stone, LLC	OTHER PROGRAM AREA, Clean Transportation	24,000
T.J.Nik Corp	Clean Transportation	6,200
	Electric Vehicles - Rebate, Clean Transportation	1,100
Tall Pines Farm Inc.	Renewable Heat NY, Clean Heating & Cooling	18,500
Taylor Heating Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,857
	EMPOWER NY, Single Family Residential	13,051
	GJGNY Market Rate Audits, Single Family Residential	3,000
	Home Energy Ratings, Single Family Residential	4,199
	Home Perf w Energy Star, Single Family Residential	287,567
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
	NYCH: Comfort Home, Single Family Residential	1,600
	Single Family Residential	8,999
TBS Acquisition Corp	Clean Transportation	14,000
Technology Professionals Group Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,282
Tesla Motors New York LLC	Clean Transportation	3,202,000
	Electric Vehicles - Rebate, Clean Transportation	4,786,000
The 30 Bayard Street Condominium	OTHER PROGRAM AREA, Clean Transportation	8,000
The Bicknell Corporation	Renewable Heat NY, Clean Heating & Cooling	61,500
The Business Council of NYS, Inc.	Prof & Expert Engagement, Utility Affairs& Strat Partner	500
The Dorschel Group	Clean Transportation	34,000
		4,000
		11,300
	Electric Vehicles - Rebate, Clean Transportation	57,900
		34,000
		28,400
The Energy Doctors	EMPOWER NY, Single Family Residential	55
	Home Perf w Energy Star, Single Family Residential	7,205
	Single Family Residential	976
The HH Lighthouse Condominium	OTHER PROGRAM AREA, Clean Transportation	72,000
The Insulation Man LLC	EMPOWER NY, Single Family Residential	16,219
	Home Energy Ratings, Single Family Residential	1,194
	Home Perf w Energy Star, Single Family Residential	138,464
	Single Family Residential	11,570
The Nature Conservancy	OTHER PROGRAM AREA, Clean Transportation	8,000

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Expended Amount
The Radiant Store	Home Perf w Energy Star, Single Family Residential	7,619
Thomas Sansone	Home Energy Ratings, Single Family Residential	11,449
Three Peaks Energy Corp.	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	7,050
	NYCH: Comfort Home, Single Family Residential	1,300
	Single Family Residential	3,698
Timothy Marlett	EMPOWER NY, Single Family Residential	112,562
	Home Perf w Energy Star, Single Family Residential	152,125
	Single Family Residential	53,803
Tioga Opportunities Inc.	EMPOWER NY, Single Family Residential	3,495
	Home Perf w Energy Star, Single Family Residential	89,543
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	49,361
TLL Motors Inc	Clean Transportation	148,400
	Electric Vehicles - Rebate, Clean Transportation	6,600
Tompkins Community Action	EMPOWER NY, Single Family Residential	132
	Home Perf w Energy Star, Single Family Residential	22,227
	NYCH: Comfort Home, Single Family Residential	300
Tompkins Seneca Tioga BOCES	OTHER PROGRAM AREA, Clean Transportation	16,000
Total Comfort Heating and Air Conditioni	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	631
	EMPOWER NY, Single Family Residential	23,542
	Home Perf w Energy Star, Single Family Residential	249,454
	Single Family Residential	8,413
Tower 195, LLC	OTHER PROGRAM AREA, Clean Transportation	16,000
Town of Bethlehem	OTHER PROGRAM AREA, Clean Transportation	24,000
Town of Bolton	OTHER PROGRAM AREA, Clean Transportation	16,000
Town of Dryden	OTHER PROGRAM AREA, Clean Transportation	8,000
Town of Livingston	CLEAN TRANSPORTATION, Clean Transportation	8,000
Town of Mendon	OTHER PROGRAM AREA, Clean Transportation	8,000
Town of Queensbury	OTHER PROGRAM AREA, Clean Transportation	48,000
Town of Roxbury	OTHER PROGRAM AREA, Clean Transportation	8,000
Town of Saugerties	OTHER PROGRAM AREA, Clean Transportation	8,000
Town of Webster	OTHER PROGRAM AREA, Clean Transportation	8,000
Towne Ford, Inc.	Clean Transportation	3,100
	Electric Vehicles - Rebate, Clean Transportation	20,600
TRS Heating and Air Conditioning Co., In	EMPOWER NY, Single Family Residential	91,875
	Home Perf w Energy Star, Single Family Residential	49,333
	Single Family Residential	99,052
True Building Performance LLC	GJGNY Market Rate Audits, Single Family Residential	11,000
	Home Perf w Energy Star, Single Family Residential	211,208
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	60,816
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	20,925
True Energy Solutions	EMPOWER NY, Single Family Residential	7,113
	Home Perf w Energy Star, Single Family Residential	132,654
	NYCH: Comfort Home, Single Family Residential	2,500
	Single Family Residential	51,805
TT of Freeport Inc	Electric Vehicles - Rebate, Clean Transportation	5,100
Ulster Construction Co. Inc.	EMPOWER NY, Single Family Residential	7,774
	Home Perf w Energy Star, Single Family Residential	28,033
	Single Family Residential	10,687

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Ulster County Community Action, Inc.	EMPOWER NY, Single Family Residential	176
	Home Perf w Energy Star, Single Family Residential	104,435
	Single Family Residential	32,549
Universal Hearth Stores Inc.	Renewable Heat NY, Clean Heating & Cooling	42,500
University of Rochester	CLEAN TRANSPORTATION, Clean Transportation	8,000
Upcycles Transit Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	36,353
Upstate Imports Inc	Clean Transportation	7,200
	Electric Vehicles - Rebate, Clean Transportation	7,800
Upstate Spray Foam Insulation, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	950
	EMPOWER NY, Single Family Residential	12,992
	Home Perf w Energy Star, Single Family Residential	217,184
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	26,638
Urban Homesteading Assistance Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,754
USGS National Center MS270	ENVIRONMENTAL RESEARCH, Environmental Research	1,439
Van Bortel Chevrolet, Inc.	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	24,000
Van Hee Mechanical	Geothermal Incentive Program, Clean Heating & Cooling	71,348
Vandersteyne Motor Sales Inc	Clean Transportation	3,900
	Electric Vehicles - Rebate, Clean Transportation	15,800
VillaBXV Condominium	OTHER PROGRAM AREA, Clean Transportation	80,000
Village of Bronxville	OTHER PROGRAM AREA, Clean Transportation	16,000
Village of Canastota	OTHER PROGRAM AREA, Clean Transportation	8,000
Village of Irvington	OTHER PROGRAM AREA, Clean Transportation	16,000
Village of Perry	OTHER PROGRAM AREA, Clean Transportation	8,000
Village of Phoenix	OTHER PROGRAM AREA, Clean Transportation	8,000
VirtualAPT Corp	Talent Pipeline: Internship Pgm, Workforce Dev & Train	15,060
Vision Hyundai Of Webster LLC	Clean Transportation	11,100
	Electric Vehicles - Rebate, Clean Transportation	13,100
Vulcan Enterprises LLC	Renewable Heat NY, Clean Heating & Cooling	15,000
Waite Motor Sales Inc	Clean Transportation	11,100
	Electric Vehicles - Rebate, Clean Transportation	18,400
Warren/Hamilton Counties ACEO	Home Perf w Energy Star, Single Family Residential	24,123
	Single Family Residential	4,805
Water Works Center. LLC	OTHER PROGRAM AREA, Clean Transportation	8,000
WaterFurnace International, Inc.	Campus/Technical Assistance, Clean Heating & Cooling	34,346
Wavelength Group, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,373
Wayne County Action Program	EMPOWER NY, Single Family Residential	61,595
	Home Perf w Energy Star, Single Family Residential	71,061
	Single Family Residential	2,463
West Herr Ford Inc	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	1,100
West Herr Imports LLC	Clean Transportation	17,200
	Electric Vehicles - Rebate, Clean Transportation	27,900
West Nyack Motor Cars LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	6,000
West Side Management of Saratoga LLC	OTHER PROGRAM AREA, Clean Transportation	88,000
Westchester Foreign Auto's Inc.	Clean Transportation	3,400
	Electric Vehicles - Rebate, Clean Transportation	9,000
WexEnergy LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,209
WHA EIGHT LLC	Clean Transportation	11,600

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
WHA Five LLC	Clean Transportation	23,600
	Electric Vehicles - Rebate, Clean Transportation	92,100
WHA Two LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	12,000
WHAC LLC	Clean Transportation	1,000
	Electric Vehicles - Rebate, Clean Transportation	8,600
Whiteman Chevrolet Inc	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	14,000
Williams Toyota Elmira	Clean Transportation	8,900
	Electric Vehicles - Rebate, Clean Transportation	16,700
Willie Oxendine	Home Perf w Energy Star, Single Family Residential	128,731
	NYCH: LMI, Single Family Residential	15,550
	Single Family Residential	11,602
Wisconsin Energy Conservation Corp	>200KW PV, NY-Sun	88,590
	Air Source Heat Pumps, Codes, Products and Standards	2,040
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, EnergyAfforda..	118,867
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	8,449
	Geothermal Incentive Program, Clean Heating & Cooling	2,010
	GJGNY REVOLVING LOAN FUND, Single Family Residential	409,370
	Home Perf w Energy Star, EnergyAffordability and Equity	7,416,926
	Home Perf w Energy Star, Single Family Residential	537,111
Wise Home Energy, LLC	Renewable Heat NY, Clean Heating & Cooling	43,980
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	250
	EMPOWER NY, Single Family Residential	20,312
	GJGNY Market Rate Audits, Single Family Residential	3,050
	Home Energy Ratings, Single Family Residential	9,612
	Home Perf w Energy Star, Single Family Residential	485,006
	NYCH: Comfort Home, Single Family Residential	5,600
	Single Family Residential	153,016
Wood 'N Things	Renewable Heat NY, Clean Heating & Cooling	13,500
WPV Automotive Partners LLC	Clean Transportation	7,500
	Electric Vehicles - Rebate, Clean Transportation	500
WS Healey Chevrolet Buick Inc.	Electric Vehicles - Rebate, Clean Transportation	6,000
Xallent LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,089
You Save Green Incorporated	Talent Pipeline: Internship Pgm, Workforce Dev & Train	17,213
Zenner and Ritter Inc.	EMPOWER NY, Single Family Residential	50,235
	Home Perf w Energy Star, Single Family Residential	46,501
	Single Family Residential	3,421
Zerodraft Residential Inc.	EMPOWER NY, Single Family Residential	71,301
	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	991,917
	NYCH: Comfort Home, Single Family Residential	300
	NYCH: LMI, Single Family Residential	15,000
	Single Family Residential	32,500
Grand Total		91,349,126

NYSERDA
Public Authority Law Report
October 1, 2020 to March 31, 2021

Section Break

Contracts Executed

Period 10/1/2020 through 3/31/2021

Contractor	Date Encumbered	Contract Description	Total Contract Amount
1st Light Energy, Inc.	2/12/2021	<200KW PV, PON 2112 NY SUN	16,415
3GI CPO, LLC	3/26/2021	CLEANER GREENER COMMUNITIES, CGC 26480 - 3Gi	864,523
3rd ROC Solar LLC	12/3/2020	<200KW PV, PON 2112 NY SUN	6,944
	3/18/2021	<200KW PV, PON 2112 NY SUN	5,653
20 TSQ Lessee	2/11/2021	Technical Services, FT13353 - 701 7th - PON	9,938
43 & 2 Property Co LLC	3/12/2021	Technical Services, FT13359 - 801 2nd - PON	11,910
65 Broadway Owner LLC	2/8/2021	Technical Services, FT13231 - 65 Broadway - PON	37,376
174 Power Global NorthEast, LLC	11/3/2020	>200KW PV, PON 2112 NY SUN	172,800
	12/9/2020	>200KW PV, PON 2112 NY SUN	518,400
	3/3/2021	>200KW PV, PON 2112 NY SUN	183,218
211 Sea Foam Properties LLC	10/14/2020	Buildings of Excellence, Buildings of Excellence R1	425,000
223 East 25th Street LLC	3/17/2021	Buildings of Excellence, Buildings of Excellence R1	167,459
300 W 108 Owners Corp	3/17/2021	NYCH: Technical Assistance, FT13357 - 300 W 108th - PON	12,790
411 East 57th Street Corporation	11/30/2020	Technical Services, FT13161 - 411 E. 57th - PON	11,000
414 Gerard LLC	1/8/2021	New Construction Housing, 2019 MFCNP	298,400
415 Second Owners Corp	3/26/2021	NYCH: Technical Assistance, FT13368 - 240 E 24th - PON	5,450
445 Gerard LLC	1/8/2021	New Construction Housing, 2019 MFCNP	300,000
712 Fith Avenue Owner LP	2/22/2021	Technical Services, FT13225 - 712 Fifth Ave - PON	27,946
770 Electric Corp.	11/24/2020	<200KW PV, NY-Sun	4,680
		>200KW PV, NY-Sun	4,680
	11/27/2020	<200KW PV, NY-Sun	13,806
		>200KW PV, NY-Sun	9,204
	12/21/2020	<200KW PV, NY-Sun	19,440
		>200KW PV, NY-Sun	12,960
	12/30/2020	<200KW PV, NY-Sun	23,142
		>200KW PV, NY-Sun	9,918
	3/17/2021	<200KW PV, NY-Sun	55,364
		>200KW PV, NY-Sun	5,476
1182 Woodycrest LLC	11/12/2020	Buildings of Excellence, Buildings of Excellence R1	350,931
	3/23/2021	Multifam New Construction, New Construction	157,500
1397 E. 2nd LLC	12/30/2020	Multifam Performance Pgm, Multifamily	21,700
1639 RT 29 Solar 2, LLC	2/22/2021	>200KW PV, NY Sun	899,964
2645 Union Street Solar, LLC	3/6/2021	>200KW PV, NY-Sun C&I	1,610,820
2648 Union Street Solar, LLC	3/6/2021	>200KW PV, NY-Sun C&I	1,405,620
2675 Union Street Solar, LLC	3/6/2021	>200KW PV, NY-Sun C&I	1,462,050
Able Grid Infrastructure Holdings	2/11/2021	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	22,500,000
Abundant Solar Power Inc.	12/7/2020	>200KW PV, NY Sun	910,091
		NY-SUN, NY Sun	1,260,126
AC Power, LLC	3/8/2021	>200KW PV, NY Sun	3,436,997
		NY-SUN, NY Sun	1,061,338
Accord Power, Inc.	11/27/2020	>200KW PV, PON 2112 NY SUN	8,580
	12/8/2020	>200KW PV, PON 2112 NY SUN	65,262
	12/22/2020	>200KW PV, PON 2112 NY SUN	8,938
	1/19/2021	>200KW PV, PON 2112 NY SUN	5,985
	2/18/2021	>200KW PV, PON 2112 NY SUN	37,225
	3/15/2021	<200KW PV, NY-Sun	35,354
		>200KW PV, NY-Sun	3,497
	3/16/2021	<200KW PV, NY-Sun	112,749
		>200KW PV, NY-Sun	11,151
	>200KW PV, PON 2112 NY SUN	16,485	
ACEEE	12/4/2020	Subscription/Data Access, ACEEE sponsored research	40,000
	2/23/2021	Prof & Expert Engagement, 2021 Membership	12,000
	3/4/2021	Prof & Expert Engagement, ASAP 2021 sponsorship	25,000
ACI V REIT HOLDCO JV LLC	3/12/2021	Technical Services, FT13427 - 110 Leroy - PON	11,550
ACPBKI LLC	12/3/2020	Technical Services, FT13214 - 630 Flushing - PON	18,035
Activate Global, Inc	12/18/2020	Innovation, Research Plan	50,000

Contracts Executed

Period 10/1/2020 through 3/31/2021

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Active Solar Development, LLC	1/20/2021	<200KW PV, NY-Sun	32,154
		NY-SUN, NY-Sun	3,510
Actuate Innovation, Inc.	11/12/2020	Innovation, Investment Plan	50,000
Adam C. Boese	10/14/2020	New Construction- Commercial, Commercial New Construction	34,804
	1/29/2021	Technical Services, FT13208 - 3400 Cannon - FTC	7,800
	2/12/2021	Technical Services, AEAP	3,500
Adewale Aremu Adesanya	2/19/2021	Havenergy Technical Assistance	500,000
ADK Solar	12/15/2020	<200KW PV, PON 2112 NY SUN	5,712
Advanced Radiant Design, Inc.	10/20/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	12/3/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	3/8/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
AE Duke Management LLC	12/28/2020	Technical Services, FT13184 - AE Duke - PON	10,000
AECOM Technical Services Inc.	10/13/2020	WEST VALLEY DEVELOPMENT PROGRAM, Environmental M..	191,525
Aequita Consulting LLC	11/2/2020	OTHER PROGRAM AREA, Resilience Consultancy with NY	218,000
AES DE RS X, LLC	1/8/2021	>200KW PV, NY-Sun C&I	1,480,024
AES DE RS XV, LLC	3/26/2021	>200KW PV, NY Sun	256,074
AES Distributed Energy, Inc.	10/29/2020	>200KW PV, NY-Sun C&I	997,682
	1/8/2021	>200KW PV, NY-Sun C&I	1,128,497
	1/19/2021	>200KW PV, NY-Sun	1,254,926
		>200KW PV, NY-Sun C&I	327,910
	1/20/2021	>200KW PV, NY-Sun C&I	1,065,178
	2/22/2021	>200KW PV, NY Sun	1,100,498
Agbotic Project #1, LLC	10/30/2020	NY Green Bank, Agbotic - Restructuring	1,000,000
Agilintas Energy, LLC	12/1/2020	ENERGY STORAGE, Retail Storage	850,000
AHA Development Corporation	11/23/2020	New Construction Housing, 2019 LRNCP	57,200
Akimeka, LLC	12/23/2020	Electric Vehicles - Innovation, Used EV Sales Demo	298,997
Algonquin Power Fund Inc.	12/16/2020	>200KW PV, NY-Sun C&I	566,100
Allegis Group Holdings Inc	12/2/2020	Home Perf w Energy Star, SA.070_TWO#11 - EAE PM	403,767
	12/7/2020	Pay for Performance, SA.055_TWO #10 - P4P PM	39,248
	2/17/2021	NEW YORK GREEN BANK, Staff Augmentation Services	75,266
	2/24/2021	ENERGY ANALYSIS, SA.020_TWO #5_EEA Coordinator	15,067
Allen Power, Inc.	2/26/2021	<200KW PV, PON 2112 NY SUN	8,750
	3/24/2021	<200KW PV, PON 2112 NY SUN	31,028
Alliance for Sustainable Energy, LLC	1/8/2021	OREC: Technical Support, TWO 5 - NREL NY Great Lakes	550,000
Alliance to Save Energy	12/8/2020	Prof & Expert Engagement, 2020 ASE Membership	35,000
Allison van Hee	12/18/2020	Contractor to NY Green Bank	50,000
Altanova LLC	10/28/2020	Rmve Barriers Dist Enrgy Storg, FT13162 - Legacy - FTC	9,004
	11/6/2020	New Construction- Commercial, Commercial New Construction	39,999
	12/8/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	61,929
	2/16/2021	NYCH: Technical Assistance, FT13306 - 430 W 50th - FTC	39,688
Alternative Carbon Energy Systems Inc	10/20/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
Alternative Power Solutions of NY, LLC	10/23/2020	<200KW PV, PON 2112 NY SUN	8,120
	12/3/2020	<200KW PV, PON 2112 NY SUN	15,633
	12/11/2020	<200KW PV, PON 2112 NY SUN	6,160
	12/15/2020	<200KW PV, PON 2112 NY SUN	5,320
	2/22/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	3/12/2021	<200KW PV, PON 2112 NY SUN	13,942
AltPOWER, Inc.	11/18/2020	<200KW PV, NY-Sun	314,340
	11/27/2020	<200KW PV, NY-Sun	76,128
	12/21/2020	<200KW PV, NY-Sun	134,628
Amergy Solar Inc.	1/26/2021	>200KW PV, PON 2112 NY SUN	7,524
American Energy Care, Inc.	10/21/2020	<200KW PV, NY-Sun	9,156
	11/12/2020	<200KW PV, PON 2112 NY SUN	9,728
	12/2/2020	<200KW PV, NY-Sun	17,789
	12/3/2020	<200KW PV, NY-Sun	6,232
	12/8/2020	<200KW PV, PON 2112 NY SUN	7,749

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
American Energy Care, Inc.	12/22/2020	<200KW PV, PON 2112 NY SUN	11,056
	1/14/2021	<200KW PV, PON 2112 NY SUN	5,494
	1/29/2021	<200KW PV, NY-Sun	10,464
	2/10/2021	<200KW PV, PON 2112 NY SUN	5,298
	2/19/2021	<200KW PV, NY-Sun	14,388
		<200KW PV, PON 2112 NY SUN	6,867
American Society of Heating,Refrigeratin	1/12/2021	Technical Services, ASHRAE - EPE Team Support TWO	105,000
Amherst Community Solar LLC	3/8/2021	>200KW PV, NY Sun	722,110
		NY-SUN, NY Sun	1,050,342
Amp Solar Group Inc.	3/5/2021	NY Green Bank, Amp Solar IX	10,000,000
AMP US HoldCo Inc.	10/15/2020	>200KW PV, NY Sun	2,041,200
	11/19/2020	>200KW PV, NY Sun	1,127,763
	12/4/2020	>200KW PV, NY Sun	2,041,200
Ansari Services	11/2/2020	Low-Income Forum on Energy, Climate strategy consulting	284,962
Antares Group, Inc.	11/10/2020	NYCH: Technical Assistance, Antares TWO-NG CHC Screenings	20,000
	12/16/2020	Technical Services, FT13204 - 2885 State - FTC	36,637
Aon Risk Consultants, Inc.	12/3/2020	Risk Consulting for Rudarpa Tr	5,000
Apex Roofing, LLC	12/30/2020	<200KW PV, PON 2112 NY SUN	6,370
Apex Solar Power LLC	10/8/2020	<200KW PV, PON 2112 NY SUN	6,720
	1/29/2021	<200KW PV, PON 2112 NY SUN	14,784
	2/8/2021	<200KW PV, NY-Sun	7,800
	3/23/2021	<200KW PV, NY-Sun	7,540
APPEXTREMES, LLC	3/26/2021	NYSERDA ADMINISTRATION, Conga Composer Maintenance ..	14,400
Apprise, Incorporated	11/9/2020	Home Perf w Energy Star, EnergyAffordability and Equity	50,061
	2/9/2021	Geothermal Incentive Program, TWO #3 - Survey Work	44,339
	3/10/2021	On-Site Energy Manager, RFQ3183 Umbrella Agreement	9,789
		Strategic Energy Manager, RFQ3183 Umbrella Agreement	9,789
APX Inc.	2/25/2021	REC:CES REC System Dev Costs, NYGATS	95,000
Arcadis of New York, Inc.	2/5/2021	Technical Services, FT13304 - Mohawk View - FTC	31,605
	2/25/2021	Strategic Energy Manager, SA.046_TWO #4 - EPE	277,661
	3/16/2021	Technical Services, AEAP	2,500
Arch Street Communications, Inc.	2/4/2021	OTHER PROGRAM AREA, RFP4459 Marketing Support	500,000
Architectural Flooring Resource, Inc.	12/21/2020	New Carpet/Cleaning NYGB	23,285
Arctic Air Mechanical Corp	3/10/2021	NYSERDA ADMINISTRATION, HVAC Preventative Maintenance	16,800
Argus Media Inc.	3/29/2021	ENERGY ANALYSIS, Energy Analysis	15,442
Atash Energy, LLC	1/5/2021	Commercial Real Estate Ten, Atash-4 Metrotech Center	5,000
	1/15/2021	Commercial Real Estate Ten, Atash Energy - 11 Madison -CTP	24,775
	3/23/2021	Commercial Real Estate Ten, Atash-875 3rd Ave FI 25-27	6,790
Atlantic Data Security, LLC	10/7/2020	NYSERDA ADMINISTRATION, Checkpoint Professional Servic	16,650
Atlas Contractors, LLC	1/21/2021	New Construction Housing, 2019 LRNCP	6,800
	3/23/2021	New Construction Housing, 2019 LRNCP	1,700
Automated Logic Contracting Services,..	2/10/2021	Real Time Enrgy Management, ALCS-412 E 9th St-RTEM	119,250
Autonomous Energies LLC	11/10/2020	>200KW PV, PON 2112 NY SUN	12,160
Axis Geospatial	10/14/2020	WEST VALLEY DEVELOPMENT PROGRAM, 2020 WNYNSC ..	287,568
Aztech Geothermal, LLC	11/25/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,960
Bangor Solar, LLC	11/2/2020	>200KW PV, NY Sun	929,483
		NY-SUN, NY Sun	1,286,976
Barbera Homes and Development, Inc.	10/22/2020	New Construction Housing, 2019 LRNCP	5,700
	12/8/2020	New Construction Housing, 2020 LRNCP	17,100
Basilica Industries LLC	1/27/2021	Net Zero Energy for Eco Dev, Net Zero Economic Development	950,139
BDO USA LLP	10/21/2020	Background Investigation Servi	8,300
	11/2/2020	Background Investigation Servi	4,400
	11/23/2020	Background Investigation Servi	10,700
	12/22/2020	Background Investigation Servi	5,500
		NYSERDA ADMINISTRATION, Background Investigation Servi	1,900
	3/3/2021	Background Investigation Servi	2,200

Contracts Executed

Period 10/1/2020 through 3/31/2021

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Beacon Communities Services LLC	12/14/2020	New Construction Housing, 2019 LRNCP	60,800
	12/18/2020	New Construction Housing, 2019 LRNCP	54,800
Beacon Meadows Intergen LLC	10/13/2020	New Construction Housing, 2019 LRNCP	59,000
Belmont Housing Resources for WNY, I..	1/19/2021	New Construction Housing, 2019 LRNCP	37,000
Benchmark Printing, Inc.	1/12/2021	NYSERDA ADMINISTRATION, External Program Printing	8,000
Bergmann Associates, Architects,	10/5/2020	Technical Services, AGG1009-Bergmann-Portfolio 1	50,000
	2/16/2021	Commercial Real Estate Ten, Bergmann Associates_Multisite	23,569
Best Energy Power	11/12/2020	<200KW PV, NY-Sun	22
		>200KW PV, NY-Sun	23
	11/18/2020	>200KW PV, PON 2112 NY SUN	20,880
	12/8/2020	>200KW PV, PON 2112 NY SUN	16,956
	12/9/2020	>200KW PV, PON 2112 NY SUN	56,592
	2/2/2021	>200KW PV, PON 2112 NY SUN	21,168
	2/11/2021	>200KW PV, PON 2112 NY SUN	30,348
	2/12/2021	>200KW PV, PON 2112 NY SUN	46,116
	2/16/2021	>200KW PV, PON 2112 NY SUN	80,568
	2/18/2021	<200KW PV, NY-Sun	61,916
		>200KW PV, NY-Sun	6,124
	2/23/2021	<200KW PV, NY-Sun	43,898
		>200KW PV, NY-Sun	4,342
	2/25/2021	<200KW PV, NY-Sun	238,820
		>200KW PV, NY-Sun	23,620
	3/3/2021	<200KW PV, NY-Sun	51,433
		>200KW PV, NY-Sun	5,087
	3/9/2021	<200KW PV, NY-Sun	30,467
		>200KW PV, NY-Sun	3,013
	3/10/2021	<200KW PV, NY-Sun	106,142
		>200KW PV, NY-Sun	10,498
	3/11/2021	<200KW PV, NY-Sun	114,332
		>200KW PV, NY-Sun	11,308
	3/12/2021	>200KW PV, PON 2112 NY SUN	20,304
	3/15/2021	<200KW PV, NY-Sun	111,056
		>200KW PV, NY-Sun	10,984
	3/18/2021	<200KW PV, NY-Sun	95,659
>200KW PV, NY-Sun		9,461	
3/22/2021	>200KW PV, PON 2112 NY SUN	50,436	
BioDiversity Research Institute	2/17/2021	OREC: Technical Support, BRI TWO #5 E-TWG Services	370,131
BlocPower LLC	3/2/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
BLUEPRINT POWER TECHNOLOGIES I..	3/15/2021	High Performing Grid, A DECARBONIZATION BLUEPRINT	3,000,000
BME Yellowjacket LLC	10/5/2020	Anaerobic Digesters, PON 3739 CAT C	324,700
	10/23/2020	Anaerobic Digesters, PON 3739 CAT C	646,250
Boice Dunham Group Inc	10/14/2020	High Performing Grid, Smart Grid Syst & Dist Eng Int	377,026
BOP NW LLC	12/8/2020	Commercial New Construc, SF106903 - BOP NW LLC	55,132
Boralex US Energy Inc	11/20/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	16,715,860
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_Bald Mtn.	11,879,960
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_West River	11,879,960
Boralex US Energy Inc.	11/20/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	69,916,454
Borrego Solar Systems, Inc.	10/1/2020	NY-SUN, NY Sun	1,649,762
	10/15/2020	>200KW PV, NY Sun	662,964
		NY-SUN, NY Sun	795,558
	1/19/2021	>200KW PV, NY Sun	965,075
		NY-SUN, NY Sun	1,187,784
	3/2/2021	>200KW PV, NY Sun	630,115
		NY-SUN, NY Sun	916,531
Bourne & Kenney Redevelopment Com..	11/12/2020	Technical Services, FT13156 - Kenney Apts. - PON	10,000
BPP MFNY Employer LLC	10/16/2020	Real Time Enrgy Management, BPPMFNYEmpLLC#4-Multi-RT..	1,074,404

Contracts Executed

Period 10/1/2020 through 3/31/2021

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Brattle Group Inc.	12/21/2020	REC4:CES REC4 Tech Support, TWO #4 Large Scale Hydroppo..	40,036
		REC:CES REC System Dev Costs, TWO #4 Large Scale Hydro..	259,964
	2/18/2021	OREC: Technical Support, Clean Energy Deliverability	100,000
Breathe Easy of CNY Inc.	11/30/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Bright Power, Inc.	10/8/2020	REV Campus Challenge, RM45 - Marymount Manhattan	49,605
	10/16/2020	<200KW PV, NY-Sun	73,440
		>200KW PV, NY-Sun	48,960
		Technical Services, FT13115 - 125 Court - FTC	10,125
	10/20/2020	<200KW PV, NY-Sun	15,840
		>200KW PV, NY-Sun	10,560
	10/21/2020	ESTOR:Retail Storage Incentive, Retail Storage	171,000
	11/2/2020	<200KW PV, NY-Sun	105,732
		>200KW PV, NY-Sun	70,488
	11/12/2020	Technical Services, FT13203 - 56 W 22nd - FTC	8,550
	11/16/2020	<200KW PV, NY-Sun	170,802
		>200KW PV, NY-Sun	113,868
	11/18/2020	<200KW PV, NY-Sun	52,488
		>200KW PV, NY-Sun	34,992
	11/20/2020	<200KW PV, NY-Sun	69,336
		>200KW PV, NY-Sun	46,224
	12/7/2020	<200KW PV, NY-Sun	174,096
		>200KW PV, NY-Sun	116,064
	12/8/2020	<200KW PV, NY-Sun	151,632
		>200KW PV, NY-Sun	101,088
	12/9/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	37,500
	12/14/2020	Commercial Real Estate Ten, Bright Power-56 West 22nd St	5,000
	12/17/2020	<200KW PV, NY-Sun	46,116
		>200KW PV, NY-Sun	19,764
	12/24/2020	Technical Services, FT13176 - 1755 York - FTC	8,600
		Technical Services, FT13202 - 1500 Lexington - FTC	5,550
		Technical Services, FT13220 - 50 W 23rd - FTC	14,175
	12/30/2020	Technical Services, FT13180 - 30 Washington - FTC	8,660
		Technical Services, FT13192 - 438-448 W 37th - FTC	6,750
		Technical Services, FT13194 - 110 Livingston - FTC	12,480
		Technical Services, FT13201 - 550 W 54th - FTC	17,210
	1/7/2021	Technical Services, FT13266 - 185 Varick - FTC	6,750
	1/14/2021	<200KW PV, NY-Sun	700
		>200KW PV, NY-Sun	7,920
	1/25/2021	Technical Services, FT13376 - Brooklyn Ren. - FTC	42,750
	2/2/2021	NYCH: Technical Assistance, FT13190 - 200 Hart - FTC	5,850
NYCH: Technical Assistance, FT13229 - 1520 Sedgwick - FTC		8,120	
Technical Services, FT13191 - 830 Howard - FTC		5,850	
Technical Services, FT13222 - 25 Washington - FTC		8,325	
2/11/2021	<200KW PV, NY-Sun	43,571	
	>200KW PV, NY-Sun	4,309	
2/12/2021	NYCH: Technical Assistance, FT13241 - Brighton House - FTC	7,740	
2/22/2021	NYCH: Technical Assistance, FT13290 - 320 W 38th - FTC	15,525	
	NYCH: Technical Assistance, FT13295 - 335 W. 50th - FTC	8,000	
3/16/2021	<200KW PV, NY-Sun	12,422	
	>200KW PV, NY-Sun	1,229	
3/17/2021	NYCH: Technical Assistance, FT13328 - 1065 Gerard - FTC	6,300	
	NYCH: Technical Assistance, FT13329 - 1075 Gerard - FTC	6,300	
3/19/2021	NYCH: Technical Assistance, FT13401 - 8 West 118th - FTC	7,950	
3/22/2021	NYCH: Technical Assistance, FT13331 - 1179 2nd - FTC	12,150	
	NYCH: Technical Assistance, FT13402 - 3468 Fenton - FTC	12,000	
3/31/2021	NYCH: Technical Assistance, FT13374 - 2260 Crotona - FTC	6,930	

Contracts Executed

Period 10/1/2020 through 3/31/2021

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	3/31/2021	NYCH: Technical Assistance, FT13375 - 711 Garden - FTC	8,280
Broad Financial Center, LLC	2/22/2021	Technical Services, FT13409 - Broad Financial -PON	9,360
Bronx Park Phase I Preservation LLC	12/14/2020	Multifam Performance Pgm, Multifamily	285,600
Bronx Park Phase II Preservation LLC	12/14/2020	Multifam Performance Pgm, Multifamily	375,200
Bronx Park Phase III Preservation, LLC	12/14/2020	Multifam Performance Pgm, Multifamily	231,700
Brooklyn Housing Preservation Limited Pa	1/20/2021	<200KW PV, NY-Sun	456,364
		>200KW PV, NY-Sun	45,136
Brooklyn SolarWorks LLC	1/15/2021	>200KW PV, PON 2112 NY SUN	6,188
Bruce Harley Energy Consulting LLC	10/6/2020	Air Source Heat Pumps, Heat Pump Technical Assistance	50,000
BTMI Engineering, PC	3/2/2021	OREC: Technical Support, State's Engineer for Port Inve	65,000
Buckeye Terminals, LLC	12/21/2020	FUEL NY, Upstate NY Strategic Fuels Res	1,282,334
Buddy Jason Folson	11/2/2020	OREC: Technical Support, ORECRFP20 Specialist Reviewer	8,000
Buffalo Climate Action LLC	3/16/2021	>200KW PV, NY Sun	263,640
	3/19/2021	>200KW PV, NY Sun	1,006,200
Buffalo Geothermal Heating	11/10/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,200
Buffalo Neighborhood Stabilization Co	12/23/2020	New Construction Housing, 2019 LRNCP	6,800
Buffalo Solar Solutions Inc	10/5/2020	<200KW PV, PON 2112 NY SUN	5,719
	10/29/2020	<200KW PV, PON 2112 NY SUN	5,117
	11/6/2020	<200KW PV, PON 2112 NY SUN	7,434
	12/3/2020	<200KW PV, PON 2112 NY SUN	14,243
	12/23/2020	<200KW PV, PON 2112 NY SUN	6,545
Build Edison LLC	11/10/2020	High Performing Grid, PATHWAY TO SCALE	495,000
Building Performance Institute, Inc.	12/2/2020	Talent Pipeline:CE and OJT, Energy & Efficiency Credential	185,000
Bullitt Farm Solar, LLC	1/12/2021	>200KW PV, NY Sun	974,130
Burke Solar, LLC	3/26/2021	>200KW PV, NY Sun	581,467
Butterville Road Solar, LLC	12/28/2020	>200KW PV, NY Sun	144,191
		NY-SUN, NY Sun	199,649
BW Research Partnership	1/5/2021	ENERGY ANALYSIS, TWO# 2 JTWG Jobs Study	33,333
		NYCH: Talent Ppln:CE and OJT, TWO# 2 JTWG Jobs Study	266,667
C2 NY Sentinel Heights Solar, LLC	1/19/2021	>200KW PV, NY Sun	649,771
		NY-SUN, NY Sun	899,683
C2 Omega LLC	1/27/2021	>200KW PV, NY Sun	939,747
		NY-SUN, NY Sun	1,156,611
C.J. Brown Energy, P.C.	10/5/2020	K-12 SCHOOLS, FT13132 - N. Tonawanda - FTC	66,290
	11/30/2020	Technical Services, FT13027 - Towers - FTC	5,300
		Technical Services, FT13028 - Residences - FTC	5,400
		Technical Services, FT13030 - 4710 Kehoe - FTC	5,400
		Technical Services, FT13031 - 2001 E Henrietta-FTC	5,400
		Technical Services, FT13032 - 18 N. Main - FTC	5,300
		Technical Services, FT13033 - Meadowbrook - FTC	5,300
		Technical Services, FT13034 - 4399 Plantation -FTC	5,300
		Technical Services, AEAP1282 - CRS Growers	5,997
	12/22/2020	Technical Services, AEAP1282 - CRS Growers	5,997
	1/25/2021	K-12 SCHOOLS, FT13226 - NY Mills UFSD - FTC	9,884
		K-12 SCHOOLS, FT13227 - Cooperstown CSD -FTC	19,567
	1/26/2021	Technical Services, AEAP1296 - FLX Grape LLC	5,997
1/28/2021	Technical Services, AEAP	3,497	
C&R Housing Inc.	3/9/2021	Talent Pipeline:CE and OJT, OJT HIRE	7,200
C&S Engineers, Inc.	1/7/2021	Technical Services, FT13279 - Courthouse - FTC	8,000
	3/9/2021	Technical Services, FT13418 - 2221 Niagara - FTC	8,361
	3/30/2021	Technical Services, FT13459 - 22643 Fisher - FTC	18,500
Cairo NY 1, LLC	3/6/2021	>200KW PV, NY-Sun C&I	496,776
		NY-SUN, NY-Sun C&I	876,663
Cali Harris	12/11/2020	EVPRZ:Implementation, Prize Program Implementation	50,000
Camden Renewables, LLC	12/14/2020	>200KW PV, NY Sun	514,707
		NY-SUN, NY Sun	712,670
Cameron Engineering & Associates LLP	12/24/2020	Technical Services, FT13205 - 395 Broadway - FTC	5,075

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Canandaigua Power Partners LLC	10/16/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	43,104,630
Canisteo Solar I	2/25/2021	>200KW PV, NY Sun	759,845
Capital District Regional Planning Com..	10/8/2020	Clean Energy Communities, Clean Energy Communities	1,668,654
Carahsoft Technology Corporation	12/14/2020	Salesforce 2021 Licensing	1,509,403
	2/22/2021	NYSERDA ADMINISTRATION, Event Monitoring Software	5,227
Carbon Lighthouse	10/8/2020	Real Time Enrgy Management, CL-Multisite-RTEM	167,133
Carbon Upcycling Inc	2/1/2021	76 West, 76West	250,000
Caroline Hazard	1/5/2021	Consumer Ed and Market Support, SFR Consulting Project Sup..	175,000
		NYCH: Supply Chain, SFR Consulting Project Support	175,000
Carter Ledyard & Milburn LLP	11/18/2020	NYSERDA ADMINISTRATION, Indian Point PAAA advice	15,000
	3/17/2021	NYSERDA ADMINISTRATION, Indian Point PAAA advice	179
Catlin Solar 1 LLC	10/22/2020	>200KW PV, NY-Sun C&I	512,068
Catskill View Solar, LLC	10/22/2020	>200KW PV, NY Sun	974,173
CBRE, Inc.	2/19/2021	On-Site Energy Manager, OsEM57-I IBM Sterling Forest	211,051
CC Controlled Combustion Co., Inc.	1/7/2021	Real Time Enrgy Management, Cc Cont.-295 Cherry St-RTEM	29,768
CDS Monarch Inc	12/17/2020	New Construction Housing, 2019 LRNCP	50,000
CEMC Associates LLC	1/29/2021	Multifam Performance Pgm, Multifamily	104,300
	2/9/2021	Technical Services, FT13224 - Flower City - PON	9,875
Center for Economic and Environmenta..	3/16/2021	Retrofit NY, Retrofit NY Assist	49,500
Central New York Regional Planning and	11/24/2020	Clean Energy Communities, Clean Energy Communities	1,501,519
CES Danbury Solar, LLC	12/30/2020	<200KW PV, PON 2112 NY SUN	5,376
CHA Consulting Inc.	10/20/2020	Technical Services, FT13174 - 2900 McLane - FTC	35,200
	12/3/2020	CI Carbon Challenge, Outreach Support	60,000
		Strategic Energy Manager, Outreach Support	60,000
	12/15/2020	>200KW PV, DC for SEQR Assistance	10,000
	1/20/2021	Technical Services, FT13334 - 9567 Main - FTC	11,668
	2/2/2021	CI Carbon Challenge, SA.019_TWO#1 - Industrial	124,400
		CI Carbon Challenge, SA.030_TWO#2 - Industrial	124,400
		CI Carbon Challenge, SA.031_TWO#3 - Industrial	124,400
		CI Carbon Challenge, SA.034_TWO#5 - Industrial	124,400
		Industrial Process Effic, SA.019_TWO#1 - Industrial	21,968
		Industrial Process Effic, SA.030_TWO#2 - Industrial	21,968
		Industrial Process Effic, SA.031_TWO#3 - Industrial	21,968
		Industrial Process Effic, SA.034_TWO#5 - Industrial	21,968
		K-12 SCHOOLS, SA.035_TWO#4 - EPE	168,695
Strategic Energy Manager, SA.019_TWO#1 - Industrial		42,530	
Strategic Energy Manager, SA.030_TWO#2 - Industrial	32,632		
Strategic Energy Manager, SA.031_TWO#3 - Industrial	11,132		
Strategic Energy Manager, SA.034_TWO#5 - Industrial	3,774		
Technical Services, SA.019_TWO#1 - Industrial	113,450		
Charis Realty Corp.	12/29/2020	Multifam Performance Pgm, Multifamily	33,600
Charter Communications Holdings, LLC	10/20/2020	NYSERDA ADMINISTRATION, Dedicated Internet Access - WV	35,964
	1/7/2021	NYSERDA ADMINISTRATION, West Valley - Fiber Installati	8,910
Chautauqua Green Energy, LLC	1/15/2021	NY Green Bank, CGE (Vireo/Emkey)	18,400,000
Christina Griffin Architect P.C.	10/7/2020	New Construction Housing, 2019 LRNCP	5,000
Christopher Lutgens	2/2/2021	Home Perf w Energy Star, EmPower Repairs/Insulation	6,470
CIR ELECTRICAL CONSTRUCTION CORP.	10/7/2020	<200KW PV, PON 2112 NY SUN	5,313
	10/15/2020	<200KW PV, PON 2112 NY SUN	7,392
	10/28/2020	<200KW PV, PON 2112 NY SUN	5,198
	11/24/2020	<200KW PV, PON 2112 NY SUN	4,925
	12/10/2020	<200KW PV, PON 2112 NY SUN	5,180
	1/22/2021	<200KW PV, PON 2112 NY SUN	7,560
	2/3/2021	<200KW PV, PON 2112 NY SUN	117
	2/11/2021	<200KW PV, PON 2112 NY SUN	17,609
	3/1/2021	<200KW PV, PON 2112 NY SUN	5,922
	3/25/2021	<200KW PV, PON 2112 NY SUN	420

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Citadel SPV LLC	11/18/2020	Financing with CCR	140,000
City of Auburn	10/8/2020	Technical Services, FT13009 - Auburn WWTF - PON	23,988
City of Jamestown	11/24/2020	Cleantech Geo Coverage, PON 4242	750,000
City Skyline Realty, Inc.	2/12/2021	NYCH: Technical Assistance, FT13275 - 507 W 139th - PON	5,475
City Winery Hudson Valley, LLC	11/30/2020	Net Zero Energy for Eco Dev, New Construction	805,756
Classic American Vintage, LLC	11/30/2020	Technical Services, FT13172 - 300 Main Ave - PON	10,000
Claverack Creek Solar, LLC	10/22/2020	>200KW PV, NY Sun	974,173
Claverack Solar 1, LLC	3/30/2021	>200KW PV, NY Sun	965,075
		NY-SUN, NY Sun	1,187,784
Clean Energy Leadership Institute	3/5/2021	OTHER PROGRAM AREA, Sponsorship	50,000
Clean Energy of New York Inc	10/23/2020	NYCH: Innovation, NextGen HVAC Innovation	67,856
Clean Power Research	2/11/2021	Electric Vehicles - Innovation, 2021 WattPlan License	18,900
Cleancar Energy Storage, LLC	11/20/2020	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	6,000,000
CLEARresult Consulting, Inc.	10/20/2020	Geothermal Incentive Program, Centralized Services & Support	74,599
	11/5/2020	LMI Community Solar, Centralized Services & Support	72,075
	12/8/2020	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Te..	15,001
		EMPOWER NY, Technical Support SFR	371,295
		Home Perf w Energy Star, Technical Support SFR	5,148,025
		Technical Support SFR	1,053,945
	12/23/2020	Community RH&C, Centralized Services & Support	71,584
		Renewable Heat NY, Centralized Services & Support	52,615
	12/29/2020	NYSERDA ADMINISTRATION, Phone Email & Web Support	123,078
	12/30/2020	EMPOWER NY, Centralized Services & Support	67,200
		Home Perf w Energy Star, Centralized Services & Support	457,800
	1/15/2021	>200KW PV, Centralized Services & Support	144,743
	2/24/2021	Centralized Services & Support	482,665
		EMPOWER NY, Centralized Services & Support	85,499
		Home Perf w Energy Star, Centralized Services & Support	1,383,707
	3/23/2021	Commercial New Construc, Centralized Services & Support	60,000
		Low Rise New Construction, Centralized Services & Support	70,000
		Multifam New Construction, Centralized Services & Support	70,000
		New Construction Housing, Centralized Services & Support	201,500
		New Construction- Commercial, Centralized Services & Support	65,000
ClearPath Energy LLC	12/21/2020	>200KW PV, NY Sun	2,827,345
		NY-SUN, NY Sun	3,914,783
	2/18/2021	>200KW PV, NY Sun	989,938
Clinton Avenue Apartments II LLC	1/8/2021	New Construction Housing, 2019 LRNCP	69,000
Clinton Complex Housing Development..	12/29/2020	Multifam Performance Pgm, Multifamily	7,200
Clinton County	3/1/2021	Clean Energy Communities, Communities & Local Government	150,000
CMC Energy Services, Inc	1/28/2021	NYCH: Supply Chain, Electrification Workshops	50,000
Code Green Solutions, Inc.	10/5/2020	Technical Services, FT13125 - 2 Park - FTC	46,625
	10/6/2020	Technical Services, FT13085 - 120 E 16th - FTC	16,988
	10/13/2020	Commercial Real Estate Ten, CodeGreen-599 Lexington	12,000
	11/2/2020	NYCH: Technical Assistance, FT13138 - 158 W 27th - FTC	19,750
	11/12/2020	Technical Services, FT13153 - 70 Little West - FTC	19,250
	12/30/2020	Technical Services, FT13152 - 170 E 83rd - FTC	17,250
	1/5/2021	NYCH: Technical Assistance, FT13139 - 599 11th - FTC	14,584
	2/8/2021	NYCH: Technical Assistance, FT13209 - 25 East 78th - FTC	14,249
	3/16/2021	Empire Building Challenge, EBC - Market Character TWO	131,250
		NYCH: Empire Build Challenge, EBC - Market Character TWO	18,750
	3/19/2021	NYCH: Technical Assistance, FT13405 - 309 5th - FTC	11,750
COGENT Infotech Corporation	3/18/2021	NYSERDA ADMINISTRATION, TWO 1 Asst. BA Ops - Nurul	196,560
Cohen Ventures Inc	12/17/2020	Product Standards, TWO2 Emissions Appliance Stand	250,000
	1/15/2021	Air Source Heat Pumps, TWO1 Prod & Appliance Standard	75,000
COI Energy Services Inc	3/29/2021	OTHER PROGRAM AREA, 76 West	500,000
Columbia Property Trust	2/11/2021	NYCH: Technical Assistance, OsEM64-C-575 Lexington	214,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Columbia Property Trust Operating Partne	2/8/2021	NYCH: Technical Assistance, FT13264 - 243 W 17th - PON	29,985
	3/31/2021	NYCH: Technical Assistance, FT13263 - 218 W 18th - PON	23,085
Community Energy Solar, LLC	2/8/2021	>200KW PV, NY Sun	715,000
		NY-SUN, NY Sun	1,040,000
	3/12/2021	>200KW PV, NY Sun	825,000
Comunilife LaCentral House Dev Fund ..	3/2/2021	Buildings of Excellence, Buildings of Excellence R1	850,000
CON EDISON SOLUTIONS, INC.	11/9/2020	>200KW PV, PON 2112 NY SUN	654,694
	11/24/2020	>200KW PV, NY-Sun C&I	241,118
		NY-SUN, NY-Sun C&I	419,672
	12/22/2020	ESTOR:Retail Storage Incentive, Retail Storage	518,744
	12/30/2020	>200KW PV, PON 2112 NY SUN	1,728,000
Concourse Village, Inc.	12/16/2020	Multifam Performance Pgm, Multifamily	561,600
Consensus Building Institute, Inc.	1/26/2021	CI Engy Siting & Soft Cost Red, TWO #2 A-TWG Facilitator	99,949
		REC:CES REC System Dev Costs, TWO #2 A-TWG Facilitator	50,000
	3/10/2021	Environmental Research, TWO #1 -Facilitator	414,965
Control Solutions Group, Inc.	11/12/2020	NYSERDA ADMINISTRATION, HVAC Maintenance NYC Office	6,600
CoolGreenPower LLC	3/8/2021	Air Source Heat Pumps, VHE HVAC	545
		NYCH: Innovation, VHE HVAC	806,691
Cornell NCRE Solar 1 LLC	11/6/2020	<200KW PV, NY-Sun	198,281
Cornell NCRE Solar 2 LLC	11/6/2020	<200KW PV, NY-Sun	236,643
Cornell University	10/22/2020	CI Carbon Challenge, C&I Carbon Challenge	1,200,000
	11/6/2020	Technical Services, NYS CEA Database GLASE	224,817
	12/22/2020	Cleantech Geo Coverage, PON 4242	750,000
	3/25/2021	Cleantech Geo Coverage, PON 4242	750,000
Cornerstone Energy Services	10/20/2020	Renewable Heat NY, Cornerstone Services - Marin	9,500
Cortex Building Intelligence, Inc.	1/14/2021	Real Time Engry Management, CBI - 600 Madison Ave - RTEM	5,587
	2/18/2021	Real Time Engry Management, CBI-501 7th-RTEM	41,839
		Real Time Engry Management, CBI-1333 Broadway-RTEM	84,434
		Real Time Engry Management, CBI-1350 Broadway-RTEM	31,590
		Real Time Engry Management, CBI-1359 Broadway-RTEM	109,898
		Real Time Engry Management, CBI-1633 Broadway-RTEM	167,358
	3/24/2021	Real Time Engry Management, CBI-250 W 57th-RTEM	41,839
Council Rock Enterprises	12/21/2020	Talent Pipeline:CE and OJT, OJT HIRE	20,480
County Heat & AC, LLC	1/15/2021	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	1/20/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,600
Croton Energy Group, Inc.	3/31/2021	<200KW PV, PON 2112 NY SUN	125,433
CTG:I LLC	1/11/2021	OTHER PROGRAM AREA, CTG i3 subscription	8,925
CTY, Inc	2/8/2021	Pub Transit & Elect Rail, Data analytics for bus network	460,755
Cuba Rushford Central School	10/20/2020	K-12 SCHOOLS, P12GC-19_E -Cuba-Rushford -PON	41,675
CubeSmart TRS Inc	11/30/2020	>200KW PV, NY-Sun	32,960
	12/30/2020	>200KW PV, NY-Sun	24,720
	3/15/2021	>200KW PV, NY-Sun	7,000
curbFlow Inc	12/29/2020	Pub Transit & Elect Rail, Terminal Frontage Management	96,103
Cutone & Company Consultants, LLC	1/7/2021	Commercial Real Estate Ten, LCA-1140 Ave of Americas	9,638
	3/17/2021	Commercial Real Estate Ten, LCA - 425 Lexington Ave	7,515
	3/24/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	3/30/2021	Commercial Real Estate Ten, LCA-880 Broadway	17,329
CVENT, Inc.	11/13/2020	NYSERDA ADMINISTRATION, Event Management/Virtual Event	148,080
	2/26/2021	NYSERDA ADMINISTRATION, Event Management/Virtual Event	27,000
	3/22/2021	NYSERDA ADMINISTRATION, Event Management/Virtual Event	11,400
Cycle Architecture PLLC	11/18/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	35,838
Cypress Creek Renewables LLC	12/7/2020	>200KW PV, NY Sun	1,128,204
DALY 180 Housing Fund Development ..	12/29/2020	Multifam Performance Pgm, Multifamily	8,400
Dandelion Energy Inc	11/30/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	19,840
	12/8/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	12/17/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
DARE Management, LLC	12/23/2020	NY Green Bank, Daroga Power	26,500,000
Datagryd Data Centers, LLC	10/30/2020	Industrial Process Effic, IPE16240 - Datagryd Data Cent	1,000,000
Davis Solar, LLC	3/16/2021	>200KW PV, NY Sun	654,947
		Solar Plus Energy Storage, NY Sun	1,424,500
Day Automation Systems, Inc.	1/25/2021	K-12 SCHOOLS, P12GC-27_E - Barker CSD - PON	10,143
	3/17/2021	K-12 SCHOOLS, P12GC-38_E - Lisbon CSD - PON	10,005
		K-12 SCHOOLS, P12GC-39_E - Geneseo CSD - PON	18,113
Delaware River Solar, LLC	10/8/2020	>200KW PV, NY Sun	1,056,354
	11/2/2020	>200KW PV, NY Sun	896,314
		NY-SUN, NY Sun	1,241,049
	11/19/2020	>200KW PV, NY Sun	1,074,060
	12/7/2020	>200KW PV, NY Sun	943,020
		NY-SUN, NY Sun	1,305,720
	12/11/2020	>200KW PV, NY Sun	895,050
	3/12/2021	>200KW PV, NY Sun	765,160
Dell, Inc.	2/16/2021	NYSERDA ADMINISTRATION, DELL Wyse 3040 no wifi and W..	17,367
	3/10/2021	NYSERDA ADMINISTRATION, Microsoft EA 3 years - 2021-20	426,549
DEMCO New York Corp.	11/10/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
DePaul Properties, Inc.	12/18/2020	New Construction Housing, 2019 LRNCP	20,000
	12/21/2020	New Construction Housing, 2019 LRNCP	68,000
Deutsche Bank	11/10/2020	Industrial Process Effic, Industrial Process Efficiency	219,290
	11/24/2020	Commercial Real Estate Ten, Deutsche Bank-1 Columbus Cir	250,000
DG New York CS, LLC	10/8/2020	>200KW PV, NY Sun	910,031
	11/6/2020	>200KW PV, NY Sun	495,609
	11/17/2020	NY-SUN, NY Sun	3,300,000
	2/8/2021	>200KW PV, NY Sun	961,728
		NY-SUN, NY Sun	1,331,624
DIBD NYC Inc.	2/18/2021	OTHER PROGRAM AREA, Circular City Week 2021	10,000
Dimension Energy LLC	10/8/2020	>200KW PV, NY-Sun C&I	899,144
		NY-SUN, NY-Sun C&I	1,078,975
	12/8/2020	>200KW PV, NY-Sun	865,592
	12/21/2020	ESTOR: Bulk Storage Incentive, utility dispatch rights	1,981,290
	1/27/2021	>200KW PV, NY Sun	910,003
		NY-SUN, NY Sun	1,120,003
Direct Packet Inc.	11/18/2020	NYSERDA ADMINISTRATION, Video Service Renewal – Cisco	29,341
Distributed Solar Development, LLC	12/4/2020	>200KW PV, NY-Sun	322,704
	12/15/2020	>200KW PV, NY-Sun	4,201,526
	1/5/2021	>200KW PV, NY-Sun	614,985
	3/19/2021	>200KW PV, NY Sun	471,101
		NY-SUN, NY Sun	1,284,822
	3/25/2021	ESTOR: Retail Storage Incentive, Retail Storage	1,236,673
DNV Energy Insights USA Inc.	12/2/2020	ENERGY ANALYSIS, TWO#1 OSW Resource Planning	204,865
DNV GL Energy USA, Inc.	10/2/2020	Environmental Research, PV Solar Site Design- PON 4270	184,725
Do-It-With Inc.	11/4/2020	Talent Pipeline:CE and OJT, OJT HIRE	24,960
Doherty Electric, LLC	10/20/2020	<200KW PV, PON 2112 NY SUN	7,140
	11/18/2020	<200KW PV, PON 2112 NY SUN	4,855
	1/8/2021	<200KW PV, PON 2112 NY SUN	1,400
Don Brown Bus Sales Inc.	2/5/2021	CLEAN TRANSPORTATION, NYTVIP	90,000
Dori Doors & Security, Inc	2/2/2021	NYSERDA ADMINISTRATION, Doors for NYC office	1,800
Dowd-Witbeck Printing Corp.	1/12/2021	NYSERDA ADMINISTRATION, Program External Printing	12,000
Dowmont Solar, LLC	11/6/2020	>200KW PV, NY Sun	974,173
DTN, LLC	10/20/2020	ENERGY ANALYSIS, Energy Analysis	20,639
Dunn Paper	3/18/2021	On-Site Energy Manager, OsEM73-I - Dunn Paper	209,993
E Source Companies LLC	2/18/2021	Subscription/Data Access, One-Year Subscripion	65,521
	3/18/2021	Informat. Products & Brokering, DER Data Platform Pilot	92,176
		Informat. Products & Brokering, RFQL3711 TWO Bldg Assets	290,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
East Light Partners PBC	3/12/2021	>200KW PV, NY Sun	824,472
	3/19/2021	>200KW PV, NY Sun	974,376
		NY-SUN, NY Sun	1,199,232
Eastern Research Group, Inc.	3/15/2021	Environmental Research, TWO #2 Coordinator Assessment	2,600,000
Eco Heating & Cooling Inc	2/24/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,800
	3/22/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,600
Ecogy New York XI LLC	12/11/2020	>200KW PV, NY-Sun	1,060,128
Ecogy New York XIII LLC	12/9/2020	>200KW PV, NY-Sun	429,444
Ecology & Environment, Inc.	10/16/2020	Environmental Research, Owner's Engineering	15,908
Ecology and Environment Engineering	11/17/2020	OREC: Technical Support, E&E TWO 21	172,300
	1/13/2021	OREC: Technical Support, E&E TWO 21	89,050
	2/3/2021	OREC: Technical Support, TWO #22 Coastal Cable Study	249,720
Ecovis, Inc.	11/2/2020	<200KW PV, PON 2112 NY SUN	13,745
	11/16/2020	<200KW PV, NY-Sun	7,488
Eden Devco Borrower, LLC	12/15/2020	NY Green Bank, EdenDevco Upsize 3	1,400,000
Eden Renewables, LLC	11/16/2020	NY-SUN, NY Sun	1,648,601
EDF Renewables Development, Inc	3/23/2021	REC:CES REC Contracts, RESRFP20-1	38,222,829
EDF Renewables Development, Inc.	3/23/2021	REC:CES REC Contracts, RESRFP20-1	96,227,867
EDF Renewables Distributed Solutions Inc	10/6/2020	>200KW PV, NY Sun	863,460
	12/22/2020	>200KW PV, NY Sun	397,192
		NY-SUN, NY Sun	549,957
	12/30/2020	>200KW PV, NY Sun	1,760,305
		NY-SUN, NY Sun	2,166,527
	2/25/2021	>200KW PV, NY Sun	822,928
EF Columbus Renewables, LLC	12/21/2020	>200KW PV, NY Sun	975,000
		NY-SUN, NY Sun	1,350,000
EF NY CDG 001 LLC	12/3/2020	>200KW PV, NY Sun	1,123,919
		NY-SUN, NY Sun	1,348,705
EF NY CDG 002 LLC	12/8/2020	>200KW PV, NY Sun	1,125,000
		NY-SUN, NY Sun	1,350,000
EF NY CDG 003 LLC	12/3/2020	>200KW PV, NY Sun	1,124,999
		NY-SUN, NY Sun	1,350,001
EF NY CDG 010 LLC	3/2/2021	>200KW PV, NY Sun	702,000
		NY-SUN, NY Sun	864,000
EF NY CDG 011 LLC	3/19/2021	>200KW PV, NY Sun	825,000
		NY-SUN, NY Sun	1,200,000
Egg Geo, LLC	11/10/2020	New Construction- Commercial, SUNY Heat Pump Training	50,000
Eiger 3970 Consultants Inc.	10/28/2020	<200KW PV, PON 2112 NY SUN	5,145
	11/2/2020	<200KW PV, PON 2112 NY SUN	7,280
	11/12/2020	<200KW PV, PON 2112 NY SUN	74
	12/7/2020	<200KW PV, PON 2112 NY SUN	5,198
	12/11/2020	<200KW PV, PON 2112 NY SUN	7,161
	12/18/2020	<200KW PV, PON 2112 NY SUN	5,355
	12/24/2020	>200KW PV, NY Sun	414,777
		NY-SUN, NY Sun	510,494
	1/28/2021	<200KW PV, PON 2112 NY SUN	455
	2/3/2021	<200KW PV, PON 2112 NY SUN	15,470
	2/18/2021	<200KW PV, PON 2112 NY SUN	8,750
	3/18/2021	<200KW PV, PON 2112 NY SUN	7,504
	3/19/2021	<200KW PV, NY-Sun	129,276
	NY-SUN, NY-Sun	147,744	
3/23/2021	<200KW PV, PON 2112 NY SUN	5,236	
Electric Power Research Institute	2/1/2021	High Performing Grid, Improved Grid Flexibility/Resp	337,993
	3/24/2021	High Performing Grid, Interconnection Solutions inNY	246,474
Electrification Coalition Foundation	10/5/2020	Electric Vehicles - Innovation, Task Work Order No. 1	298,075
Elk Street Solar LLC	3/2/2021	>200KW PV, NY Sun	1,048,522

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Elk Street Solar LLC	3/2/2021	NY-SUN, NY Sun	599,155
ELP Ghent Solar LLC	11/17/2020	NY-SUN, NY Sun	945,648
ELP Kipp Solar LLC	2/8/2021	>200KW PV, NY Sun	650,052
		NY-SUN, NY Sun	800,064
EMCOR Services Betlem	1/11/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	2/9/2021	Real Time Enrgy Management, EMCOR - Multisite - RTEM	211,991
		Real Time Enrgy Management, EMCOR-St Bonaventure-RTEM	200,000
	2/17/2021	Technical Services, FT13415 - Keurig - FTC	9,989
EME Consulting Engineering Group, LLC	10/6/2020	NYCH: Technical Assistance, Westchester Tech Services	200,000
	10/22/2020	NYCH: Technical Assistance, FT13169 - 577 First - FTC	9,054
	12/23/2020	NYCH: Technical Assistance, FT13217 - 334 East 25th - FTC	36,000
		REV Campus Challenge, FT13218 - Rose Hill - FTC	270,000
	12/24/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	1/5/2021	Empire Building Challenge, SA.065a - TWO #12 - AES_PM	477,103
	1/6/2021	REV Campus Challenge, FT13270 - Barnard - FTC	315,000
	1/15/2021	Talent Pipeline:CE and OJT, OJT HIRE	9,232
	2/2/2021	CI Carbon Challenge, SA.034_TWO#4 - Industrial	124,400
		Industrial Process Effic, SA.034_TWO#4 - Industrial	21,968
		Strategic Energy Manager, SA.034_TWO#4 - Industrial	8,389
		Talent Pipeline:CE and OJT, OJT HIRE	10,240
	2/9/2021	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	2/24/2021	Commercial Real Estate Ten, SA.045_TWO# 6_AES PM	141,144
		Talent Pipeline:CE and OJT, OJT HIRE	10,240
	2/25/2021	Strategic Energy Manager, SA.044_TWO#5_EPE PM	198,123
	3/3/2021	NYCH: Technical Assistance, FT13326 - 105-05 69th - FTC	10,000
		NYCH: Technical Assistance, FT13327 - 25-98 36th - FTC	8,750
	3/5/2021	Real Time Enrgy Management, SA.073_TWO# 13_AES PM	405,633
	3/10/2021	Talent Pipeline:CE and OJT, OJT HIRE	10,000
	3/17/2021	NYCH: Technical Assistance, FT13407 - 410 Cathedral - FTC	12,500
		Talent Pipeline:CE and OJT, OJT HIRE	10,240
	3/22/2021	NYCH: Technical Assistance, FT13307 - 2109 Broadway - FTC	17,500
Empire Solar Solutions LLC	10/2/2020	<200KW PV, PON 2112 NY SUN	16,009
	10/21/2020	<200KW PV, PON 2112 NY SUN	6,038
	10/23/2020	<200KW PV, PON 2112 NY SUN	5,236
	11/17/2020	<200KW PV, PON 2112 NY SUN	5,712
	12/15/2020	<200KW PV, PON 2112 NY SUN	10,787
	12/22/2020	<200KW PV, PON 2112 NY SUN	11,608
	1/5/2021	<200KW PV, PON 2112 NY SUN	14,210
	1/21/2021	<200KW PV, PON 2112 NY SUN	5,042
	1/22/2021	<200KW PV, PON 2112 NY SUN	5,208
	2/10/2021	<200KW PV, PON 2112 NY SUN	8,677
Employee Leasing of Greater NY	3/31/2021	NYSERDA ADMINISTRATION, TS016_Marketing	66,000
Empower CES, LLC	10/21/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/6/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/10/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/17/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/25/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
	11/27/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/3/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/15/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/30/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/11/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/19/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/20/2021	>200KW PV, PON 2112 NY SUN	21,879
	1/22/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/27/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Empower CES, LLC	1/29/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	2/4/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	2/5/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/8/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/11/2021	>200KW PV, PON 2112 NY SUN	18,144
	2/16/2021	>200KW PV, PON 2112 NY SUN	15,336
	2/19/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/3/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/31/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
Empower Equity Inc	12/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,360
Energy & Resource Solutions, Inc.	10/6/2020	NYCH: Technical Assistance, Westchester Tech Services	200,000
		Technical Services, FT13163 - 650 Brush Ave - FTC	22,554
	10/21/2020	Technical Services, FT13150 - 1101 Kitchawan - FTC	13,301
	11/9/2020	Technical Services, AEAP	3,439
	11/12/2020	New Construction- Commercial, Commercial New Construction	39,260
	2/1/2021	TWO post-closing reviews	66,048
	2/8/2021	Air Source Heat Pumps, TWO 6 - Performance Monitoring	112,238
		Geothermal Incentive Program, TWO 6 - Performance Monitoring	112,238
	2/17/2021	Technical Services, FT13281 - 18-1 Steinway - FTC	28,913
3/31/2021	NYCH: District, Concierge Services - ERS - TWO	100,000	
Energy and Environmental Economics Inc.	10/27/2020	Grid Emissions Whitepaper, TWO#26 Grid Emission Factors	180,667
	12/3/2020	ENERGY ANALYSIS, TWO#22 Bldg. Elec. Roadmap	56,284
		OTHER PROGRAM AREA, TWO#22 Bldg. Elec. Roadmap	123,716
	12/14/2020	New Construction Housing, TWO 20 NZE Road Map - 2019	77,500
		New Construction- Commercial, TWO 20 NZE Road Map - 2019	77,500
3/19/2021	>200KW PV, TWO#27 CValue&Solar Wht Papers	204,000	
	Mkt Char: Tech Assist, TWO#27 CValue&Solar Wht Papers	51,000	
Energy Conservation & Supply, Inc.	12/4/2020	Talent Pipeline:CE and OJT, OJT HIRE	12,000
Energy Management Solutions, LLC	10/7/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	2/12/2021	Talent Pipeline:CE and OJT, OJT HIRE	5,600
Energy Technology Savings, Inc.	10/1/2020	Real Time Enrgy Management, ETS-825-875Boynton-RTEM	41,550
	11/30/2020	Real Time Enrgy Management, Two Trees-60 Water St-RTEM	8,166
	12/15/2020	Real Time Enrgy Management, Energy Tech-260 Kent Avenue	10,350
		Real Time Enrgy Management, Energy Tech-325 Kent Ave-RTE..	10,350
		Real Time Enrgy Management, Energy-2655 Richmond Av-RTE..	200,000
1/11/2021	Real Time Enrgy Management, EnergyTech-Mercedes House-R..	11,770	
Enertiv Inc.	10/26/2020	Real Time Enrgy Management, Enertiv - 50 N 5th - RTEM	14,321
		Real Time Enrgy Management, Enertiv - 515 E 86th St - RTEM	60,447
		Real Time Enrgy Management, Enertiv-10Barclay-RTEM	23,247
	11/24/2020	Real Time Enrgy Management, Enertiv-350 E 79th - RTEM	23,035
12/10/2020	Real Time Enrgy Management, Enertiv-515 W 52nd	18,323	
Enica Engineering, PLLC	1/22/2021	Technical Services, FT13348 - 777 Old Saw - FTC	58,000
	2/9/2021	Real Time Enrgy Management, Enica-731 Lexington-RTEM	102,705
EnterSolar LLC	11/9/2020	>200KW PV, NY-Sun	162,108
Environmental Defense Fund	12/7/2020	Commercial Real Estate Ten, Tenant Engagement - EDF	49,888
Environmental Systems Design, Inc.	2/22/2021	Real Time Enrgy Management, ESD-2000 Purchase-RTEM	111,971
ePlus inc	2/23/2021	NYSERDA ADMINISTRATION, nVidia VDI Licensing	17,760
		Server Racks for datacenter	5,085
	3/8/2021	VDI Server Cluster Hardware	192,536
3/25/2021	NYSERDA ADMINISTRATION, VMWare Support for 1 year	53,382	
Erie Solar Gardens LLC	10/20/2020	<200KW PV, NY-Sun	268,800
Erie Wind LLC	10/16/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	3,421,760
ESNY-EW-STATENISLAND LLC	3/18/2021	>200KW PV, NY-Sun	1,045,737
Essense Partners Inc.	11/2/2020	OTHER PROGRAM AREA, Marketing Support for NYSERDA	23,760
	3/9/2021	Buildings of Excellence, Round 2 BOE Awards Show	45,000
Etrog Inc	12/9/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Etrog Inc	1/26/2021	Talent Pipeline:CE and OJT, OJT HIRE	14,880
Eureka North Solar, LLC	3/8/2021	>200KW PV, NY Sun	550,220
		NY-SUN, NY Sun	800,320
Eureka South Solar, LLC	3/8/2021	>200KW PV, NY Sun	825,000
		NY-SUN, NY Sun	1,200,000
Extraterrestrial Materials Inc.	10/14/2020	<200KW PV, PON 2112 NY SUN	7,840
	10/21/2020	<200KW PV, PON 2112 NY SUN	6,440
	10/27/2020	<200KW PV, PON 2112 NY SUN	5,110
	11/12/2020	<200KW PV, PON 2112 NY SUN	21,728
	2/18/2021	<200KW PV, PON 2112 NY SUN	8,674
	3/4/2021	<200KW PV, PON 2112 NY SUN	105
	3/5/2021	<200KW PV, PON 2112 NY SUN	8,610
	3/19/2021	<200KW PV, PON 2112 NY SUN	8,610
Facility Strategies Group, LLC	11/12/2020	NYCH: LMI, Clean Heating & Cooling	32,200
FFP NY Goshen Project2, LLC	3/19/2021	>200KW PV, NY Sun	786,308
		NY-SUN, NY Sun	1,072,238
FFP NY Rush Project1, LLC	11/19/2020	>200KW PV, NY Sun	952,333
FFP NY Schaghticoke Project2, LLC	3/16/2021	>200KW PV, NY Sun	393,608
Fifth Avenue Committee, Inc.	1/19/2021	New Construction Housing, 2019 MFCNP	65,599
	2/1/2021	New Construction Housing, 2019 MFCNP	1
Fingerlakes Renewables	12/8/2020	<200KW PV, PON 2112 NY SUN	6,720
First Columbia Property Services, LLC	2/26/2021	NYSERDA ADMINISTRATION, Property Management	230,072
Florenton River LLC	10/15/2020	<200KW PV, PON 2112 NY SUN	8,750
	10/22/2020	<200KW PV, PON 2112 NY SUN	5,355
	11/10/2020	<200KW PV, PON 2112 NY SUN	5,569
	12/9/2020	<200KW PV, PON 2112 NY SUN	101
	12/11/2020	<200KW PV, PON 2112 NY SUN	8,750
Foam It Insulation, LLC	10/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	12/9/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,000
	2/2/2021	Talent Pipeline:CE and OJT, OJT HIRE	14,400
	3/2/2021	Talent Pipeline:CE and OJT, OJT HIRE	7,200
Fordham University	10/21/2020	NYCH: Technical Assistance, OsEM53-C - Fordham University	214,000
	1/25/2021	Technical Services, OsEM62-C-Fordham-Lincoln	151,387
	2/22/2021	Technical Services, OsEM62-C - Fordham - Lincoln	214,000
FORK IN THE ROAD SOLAR LLC	1/19/2021	>200KW PV, NY Sun	574,938
		NY-SUN, NY Sun	616,005
Fort Orange Press Incorporated	1/12/2021	NYSERDA ADMINISTRATION, Program External Printing	5,000
Fourth Coast, Inc.	10/28/2020	<200KW PV, PON 2112 NY SUN	8,750
Fox Television Stations, Inc.	12/16/2020	NYCH: Technical Assistance, FT13185 - 205 East 67th - PON	25,347
Fred F. Collis & Sons, Inc.	10/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	12/2/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,720
	2/22/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,960
	2/25/2021	Talent Pipeline:CE and OJT, OJT HIRE	8,400
Fredonia Solar LLC	3/16/2021	>200KW PV, NY Sun	242,216
Fresh Maintenance LLC	3/2/2021	Home Perf w Energy Star, PO for EmPower Project	6,700
Frontier Energy, Inc.	10/2/2020	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	400,000
	10/28/2020	Technical Services, FT13181 - 450 W 17th - FTC	9,898
	1/15/2021	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	100,000
Fund for Public Health in New York, Inc.	12/4/2020	Environmental Research, Assessment for Energy Policy	273,900
Fund for the City of New York, Inc.	3/9/2021	Community RH&C, CH&C Communities Round 3	100,000
		NYCH: LMI, CH&C Communities Round 3	100,000
Fusco Personnel, Inc.	3/31/2021	NYSERDA ADMINISTRATION, TS.015 Contract Mangament C..	66,495
Fusion Energy Services LLC	12/22/2020	<200KW PV, NY-Sun	18,480
	2/26/2021	<200KW PV, PON 2112 NY SUN	7,371
G&S Operations LLC	10/15/2020	>200KW PV, PON 2112 NY SUN	168,012
	11/13/2020	>200KW PV, PON 2112 NY SUN	342,888

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
G&S Operations LLC	11/16/2020	>200KW PV, PON 2112 NY SUN	353,232
	12/3/2020	<200KW PV, PON 2112 NY SUN	127,140
		>200KW PV, PON 2112 NY SUN	210,600
	12/7/2020	>200KW PV, PON 2112 NY SUN	113,180
	12/8/2020	>200KW PV, PON 2112 NY SUN	918,122
	12/18/2020	>200KW PV, PON 2112 NY SUN	169,884
	12/21/2020	>200KW PV, PON 2112 NY SUN	122,967
	1/5/2021	>200KW PV, PON 2112 NY SUN	66,690
	1/6/2021	>200KW PV, PON 2112 NY SUN	162,840
	1/14/2021	>200KW PV, PON 2112 NY SUN	54,639
	1/15/2021	>200KW PV, PON 2112 NY SUN	48,087
	2/12/2021	>200KW PV, PON 2112 NY SUN	142,254
3/12/2021	>200KW PV, PON 2112 NY SUN	78,273	
Galvan Initiatives Foundation, Inc.	11/18/2020	Buildings of Excellence, Buildings of Excellence R1	850,000
Gartner Inc.	12/17/2020	NYSERDA ADMINISTRATION, Gartner 2021	39,164
G&A Commissioning Services, Inc	1/28/2021	Technical Services, FT13305 - 11 West 53rd - FTC	154,472
Geatrain Engineering PLLC	11/17/2020	Commercial Real Estate Ten, Geatrain-481 Eighth Ave	5,000
	1/5/2021	Commercial Real Estate Ten, Geatrain-9920 Fourth Ave Fl 1	5,000
General Electric Co. Global Research	3/29/2021	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	549,784
		Natl Offshore Wind R&D	549,784
Generate Capital Inc.	12/11/2020	<200KW PV, NY-Sun	64,780
	12/16/2020	<200KW PV, NY-Sun	356,616
	2/25/2021	>200KW PV, NY Sun	358,050
Generate NY Community Solar Lessor III,	1/4/2021	>200KW PV, NY-Sun C&I	932,677
	2/8/2021	ESTOR:Retail Storage Incentive, Retail Storage	814,000
GENEVA Group Inc.	3/16/2021	Cleantech Incubator, Innovation Team Consultant	50,000
George E Denmark II	3/9/2021	<200KW PV, PON 2112 NY SUN	5,082
Geotherm Inc.	10/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	11/25/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,160
Geothermal Innovations, LLC	10/13/2020	Large-Scale GSHP Rebate	71,724
GI Endurant LLC	2/9/2021	NYCH: Innovation, Advanced Buildings	50,000
Goldman Copeland Associates, P.C.	10/5/2020	Commercial Real Estate Ten, GCA-3300 Northern 7Fl	6,986
		Commercial Real Estate Ten, GCA-Multisite	20,000
		NYCH: Technical Assistance, FT13134 - 140 W. 57th - FTC	12,494
	10/9/2020	Commercial Real Estate Ten, GCA-1515 Broadway-Multi	15,000
	10/16/2020	NYCH: Technical Assistance, FT13155 - 10 East 53rd - FTC	20,913
	10/26/2020	Commercial Real Estate Ten, GCA-919 3rd Ave(multisite)	15,000
	10/28/2020	Commercial Real Estate Ten, GCA-245 Park Ave(multisite)	20,000
	11/17/2020	Commercial Real Estate Ten, GCA-1333 Broadway Ave	5,986
	12/4/2020	Commercial Real Estate Ten, GCA-250 W 57th St-CTP	8,986
		Commercial Real Estate Ten, Goldman-60 E 42nd St Fl 44	6,990
		Commercial Real Estate Ten, GoldmanCopeland-60 E 42 St	5,479
	12/8/2020	Commercial Real Estate Ten, GCA-1400 Broadway Fl 16-CTP	8,986
	12/14/2020	Commercial Real Estate Ten, Goldman110 E 42 St-Multi	20,000
	12/30/2020	Technical Services, FT13260 - 601 W 26th - FTC	29,970
	1/6/2021	Technical Services, FT13259 - 1 West 54th - FTC	29,951
	1/7/2021	Technical Services, FT13272 - 555-557 Broad. - FTC	14,998
		Technical Services, FT13274 - 512 W 22nd - FTC	5,988
		Technical Services, FT13292 - 866 UN Plaza - FTC	17,986
	1/25/2021	Technical Services, FT13308 - 750 7th - FTC	29,990
	2/2/2021	REV Campus Challenge, FT13271 - 101 Ludlow - FTC	9,580
		REV Campus Challenge, FT13346 - 214-220 E 21st - FTC	11,984
		REV Campus Challenge, FT13347 - 335 W 16th - FTC	13,092
		REV Campus Challenge, FT13349 - 133 21st - FTC	8,395
Technical Services, FT13122 - Roxy Hotel - FTC		15,991	
		Technical Services, FT13123 - Soho Grand - FTC	17,468

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Goldman Copeland Associates, P.C.	3/12/2021	Technical Services, FT13400 - 30 Lincoln - FTC	14,991
Gree Mechanical Services USA Corp	1/26/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	19,240
	2/12/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Green Home Logic, Inc.	1/20/2021	WORKFORCE DEVELOPMENT, OJT HIRE	12,000
Green Hybrid Energy Solutions Inc.	12/21/2020	<200KW PV, PON 2112 NY SUN	17,374
	3/23/2021	<200KW PV, NY-Sun	8,110
Green Team USA, LLC	10/5/2020	WORKFORCE DEVELOPMENT, OJT HIRE	5,440
	10/6/2020	WORKFORCE DEVELOPMENT, OJT HIRE	5,440
	10/20/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	12/8/2020	WORKFORCE DEVELOPMENT, OJT HIRE	7,680
	2/2/2021	WORKFORCE DEVELOPMENT, OJT HIRE	12,000
	3/8/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,240
	3/17/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,240
	3/23/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	11,520
Green Visions Solar LLC	1/20/2021	<200KW PV, PON 2112 NY SUN	5,460
GreenLogic, LLC	1/13/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/14/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/15/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/28/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/11/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/19/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/9/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/11/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
Greenway Apartments Vintage, LLC	2/18/2021	Multifam Performance Pgm, Multifamily	29,400
	2/22/2021	NYCH: Technical Assistance, FT13302 - 205 Hawley - PON	7,500
Greenwood Strategies LLC	11/12/2020	EVPRZ:Implementation, Clean Transportation Prize Dev	40,000
Groundvault Energy Storage, LLC	11/20/2020	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	5,000,000
Group-S LLC	10/6/2020	NYCH: Technical Assistance, Natural Gas Constrained Areas	200,000
	10/14/2020	Technical Services, FT13179 - 1293 Broadway - FTC	10,500
	10/16/2020	Technical Services, FT13117 - 235 East 87th - FTC	16,050
	10/20/2020	Technical Services, FT13170 - 3 Park Ave - FTC	32,500
		Technical Services, FT13183 - D&D Building - FTC	18,800
		Technical Services, FT13189 - 135 E 57th - FTC	15,400
	10/28/2020	Technical Services, FT13197 - 131 Madison - FTC	14,300
	12/11/2020	Technical Services, FT13233 - 501 10th - FTC	13,500
	12/16/2020	Technical Services, FT13242 - 11 Chapel - FTC	9,750
	12/30/2020	NYCH: Technical Assistance, FT13177 - 47-05 Center - FTC	25,500
	1/14/2021	Technical Services, FT13296 - 47-25 34th - FTC	13,000
	1/26/2021	Technical Services, FT13234 - 42 W 39th - FTC	14,800
	2/12/2021	Technical Services, FT13251 - 9 Barrow - FTC	15,725
	2/22/2021	Technical Services, FT13221 - 60 Sutton - FTC	12,250
	Technical Services, FT13301 - 41 River - FTC	15,500	
	Technical Services, FT13361 - 375 Pearl - FTC	8,000	
	NYCH: Technical Assistance, FT13358 - 200 Central - FTC	23,500	
GSPP 126 Little Bow Rd N, LLC	3/9/2021	>200KW PV, NY Sun	861,462
		NY-SUN, NY Sun	1,263,478
GSPP 126 Little Bow Rd S, LLC	3/6/2021	>200KW PV, NY Sun	881,433
		NY-SUN, NY Sun	1,292,768
GSPP 181 Bay, LLC	10/14/2020	>200KW PV, NY-Sun	87,552
GSPP 409 Ferris Road, LLC	12/30/2020	>200KW PV, NY Sun	961,350
		NY-SUN, NY Sun	1,331,100
GSPP 641 Ferris Road East, LLC	1/19/2021	>200KW PV, NY Sun	769,080
		NY-SUN, NY Sun	1,064,880
GSPP 641 Ferris Road West, LLC	12/30/2020	>200KW PV, NY Sun	480,675
		NY-SUN, NY Sun	665,550
GSPP 1450 Curtis Rd, LLC	2/25/2021	>200KW PV, NY Sun	700,128

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GSPP 2496 Lewis Road LLC	11/2/2020	>200KW PV, NY Sun	1,048,319
		NY-SUN, NY Sun	1,257,985
GSPP 4474 Lower Birch Run Rd, LLC	12/7/2020	>200KW PV, NY Sun	492,601
		NY-SUN, NY Sun	682,063
GSPP 4643 Twelve Corners Road, LLC	12/30/2020	>200KW PV, NY Sun	949,814
		NY-SUN, NY Sun	1,315,126
GSPP 5059 State Route 104, LLC	3/16/2021	>200KW PV, NY Sun	370,656
GSPP 7024 Fox Rd, LLC	3/6/2021	>200KW PV, NY Sun	1,249,356
		NY-SUN, NY Sun	1,616,816
GSPP 9557 E Rd S, LLC	12/7/2020	>200KW PV, NY Sun	444,741
		NY-SUN, NY Sun	615,794
GSPP 9605 E Rd N, LLC	12/7/2020	>200KW PV, NY Sun	444,741
		NY-SUN, NY Sun	615,794
GSPP Avenue H, LLC	10/14/2020	>200KW PV, NY-Sun	191,808
GSPP Baxter 1, LLC	3/8/2021	>200KW PV, NY Sun	672,730
		NY-SUN, NY Sun	1,834,715
GSPP Baxter 2, LLC	3/8/2021	>200KW PV, NY Sun	491,048
		NY-SUN, NY Sun	1,339,223
GSPP East 91 LLC	11/16/2020	>200KW PV, NY-Sun	114,552
GSPP KR Hylan, LLC	12/24/2020	>200KW PV, NY-Sun	380,952
GSPP Preston CT, LLC	10/14/2020	>200KW PV, NY-Sun	197,136
Guidehouse Inc.	10/16/2020	EVALUATION, TWO #4 PM&IP	47,137
	10/21/2020	TWO #3 - Natural Gas Price For	7,667
	11/2/2020	NYCH: LMI, TWO 5	397,709
	11/25/2020	TWO #5 - NG and REC Price Fore	9,926
	3/4/2021	Healthy Homes VB Payment Pilot, TWO 3 NYS Healthy Homes ..	198,960
Guth Deconzo Consulting Engineers	11/25/2020	Technical Services, IAQ-Higher Education-Guth TWO	75,000
Halcyon Inc.	11/6/2020	NYCH: Comfort Home, Comfort Home -P4P Backcasting	50,000
Halcyon, Inc.	10/22/2020	<200KW PV, NY-Sun	5,440
Hamilton Heights Cluster Associates, LP	3/17/2021	Multifam Performance Pgm, Multifamily	60,200
Hanover PV, LLC	1/27/2021	>200KW PV, NY Sun	851,760
		NY-SUN, NY Sun	1,048,320
Harris Beach PLLC	1/7/2021	Code to Zero, Codes	3,000
	1/20/2021	NYSERDA ADMINISTRATION, On Bill Financing Doc	10,000
	3/16/2021	NEW YORK GREEN BANK, Green Bank PAAA	2,225
Harris Wiltshire & Grannis LLP	2/17/2021	REC4:CES REC4 Tech Support, CES 2.0 Support	250,000
Harrisburg University of Science and Tec	12/2/2020	Environmental Research, spatial and temporal variation	349,976
	3/16/2021	Environmental Research, spatial and temporal variation	150,000
Harvest Power, LLC	11/10/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/5/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/18/2021	<200KW PV, NY-Sun	36
		>200KW PV, NY-Sun	54
Hawn Heating & Energy Services LLC	11/2/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	12,960
	11/18/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,160
	11/30/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,640
	1/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	3/24/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,800
HDFC 185 East 2nd Street Corp.	11/2/2020	Technical Services, FT13151 - 185 East - PON	6,250
Healthy Home Energy & Consulting, Inc.	10/27/2020	Talent Pipeline:CE and OJT, OJT HIRE	11,520
	1/15/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,400
Heat Keepers, Inc.	11/2/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
	1/29/2021	Talent Pipeline:CE and OJT, OJT HIRE	7,680
HECATE ENERGY ALBANY 1 LLC	3/2/2021	REC:CES REC Contracts, Coeymans Solar	18,449,496
HECATE ENERGY GREENE 1 LLC	3/30/2021	REC:CES REC Contracts, Greene County 1	18,449,496
HECATE ENERGY GREENE 2 LLC	3/30/2021	REC:CES REC Contracts, Greene County 2	9,224,210
Hecate Energy-	3/15/2021	REC:CES REC Contracts, RESRFP20-1_Hecate Cider Solar	150,155,815

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Helios Energy New York 4, LLC	3/10/2021	>200KW PV, NY Sun	1,124,970
Helios Energy New York 9 LLC	11/20/2020	>200KW PV, NY Sun	876,096
Helios Energy New York 10, LLC	11/20/2020	>200KW PV, NY Sun	876,096
Helios Energy New York 11, LLC	3/9/2021	>200KW PV, NY Sun	1,124,970
HELIOS ENERGY NEW YORK 15 LLC	12/3/2020	>200KW PV, NY Sun	973,440
		NY-SUN, NY Sun	1,347,840
Hester Street Collaborative, Inc.	12/9/2020	NY-SUN, SEEF Stakeholder Engagement	50,000
HEVO Inc.	12/17/2020	Electric Vehicles - Innovation, PON 3578 R1 CAT2	250,000
Hidden Meadows Solar, LLC	12/30/2020	>200KW PV, NY-Sun C&I	974,173
		NY-SUN, NY-Sun C&I	1,198,982
Hilltop Heating Corporation	3/19/2021	Renewable Heat NY, Ray Brook Large Biomass Boiler	125,209
Hobart and William Smith Colleges	3/31/2021	Technical Services, OsEM51-C-Hobart&William Smith	82,514
Hodgson Russ LLP	10/14/2020	ESTOR:Consumer Education, PSC Energy Storage Policies	15,000
	12/11/2020	Code to Zero, Zoning Code/Land Use Policy	7,000
	2/23/2021	NYSERDA ADMINISTRATION, EmPower Claim Costs	5,000
Holland & Knight LLP	11/4/2020	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	37,719
	12/15/2020	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	2,967
	3/5/2021	OREC: Technical Support, OSW Reg Matters_Cable Coord.	100,000
	3/30/2021	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	1,791
Home Leasing, LLC	10/6/2020	>200KW PV, NY Sun	333,099
	10/8/2020	New Construction Housing, 2019 LRNCP	15,000
	10/20/2020	New Construction Housing, 2019 LRNCP	50,600
HomeCycle Technologies, Inc.	10/28/2020	REC:CES REC System Dev Costs, RESRFP20-1 TEP IE	41,145
Homes for Heroes, Inc.	1/21/2021	New Construction Housing, 2020 LRNCP	21,000
Honeywell International Inc.	12/11/2020	>200KW PV, TWO 1 - SQA	15,003
		Combined Heat and Power, TWO 1 - SQA	15,003
		ESTOR: Implementation Support, TWO 1 - SQA	29,988
		Healthy Homes VB Payment Pilot, TWO 1 - SQA	15,003
		NY-SUN, TWO 1 - SQA	15,003
	3/19/2021	Home Perf w Energy Star, SQA HPwES/EmPower in LI	25,000
Housing Action Council, Inc.	2/17/2021	New Construction Housing, 2019 LRNCP	85,400
Housing Visions Unlimited, Inc.	11/17/2020	New Construction Housing, 2019 LRNCP	59,600
HPDC Energy LLC	1/28/2021	Housing Agencies Support, Affordable housing strategy	499,920
Hubbs Road Solar, LLC	1/19/2021	>200KW PV, NY Sun	799,193
		NY-SUN, NY Sun	983,622
Hudson River Renewables	11/18/2020	<200KW PV, PON 2112 NY SUN	6,048
	12/29/2020	<200KW PV, PON 2112 NY SUN	6,899
Hudson Valley Clean Energy Inc.	10/7/2020	<200KW PV, PON 2112 NY SUN	14,595
	10/16/2020	<200KW PV, PON 2112 NY SUN	11,471
	10/27/2020	<200KW PV, PON 2112 NY SUN	8,157
	11/2/2020	<200KW PV, PON 2112 NY SUN	95,438
	11/17/2020	<200KW PV, NY-Sun	5,520
	11/30/2020	<200KW PV, PON 2112 NY SUN	8,019
	12/2/2020	<200KW PV, NY-Sun	143,780
		NY-SUN, NY-Sun	123,240
	12/8/2020	<200KW PV, PON 2112 NY SUN	8,222
	12/11/2020	<200KW PV, PON 2112 NY SUN	8,029
	12/18/2020	<200KW PV, NY-Sun	5,888
	1/25/2021	<200KW PV, NY-Sun	5,954
	1/26/2021	<200KW PV, PON 2112 NY SUN	8,463
Hudson Valley Housing Development F..	1/22/2021	New Construction Housing, 2019 LRNCP	56,000
Hytech Solar Inc	12/18/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
iCatalysts LLC	3/23/2021	Innovation Advisors, Innovation Advisor - Innov Ops	175,000
ICF Resources, LLC	2/3/2021	Campus/Technical Assistance, Natural Gas Constrained Area	39,508
	2/4/2021	ENVIRONMENTAL RESEARCH, TWO #8 Electricity System M..	49,671
	3/17/2021	ENVIRONMENTAL RESEARCH, TWO#9 NYS Elect System M..	35,329

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Ida Yarbrough Phase IV LLC	12/15/2020	Technical Services, FT13199 - Multiple - PON	32,088
IHS Global Inc.	11/16/2020	ENERGY ANALYSIS, OPIS Alerts and Newsletter	6,300
	1/15/2021	ENERGY ANALYSIS, IHS Markit/PointLogic Subscrip	54,190
Illume Advising LLC	11/9/2020	Home Perf w Energy Star, EnergyAffordability and Equity	450,000
Imperial Manor Associates LLC	12/16/2020	Multifam Performance Pgm, Multifamily	35,400
Indeed Inc.	1/13/2021	NYSERDA ADMINISTRATION, Job Postings	30,500
Industrial Economics, Incorporated	10/26/2020	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	1,612,767
	11/17/2020	Code to Zero, TWO 1 StretchtoZero	5,000
		ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	20,000
		Eval MCDC: MF Potential Study, TWO 1 EE Supply Curve Anal..	20,000
	12/1/2020	OTHER PROGRAM AREA, Market Evaluation Dev. Study	367,136
	12/15/2020	Mkt Char: Tech Assist, TWO #2 Outage Damages	45,000
	1/8/2021	Electric Vehicles - Innovation, TWO2 - CT Evaluation	300,000
		Electric Vehicles - Rebate, TWO2 - CT Evaluation	600,000
2/5/2021	Pub Transit & Elect Rail, TWO2 - CT Evaluation	70,794	
2/5/2021	Mkt Char: Tech Assist, TWO 3 Utility Outages Phase II	299,994	
Infinity Solar Systems, LLC	2/11/2021	<200KW PV, PON 2112 NY SUN	7,508
Info-Tech Research Group Inc.	12/9/2020	NYSERDA ADMINISTRATION, 1-yr Info-Tech Research Group	34,458
inMotion, Inc.	10/26/2020	NYSERDA ADMINISTRATION, inMotion Subscription	84,848
Insight Public Sector, Inc.	3/25/2021	NYSERDA ADMINISTRATION, Eset Endpoint Antivirus - 3 yr	8,723
Institute for Market Transformation	12/8/2020	Air Source Heat Pumps, VHE HVAC	16,502
		NYCH: Innovation, VHE HVAC	618,838
Integral Building & Design, Inc.	1/15/2021	Low Rise New Construction, 2019 LRNCP	10,000
Integrated Energy Service Corp	12/3/2020	Real Time Enrgy Management, Integrated-SL Green Multi-RTEM	600,480
	2/22/2021	Real Time Enrgy Management, IES-470 Vanderbilt-RTEM	84,420
Integrated HVAC Systems and Services	12/4/2020	Real Time Enrgy Management, Integrated 251 W 117th St RTEM	78,720
	12/7/2020	Real Time Enrgy Management, Integrated-185 S 4th St-RTEM	28,800
		Real Time Enrgy Management, Integrated-3446 Vernon -RTEM	155,000
	12/11/2020	Real Time Enrgy Management, Integrated-401 W 25 ST-RTEM	23,250
		Real Time Enrgy Management, Integrated-260 W 26 St-RTEM	24,060
International Business Machines	11/20/2020	On-Site Energy Manager, OsEM57-I IBM Sterling Forest	211,051
	2/4/2021	Technical Services, FT13294 - 1 North Castle - PON	33,948
International Business Machines,	2/4/2021	Technical Services, FT13280 - 1101 Kitchawan - PON	30,606
Interstate Renewable Energy Council, I..	12/3/2020	NY-SUN, LI Community Solar Pgm Dev	21,635
Intralinks, Inc.	2/11/2021	NEW YORK GREEN BANK, VDR Services	4,500
IPPsolar Integration LLC	2/2/2021	<200KW PV, NY-Sun	124,837
		NY-SUN, NY-Sun	13,628
IRN 694 Binnewater LLC	12/21/2020	<200KW PV, NY-Sun	61,583
Ithaca College	11/23/2020	ENVIRONMENTAL RESEARCH, Methane emissions measure..	49,913
Ithaca Neighborhood Housing Services,..	11/12/2020	Technical Services, FT13097 - Verona - PON	6,250
J Synergy Green Inc	12/4/2020	WORKFORCE DEVELOPMENT, OJT HIRE	9,600
	3/15/2021	WORKFORCE DEVELOPMENT, OJT HIRE	15,360
	3/18/2021	WORKFORCE DEVELOPMENT, OJT HIRE	12,000
J Synergy Solar LLC	2/17/2021	<200KW PV, PON 2112 NY SUN	5,023
	3/18/2021	<200KW PV, PON 2112 NY SUN	6,003
J&A Electrical Construction LLC	1/12/2021	<200KW PV, PON 2112 NY SUN	8,288
James Garrison	12/24/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	98,703
Jaros, Baum & Bolles	10/21/2020	NYCH: Technical Assistance, FT13167 - 745 Seventh - FTC	38,542
	1/6/2021	Technical Services, Indoor Air Quality TWO - JB&B	18,000
Jefferson County	12/4/2020	Clean Energy Communities, CEC711068 - Jefferson County	250,000
JFL Consulting LLC	1/25/2021	Innovation, Hydrogen Energy Consulting	125,000
John Betlem Heating & Cooling Inc	1/20/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,120
	2/2/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	19,680
Johnson Controls, Inc. (Syracuse)	2/26/2021	NYCH: Technical Assistance, FT13230 - Multiple - FTC	38,240
Jones Lang LaSalle Americas, Inc.	11/24/2020	Commercial Real Estate Ten, JLL Americas-Multisite	17,035
	12/8/2020	On-Site Energy Manager, OsEM61-I - IBM Yorktown	214,000

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Jordan Energy and Food Enterprises L..	1/20/2021	<200KW PV, PON 2112 NY SUN	8,750
Joseph R Chimera	12/29/2020	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Mainten..	800,000
JouleSmart Solutions, Inc.	2/17/2021	Real Time Enrgy Management, JouleSmar-500 Yonkers Ave-R..	5,863
Julie Markham LLC	10/6/2020	Cleantech Ignition, J. Markham Consulting contract	25,000
		Innovation, J. Markham Consulting contract	25,000
Kamtech Restoration Corp	10/22/2020	<200KW PV, PON 2112 NY SUN	5,000
	10/26/2020	<200KW PV, PON 2112 NY SUN	5,000
	11/6/2020	<200KW PV, PON 2112 NY SUN	7,021
	12/1/2020	>200KW PV, PON 2112 NY SUN	121,260
Kanji No Koen Consulting LLC	2/22/2021	NEW YORK GREEN BANK, Tibita Kaneene with NYGB	161,956
Kasselman Solar LLC	10/2/2020	<200KW PV, NY-Sun	7,904
	10/16/2020	<200KW PV, PON 2112 NY SUN	11,270
	11/4/2020	<200KW PV, PON 2112 NY SUN	8,750
	11/12/2020	<200KW PV, PON 2112 NY SUN	6,064
	11/13/2020	<200KW PV, PON 2112 NY SUN	6,650
	11/16/2020	<200KW PV, PON 2112 NY SUN	6,650
	11/18/2020	<200KW PV, PON 2112 NY SUN	14,140
	12/21/2020	<200KW PV, PON 2112 NY SUN	6,038
	12/22/2020	<200KW PV, PON 2112 NY SUN	5,954
	12/29/2020	<200KW PV, PON 2112 NY SUN	6,956
	12/30/2020	<200KW PV, PON 2112 NY SUN	5,320
	1/5/2021	<200KW PV, NY-Sun	5,120
	1/14/2021	<200KW PV, NY-Sun	6,720
	1/19/2021	<200KW PV, PON 2112 NY SUN	8,400
	1/27/2021	<200KW PV, PON 2112 NY SUN	6,300
	2/16/2021	<200KW PV, NY-Sun	9,792
	2/18/2021	<200KW PV, NY-Sun	5,880
	2/23/2021	<200KW PV, NY-Sun	6,720
		<200KW PV, PON 2112 NY SUN	5,236
		<200KW PV, PON 2112 NY SUN	6,101
	<200KW PV, NY-Sun	6,720	
	<200KW PV, NY-Sun	10,800	
	<200KW PV, NY-Sun	9,152	
Kathleen B Hogan	10/13/2020	NYCH: Empire Build Challenge, Support for EBC	20,000
Kawi Energy Group Corp.	10/6/2020	Talent Pipeline:CE and OJT, OJT HIRE	15,360
	10/13/2020	Commercial Real Estate Ten, Kawi - 20 Sickles Ave - CTP	5,430
	11/10/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	1/20/2021	Commercial Real Estate Ten, Kawi Energy Group-Multisite	28,238
	2/8/2021	Commercial Real Estate Ten, Kawi-1 Liberty Plaza FI38-39	9,018
	2/23/2021	Commercial Real Estate Ten, Kawi- 155 W 23rd -Multi Sites	14,198
	3/17/2021	Commercial Real Estate Ten, Kawi Energy Group - Multisite	83,866
KBRA Holdings, LLC	2/11/2021	Public Rating on NYGB Bonds	750,000
Kearns & West, Inc.	3/31/2021	Environmental Research, TWO 4 Learning from Experts	49,943
Kelliher Samets Volk	10/1/2020	Empire Building Challenge, TWO 35: EBC Strat. Plan	25,000
	3/8/2021	Capital Planning, TWO 38 MF Low Carbon	20,060
	3/16/2021	ENERGY ANALYSIS, KSVTWO 37: Climate Act Website	46,000
Kinetic Communities Consulting Corpo..	2/3/2021	Community RH&C, CH&C Communities Round 3	699,994
Kinetic Services Engineering P.C	11/12/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Knoll, Inc.	1/13/2021	NYSERDA ADMINISTRATION, Furniture for Green Bank Offii	610
Knox PV, LLC	2/25/2021	>200KW PV, NY Sun	720,720
Kool-Temp Heating & Cooling	12/9/2020	<200KW PV, PON 2112 NY SUN	8,946
KRN CG LLC	2/18/2021	Multifam Performance Pgm, Multifamily	235,200
L&S Energy Services, Inc.	10/8/2020	NYCH: Technical Assistance, L&S GJGNY Energy Audits	200,000
	11/10/2020	NYCH: Technical Assistance, L&S TWO - NG CHC Screenings	20,000
	11/17/2020	Commercial New Construc, RFP3771 Umbrella Contract	17,370
	11/23/2020	New Construction- Commercial, Commercial New Construction	26,000

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L&S Energy Services, Inc.	11/23/2020	Technical Services, FT13157 - Cronin High Rise-FTC	8,934
		Technical Services, FT13158 - Earl Towers - FTC	8,534
		Technical Services, FT13159 - Stichman Towers -FTC	9,491
	3/1/2021	Clean Energy Communities, L&S GJGNY Energy Audits	249,460
LaBella Associates, P.C.	12/11/2020	Technical Services, AEAP1284 - Lismore Dairy LLC	6,000
	2/4/2021	NYCH: Technical Assistance, FT13363 - 30 Campus - FTC	162,561
	3/2/2021	New Construction- Commercial, Commercial New Construction	27,000
	3/18/2021	Technical Services, FT13437 - 711 North - FTC	33,000
Lake Country Geothermal, Inc.	10/28/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	11,520
Landau Solar II LLC	3/23/2021	>200KW PV, NY Sun	472,782
Latham & Watkins LLP	3/23/2021	Commercial Real Estate Ten, Latham&Watkins-1271AOA,st3400	22,501
Lawrence Avenue Community Partners,..	11/3/2020	Multifam Performance Pgm, Multifamily	41,100
Lawrence Terrace Vintage, LLC	2/18/2021	Multifam Performance Pgm, Multifamily	25,200
	2/22/2021	Technical Services, Ft13297 - 402 Lawrence - PON	5,400
Leenhouts Solar Farm I, LLC	3/6/2021	>200KW PV, NY Sun	333,099
Levitan & Associates, Inc.	12/21/2020	REC4:CES REC4 Tech Support, CES Solicitation Support	1,330,000
		REC:CES REC System Dev Costs, CES Solicitation Support	25,000
Liberty Square Associates LLC	10/7/2020	New Construction Housing, 2019 LRNCP	53,000
Lighthouse Landing Communities, LLC	10/1/2020	NYCH: Technical Assistance, FT13143 - Edge on Hudson - PON	15,370
Lincoln Life & Annuity Company of NY	12/28/2020	NYSERDA ADMINISTRATION, Insurance SL/LT/PFL 2021-22	231,617
Livingston Energy Group	2/17/2021	Talent Pipeline:CE and OJT, OJT HIRE	13,440
	3/17/2021	Talent Pipeline:CE and OJT, OJT HIRE	15,360
Locust Solar, LLC	1/27/2021	>200KW PV, NY Sun	871,077
		NY-SUN, NY Sun	1,072,094
Long Island High Technology Incubator	12/17/2020	Cleantech Incubator, PON3413 Clean Energy Incubator	300,000
Long Island Power Solutions	12/3/2020	<200KW PV, PON 2112 NY SUN	11,701
	12/4/2020	<200KW PV, PON 2112 NY SUN	7,021
	1/19/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/21/2021	<200KW PV, PON 2112 NY SUN	5,117
	3/12/2021	<200KW PV, PON 2112 NY SUN	5,000
Low-Level Radioactive Waste Forum, In..	1/6/2021	NYSERDA ADMINISTRATION, LLRW Forum Membership Fee ..	5,000
LR Wheatfield Solar 1, LLC	12/7/2020	>200KW PV, NY-Sun C&I	1,574,235
Luminate, LLC	1/22/2021	Outside Technical and Eng. Srv	35,000
M. Zion Security Systems Corp	12/29/2020	Card Access Security System	23,245
M.J. Beck Consulting LLC	10/27/2020	REC:CES REC System Dev Costs, RESRFP20-1 TEP IE	33,000
M/E Engineering, P.C.	10/6/2020	NYCH: Technical Assistance, Westchester Tech Services	200,000
	10/14/2020	New Construction- Commercial, Commercial New Construction	49,375
	11/12/2020	NYCH: Technical Assistance, M/E TWO - NG CHC Screenings	20,000
	11/23/2020	New Construction- Commercial, Commercial New Construction	67,950
	12/16/2020	New Construction- Commercial, Commercial New Construction	38,325
	3/19/2021	New Construction- Commercial, Commercial New Construction	80,325
Machias PV, LLC	1/20/2021	>200KW PV, NY Sun	361,998
		NY-SUN, NY Sun	445,536
Madrid Solar 1, LLC	11/17/2020	NY-SUN, NY Sun	1,449,048
Magnusson Architecture and Planning ..	10/20/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	150,000
Malcarne Contracting, Inc.	1/11/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,920
	1/15/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	14,400
	1/20/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Manhattan Avenue Senior LLC	12/21/2020	New Construction Housing, 2019 LRNCP	62,000
Maple Manor Vintage LLC	2/22/2021	Technical Services, FT13298 - 7500 Windview - PON	6,300
Marathon Solar Farm II, LLC	10/15/2020	>200KW PV, NY- Sun C&I	788,970
Marathon Solar Farm, LLC	10/15/2020	>200KW PV, NY-Sun C&I	1,203,384
Marshall & Sterling, Inc.	2/25/2021	NYSERDA ADMINISTRATION, RFP 4301 Insurance	274,284
Martin Rd Solar LLC	11/16/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	15,282,332
Masmore Corporation	10/13/2020	Buildings of Excellence, Buildings of Excellence R1	203,082
Matt Fronk and Associates LLC	10/14/2020	Innovation, Innovation Hydrogen Programs	40,000

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Maureen Data Systems, Inc.	3/10/2021	NYSERDA ADMINISTRATION, VMWare Airwatch - 2021 - 2022	7,020
Max Solar Inc	10/27/2020	<200KW PV, PON 2112 NY SUN	8,750
	10/29/2020	<200KW PV, PON 2112 NY SUN	6,160
	11/3/2020	<200KW PV, NY-Sun	11,520
Merrimack Energy Group, Inc.	10/27/2020	REC:CES REC System Dev Costs, RESRPF20-1 TEP IE	40,700
MGT Property Management LLC	2/2/2021	NYCH: Technical Assistance, FT13249 - 38 E 29th - PON	36,707
Micatu, Inc.	10/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,280
	10/8/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,280
	10/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,280
	10/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,280
Michael Te Lin	11/10/2020	Cleantech Ignition, Michael Te Lin consulting	40,000
Michaels Energy, Inc.	3/3/2021	On-Site Energy Manager, TWO 1 - EMP Impact Evaluation	440,573
		Strategic Energy Manager, TWO 1 - EMP Impact Evaluation	146,858
Michaels Group Homes, LLC	11/16/2020	New Construction Housing, 2019 LRNCP	6,650
	12/15/2020	New Construction Housing, 2019 LRNCP	8,550
	1/4/2021	New Construction Housing, 2020 LRNCP	7,600
Military Road Solar, LLC	2/25/2021	>200KW PV, NY Sun	682,110
Milliman, Inc.	3/10/2021	NYSERDA ADMINISTRATION, 2021 GASB74 Liab GASB75 O..	5,500
MIR Queens Place, LLC	3/22/2021	Technical Services, FT13318 - 88-01 Queens - PON	44,146
MJ Garden LLC	1/14/2021	New Construction- Commercial, Commercial New Construction	55,048
Moelis & Company Group LP	2/22/2021	NEW YORK GREEN BANK, 3PC raise advisory Services	250,000
Montefiore Medical Center	2/22/2021	Technical Services, OsEM69-C-Montefiore Medical	214,000
Morgan Stanley	2/8/2021	NYCH: Technical Assistance, FT13356 - 2000 Westch. - PON	15,995
Morningside Housing Associates, LP	2/18/2021	Multifam Performance Pgm, Multifamily	97,300
MSAP 13 LLC	3/22/2021	>200KW PV, NY Sun	780,000
Museum of Modern Art	2/17/2021	NYCH: Technical Assistance, FT13303 - Queens Campus - PON	65,448
MVP Consulting Plus, Inc.	11/4/2020	NYSERDA ADMINISTRATION, 20-21 License Renewal for SAS	10,473
NASEO	3/3/2021	ENERGY ANALYSIS, USEER Support 2021	50,000
National Renewable Energy Laboratory	10/13/2020	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	400,000
		Natl Offshore Wind R&D	400,000
	3/15/2021	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	200,000
		Natl Offshore Wind R&D	200,000
	3/19/2021	M-Corps, 2021 Ind Grow Frm Sponsorship	12,000
National Solar Technologies	1/27/2021	>200KW PV, NY Sun	2,100,000
		NY-SUN, NY Sun	1,200,000
Nautilus Owner 2020, LLC	3/7/2021	>200KW PV, NY-Sun C&I	4,214,438
NESCAUM	12/4/2020	ENVIRONMENTAL RESEARCH, TWO #8 AEROMMA	523,427
	1/12/2021	ENVIRONMENTAL RESEARCH, TWO #10 Air Quality	295,000
		Renewable Heat NY, TWO #10 Air Quality	540,000
	2/26/2021	ENVIRONMENTAL RESEARCH, CFD Modeling	49,500
	3/16/2021	ENVIRONMENTAL RESEARCH, TWO #11 Wood Heating	399,500
Netgains Engineering P.C.	12/2/2020	Commercial Real Estate Ten, Netgains-975 Georgia Ave	5,000
	12/24/2020	NYCH: Technical Assistance, FT13196 - 149-151 Grand - FTC	5,000
	2/16/2021	NYCH: Technical Assistance, FT13316 - 160 Central - FTC	26,604
	2/17/2021	NYCH: Technical Assistance, FT13324 - 181 Varick - FTC	7,950
	2/22/2021	NYCH: Technical Assistance, FT13291 - 300 Albany - FTC	5,000
	3/10/2021	Technical Services, FT13370 - Stages 1-6 - FTC	20,450
		Technical Services, FT13371 - Stages 10-15 - FTC	5,000
3/22/2021	NYCH: Technical Assistance, FT13372 - Montten Slope - FTC	5,000	
Network Craze Technologies	11/24/2020	Network.Equip.NYGB.1333.NYC	28,323
		NYSERDA ADMINISTRATION, Network.Equip.NYGB.1333.NYC	28,323
Network Experts of New York, Inc.	11/25/2020	NYSERDA ADMINISTRATION, Network Consulting Services	10,860
New Buildings Institute, Inc.	11/9/2020	New Construction- Commercial, 2021 Getting to 0 Forum-Legacy	49,965
	2/10/2021	New Construction- Commercial, RFQL 3711- GTZ NY 2021 Upd..	50,000
	2/16/2021	NYCH: Cost Reduction, TWO #2 Bldg Elec Roadmap Writi	8,453
NYCH: Roadmap, TWO #2 Bldg Elec Roadmap Writi		202,862	

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New Buildings Institute, Inc.	2/22/2021	Prof & Expert Engagement, 2020 NBI Membership	25,000
	3/2/2021	Prof & Expert Engagement, 2021 NBI Membership	25,000
New Paltz, Town of	10/14/2020	Commercial New Construc, Commercial New Construction	9,643
New York Geothermal Foundation, Inc.	11/10/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
New York Medical College	12/7/2020	REV Campus Challenge, REVCC_ETL_Comp_Round 3	1,300,000
New York Power Authority,	12/21/2020	Pub Transit & Elect Rail, NYPA transit bus study MOU	525,000
New York State Solar Farm Inc.	11/18/2020	<200KW PV, NY-Sun	7,219
	1/5/2021	<200KW PV, PON 2112 NY SUN	8,750
	2/10/2021	<200KW PV, PON 2112 NY SUN	5,608
	3/3/2021	<200KW PV, PON 2112 NY SUN	14,655
	3/23/2021	<200KW PV, PON 2112 NY SUN	8,750
Newport Ventures, Inc.	10/27/2020	Code to Zero, TWO3 Energy Code and NYStretch	1,150,000
	2/4/2021	Code to Zero, Newport TWO #1 Training	242,964
Nexamp Capital, LLC	11/18/2020	NY-SUN, NY Sun	753,152
Nexamp, Inc	2/12/2021	NY Green Bank, Nexamp	25,000,000
NexRev, LLC	2/9/2021	Real Time Enrgy Management, NexRev-Multisite-RTEM	136,821
Next Generation Solar, LLC	10/26/2020	<200KW PV, PON 2112 NY SUN	4,778
	12/21/2020	<200KW PV, PON 2112 NY SUN	5,831
	1/14/2021	<200KW PV, PON 2112 NY SUN	6,142
Nextera Energy Capital Holdings Inc	11/13/2020	>200KW PV, NY-Sun C&I	1,273,919
		NY-SUN, NY-Sun C&I	1,648,601
	12/16/2020	>200KW PV, NY-Sun C&I	1,273,919
		NY-SUN, NY-Sun C&I	1,648,601
NG 645 Madison Ave LLC	3/8/2021	NYCH: Technical Assistance, FT13337 - 645 Madison - PON	24,075
Niagara Depot Solar, LLC	11/2/2020	>200KW PV, NY Sun	1,191,154
		NY-SUN, NY Sun	765,741
Niagara Square Apartments Housing Fu..	10/5/2020	Low Rise New Construction, New Construction	146,600
Niagara Wind Power LLC	10/16/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	6,376,580
Nicholas Noyes Memorial Hospital	11/12/2020	Technical Services, FT13175 - 111 Clara - PON	5,465
Nightingale Realty, LLC	1/29/2021	Technical Services, FT13317 - 14 53rd - PON	10,000
Nixon Peabody LLP	12/15/2020	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	62,810
	3/19/2021	RFP 12 - NYGB Legal Services	49,755
NJR Clean Energy Ventures III Corp.	3/26/2021	>200KW PV, NY Sun	1,143,162
		NY-SUN, NY Sun	1,008,672
NMR Group, Inc.	10/28/2020	Eval MCDC Clean Transportation, Clean Transportation Evaluat..	11,500
Noresco LLC	10/7/2020	Technical Services, FT13149 - 1 State - FTC	38,892
	10/14/2020	New Construction- Commercial, Commercial New Construction	26,640
	11/2/2020	Code to Zero, TWO-2 Online Training Class	27,242
	12/17/2020	Technical Services, FT13232 - 50 Vanderbilt - FTC	19,854
	2/8/2021	Technical Services, FT13267 - 240 Greenwich - FTC	94,005
	3/9/2021	Code to Zero, Third-party E-Code Support	97,210
	3/22/2021	Technical Services, FT13440 - Smilow - FTC	42,653
	3/30/2021	REV Campus Challenge, FT13325 - Morningside - FTC	138,886
North American Passive House Networ..	1/5/2021	New Construction Housing, NAPHN 2021	25,000
Northco Products, Inc.	1/7/2021	NYSERDA ADMINISTRATION, Program External Printing	12,000
Northeast Energy Efficiency Partnerships	1/8/2021	NYCH: Critical Tools, Heat Pump Spec Development	49,760
	1/25/2021	NYCH: Critical Tools, VRF Field Validation Project	50,000
Northland Power U.S. Projects Inc.	11/18/2020	REC:CES REC Contracts, High Bridge Wind	137,079,080
	11/25/2020	REC:CES REC Contracts, Bluestone Wind	174,333,640
	12/7/2020	REC:CES REC Contracts, Ball Hill Wind Farm	122,865,629
Northwell Health, Inc.	1/26/2021	Fuel Cells, Fuel Cell Incentive - FC-037	550,000
Norwich Housing Authority	12/29/2020	Multifam Performance Pgm, Multifamily	43,400
	2/12/2021	Technical Services, FT13273 - Peacock Park - PON	7,000
NP Environmental LLC	2/24/2021	Large-Scales GSHP Rebate	159,336
NuWorld Lighting Solutions Inc	2/3/2021	WORKFORCE DEVELOPMENT, OJT HIRE	11,520
NY 5 King LLC	11/20/2020	>200KW PV, NY Sun	919,776

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NY 24 Sherman LLC	11/20/2020	>200KW PV, NY Sun	899,184
NY 18144 Game Farm, LLC	10/22/2020	>200KW PV, NY Sun	1,024,043
		NY-SUN, NY Sun	1,228,854
NY Afton I, LLC	12/4/2020	>200KW PV, NY-Sun C&I	902,880
NY Bath I, LLC	12/17/2020	>200KW PV, NY-Sun C&I	1,175,040
NY Benton I, LLC	3/22/2021	>200KW PV, NY Sun	1,034,207
		NY-SUN, NY Sun	1,241,051
NY CDG 004 LLC	11/2/2020	<200KW PV, NY-Sun	4,100
		>200KW PV, NY-Sun	4,100
NY Fayette I, LLC	12/16/2020	>200KW PV, NY-Sun	1,056,354
NY Newark Valley I, LLC	3/16/2021	>200KW PV, NY-Sun C&I	1,378,944
NY Owego II, LLC	3/26/2021	>200KW PV, NY Sun	896,314
		NY-SUN, NY Sun	1,241,049
NY Portage I, LLC	12/17/2020	>200KW PV, NY-Sun C&I	1,029,990
NY Troupsburg I, LLC	3/22/2021	>200KW PV, NY Sun	895,050
NYC Climate Action Alliance Inc.	10/6/2020	Commercial Real Estate Ten, NYC Climate Action: Energy Sol	50,000
NYC Energy LLC	2/3/2021	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	23,970,000
NYGB CCRD Borrower, LLC	10/30/2020	NY Green Bank, CCR/Investec	15,000,000
NYS Economic Development Council	3/19/2021	New Construction Housing, Gen. Marketing & Outreach 2021	40,000
		New Construction- Commercial, Gen. Marketing & Outreach 20..	10,000
NYS Labor Management Cooperation C..	1/12/2021	Talent Pipeline: CE and OJT, PON3981 Round 9	181,461
NYS Office of Parks, Recreation and	12/29/2020	<200KW PV, PON 2112 NY SUN	12,800
	1/28/2021	<200KW PV, PON 2112 NY SUN	20,286
NYSDEC	11/17/2020	OTHER PROGRAM AREA, Cooperative Agreement/Drones	0
NYSERDA	11/16/2020	NY Green Bank, Green Jobs Companion Loan	5,000,000
NYSS LLC	12/29/2020	ENERGY STORAGE, PON 2112 NY SUN	5,050
	1/8/2021	<200KW PV, NY-Sun	7,888
	1/12/2021	COMMUNITY SOLAR, NY-Sun	4,624
		ENERGY STORAGE, NY-Sun	6,840
O'Brien & Gere Engineers, Inc.	2/17/2021	NYCH: Technical Assistance, FT13315 - Uni. at Albany - FTC	179,919
	3/10/2021	REV Campus Challenge, FT13335 - Morrisville - FTC	32,065
O'Connell Electric Company	11/6/2020	<200KW PV, PON 2112 NY SUN	53,739
Office Resource, Inc	10/1/2020	Furniture Purchase	47,685
Okeenea Digital	1/19/2021	Pub Transit & Elect Rail, Transit accessibility beacons	198,559
OLA Consulting Engineers, P.C.	10/6/2020	NYCH: Technical Assistance, Westchester Tech Services	200,000
	10/14/2020	Commercial New Construc, Commercial New Construction	22,000
	11/23/2020	New Construction- Commercial, Commercial New Construction	47,990
Old Mill Road Solar A, LLC	3/16/2021	>200KW PV, NY Sun	739,939
Old Mill Road Solar B, LLC	3/16/2021	>200KW PV, NY Sun	725,625
Omni New York LLC	11/12/2020	Buildings of Excellence, Buildings of Excellence R1	212,500
ONIX, Inc.	12/23/2020	Real Time Enrgy Management, ONIX Inc. - Multisite - RTEM	279,237
Opinion Dynamics Corporation	11/3/2020	Cleantech Startup Growth, RFQ3183 Umbrella Agreement	108,669
Orange EV LLC	3/11/2021	CLEAN TRANSPORTATION, NYTVIP	140,080
	3/12/2021	CLEAN TRANSPORTATION, NYTVIP	216,160
Orangeville Energy Storage LLC	10/22/2020	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	2,310,000
Oswegatchie Solar, LLC	12/7/2020	>200KW PV, NY-Sun C&I	861,224
		NY-SUN, NY-Sun C&I	1,192,464
Ove Arup & Partners Consulting Engine..	3/9/2021	ENERGY ANALYSIS, TWO1 CommBldg Elect Rdmap	50,000
Owahgena Consulting, Inc.	11/2/2020	Air Source Heat Pumps, Heat Pump Technical Assistance	106,413
Owego Gardens Associates II LLC	3/24/2021	New Construction Housing, 2019 LRNCP	82,800
OwnBackup Inc.	11/6/2020	NYSERDA ADMINISTRATION, Own backupSalesforce.KeyMgt	32,383
OYA Independence East LLC	12/3/2020	>200KW PV, NY Sun	1,124,760
		NY-SUN, NY Sun	1,349,712
OYA Independence North LLC	12/30/2020	>200KW PV, NY Sun	865,280
		NY-SUN, NY Sun	1,064,960
OYA INDEPENDENCE ROAD LLC	11/17/2020	NY-SUN, NY Sun	1,644,100

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OYA Main Street LLC	12/3/2020	>200KW PV, NY Sun	1,124,760
		NY-SUN, NY Sun	1,349,712
OYA Pulaski LLC	10/22/2020	>200KW PV, NY Sun	712,919
		NY-SUN, NY Sun	855,505
OYA ROBINSON ROAD LLC	11/17/2020	NY-SUN, NY Sun	1,644,100
OYA Ruhlmann A LLC	12/30/2020	>200KW PV, NY Sun	974,792
		NY-SUN, NY Sun	1,199,744
OYA Ruhlmann B LLC	12/24/2020	>200KW PV, NY Sun	377,208
		NY-SUN, NY Sun	522,288
Oya Solar CDG LLC	12/22/2020	NY Green Bank, Greenbacker Capital - OYA Solar	13,000,000
OYA State Route 5 LLC	3/19/2021	>200KW PV, NY Sun	643,566
		NY-SUN, NY Sun	712,000
OYA WAYSIDE DRIVE LLC	11/16/2020	NY-SUN, NY Sun	1,644,100
PA Consulting Group	12/30/2020	ENERGY ANALYSIS, TWO #3 Nat. Gas Tech. Support	200,000
Pace University	11/2/2020	NYCH: District, Clean Thermal District Systems	44,000
	3/8/2021	Environmental Research, A-TWG facilitation services	49,997
Palatine Caswell Solar, LLC	10/14/2020	>200KW PV, NY Sun	750,750
Pamelia Solar, LLC	1/27/2021	>200KW PV, NY Sun	900,736
		NY-SUN, NY Sun	1,108,598
Paradise Energy Solutions, LLC	11/2/2020	<200KW PV, NY-Sun	8,000
	11/13/2020	<200KW PV, PON 2112 NY SUN	13,309
	12/24/2020	<200KW PV, PON 2112 NY SUN	8,085
	3/19/2021	<200KW PV, PON 2112 NY SUN	10,500
Parity Inc	11/18/2020	Real Time Enrgy Management, Parity-450 North End Ave-RTEM	42,763
	11/19/2020	Real Time Enrgy Management, Parity-300 East 75th St-RTEM	60,901
Park Grove Development, LLC	10/22/2020	New Construction Housing, 2019 LRNCP	42,000
Pathfinder Engineers & Architects, LLP	12/2/2020	Technical Services, FT13166 - 4341 State - FTC	39,858
	3/19/2021	New Construction- Commercial, Commercial New Construction	74,240
Pathstone Corporation	2/18/2021	OTHER PROGRAM AREA, CEEP Finger Lakes Region (PATH	33,075
Patriot Energy Solutions Corp	11/3/2020	<200KW PV, NY-Sun	18,760
	11/17/2020	<200KW PV, NY-Sun	5,952
	1/20/2021	<200KW PV, NY-Sun	5,256
	1/29/2021	<200KW PV, NY-Sun	7,776
	3/17/2021	<200KW PV, NY-Sun	5,184
	3/18/2021	<200KW PV, NY-Sun	7,100
Paul A. Castrucci, Architects PLLC	12/24/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
Peak Power LI, Inc.	3/2/2021	ESTOR:Consumer Education, Solar + Storage Outreach	30,000
Pearl Over Look Corporation	12/8/2020	Multifam Performance Pgm, Multifamily	268,800
PEMM LLC	3/19/2021	Technical Services, FT13365 - 265 E Main - PON	5,573
		Technical Services, FT13366 - 1279 Coffeen - PON	5,573
		Technical Services, FT13367 - 23582 NY-342 - PON	5,573
Pendleton Solar 1, LLC	11/13/2020	>200KW PV, NY-Sun C&I	1,229,904
Penn Power Group LLC	10/14/2020	Combined Heat and Power, CHPA-CCMH Times Square LLC	1,550,250
People Inc	2/1/2021	New Construction Housing, 2020 LRNCP	44,000
Performance Systems Development, Inc.	10/13/2020	NYCH: Comfort Home, TWO 3 - HPR OpenStudio/EPI	266,337
PGREF I 1633 Broadway Land, LP	11/2/2020	Technical Services, OsEM59-C - Paramount Group	214,000
	3/8/2021	Technical Services, FT13219 - 1633 Broadway - PON	69,854
PH Affordable Housing Fund Inc.	10/27/2020	Multifam New Construction, MFNCP PHIUS T3-1675 Westch	300,000
PitchBook Data, Inc.	11/3/2020	OTHER PROGRAM AREA, OneYear Pitchbook Subscription	25,000
Pivotal 180, LLC	10/26/2020	NEW YORK GREEN BANK, Green Bank	40,000
PLB Oil & Gas Consult LLC	12/31/2020	NYGB Investment Support	25,000
	2/9/2021	NYGB Investment Support	25,000
PlugPV, LLC	10/13/2020	<200KW PV, PON 2112 NY SUN	5,040
	10/16/2020	<200KW PV, PON 2112 NY SUN	5,488
	11/12/2020	<200KW PV, PON 2112 NY SUN	5,376
	11/16/2020	<200KW PV, PON 2112 NY SUN	6,496

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PlugPV, LLC	11/23/2020	<200KW PV, PON 2112 NY SUN	5,054
	11/27/2020	<200KW PV, PON 2112 NY SUN	7,742
	12/7/2020	<200KW PV, PON 2112 NY SUN	5,376
	12/10/2020	<200KW PV, PON 2112 NY SUN	5,824
	12/28/2020	<200KW PV, PON 2112 NY SUN	6,440
	12/30/2020	<200KW PV, NY-Sun	10,240
	1/5/2021	<200KW PV, PON 2112 NY SUN	6,048
	1/6/2021	<200KW PV, PON 2112 NY SUN	6,020
	1/12/2021	<200KW PV, PON 2112 NY SUN	5,135
	1/19/2021	<200KW PV, PON 2112 NY SUN	12,320
	2/4/2021	<200KW PV, PON 2112 NY SUN	5,712
	3/1/2021	<200KW PV, PON 2112 NY SUN	5,152
	3/2/2021	<200KW PV, PON 2112 NY SUN	7,560
	3/8/2021	<200KW PV, PON 2112 NY SUN	6,384
	3/9/2021	<200KW PV, PON 2112 NY SUN	5,600
	3/11/2021	<200KW PV, NY-Sun	9,216
	3/30/2021	<200KW PV, PON 2112 NY SUN	5,824
	3/31/2021	<200KW PV, PON 2112 NY SUN	5,152
Portville CSG 1, LLC	1/19/2021	>200KW PV, NY-Sun C&I	895,751
		NY-SUN, NY-Sun C&I	1,074,903
Potentia Management Group LLC	10/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,226
	12/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,230
	1/5/2021	Talent Pipeline:CE and OJT, OJT HIRE	9,600
	1/20/2021	Talent Pipeline:CE and OJT, OJT HIRE	7,075
Pratt Institute	10/21/2020	Technical Services, OsEM60-C - Pratt Institute	163,038
Premier Solar Solutions LLC	11/16/2020	>200KW PV, PON 2112 NY SUN	20,128
	11/18/2020	>200KW PV, PON 2112 NY SUN	18,352
	12/3/2020	>200KW PV, PON 2112 NY SUN	19,980
	12/15/2020	ENERGY STORAGE, PON 2112 NY SUN	5,700
	1/22/2021	<200KW PV, PON 2112 NY SUN	6,711
3/8/2021	>200KW PV, PON 2112 NY SUN	21,312	
Principle Power Inc	12/2/2020	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	290,000
		Natl Offshore Wind R&D	290,000
Proenergy Consulting LLC	12/22/2020	NEW YORK GREEN BANK, Green Bank	60,000
Promantek Inc.	3/2/2021	NYSERDA ADMINISTRATION, Employee Web-based tool	42,309
Propmodo Inc.	12/23/2020	Real Time Enrgy Management, Strategic Industry Partner Eng	10,140
Prospect Realty Group LLC	11/3/2020	Multifam Performance Pgm, Multifamily	95,900
Provantage, LLC	12/29/2020	NYSERDA ADMINISTRATION, APC Smart UPS Power Supply	6,965
Providence Housing Development Corp	11/2/2020	New Construction Housing, 2019 LRNCP	93,000
Quest Energy Group	2/16/2021	Commercial Real Estate Ten, Quest-330 Madison Fl 3-6	10,500
	3/10/2021	Commercial Real Estate Ten, Quest- 20 W 34th St Fl 14-15	10,000
Quixotic Systems, Inc.	11/16/2020	<200KW PV, NY-Sun	120,000
		>200KW PV, NY-Sun	83,808
QwikSolar, LLC	10/27/2020	<200KW PV, PON 2112 NY SUN	7,280
Radiant Labs, LLC	2/24/2021	Informat. Products & Brokering, Dynamic Market Data Tool	1,400,000
Randstad North America, Inc.	10/22/2020	OTHER PROGRAM AREA, Payroll Services_Innovation	130,000
	11/2/2020	Air Source Heat Pumps, Payroll Services_CHC	48,750
		Campus/Technical Assistance, Payroll Services_CHC	39,000
		Community RH&C, Payroll Services_CHC	48,750
		Geothermal Incentive Program, Payroll Services_CHC	48,750
		Renewable Heat NY, Payroll Services_CHC	48,750
	11/6/2020	Pay for Performance, Payroll Services_Utility Affai	338,013
	11/12/2020	Pay for Performance, Payroll Services_Utility Affai	273,000
	11/20/2020	Cleantech ICC Engage, Payroll Services_Innovation	305,897
	11/24/2020	NYSERDA ADMINISTRATION, Payroll Services_Gov't Affairs	43,095
	12/1/2020	Housing Agencies Support, Payroll Services_Multifamily	283,920

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Randstad North America, Inc.	12/2/2020	NYSERDA ADMINISTRATION, Temp Services_Marketing	141,183
	12/4/2020	Cleantech Incubator, Payroll Services_T2M	251,478
	12/7/2020	NYSERDA ADMINISTRATION, Payroll Services_SS APM	187,590
		Pay for Performance, Payroll Services_Utility Affai	15,600
	12/9/2020	ENERGY ANALYSIS, Payroll Services_Modeling & An	21,600
	12/22/2020	NEW YORK GREEN BANK, PS.038_NYGB Analyst	199,095
	1/11/2021	Home Perf w Energy Star, Payroll Services	60,000
	1/13/2021	NEW YORK GREEN BANK, Payroll Services -NYGB Analyst	199,095
	3/5/2021	NYSERDA ADMINISTRATION, Payroll Services_Perf Mgmt	21,600
RBFunding LLC	10/14/2020	Combined Heat and Power, CHPA-2418 Olinville Ave	5,773
RCPI Landmark Properties, LLC	10/29/2020	Technical Services, OsEM63-C-TS-Rockefeller Center	214,000
Recurve Analytics, Inc.	10/15/2020	NYCH: Comfort Home, RFP 3901 P4P-AMV Platform	25,000
		Pay for Performance, RFP 3901 P4P-AMV Platform	25,000
RED Rochester	10/14/2020	Technical Services, FT13182-RED-Rochester- PON	19,725
	10/22/2020	Real Time Enrgy Management, REDRoch-1200 Ridgeway-RTEM	579,544
	1/15/2021	Technical Services, FT13293 - 1200 Ridgeway - PON	22,825
Red Rochester LLC	12/17/2020	NY Green Bank, RED Rochester	25,000,000
Regional Greenhouse Gas Initiative, Inc.	3/2/2021	ENERGY ANALYSIS, 2021 RGGI Funding Agreement	286,131
Renewable Rochester LLC	12/1/2020	<200KW PV, NY-Sun	17,386
		<200KW PV, PON 2112 NY SUN	147,029
	12/21/2020	<200KW PV, PON 2112 NY SUN	6,720
	1/12/2021	<200KW PV, NY-Sun	7,110
	2/12/2021	<200KW PV, PON 2112 NY SUN	5,891
	2/16/2021	<200KW PV, PON 2112 NY SUN	6,913
Renovus Energy, Inc.	10/2/2020	<200KW PV, PON 2112 NY SUN	6,804
	10/5/2020	<200KW PV, PON 2112 NY SUN	120,488
		NY-SUN, PON 2112 NY SUN	61,965
	10/7/2020	<200KW PV, PON 2112 NY SUN	100,832
	10/23/2020	<200KW PV, PON 2112 NY SUN	6,762
	11/6/2020	<200KW PV, PON 2112 NY SUN	8,750
	11/17/2020	<200KW PV, NY-Sun	223,871
		NY-SUN, NY-Sun	115,133
	12/14/2020	<200KW PV, PON 2112 NY SUN	5,103
	3/17/2021	<200KW PV, PON 2112 NY SUN	119,543
Rensselaer Polytechnic Institute-LRC	10/9/2020	Industrial Process Effic, Industrial Process Efficiency	415,673
	10/14/2020	Prof & Expert Engagement, LRC Assist membership	25,000
		Prof & Expert Engagement, Partner Program Membership	60,000
11/27/2020	NYCH: Innovation, Advanced Buildings	50,000	
Research Foundation of CUNY	3/8/2021	Rmve Barriers Dist Enrgy Storg, RFP 3407 TWO 3	81,000
Research Foundation of SUNY	11/2/2020	Anaerobic Digesters, PON 3739 CAT B	250,000
	1/5/2021	High Performing Grid, Machine Learning for Hi-fideli	215,345
	3/26/2021	Electric Vehicles - Innovation, Surface Mod Graphite Anodes	60,000
Energy Storage Tech/Prod Dev, Surface Mod Graphite Anodes		65,000	
High Performing Grid, Stability Impact Analysis		400,000	
Resource Refocus LLC	3/17/2021	Code to Zero, TWO 2 NYStretch Res CE	6,000
Resource Systems Group, Inc.	3/11/2021	CLEAN TRANSPORTATION, Modeling support for TAP	20,000
Revere Smelting & Refining Corp.	11/6/2020	On-Site Energy Manager, OsEM58-I Revere Smelting	214,000
RFP Enterprises LLC	3/1/2021	Cleantech Ignition, RFP Enterprises LLC	25,000
RGBS Enterprises, Inc.	2/9/2021	Real Time Enrgy Management, RGBS-1345 Ave-RTEM	250,000
RHM Inc.	1/28/2021	Renewable Heat NY, AEON Heating and A/C - Forkey	21,300
Ricoh USA Inc	10/15/2020	NYSERDA ADMINISTRATION, RFP 3919-Sitecore CMS Admin	606,692
Riseboro Community Partnership, Inc.	11/19/2020	New Construction Housing, PHIUS T3 Atlantic	2,200
	2/10/2021	Buildings of Excellence, Buildings of Excellence R1	341,003
	3/19/2021	On-Site Energy Manager, OsEM67-M-RiseBoro Community	178,430
Rivercrest Development Corp.	12/8/2020	Multifam Performance Pgm, Multifamily	133,700
Rizzo Compliance Solutions, LLC	12/2/2020	Installation of HVAC Unit	9,850

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Robert Derector Associates	10/28/2020	Commercial Real Estate Ten, RDA-2 Bryant Park	36,750
	11/17/2020	Commercial Real Estate Ten, Robert Derector-66 Hudson Blvd	52,750
	1/22/2021	Commercial Real Estate Ten, RDA- 28 Liberty St Fl 22,44-49	22,750
	2/16/2021	Commercial Real Estate Ten, RDA-1 Penn Plaza FL 9	10,150
Robert F. Parker, Jr.	10/22/2020	Cleantech Ignition, Technology to Market	25,000
Rocky Mountain Institute	11/24/2020	New Construction Housing, 140390 TWO#1	125,000
		New Construction- Commercial, 140390 TWO#1	125,000
	3/8/2021	Pub Transit & Elect Rail, Clean Transportation	195,983
Romulus Central School District	10/20/2020	NYCH: Technical Assistance, P12GC-18_E - Romulus CSD - P..	19,800
Rosenblum Property Services, LLC	12/22/2020	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	24,600
Rudarpa North Country, LLC,	2/4/2021	NY Green Bank, Darling Transportation Energy Solutions	29,500,000
Rural Ulster Preservation Company	12/14/2020	Low Rise New Construction, New Construction	22,800
RXR SL Owner LLC	2/11/2021	Technical Services, OsEM70-C-RXR - Starrett Lehigh	214,000
Ryan Homes (Virginia)	10/6/2020	New Construction Housing, 2019 LRNCP	34,200
	10/8/2020	New Construction Housing, 2020 LRNCP	18,050
	11/12/2020	New Construction Housing, 2020 LRNCP	20,900
	1/19/2021	New Construction Housing, 2020 LRNCP	64,600
Salmon River Renewables, LLC	12/21/2020	>200KW PV, NY Sun	598,210
		NY-SUN, NY Sun	828,290
Sandra Meier	1/7/2021	Environmental Research, Science Advisor	30,000
SANFILIPPO SOLUTIONS INC.	10/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,440
	1/15/2021	Talent Pipeline:CE and OJT, OJT HIRE	5,440
Sanford Plaza Apartment Corp	11/17/2020	Multifam Performance Pgm, Multifamily	126,000
Saratoga Solar II, LLC	12/9/2020	>200KW PV, NY Sun	843,243
		NY-SUN, NY Sun	1,167,566
SAW Associates LLC	2/10/2021	High Performing Grid, Integrated Energy Data Resourc	339,040
School House Manor, Inc.	2/22/2021	Technical Services, FT13240 - 1 North Pearl - PON	6,375
Scott A Weiner	11/4/2020	High Performing Grid, Integrated Energy Data Resourc	47,900
SCS Penfield One 010750 Penfield, LLC	10/8/2020	>200KW PV, NY Sun	921,517
Sea Bright Solar, LLC	11/17/2020	<200KW PV, PON 2112 NY SUN	8,750
SEA Electric LLC	10/6/2020	CLEAN TRANSPORTATION, NYTVIP	870,950
	10/22/2020	CLEAN TRANSPORTATION, NYTVIP	110,000
	1/15/2021	CLEAN TRANSPORTATION, NYTVIP	109,250
Sealed, Inc.	3/11/2021	NY Green Bank, Sealed 2020 Upsize	2,500,000
Seed Renewables Inc.	1/11/2021	<200KW PV, NY-Sun	14,080
SHI, Inc.	12/14/2020	NYSERDA ADMINISTRATION, Monitors - Return to Work 26	5,477
	1/7/2021	NYSERDA ADMINISTRATION, Monitor Docks 1333 - 2 EOL	12,474
	2/2/2021	NYSERDA ADMINISTRATION, Embarcadero ER/Studio Support	18,208
Shurgard Storage Centers LLC	3/19/2021	Commercial New Construc, Commercial New Construction	39,473
Siemens Industry, Inc.	10/23/2020	>200KW PV, PON 2112 NY SUN	324,442
	11/10/2020	<200KW PV, PON 2112 NY SUN	233,436
	1/12/2021	>200KW PV, NY Sun	180,289
	1/18/2021	Real Time Enrgy Management, Siemens - Multisite - RTEM	3,681,202
	2/2/2021	Real Time Enrgy Management, Siemens-150 W 65th-RTEM	135,559
	3/4/2021	>200KW PV, PON 2112 NY SUN	194,496
	3/11/2021	Real Time Enrgy Management, Siemens-11 Wall Street-RTEM	200,000
		Real Time Enrgy Management, Siemens-153 W Buffalo-RTEM	22,866
		Real Time Enrgy Management, Siemens-5285 Lewiston-RTEM	81,180
	3/30/2021	ENERGY ANALYSIS, TWO #1: 100x40 Study	404,358
	REC4:CES REC4 Tech Support, TWO #1: 100x40 Study	361,270	
Sigora Solar	10/13/2020	<200KW PV, PON 2112 NY SUN	5,264
	1/20/2021	<200KW PV, PON 2112 NY SUN	5,040
	3/2/2021	<200KW PV, PON 2112 NY SUN	7,308
	3/11/2021	<200KW PV, PON 2112 NY SUN	6,048
Sive Paget & Riesel PC	10/8/2020	NYSERDA ADMINISTRATION, GJGNY Loan Offering Assistan..	12,000
	11/6/2020	BR: Program Implementation, BR Outside Counsel Support	100,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Sive Paget & Riesel PC	11/10/2020	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	9,543	
	11/17/2020	Innovation, NY Climate Forward Loan Prog	40,000	
	12/15/2020	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	6,558	
	2/16/2021	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	3,081	
	2/25/2021	OREC: Technical Support, OSW Regulatory Matters	100,000	
Sky High Solar, LLC	1/12/2021	REC:CES REC Contracts, RESRFP17-1	22,362,290	
Skyline Solar Inc.	11/18/2020	<200KW PV, PON 2112 NY SUN	6,370	
	12/30/2020	<200KW PV, PON 2112 NY SUN	5,005	
	2/18/2021	<200KW PV, PON 2112 NY SUN	6,029	
SL Pembroke, LLC	2/26/2021	>200KW PV, NY Sun	1,308,701	
Smart Home Energy Source	2/4/2021	COMMUNITY SOLAR, NY-Sun	322	
		ENERGY STORAGE, NY-Sun	11,640	
Smith Engineering PLLC	11/3/2020	REV Campus Challenge, FT13168 - 413 E 69th - FTC	92,585	
	12/18/2020	Technical Services, FT13193 - 150 East 42nd - FTC	47,575	
Sol Customer Solutions LLC	12/14/2020	<200KW PV, NY-Sun	383,148	
	12/15/2020	<200KW PV, NY-Sun	941,616	
	12/16/2020	<200KW PV, NY-Sun	237,312	
Solar Energy Systems, LLC	2/11/2021	>200KW PV, PON 2112 NY SUN	104,040	
	2/19/2021	>200KW PV, PON 2112 NY SUN	38,880	
Solar Liberty Energy Systems, Inc	10/2/2020	<200KW PV, PON 2112 NY SUN	12,320	
	10/6/2020	>200KW PV, NY Sun	552,300	
	10/16/2020	<200KW PV, PON 2112 NY SUN	38,255	
	10/22/2020	>200KW PV, NY Sun	1,006,200	
	10/28/2020	<200KW PV, PON 2112 NY SUN	5,891	
	11/6/2020	<200KW PV, PON 2112 NY SUN	7,938	
	11/9/2020	<200KW PV, PON 2112 NY SUN	6,237	
	11/10/2020	<200KW PV, PON 2112 NY SUN	6,815	
	12/3/2020	<200KW PV, PON 2112 NY SUN	5,418	
	12/11/2020	<200KW PV, PON 2112 NY SUN	75	
	12/16/2020	<200KW PV, NY-Sun	5,494	
	1/14/2021	<200KW PV, NY-Sun	23,714	
	1/22/2021	<200KW PV, NY-Sun	12,528	
			<200KW PV, PON 2112 NY SUN	5,801
	2/4/2021	<200KW PV, PON 2112 NY SUN	6,426	
	2/16/2021	<200KW PV, PON 2112 NY SUN	245,700	
	3/9/2021	<200KW PV, PON 2112 NY SUN	5,591	
			ENERGY STORAGE, Retail Storage	34,250
	3/18/2021	<200KW PV, PON 2112 NY SUN	5,474	
	3/26/2021	<200KW PV, PON 2112 NY SUN	5,593	
3/30/2021	<200KW PV, NY-Sun	1,308		
SolarCommunities Inc.	3/5/2021	<200KW PV, PON 2112 NY SUN	6,804	
	3/8/2021	<200KW PV, PON 2112 NY SUN	7,612	
	3/10/2021	<200KW PV, PON 2112 NY SUN	7,004	
	3/19/2021	<200KW PV, PON 2112 NY SUN	13,482	
	3/24/2021	<200KW PV, PON 2112 NY SUN	11,305	
	3/30/2021	<200KW PV, PON 2112 NY SUN	23,183	
Solitude Solar LLC	10/8/2020	>200KW PV, NY Sun	2,990,561	
		NY-SUN, NY Sun	3,588,679	
	11/16/2020	NY-SUN, NY Sun	1,580,951	
	2/8/2021	>200KW PV, NY Sun	486,486	
NY-SUN, NY Sun		707,616		
Solo Energy & Electrical, Inc.	1/21/2021	Talent Pipeline:CE and OJT, OJT HIRE	7,200	
Soltage, LLC	10/21/2020	ESTOR:Retail Storage Incentive, Retail Storage	960,000	
South End Development LLC	12/10/2020	Buildings of Excellence, Buildings of Excellence R1	559,317	
Southworth-Milton Inc.	3/31/2021	Remote Asset Monitoring System	5,173	
SSC Cicero LLC	1/19/2021	>200KW PV, NY Sun	964,969	

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SSC Cicero LLC	1/19/2021	NY-SUN, NY Sun	1,187,654
SSC Oswego II LLC	3/26/2021	>200KW PV, NY Sun	788,357
St. John's Condominium	3/19/2021	NYCH: Technical Assistance, FT13373 - St. John's - PON	8,306
Standard Insulating Company	10/13/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,600
	10/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,922
	10/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	11/2/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	11/10/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600
	11/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	11/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,440
	12/2/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	12/7/2020	Talent Pipeline:CE and OJT, OJT HIRE	19,440
	12/9/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
Standard Solar, Inc	10/1/2020	>200KW PV, NY-Sun C&I	1,728,000
		Solar Plus Energy Storage, NY-Sun C&I	7,000,000
	10/8/2020	>200KW PV, NY Sun	1,055,126
	10/22/2020	>200KW PV, NY Sun	1,046,549
		NY-SUN, NY Sun	1,255,861
	2/25/2021	>200KW PV, NY Sun	1,306,800
Stantec Consulting Services, Inc.	12/21/2020	WEST VALLEY DEVELOPMENT PROGRAM, WVSMV ENV. S..	829,696
Stas Zakrzewski Architect PC	11/17/2020	Buildings of Excellence, BoE Rnd.1 - Design Team Incent	75,000
State Route 52 LLC	2/22/2021	>200KW PV, NY Sun	887,348
Steed Energy LLC	11/18/2020	<200KW PV, PON 2112 NY SUN	6,272
Stellar Renewable Designs, LLC	11/6/2020	<200KW PV, PON 2112 NY SUN	7,952
Steven Winter Associates, Inc.	10/6/2020	Workforce Industry Partnership, PON 3715 Workforce Training	383,191
	10/9/2020	Workforce Industry Partnership, PON 3715 BOM Training	94,127
	10/21/2020	Workforce Industry Partnership, PON 3715 BOM Training	594,774
	11/12/2020	Workforce Industry Partnership, PON 3715 Workforce Training	399,936
	11/24/2020	Real Time Enrgy Management, Steven Winter-11220 72 Dr-RT..	25,562
		Real Time Enrgy Management, SWA - 255 Hudson Street - RT..	4,193
	12/9/2020	New Construction- Commercial, Commercial New Construction	198,950
	12/22/2020	NYCH: Innovation, Cold Climate PTHP	146,354
	12/24/2020	Technical Services, FT13084 - 522 Main - FTC	7,505
	1/11/2021	NYCH: Talent Ppln:CE and OJT, PON3981 Round 8	249,880
	1/15/2021	Code to Zero, TWO #4 - ANSI Standards	83,000
		New Construction Housing, TWO #4 - ANSI Standards	25,000
		Single Family New Construction, TWO #4 - ANSI Standards	25,000
	2/1/2021	Technical Services, FT13186 - Electchester - FTC	40,475
	2/2/2021	NYCH: Technical Assistance, Multifamily	50,000
	3/3/2021	Workforce Industry Partnership, PON 3715 Workforce Training	127,515
	3/9/2021	Real Time Enrgy Management, SWA - 400 2nd Ave - RTEM	35,901
3/12/2021	Commercial New Construc, New Construction	9,966	
3/25/2021	NYCH: Technical Assistance, FT13276 - 75 Livingston - FTC	19,875	
	NYCH: Technical Assistance, FT13369 - 80 LaSalle - FTC	24,094	
Stillwell Energy Storage, LLC	11/20/2020	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	4,000,000
Stockholm Environment Institute U.S., In	12/8/2020	NYSERDA ADMINISTRATION, LEAP Licenses for 5 users	5,000
Stockholm Solar, LLC	12/21/2020	>200KW PV, NY Sun	577,777
		NY-SUN, NY Sun	799,999
Stone Environmental, Inc.	11/16/2020	Community RH&C, Westchester Ground Source Heat	49,738
Stove Boat, LLC	10/13/2020	Environmental Research, Fishermen's Gateway	49,000
Stuart Alexander and Associates	12/8/2020	New Construction Housing, 2019 LRNCP	429,200
	12/9/2020	New Construction Housing, 2020 LRCNP	323,800
Sugar Hill Capital Partners, LLC	12/28/2020	Technical Services, FT13165 - Sugar Hill - PON	15,000
Sugar Hill Solar 1, LLC	2/22/2021	>200KW PV, NY Sun	1,446,432
Sulpher Creek Solar, LLC	2/25/2021	>200KW PV, NY Sun	720,463
Sun Source Technologies	10/1/2020	<200KW PV, NY-Sun	11,520

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sun Source Technologies	10/1/2020	<200KW PV, PON 2112 NY SUN	8,750
	10/8/2020	>200KW PV, NY Sun	1,124,999
		NY-SUN, NY Sun	2,250,001
	10/22/2020	<200KW PV, PON 2112 NY SUN	8,750
	11/27/2020	<200KW PV, PON 2112 NY SUN	7,560
	12/11/2020	<200KW PV, PON 2112 NY SUN	6,307
	12/17/2020	<200KW PV, PON 2112 NY SUN	5,796
	3/5/2021	<200KW PV, PON 2112 NY SUN	182
SuNation Solar Systems, Inc.	10/21/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/3/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/6/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/12/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/13/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/27/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/30/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/1/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/3/2020	>200KW PV, PON 2112 NY SUN	82,400
	12/11/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/15/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/16/2020	ENERGY STORAGE, PON 2112 NY SUN	31,250
	12/17/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/18/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/21/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/22/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/28/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/29/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/30/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/5/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/11/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/14/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/15/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/29/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	2/5/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/10/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/18/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/22/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	3/24/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	3/30/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
SunEast Renewables LLC	12/8/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS_Fairway	10,352,286
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_FlatHill	11,320,113
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_Grassy Kno	11,439,204
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_Highview	10,461,974
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_Hilltop	11,681,550
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_Limestone	10,380,223
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_TableTop	27,678,561
		REC:CES REC Contracts, CESRFP1_Tier 1 RECS_ValleySola	10,646,972
Sunkeeper Solar LLC	10/13/2020	>200KW PV, PON 2112 NY SUN	9,912
Sunlight General Capital LLC	11/20/2020	>200KW PV, PON 2112 NY SUN	191,576
Sunnova Energy Corp	1/25/2021	<200KW PV, PON 2112 NY SUN	12,614
	2/1/2021	<200KW PV, PON 2112 NY SUN	6,069
SunPower Capital, LLC	10/7/2020	<200KW PV, PON 2112 NY SUN	5,150
	10/28/2020	<200KW PV, PON 2112 NY SUN	8,750
	12/11/2020	<200KW PV, PON 2112 NY SUN	5,608
	1/8/2021	<200KW PV, PON 2112 NY SUN	10,682
	1/14/2021	<200KW PV, PON 2112 NY SUN	5,765
	1/29/2021	<200KW PV, PON 2112 NY SUN	5,418

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunPower Capital, LLC	2/8/2021	<200KW PV, PON 2112 NY SUN	5,150
SunPower SolarProgram 1, LLC	12/30/2020	ESTOR:Retail Storage Incentive, Retail Storage	1,200,000
Sunrise Solar Solutions, LLC	10/21/2020	ESTOR:Retail Storage Incentive, Retail Storage	284,200
	2/22/2021	>200KW PV, PON 2112 NY SUN	8,100
	3/5/2021	>200KW PV, PON 2112 NY SUN	220,590
	3/12/2021	>200KW PV, PON 2112 NY SUN	38,151
	3/25/2021	ESTOR:Retail Storage Incentive, Retail Storage	380,450
SunRun, Inc	10/5/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/14/2020	<200KW PV, PON 2112 NY SUN	6,143
	10/16/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/27/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/2/2020	<200KW PV, PON 2112 NY SUN	6,619
	11/9/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/10/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/12/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/13/2020	<200KW PV, PON 2112 NY SUN	6,370
		ENERGY STORAGE, PON 2112 NY SUN	18,750
	11/25/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/1/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/7/2020	<200KW PV, PON 2112 NY SUN	5,551
	12/9/2020	<200KW PV, PON 2112 NY SUN	5,355
	12/15/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/16/2020	<200KW PV, PON 2112 NY SUN	6,143
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/17/2020	<200KW PV, PON 2112 NY SUN	6,143
	12/21/2020	<200KW PV, PON 2112 NY SUN	5,005
	12/29/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/7/2021	<200KW PV, PON 2112 NY SUN	10,675
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/12/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
	1/13/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/15/2021	<200KW PV, PON 2112 NY SUN	6,711
	1/29/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/17/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
	2/18/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/5/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/9/2021	<200KW PV, PON 2112 NY SUN	5,072
	3/17/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/22/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/24/2021	<200KW PV, PON 2112 NY SUN	5,574
	3/30/2021	<200KW PV, PON 2112 NY SUN	13,041
	3/31/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
SUNY College of Environmental Scienc..	12/4/2020	Commercial New Construc, Commercial New Construction	47,179
SUNY Morrisville	1/6/2021	Technical Services, OsEM30-C - SUNY Morrisville	27,489
SUNY Oneonta	1/4/2021	New Construction- Commercial, Commercial New Construction	113,339
SUNY Potsdam	10/14/2020	Commercial New Construc, New Construction	10,244
SUNY Upstate Medical University	10/21/2020	New Construction- Commercial, SF184516 - SUNY Upstate 725..	100,625
	3/5/2021	Technical Services, OsEM72-C-SUNY Upstate	214,000
SUNY: Polytechnic Institute	2/18/2021	Talent Pipeline:CE and OJT, PON3981 Round 7	246,421
SURF AVENUE LCAL LLC	1/14/2021	NYCH: District, FT13258 - 1517 Surf - PON	55,181
Surf Clean Energy Inc	11/2/2020	COMMUNITY SOLAR, PON 2112 NY SUN	7,434
	12/7/2020	<200KW PV, PON 2112 NY SUN	2,754
	12/18/2020	<200KW PV, PON 2112 NY SUN	1,296
	12/30/2020	<200KW PV, NY-Sun	7,488
	1/11/2021	<200KW PV, NY-Sun	5,120
	1/12/2021	<200KW PV, NY-Sun	5,120

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Surf Clean Energy Inc	1/14/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/22/2021	<200KW PV, PON 2112 NY SUN	2,480
	1/28/2021	<200KW PV, PON 2112 NY SUN	4,131
		COMMUNITY SOLAR, PON 2112 NY SUN	5,304
	2/3/2021	<200KW PV, PON 2112 NY SUN	7,440
	2/16/2021	<200KW PV, NY-Sun	5,440
		COMMUNITY SOLAR, NY-Sun	1,869
		ENERGY STORAGE, NY-Sun	6,691
	2/24/2021	<200KW PV, PON 2112 NY SUN	8,019
	2/25/2021	COMMUNITY SOLAR, NY-Sun	6,240
	3/19/2021	<200KW PV, NY-Sun	6,300
COMMUNITY SOLAR, PON 2112 NY SUN		5,280	
3/31/2021	<200KW PV, NY-Sun	6,336	
Sustainable Comfort, Inc	10/20/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	139,842
	10/28/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,922
	12/9/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,232
	3/23/2021	Talent Pipeline:CE and OJT, OJT HIRE	7,693
	3/25/2021	Talent Pipeline:CE and OJT, OJT HIRE	7,462
Sustainable Energy Advantage, LLC	10/15/2020	REC:CES REC System Dev Costs, REMO Subscription	38,000
Sustainable Energy Developments Inc.	10/7/2020	<200KW PV, PON 2112 NY SUN	6,468
	10/14/2020	<200KW PV, PON 2112 NY SUN	5,082
	12/3/2020	<200KW PV, PON 2112 NY SUN	6,708
	12/18/2020	<200KW PV, PON 2112 NY SUN	5,082
	1/6/2021	<200KW PV, PON 2112 NY SUN	6,468
	2/11/2021	<200KW PV, PON 2112 NY SUN	6,930
	2/12/2021	<200KW PV, PON 2112 NY SUN	5,313
	3/8/2021	<200KW PV, PON 2112 NY SUN	21,294
	3/11/2021	<200KW PV, PON 2112 NY SUN	12,128
3/25/2021	<200KW PV, PON 2112 NY SUN	5,390	
Sustainable Investment Group	3/8/2021	Technical Services, FT13284 - 11 W 19th - FTC	13,000
		Technical Services, FT13285 - 218 W 40th - FTC	10,600
		Technical Services, FT13286 - 499 7th Ave - FTC	10,950
		Technical Services, FT13287 - 530 7th Ave - FTC	21,725
Sustainable Westchester	3/9/2021	NY-SUN, NY-Sun	200,000
Switch Automation Inc.	2/22/2021	Real Time Enrgy Management, Switch-450 E 29th-RTEM	32,370
Switched Source LLC	2/8/2021	High Performing Grid, Tie Controller for Renewable	2,250,000
Switched Source TC LLC	3/25/2021	High Performing Grid, Tie Controller for Renewable	2,124,975
Sycamore Advisors, LLC	3/3/2021	GJGNY REVOLVING LOAN FUND, Financial Advisor	220,000
Syracuse University	1/25/2021	REV Campus Challenge, REVCC_ETL_Comp_Round 3	1,390,000
	3/2/2021	Air Source Heat Pumps, VHE HVAC	92
		NYCH: Innovation, VHE HVAC	135,683
3/9/2021	NYCH: Innovation, Advanced Buildings	50,000	
Syska Hennessy Group	2/12/2021	Technical Services, FT13187 - 555 West 18th - FTC	25,383
Systems Management Planning, Inc.	10/30/2020	NYSERDA ADMINISTRATION, SMP - HPE DL3610 Storage	14,523
	12/31/2020	NYSERDA ADMINISTRATION, Horizon Licensing 36 Months	24,768
	3/2/2021	NYSERDA ADMINISTRATION, Horizon Cloud Services - SMP	19,850
T.M. Bier & Associates	2/9/2021	Real Time Enrgy Management, TMB-535 E 70th-RTEM	96,840
Tadcon Electric LLC	12/21/2020	>200KW PV, NY Sun	973,339
		NY-SUN, NY Sun	1,347,699
	3/16/2021	>200KW PV, NY Sun	824,967
Taft Solar, LLC	11/2/2020	>200KW PV, NY Sun	662,539
		NY-SUN, NY Sun	795,048
Tagup Inc.	2/3/2021	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	154,213
		Natl Offshore Wind R&D	154,213
Taitem Engineering, P.C.	10/20/2020	Multifam Performance Pgm, Multifamily	599,837
	12/22/2020	Technical Services, FT13188 - 115 E 9th - FTC	15,791

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Taitem Engineering, P.C.	12/24/2020	Technical Services, FT13178 - 200 East 84th - FTC	17,466
	1/25/2021	CI Carbon Challenge, CICC1903 - Cornell	89,706
	2/2/2021	NYCH: Technical Assistance, FT13228 - 1240 Bedford - FTC	7,731
	2/17/2021	Real Time Enrgy Management, Taitem-55 Brown-RTEM	60,894
Tech Valley Talent, LLC	1/5/2021	NYSERDA ADMINISTRATION, SecureAuth Renewal 2021-2022	41,949
	2/10/2021	REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Raj..	88,725
		ZEC:CES ZEC System Dev Costs, TWO 1 Salesforce Dev. Raj..	88,725
	2/11/2021	NYSERDA ADMINISTRATION, TWO Sr.Software Eng – Carrick	183,300
	3/26/2021	NYSERDA ADMINISTRATION, TWO # 3 Salesforce BA-Brochs..	195,520
NYSERDA ADMINISTRATION, TWO Sr. Software Dev. M Simon		187,200	
Terri Hartwell Easter Consulting LLC	2/23/2021	NYSERDA ADMINISTRATION, Human Resources	49,000
Tesla Energy Operations Inc	10/2/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/9/2020	ENERGY STORAGE, PON 2112 NY SUN	25,000
	10/16/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/21/2020	<200KW PV, PON 2112 NY SUN	5,712
		ENERGY STORAGE, PON 2112 NY SUN	25,000
	10/22/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/6/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/9/2020	<200KW PV, PON 2112 NY SUN	5,712
	11/10/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
	11/12/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
	11/13/2020	ENERGY STORAGE, PON 2112 NY SUN	25,000
	11/27/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/1/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
	12/3/2020	<200KW PV, PON 2112 NY SUN	5,712
	12/15/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
	12/18/2020	ENERGY STORAGE, PON 2112 NY SUN	25,000
	12/21/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/22/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/28/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/29/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/5/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/7/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/12/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
	1/14/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/15/2021	<200KW PV, PON 2112 NY SUN	5,712
		ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/19/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/22/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/26/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/29/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/1/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
	2/4/2021	ENERGY STORAGE, PON 2112 NY SUN	62,500
	2/5/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
	2/8/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750
2/9/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250	
2/10/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500	
2/11/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250	
2/12/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500	
2/16/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500	
2/18/2021	ENERGY STORAGE, PON 2112 NY SUN	18,750	
2/19/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250	
2/22/2021	ENERGY STORAGE, PON 2112 NY SUN	25,000	
2/23/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500	
2/25/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250	
2/26/2021	<200KW PV, PON 2112 NY SUN	5,712	

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Tesla Energy Operations Inc	2/26/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/1/2021	<200KW PV, PON 2112 NY SUN	12,301
		ENERGY STORAGE, PON 2112 NY SUN	43,750
	3/3/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	3/4/2021	<200KW PV, PON 2112 NY SUN	5,712
	3/5/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/8/2021	ENERGY STORAGE, PON 2112 NY SUN	31,250
	3/11/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/12/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/15/2021	ENERGY STORAGE, PON 2112 NY SUN	12,500
	3/16/2021	ENERGY STORAGE, PON 2112 NY SUN	31,250
	3/17/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/18/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/22/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/23/2021	COMMUNITY SOLAR, NY-Sun	4,352
		ENERGY STORAGE, NY-Sun	10,000
	3/26/2021	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/31/2021	<200KW PV, PON 2112 NY SUN	5,712
ENERGY STORAGE, PON 2112 NY SUN		18,750	
TestingXperts Inc.	12/31/2020	NYSERDA ADMINISTRATION, Website Accessibility Audit	10,000
Tetra Tech Engineers, Architects and L.	11/30/2020	Commercial New Construc, Commercial New Construction	18,287
Tetra Tech, Inc.	10/13/2020	Environmental Research, PON 4270 PV Site Design	233,000
	3/29/2021	OREC: Technical Support, TWO #2- Cable Burial	49,870
The Board of Trustees	1/29/2021	NYCH: Technical Assistance, Modeling Blower Door Impact	50,000
The Business Council of NYS, Inc.	11/17/2020	Prof & Expert Engagement, Membership Business Council	6,705
The Cadmus Group, LLC	10/5/2020	Electric Vehicles - Innovation, TWO No. 7	133,670
	10/13/2020	Air Source Heat Pumps, TWO #9 Whole House ASHP	50,000
	12/17/2020	TWO #10 Climate Facilitation	925,672
	1/19/2021	Eval MCDC: MF Building Stock, Statewide Multifamily Baseline	3,500,000
	3/8/2021	Clean Energy Communities, BOB Support Contractor	1,600,000
The Center for New York City	3/1/2021	Community Energy Engagement, CEEP New York City Region (. . .	137,382
		OTHER PROGRAM AREA, CEEP New York City Region (CNY	15,212
The City College of New York	2/22/2021	REV CAMPUS CHALLENGE, REVCC_ETL_Comp_Round 3	1,437,906
The Common Pool, LLC	10/14/2020	EVPRZ:Implementation, Common Pool Contract	600,000
	2/3/2021	EVPRZ:Implementation, Prize Administrator	2,298,000
The Joint Ownership Entity New York C..	11/2/2020	Technical Services, FT13022 - JOE Housing - PON	10,000
The Levy Partnership, Inc.	3/19/2021	New Construction- Commercial, Commercial New Construction	16,960
The Lightman Company, LLC	11/6/2020	Cleantech Ignition, Mi Lightman	225,000
		Innovation, Mi Lightman	225,000
The Radiant Store	10/9/2020	Renewable Heat NY, Radiant Store - Ray Siegar	12,000
The Renewables Consulting Group, LLC	2/23/2021	OREC: Technical Support, OSW Strategic Outlook	49,900
The Research Foundation for the State	11/24/2020	Environmental Research, Mobile Laboratory Measurements	398,946
	12/28/2020	Environmental Research, Low-Cost AQ Sensors	544,569
The RF of SUNY Binghamton University	1/25/2021	Cleantech Geo Coverage, PON 4242	750,000
The Trustees of Columbia University	12/3/2020	ENVIRONMENTAL RESEARCH, methane emissions measure..	49,743
Thermal Associates, LLC	12/17/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,600
Thermodynamix LLC	2/12/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Thornton Tomasetti, Inc.	11/2/2020	Commercial Real Estate Ten, TTI - 100 6th Avenue	68,712
ThunderCat Technology LLC	10/7/2020	NYSERDA ADMINISTRATION, Atlassian Licenses - Jira	55,965
	10/22/2020	NYSERDA ADMINISTRATION, Checkmarx - Licensing and Supp	61,606
	1/26/2021	NYSERDA ADMINISTRATION, Rightstar Scanning license	5,460
	2/23/2021	VDI Project Network Switches	43,200
	3/3/2021	NYSERDA ADMINISTRATION, Docusign Subscription 21 - 22	94,115
Thurston Ridge Solar, LLC	3/26/2021	>200KW PV, NY Sun	728,571
Timothy Marlett	10/6/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
TJA-NY- 11202 Ridge Rd Medina, LLC	2/8/2021	>200KW PV, NY Sun	783,297

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TJA-NY- 11202 Ridge Rd Medina, LLC	2/8/2021	NY-SUN, NY Sun	1,139,341
TJA-NY-10761 Buck Rd Remsen, LLC	1/19/2021	>200KW PV, NY Sun	637,042
		NY-SUN, NY Sun	784,051
TJA-NY-11074 Ridge Rd Medina, LLC	2/8/2021	>200KW PV, NY Sun	460,832
		NY-SUN, NY Sun	670,301
tkFabricate, LLC	3/24/2021	Air Source Heat Pumps, VHE HVAC	5,403
		NYCH: Innovation, VHE HVAC	202,597
TM Montante Solar Developments, LLC	10/28/2020	<200KW PV, PON 2112 NY SUN	335,592
Tonawanda Housing Authority	12/29/2020	Multifam Performance Pgm, Multifamily	177,100
Total Comfort Heating and Air Conditioni	3/17/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,600
Town of Amherst	3/30/2021	Clean Transportation	327,034
Town of Catskill	12/14/2020	CEC400062-Twn of Catskill	30,000
		Clean Energy Communities, CEC400062-Twn of Catskill	5,000
Town of Ithaca	10/20/2020	Clean Energy Communities, CEC001218 - Town of Ithaca	50,000
Town of Queensbury	11/6/2020	Clean Transportation	60,000
TPR Enterprises LLC	10/22/2020	NYSERDA Administration	8,250
	1/7/2021	NYSERDA Administration	2,110
Trane	10/6/2020	K-12 SCHOOLS, P12GC-25_E - Gowanda CSD - PON	54,058
	11/9/2020	Real Time Enrgy Management, Trane - 48 E 84 St - RTEM	6,544
	2/9/2021	Real Time Enrgy Management, Trane-403 Main-RTEM	150,814
		Real Time Enrgy Management, Trane-760 Parkside Ave-RTEM	32,932
	2/18/2021	Real Time Enrgy Management, Trane-320 Park-RTEM	250,000
Transect Inc.	3/10/2021	BR: Prospecting, Mapping Service Subscription	45,000
TRC Energy Services	10/1/2020	Low-Income Forum on Energy, LIFE Implementation Services	85,853
	10/8/2020	NYCH: Technical Assistance, RFP3628FlexTechConsultUmbrel..	60,000
	10/13/2020	ENERGY ANALYSIS, Staff Augmentation Services	380,030
	10/27/2020	NYSERDA ADMINISTRATION, SA.069_TWO#19 - Contracts	292,929
	1/5/2021	NYCH: Supply Chain, Upstream Partners Initiative	900,000
	1/19/2021	NYCH: Comfort Home, Comfort Home Implementation	299,400
	1/26/2021	Commercial New Construc, Staff Augmentation Services	46,589
		Low Rise New Construction, Staff Augmentation Services	55,907
		Multifam New Construction, Staff Augmentation Services	52,801
		New Construction Housing, Staff Augmentation Services	108,708
		New Construction- Commercial, Staff Augmentation Services	46,589
	2/2/2021	K-12 SCHOOLS, SA.026a_TWO#13 - EPE	346,403
		Multifam New Construction, SA.042_TWO#17 - NCP NYC PM	150,410
		New Construction Housing, SA.042_TWO#17 - NCP NYC PM	66,849
		New Construction- Commercial, SA.042_TWO#17 - NCP NYC ..	36,891
		Single Family New Construction, SA.042_TWO#17 - NCP NYC ..	23,398
	2/5/2021	Commercial New Construc, SA.040_TWO #16 - NC PM	19,863
		Low Rise New Construction, SA.040_TWO #16 - NC PM	23,836
		Multifam New Construction, SA.040_TWO #16 - NC PM	22,512
		New Construction Housing, SA.040_TWO #16 - NC PM	46,348
		New Construction- Commercial, SA.040_TWO #16 - NC PM	19,863
	2/12/2021	Commercial New Construc, SA.041_TWO#14 - NCP PM	50,435
		Low Rise New Construction, SA.041_TWO#14 - NCP PM	139,087
		New Construction Housing, SA.041_TWO#14 - NCP PM	135,000
		New Construction- Commercial, SA.041_TWO#14 - NCP PM	75,000
		Single Family New Construction, SA.041_TWO#14 - NCP PM	20,000
	3/2/2021	EVPRZ:Implementation, SA.071_TWO# 20_Clean Trans_PM	405,633
		Multifam Performance Pgm, SA.014_TWO #7_MF_PM	0
		Multifam Performance Pgm, SA.017_TWO #9_MF_APM	0
	3/5/2021	Renewable Heat NY, Technical Review and Program S	315,150
		Strategic Energy Manager, SA.047_TWO #19 - EPE	322,016
	3/23/2021	SA.072_TWO #25_NY-SUN_Sr. PM	557,709
TRC Engineers, Inc	10/7/2020	NYCH: Innovation, PON3519 Round 1	560,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TRC Engineers, Inc.	2/2/2021	NYCH: Supply Chain, Upstream Partners Initiative	900,000
Tremont Apartments Housing Develop..	12/29/2020	Multifam Performance Pgm, Multifamily	1,700
Triangle Electrical Systems, Inc.	11/20/2020	<200KW PV, PON 2112 NY SUN	5,628
Trilok Fusion Arts, Inc.	11/16/2020	Net Zero Energy for Eco Dev, New Construction	56,639
Trinity Heating & Air, Inc.	11/13/2020	<200KW PV, PON 2112 NY SUN	3,613
	2/16/2021	<200KW PV, PON 2112 NY SUN	6,783
	2/17/2021	<200KW PV, PON 2112 NY SUN	5,236
	3/1/2021	<200KW PV, PON 2112 NY SUN	1,623
	3/30/2021	<200KW PV, PON 2112 NY SUN	5,355
	3/31/2021	<200KW PV, PON 2112 NY SUN	5,950
Triton Systems, Inc	11/20/2020	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	546,040
		Natl Offshore Wind R&D	546,040
Troy Web Consulting, LLC	10/28/2020	NYSERDA ADMINISTRATION, Troy Web Hosting - Cloud for 1	7,380
True Building Performance LLC	12/11/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,040
True Energy Solutions	10/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600
	11/9/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,720
	11/23/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	12/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	12/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	1/8/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
	1/29/2021	Talent Pipeline:CE and OJT, OJT HIRE	5,920
	2/4/2021	Talent Pipeline:CE and OJT, OJT HIRE	5,440
	2/25/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,560
	3/9/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	13,320
True Green Capital Fund III, L.P.	3/5/2021	NY Green Bank, CIT / TGC Upsize	10,300,000
Trustees of Tufts College	1/5/2021	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	399,945
		Natl Offshore Wind R&D	399,945
Trustees of University of PA	3/2/2021	Low-Income Forum on Energy, Climate Justice in NYS	50,000
Tully Rinckey PLLC	3/9/2021	NYSERDA ADMINISTRATION, outside counsel services	12,000
	3/31/2021	NYSERDA ADMINISTRATION, outside counsel services	3,500
Two Plus Four Construction Co., Inc.	1/20/2021	New Construction Housing, 2019 LRNCP	36,000
U.S. Department of Energy/Wv	12/11/2020	WVDP PO FFY2021	20,300,000
U.S. Nuclear Regulatory Commission	2/11/2021	WEST VALLEY DEVELOPMENT PROGRAM, PO Payment of ..	100,000
Unique Comp Inc.	10/13/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	393,510
	2/3/2021	NYSERDA ADMINISTRATION, TWO Sr. Software Engin. -Bhanu	176,800
Unique Electric Solutions of NYS LLC	10/6/2020	CLEAN TRANSPORTATION, NYTVIP	110,000
	12/10/2020	CLEAN TRANSPORTATION, NYTVIP	220,000
	2/2/2021	CLEAN TRANSPORTATION, NYTVIP	120,000
Universal McCann Worldwide, Inc.	12/1/2020	Commercial Real Estate Ten, RDA-Universal-300 Vesey-CTP	8,500
University at Albany	2/10/2021	High Performing Grid, Enhancing Predictability	612,325
	3/23/2021	Community RH&C, CH&C Fellow	23,500
University of Maine	1/11/2021	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	750,000
		Natl Offshore Wind R&D	750,000
University of Massachusetts Amherst	3/26/2021	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	150,000
		Natl Offshore Wind R&D	150,000
University of Rochester	11/6/2020	Environmental Research, Changes in PM Composition	548,153
	12/2/2020	ENVIRONMENTAL RESEARCH, AQHE PON 3921	49,057
Urban Architectural Initiatives, RA, P.C	12/29/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	150,000
Urban Electric Power, Inc.	3/25/2021	Energy Storage Tech/Prod Dev, PON 3585 R2	50,000
Urban Electric Power, LLC	1/20/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	2/8/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	3/17/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	3/30/2021	Talent Pipeline:CE and OJT, OJT HIRE	6,400
Urban Green Council	12/21/2020	Electrification, Advanced Electrification	50,000
	1/26/2021	Talent Pipeline:CE and OJT, PON3981 Round 9	182,170
	3/4/2021	Workforce Industry Partnership, PON 3715 Workforce Training	8,364

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Urban Green Council	3/25/2021	Empire Building Challenge, EBC - Retrofit - Urban Green	25,000
		NYCH: Empire Build Challenge, EBC - Retrofit - Urban Green	25,000
Urban Health Plan Inc.	2/2/2021	Technical Services, FT13256 - 1054 Simpson - PON	9,175
	2/8/2021	Technical Services, FT13257 - 1065 Southern - PON	6,898
Urban League of Westchester County, Inc.	1/20/2021	Community RH&C, CH&C Communities Round 3	900,000
		NYCH: LMI, CH&C Communities Round 3	200,000
US Ceiling CORP	3/30/2021	Talent Pipeline:CE and OJT, OJT HIRE	14,640
Valentine Gardens Vintage, LLC	2/18/2021	Multifam Performance Pgm, Multifamily	35,000
	2/23/2021	Technical Services, FT13322 - 222 Merrill - PON	6,300
Valley View Realty Holdings, LLC	12/30/2020	Multifam Performance Pgm, Multifamily	63,000
	2/12/2021	Technical Services, FT13277 - Valley View - PON	7,875
Van Hee Mechanical	10/20/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	17,280
	10/27/2020	Talent Pipeline:CE and OJT, OJT HIRE	12,960
	12/31/2020	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,200
	3/5/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	11,520
Vassar College	2/1/2021	Technical Services, OsEM8-C Vassar College	63,720
	2/24/2021	REV Campus Challenge, REVCC_ETL_Comp_Round 3	1,171,594
Vecino Group New York, LLC	3/1/2021	Multifam New Construction, New Construction	2,400
Venture at Endicott LLC	12/7/2020	Technical Services, FT13171 - 15 Delaware - PON	10,000
	12/16/2020	Multifam Performance Pgm, Multifamily	47,600
Venture Home Solar LLC	10/16/2020	>200KW PV, PON 2112 NY SUN	10,080
	12/9/2020	>200KW PV, PON 2112 NY SUN	7,560
	1/21/2021	>200KW PV, PON 2112 NY SUN	9,950
Verizon Communications Inc	11/6/2020	Industrial Process Effic, IPE16247 - Verizon Wireless	954,419
Verizon Wireless	11/3/2020	NYSERDA ADMINISTRATION, Verizon Wireless Cellular Serv	90,111
Vermont Energy Investment Corporation	10/9/2020	Strategic Energy Manager, RFP 3352	1,252,083
	11/3/2020	NYCH: LMI, TWO #1 LMI Electrification	99,860
Vidaris, Inc.	10/7/2020	Technical Services, FT13154 - 845 Third - FTC	8,584
	10/13/2020	Code to Zero, RFQL3711 Vidaris RES/COMcheck	8,366
	10/14/2020	New Construction- Commercial, Commercial New Construction	29,995
	11/27/2020	Code to Zero, TWO6-NYStretch Overlay Assist	37,746
	12/8/2020	Commercial Real Estate Ten, Vidaris- 1 Bryant Park - RTEM	192,157
Village of Sodus	2/25/2021	Technical Services, FT13377 - 14-16 Mill - PON	6,350
Viola Homes Inc.	10/14/2020	<200KW PV, PON 2112 NY SUN	23,917
	10/20/2020	<200KW PV, PON 2112 NY SUN	16,590
	11/2/2020	<200KW PV, PON 2112 NY SUN	5,544
	11/3/2020	<200KW PV, PON 2112 NY SUN	5,530
	11/16/2020	<200KW PV, PON 2112 NY SUN	8,750
Vivint Solar	12/15/2020	<200KW PV, PON 2112 NY SUN	262
	12/29/2020	<200KW PV, PON 2112 NY SUN	5,915
	1/19/2021	<200KW PV, PON 2112 NY SUN	5,005
	1/21/2021	<200KW PV, PON 2112 NY SUN	5,712
VRS Meetings and Events, Inc.	10/19/2020	OTHER PROGRAM AREA, 76West Award's Event A/V Servi	26,500
W & E Phillips Locksmith, Inc	12/3/2020	NYSERDA ADMINISTRATION, Facilities Management	5,000
W. W. Grainger, Inc.	11/2/2020	NYSERDA ADMINISTRATION, Air Purifier equipment	8,946
Waddingham Road Solar, LLC	10/8/2020	>200KW PV, NY Sun	734,467
		NY-SUN, NY Sun	1,077,220
Waddington Solar, LLC	11/16/2020	NY-SUN, NY Sun	1,530,529
Wadsworth Energy LLC	11/16/2020	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIWG Support	75,000
Wagner Farms	3/8/2021	Anaerobic Digesters, PON 3739 CAT C	277,750
Walter Snyder Printer, Inc.	12/18/2020	NYSERDA ADMINISTRATION, External Program Printing	30,000
Washington Avenue Solar LLC	11/18/2020	NY-SUN, NY Sun	1,316,401
Watchtower Bible &	12/18/2020	New Construction Housing, 2019 MFCNP	1,003,000
Wawayanda Solar LLC	3/26/2021	NY-SUN, NY Sun	378,378
WB Engineering & Consulting PLLC	2/24/2021	Commercial Real Estate Ten, WB-165-19 Jamaica Ave Fl 2-4	34,389
Wendel Energy Services, LLC	10/8/2020	NYCH: Technical Assistance, RFP3628FlexTechConsultUmbrel..	40,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Wendel Energy Services, LLC	10/26/2020	Technical Services, FT13164 - Multiple - FTC	35,000
	11/23/2020	Technical Services, FT13195 - Multiple - FTC	21,500
	12/2/2020	Technical Services, FT13207 - Amherst WWTF - FTC	55,000
	12/23/2020	REV Campus Challenge, FT13252 - Uni. Rochester - FTC	20,434
	1/25/2021	K-12 SCHOOLS, P12GC-28_E - Starpoint - FTC	52,800
	2/24/2021	NYCH: Technical Assistance, FT13268 - Group A - FTC	500,000
		NYCH: Technical Assistance, FT13269 - Group B - FTC	500,000
3/31/2021	Technical Services, FT13330 - Multiple - FTC	32,000	
West Publishing Corporation	3/5/2021	NEW YORK GREEN BANK, Westlaw Core Plan platform	45,320
West Shore Solar	3/8/2021	>200KW PV, NY Sun	741,312
		NY-SUN, NY Sun	855,360
WFHA Brooklyn L.P.	3/31/2021	NY Green Bank, Workforce Housing Group	500,000
Whaling Solar, LLC	2/8/2021	>200KW PV, NY Sun	585,082
		NY-SUN, NY Sun	720,101
White River Solar, LLC	10/22/2020	>200KW PV, NY Sun	1,124,046
Whitmore Court Apartments LLC	11/12/2020	Technical Services, FT13173 - 82 Crescent - PON	10,000
	11/17/2020	Multifam Performance Pgm, Multifamily	77,000
Wildcat Renewables, LLC	2/8/2021	>200KW PV, NY Sun	540,040
		NY-SUN, NY Sun	785,512
Willdan Energy Solutions	10/6/2020	NYCH: Technical Assistance, Natural Gas Constrained Areas	200,000
	10/19/2020	Cleantech Ignition, SA.062a_TWO#4 Tech to Market	164,340
		Cleantech Incubator, SA.062a_TWO#4 Tech to Market	164,340
12/29/2020	Commercial Real Estate Ten, Advanced Efficiency Solutions	200,000	
Willdan Lighting & Electric, Inc.	10/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,400
	10/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,400
	1/8/2021	Talent Pipeline:CE and OJT, PON3981 Round 7	250,000
William Timkey	11/2/2020	<200KW PV, PON 2112 NY SUN	5,082
Wise Home Energy, LLC	1/8/2021	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	3/11/2021	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,640
Wood Mackenzie Power & Renewables, Inc.	12/11/2020	NY-SUN, GTM Squared, Solar and Wind	27,000
		Subscription/Data Access, GTM Squared, Solar and Wind	82,648
Woods Hole Oceanographic Institution	1/8/2021	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	611,934
		Nat'l Offshore Wind R&D	203,978
Worley Group, Inc.	2/18/2021	OREC: Technical Support, TWO#1 Advisian GL Wind Study	331,096
	3/9/2021	OREC: Technical Support, TWO 2 Buyer's Eng Support Se	150,000
WSP USA Corp.	12/10/2020	Environmental Research, ENV & Fisheries Rsrch for OSW	408,081
	12/11/2020	Clean Energy Communities, TA Community Support Services	597,986
		Flexible Tech Assistance, Commercial Market Engagement	71,210
REV Campus Challenge, Commercial Market Engagement	133,475		
Wyoming County Community Action, In..	12/16/2020	Multifam Performance Pgm, Multifamily	36,400
Yellow 3 LLC	2/8/2021	>200KW PV, NY Sun	537,451
		NY-SUN, NY Sun	661,478
Zerodraft Residential Inc.	10/7/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	3/10/2021	Talent Pipeline:CE and OJT, OJT HIRE	17,392
Zeroth LLC	3/8/2021	NYCH: Innovation, Site Demonstrations of Solar	101,431
Zones LLC	10/15/2020	NYSERDA ADMINISTRATION, SMARTnet - Maintenance 20 - ..	26,909
	10/28/2020	NYSERDA ADMINISTRATION, G9 HP Server Support - 20-21	20,038
	3/24/2021	VOIP - Hardware Purchase	130,508
Grand Total			1,846,757,575

Contracts Completed

Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Contract Amount
3Gi CNYIP, Inc.	CLEANER GREENER COMMUNITIES, CGC26840 - 3Gi CNYIP	1,000,000
3M Company	Industrial Process Effic, Industrial Process Efficiency	62,016
3rd ROC Solar LLC	<200KW PV, PON 2112 NY SUN	6,944
5 Tellers Associates, LP	Multifam Performance Pgm, Multifamily	147,000
24-42 Bennett Avenue Corp	>200KW PV, NY-Sun	29,230
60 East 8th St Condo	COMBINED HEAT AND POWER, Distributed Generation as Comb	686,229
	NYSERDA ADMINISTRATION, Distributed Generation as Comb	48
64 Solar LLC	<200KW PV, PON 2112 NY SUN	288,873
139 East 56th Street Landlord, LLC	Commercial New Construc, NCP15062 - 139 E 56th St	79,308
174 Power Global NorthEast, LLC	>200KW PV, NY-Sun	1,002,834
444 River Lofts, LLC	Low Rise New Construction, New Construction	62,850
770 Electric Corp.	<200KW PV, NY-Sun	75,983
	>200KW PV, NY-Sun	134,337
Accord Power, Inc.	>200KW PV, PON 2112 NY SUN	17,518
ACEEE	Prof & Expert Engagement, 2021 Membership	12,000
	Prof & Expert Engagement, ASAP 2021 sponsorship	25,000
ACM Medical Laboratory, Inc.	>200KW PV, NY Sun	193,402
Actasys	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	75,000
Action Research Inc.	ADVANCED BUILDINGS, Behavior Integrated Clean Ener	350,000
Active Solar Development, LLC	<200KW PV, NY-Sun	32,154
	<200KW PV, PON 2112 NY SUN	60,588
	NY-SUN, NY-Sun	3,510
Actuate Innovation, Inc.	Innovation, Investment Plan	50,000
Adam C. Boese	Agriculture Energy Eff Pgm, RFP3628FlexTechConsultUmbrella	2,500
	Commercial Real Estate Ten, Daylight Savings - 64 Fulton	5,000
	New Construction- Commercial, Commercial New Construction	34,804
	Technical Services, AEAP	6,000
Adirondack Area Network	NYSERDA ADMINISTRATION, 2019 AA NET Recording Services	15,000
Adirondack Historical Association	ADVANCED BUILDINGS, ADK Museum Pellet Demo	256,640
	ENVIRONMENTAL RESEARCH, ADK Museum Pellet Demo	56,336
Adirondack Solar, LLC	>200KW PV, NY-SUN C&I	322,261
ADK Solar	<200KW PV, PON 2112 NY SUN	10,458
ADL Ventures LLC	OTHER PROGRAM AREA, ADL Ventures Consulting Contra	50,000
Advanced Radiant Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
AES Broadalbin Solar, LLC	>200KW PV, NY Sun C/I	542,875
AES Holland Solar, LLC	>200KW PV, NY-Sun C&I	77,357
	NY-SUN, NY-Sun C&I	25,786
AKF-engineers	Commercial Real Estate Ten, AKF Engineers - Multisite	87,300
	Technical Services, FT13040 - 200 Park - FTC	18,065
Akwasne Housing Authority	Low Rise New Construction, Low-rise residential new const	64,000
Albert Einstein College of Medicine Inc.	Flexible Tech Assistance, FlexTech Program - PON1746	85,980
All-State Air Control Sales & Service In	Talent Pipeline:CE and OJT, OJT HIRE	10,800
Allegis Group Holdings Inc	Real Time Enrgy Management, SA.043a_TWO #7 - RTEM	256,080
Alliance for Housing Inc.	Multifam Performance Pgm, Multifamily	38,055
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	38,055
Alliance to Save Energy	Prof & Expert Engagement, 2020 ASE Membership	35,000

Contracts Completed

Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Contract Amount
Altanova LLC	Commercial Real Estate Ten, Altanova - Multisite	47,894
	Commercial Real Estate Ten, Altanova LLC - 2 Hanson Place	5,000
	Commercial Real Estate Ten, Altanova-110 W 44th	5,000
	Commercial Real Estate Ten, Altanova-295 Fifth	5,000
	Commercial Real Estate Ten, Altanova-1095 AoA-CT	25,003
	Commercial Real Estate Ten, Altanova-Multisite	35,000
	Flexible Tech Assistance, FT12220-Cush&Wake-MC-CHP-FTC	47,546
	New Construction- Commercial, Commercial New Construction	39,999
	Technical Services, FT13051 - 564 Park - FTC	16,000
Alternative Power Solutions of NY, LLC	<200KW PV, PON 2112 NY SUN	56,227
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	14,880
AMERESCO, Inc.	<200KW PV, PON 2112 NY SUN	242,352
Amergy Solar Inc.	>200KW PV, PON 2112 NY SUN	148,998
American Energy Care, Inc.	<200KW PV, NY-Sun	33,177
	<200KW PV, PON 2112 NY SUN	67,493
American Society of Heating,Refrigeratin	Talent Pipeline:CE and OJT, TWO Umbrella Agreement 152136	32,328
American Solar Partners, LLC	<200KW PV, NY-Sun	33,475
	>200KW PV, NY-Sun	33,475
Ampersand Olcott Harbor Hydro LLC	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	61,560
AmTrust North America Inc.	NYSERDA ADMINISTRATION, 2020 Paid Family Leave	69,000
Anheuser-Busch InBev Worldwide Inc	On-Site Energy Manager, OsEM39-I Anheuser-Busch InBev	140,450
Antares Group, Inc.	Campus/Technical Assistance, FT12091-St. John's U - FTC	12,760
	Geothermal Incentive Program, Technical Review and Program S	115,821
	NYCH: Technical Assistance, Antares TWO-NG CHC Screenings	20,000
Apex Roofing, LLC	<200KW PV, PON 2112 NY SUN	6,370
Apex Solar Power LLC	<200KW PV, PON 2112 NY SUN	11,790
Arcadis of New York, Inc.	Technical Services, AEAP	5,978
	Technical Services, FT13114 - 830 River - FTC	21,500
Arcadis U.S., Inc.	FUEL NY, Tech Review & Program Staff	1,407,058
	OTHER PROGRAM AREA, Tech Review & Program Staff	171,181
Arctic Air Mechanical Corp	NYSERDA ADMINISTRATION, HVAC for NY Office	23,800
Autonomous Energies LLC	<200KW PV, PON 2112 NY SUN	16,920
Aztech Geothermal, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	8,640
Barbera Homes and Development, Inc.	Low Rise New Construction, 2019 LRNCP	5,700
Barton & Loguidice, D. P.C.	Flexible Tech Assistance, FT12263 - Chenango WWTP - FTC	5,959
BDO USA LLP	Background Investigation Servi	3,300
	NYSERDA ADMINISTRATION, Background Investigation Servi	1,900
Beacon Communities Services LLC	Low Rise New Construction, New Construction	37,000
Belmont Housing Resources for WNY, Inc.	Low Rise New Construction, New Construction	37,000
Belmonte Builders	Low Rise New Construction, 2019 LRNCP	9,500
	Low Rise New Construction, New Construction	35,150
	New Construction Housing, 2019 LRNCP	5,700
Bergmann Associates, Architects,	Commercial Imp Assist, Tech Review_Support_Umbrella	5,000
	Commercial Real Estate Ten, Bergmann Associates - Multisite	16,337
	Commercial Real Estate Ten, Bergmann-125EJefferson TBG	5,000
	Commercial Real Estate Ten, Bergmann-1343 Long Pond Rd-CT	5,000

Contracts Completed

Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Contract Amount
Bergmann Associates, Architects,	Flexible Tech Assistance, FlexTech Umbrella Agreement	21,050
	Industrial Process Effic, Tech Review_Support_Umbrella	14,680
	RENEWABLE HEAT NY, Tech Review_Support_Umbrella	8,500
Best Energy Power	>200KW PV, NY-Sun	6,125
	>200KW PV, PON 2112 NY SUN	646,669
Binghamton Northside LP	Multifam New Construction, New Construction	48,000
BJ's Wholesale Club	>200KW PV, NY-Sun	1,199,772
Black Cherry Services Group, Inc.	<200KW PV, PON 2112 NY SUN	5,418
Blank Rome LLP	NYGB Legal	50,000
Bloom Energy Corporation	FUEL CELLS, HD #6153-Clay, NY	894,334
Blue Heron Trail I Housing Development F	Low Rise New Construction, New Construction	70,200
Blue Stone Solar, LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	16,495,500
Bond, Schoeneck & King, PLLC	ESTOR:Consumer Education, Distributed Solar Incentives	8,000
	NYSERDA ADMINISTRATION, Outside Legal Services	50,000
Bonded Energy Solutions Corp.	WORKFORCE DEVELOPMENT, OJT HIRE	15,360
Booz Allen Hamilton, Inc.	High Performing Grid, PON 3397 CAT D	750,000
Borrego Solar Systems, Inc.	>200KW PV, NY Sun	17,404,638
BPCA NYS Inc.	Home Perf w Energy Star, Tech Consulting for RES	35,075
BQ Energy, LLC	ESTOR:Retail Storage Incentive, Retail Storage	417,600
BQE Services Inc	Talent Pipeline:CE and OJT, OJT HIRE	8,307
Brattle Group Inc.	CI Engy Siting & Soft Cost Red, TWO 5 LSR siting analysis	228,569
	ORES Support, TWO 5 LSR siting analysis	210,000
	REC:CES REC System Dev Costs, TWO 5 LSR siting analysis	261,431
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	9,840
	Talent Pipeline:CE and OJT, OJT HIRE	8,640
Brenner Builders	Low Rise New Construction, New Construction	5,000
Bright Power, Inc.	<200KW PV, NY Sun	36,476
	<200KW PV, NY-Sun	407,472
	>200KW PV, NY-Sun	264,636
	>200KW PV, PON 2112 NY SUN	140,871
	NY-Sun	254,358
	NYCH: Technical Assistance, Electrification Feasibility St	45,000
	NYCH: Technical Assistance, RM35 - NYU - Alumni Hall	15,470
Brookfield District Energy Microgrid LLC	SMART GRID SYSTEMS, RFP 3044 R2	994,000
Brookhaven National Lab	HEX Beam Line	0
	OTHER PROGRAM AREA, HEX Beam Line	25,000,000
Brooklyn Bakery Inc.	Industrial Process Effic, Industrial Process Efficiency	78,380
Brooklyn Solar One LLC	>200KW PV, NY Sun	303,210
Brooklyn Solar Two LLC	>200KW PV, NY Sun	547,570
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	11,307
Broome Community College	REV Campus Challenge, RFP 3214 REV Campus Challenge	1,000,000
Buddy Jason Folson	OREC: Technical Support, ORECRFP20 Specialist Reviewer	8,000
Buffalo Geothermal Heating	Geothermal Incentive Program, Large-Scale GSHP Rebate	37,008
	Large-Scale GSHP Rebate	32,748
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,200
Buffalo Solar Solutions Inc	<200KW PV, NY-Sun	6,912

Contracts Completed
Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Contract Amount
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	54,167
Build Edison LLC	OTHER PROGRAM AREA, Innovation Advisors	165,000
	SMART GRID SYSTEMS, Innovation Advisors	48,000
Buzzard's Ridge Group LLC	<200KW PV, PON 2112 NY SUN	6,405
BVD Solar, LLC	>200KW PV, NY Sun	1,143,162
	NY-SUN, NY Sun	1,008,672
BVG Associates LLC	OREC: Technical Support, IE ORECRFP20-1	65,000
C.J. Brown Energy, P.C.	Commercial Real Estate Ten, CJ Brown-131 Woodsedge Dr- CTP	5,000
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	9,428
	K-12 SCHOOLS, FT13120 - Windsor CSD - FTC	57,988
	Technical Services, AEAP	23,988
	Technical Services, AEAP1282 - CRS Growers	5,997
	Technical Services, AEAP1296 - FLX Grape LLC	5,997
C.T. Male Associates Engineering,	Flexible Tech Assistance, FlexTech Consultant Selection	25,971
	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	13,500
C&S Engineers, Inc.	REV Campus Challenge, FT13036 - 432 Western - FTC	7,263
Cairo NY 1, LLC	>200KW PV, NY-Sun C&I	496,776
	NY-SUN, NY-Sun C&I	876,663
Calpine Corporation	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	174,333,640
	REC:CES REC Contracts, Large-Scale Renewables	137,079,080
Calvary Manager LLC	Multifam New Construction, MFNCP PHIUS T3-1579 St John	300,000
Carahsoft Technology Corporation	EVALUATION, 2021 Qualtrics Software	60,695
	NYSERDA ADMINISTRATION, Event Monitoring Software	5,227
	REC:CES REC System Dev Costs, Salesforce Communities license	6,768
	Salesforce 2021 Licensing	1,509,403
	ZEC:CES ZEC System Dev Costs, Salesforce Communities license	6,768
Caroline Hazard	NYCH: Comfort Home, Heat Pump Ready Participation	50,000
Carter Ledyard & Milburn LLP	NYSERDA ADMINISTRATION, Indian Point PAAA advice	15,179
Cayuga / Onondaga BOCES	Flexible Tech Assistance, FT12254 - Cayuga BOCES - PON	21,400
Cayuga Country Homes	New Construction Housing, 2019 LRNCP	6,800
CBP 441 Ninth Avenue Owner, LLC	Commercial New Construc, SF106912 - 441 Ninth Avenue	488,362
CDS Monarch Inc	Low Rise New Construction, New Construction	78,600
Center for Carbon Removal	OTHER PROGRAM AREA, Carbon180 Consulting Contract	50,000
CertainSolar, Inc.	Fuel Cells, Fuel Cell Incentive - FC-027	1,000,000
CES Danbury Solar, LLC	<200KW PV, PON 2112 NY SUN	7,500
CHA Consulting Inc.	>200KW PV, SEQR Services	50,000
	Industrial Process Effic, IPE16249	9,901
	Industrial Process Effic, Technical Review and Program S	124,400
	Renewable Heat NY, Technical Review and Program S	11,300
	Technical Services, FT13124 - 2 Tech Place - FTC	7,200
Charter Communications, Inc.	Industrial Process Effic, Industrial Process Efficiency	141,194
Christopher Lutgens	Home Perf w Energy Star, EmPower Repairs/Insulation	6,470
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, PON 2112 NY SUN	59,726
City of Cortland	Clean Energy Communities, PON 3298 CEC	50,000
City of Middletown	Flexible Tech Assistance, FT12264 - Middletwn WWTP - PON	36,147
City Of New York	OTHER PROGRAM AREA, Newtown Creek WWTP food waste	220,336

Contracts Completed
Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Contract Amount
City of Utica	NY-SUN, Affordable Solar in Utica	130,000
City of White Plains	CLEANER GREENER COMMUNITIES, City of White Plains	250,000
CJ Solar 1, LLC	>200KW PV, C&I PV Project City of Utica	654,357
Clarkson Univ., Research Div.	ENVIRONMENTAL RESEARCH, Energy Related Air Quality	252,191
CleanFiber LLC	Cleantech Ignition, PON 3871 Ignition Grants	100,000
CLEAResult Consulting, Inc.	Technical Services, Centralized Services & Support	111,595
Clifton Park Solar 1, LLC	>200KW PV, NY-Sun C&I	1,874,340
Clifton Park Solar 2, LLC	>200KW PV, NY-Sun C&I	747,630
Climate Change & Environmental	Commercial Real Estate Ten, CCES - 88 Pine Street FL3	8,025
	Commercial Real Estate Ten, CCES - 110 E. 42nd St	6,260
	Commercial Real Estate Ten, CCES - Multisite	9,400
	Commercial Real Estate Ten, Climate Change - Multisite	7,000
CMC Energy Services, Inc	Consumer Ed and Market Support, Conduct HVAC Roundtables	50,000
Co-op Power, Incorporated	<200KW PV, NY-Sun	52,649
	>200KW PV, NY-Sun	52,651
Code Green Solutions, Inc.	Commercial Real Estate Ten, Code Green-390 Madison Ave-CT	9,300
	Commercial Real Estate Ten, CodeGreen - 2 Penn Plaza	31,038
	Commercial Real Estate Ten, CodeGreen - 535 Madison Avenue	5,000
	Flexible Tech Assistance, FT12201 - Super Nova 330 - FTC	19,000
	Flexible Tech Assistance, FT12235-OneCity-111 8th-FTC	22,500
	Flexible Tech Assistance, FT12251 - Macklowe - FTC	19,750
	Flexible Tech Assistance, FT12269 - 1211 6th - FTC	15,000
	Flexible Tech Assistance, FT12284 - 2 Penn Plaza - FTC	26,000
Cogeneration Contractors, Inc.	Combined Heat and Power, CHPA - 626 Flatbush	128,700
	Combined Heat and Power, CHPA - Fresh Direct	1,350,000
	Combined Heat and Power, CHPA - Morris Avenue Apartment	117,000
	COMBINED HEAT AND POWER, CHPA - Riu Hotel New York	548,438
	COMBINED HEAT AND POWER, CHPA - Riu Hotel Times Square	232,050
Colliers International Holdings USA, Inc	Flexible Tech Assistance, Efficiency Planning & Engineer	5,675
Columbia University	COMBINED HEAT AND POWER, CHP Performance Program	2,400,000
	ENVIRONMENTAL RESEARCH, Health Outcomes Over NY	48,000
CON EDISON SOLUTIONS, INC.	<200KW PV, NY-Sun	323,280
	>200KW PV, NY-Sun C&I	255,984
	>200KW PV, PON 2112 NY SUN	119,556
	NY-SUN, NY-Sun C&I	451,737
Control Solutions Group, Inc.	NYSERDA ADMINISTRATION, HVAC Maintenance NYC Office	17,500
Cornell University	>200KW PV, NY Sun	516,417
Cornell University-Office of Sponsored P	RENEWABLE HEAT NY, Biomass-Fired Emission Sources	275,000
Cornerstone Energy Services	Renewable Heat NY, Clean Heating & Cooling	13,495
	Renewable Heat NY, Cornerstone - Bullard	19,503
Cortex Building Intelligence, Inc.	Real Time Enrgy Management, CBI-3 Bryant Park-RTEM	83,764
County of Chenango	Clean Energy Communities, CEC011260-Chen Cnty	150,000
Credit Suisse USA	NEW CONSTRUCTION PROGRAM, NCP12333 - Eleven Madison Av..	173,802
Crest Solar LLC	<200KW PV, PON 2112 NY SUN	8,750
CSA Parma Solar 1, LLC	>200KW PV, NY Sun C/I	1,047,107
CTG:I LLC	OTHER PROGRAM AREA, CTG i3 subscription	8,925

Contracts Completed
Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Contract Amount
CubeSmart TRS Inc	>200KW PV, NY-Sun	39,960
Cutone & Company Consultants, LLC	Commercial Real Estate Ten, LC Associates - 123 William St	11,665
	Commercial Real Estate Ten, LCA - 40 Wall Street Fl 46	10,468
	Commercial Real Estate Ten, LCA - 200 Lexington Ave - CT	24,185
	Commercial Real Estate Ten, LCA-315 Park Avenue South-CTP	10,468
	Talent Pipeline:CE and OJT, OJT HIRE	6,400
CVE North America, Inc.	>200KW PV, PON 2112 NY SUN	808,320
Cypress Creek Renewables LLC	>200KW PV, NY Sun	2,904,887
	ESTOR:Retail Storage Incentive, Retail Storage	814,000
	Solar Plus Energy Storage, NY Sun	1,424,500
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	7,680
Dandelion Energy Inc	NYCH: Talent Ppln:CE and OJT, OJT HIRE	18,240
Dash Markets Inc	Commercial New Construc, SF106913 - Dashes Market	35,413
Datto Inc	Industrial Process Effic, Industrial Process Efficiency	28,174
Delaware River Solar, LLC	>200KW PV, NY Sun	7,027,481
	>200KW PV, NY Sun CI Payee Assignment	902,880
	>200KW PV, NY-Sun C&I	1,378,944
	NY-SUN, NY Sun	2,482,100
	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	22,362,290
Dell, Inc.	NYSERDA ADMINISTRATION, DELL Wyse 3040 no wifi and WMS	17,367
Dewberry Consultants LLC	ENVIRONMENTAL RESEARCH, East Hampton resiliency	220,911
Dewberry Engineers Inc	Environmental Research, Transportation Climate ADP	296,343
Dimension Energy LLC	>200KW PV, NY Sun	1,461,851
	NY-SUN, NY Sun	1,074,903
Dimitri House, Inc.	New Construction Housing, 2019 LRNCP	6,000
Direct Packet Inc.	NYSERDA ADMINISTRATION, Video Service Renewal – Cisco	29,341
Distributed Solar Operations, LLC	<200KW PV, NY-Sun	322,704
	>200KW PV, PON 2112 NY SUN	611,793
DNV Energy Insights USA Inc.	Campus/Technical Assistance, RFQ 3183 KEMA, Inc	51,159
	Community RH&C, RFQ 3183 KEMA, Inc	39,079
	EVALUATION, TWO 7 - T&MD 2014-18 Impact Ev	201,597
	Geothermal Incentive Program, RFQ 3183 KEMA, Inc	288,438
	Renewable Heat NY, RFQ 3183 KEMA, Inc	313,438
Doherty Electric, LLC	<200KW PV, PON 2112 NY SUN	46,020
DTN, LLC	ENERGY ANALYSIS, Energy Analysis	20,639
Dynamic Energy Solutions, LLC	>200KW PV, NY Sun	1,912,866
	>200KW PV, NY-Sun C&I	175,211
Dynamo Energy Hub	Cleantech ICC Engage, support the growth of the clea	50,000
E Source Companies LLC	Subscription/Data Access, One-Year Subscripion	65,521
E-Mobility Market Services, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Earth Advantage Inc.	Home Energy Ratings, Add appraisal addend to HES	10,000
Earth Environmental Group, LLC	RENEWABLE THERMAL, Solar Thermal Incentives	52,962
	RENEWABLE THERMAL, ST Incentive Program	26,481
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Large-Scale GSHP Rebate	895,740
Ecogy Croton Community Solar LLC	>200KW PV, NY-Sun	151,088
Ecogy New York VIII LLC	>200KW PV, NY-Sun	132,720

Contracts Completed
Period 10/1/2020 through 3/31/2021

Contractor	Contract Description	Total Contract Amount
Ecology & Environment, Inc.	Environmental Research, ENV & Fisheries Rsrch for OSW	500,000
Ecology and Environment Engineering	Clean Energy Communities, TA Community Support Services	763,636
	Off-Shore Wind Master Plan, RFP3462 Umbrella Agreement	476,453
	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	331,992
	OREC: Technical Support, TWO#19 SEIS for CLCPA	172,241
	REC:CES REC System Dev Costs, TWO#19 SEIS for CLCPA	73,817
Eden Renewables, LLC	>200KW PV, NY Sun	2,547,838
	NY-SUN, NY Sun	3,297,202
Edison Energy, LLC	NYCH: Technical Assistance, FT13141 - 55 John - FTC	10,245
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	337,329
	<200KW PV, PON 2112 NY SUN	82,792
	NY-SUN, NY-Sun	224,886
Ekostinger, Inc.	76 West, 76 West Energy Bus Competition	1,000,000
Electric Power Research Institute	DER Integration(Intrcnct), PON 3404 DER Integration	399,920
	High Performing Grid, 3265_EPRI	48,500
	High Performing Grid, PON 3397 Round 2 - Category A	399,000
	High Performing Grid, RFP3265 Umbrella Contract	250,000
Elmwood East Solar 1, LLC	>200KW PV, NY-Sun C&I	434,770
EMCOR Services Betlem	Flexible Tech Assistance, FT12084 - Gleason Works - FTC	6,608
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,672
EME Consulting Engineering Group, LLC	Agriculture Energy Eff Pgm, RFP3628FlexTechConsultUmbrella	2,500
	Flexible Tech Assistance, FT12080-NYU Langone Bkyn-FTC	60,000
	Real Time Enrgy Management, EME Group-240 E 38th St-RTEM	14,788
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	109,804
Empire State Realty Trust	COMBINED HEAT AND POWER, CHP Performance Program	2,600,000
Empower CES, LLC	>200KW PV, PON 2112 NY SUN	121,000
	ENERGY STORAGE, PON 2112 NY SUN	62,500
Encompass Energy LLC	New Construction- Commercial, Commercial New Construction	17,733
Eneractive Solutions	K-12 SCHOOLS, FlexTech Consultant Selection	600,000
Energy & Resource Solutions, Inc.	Commercial Real Estate Ten, Efficiency Planning & Engineer	469,024
	Flexible Tech Assistance, Efficiency Planning & Engineer	60,840
	Industrial Process Effic, Industrial & Agriculture	240,780
	Industrial Process Effic, Technical Review and Program S	9,307
	On-Site Energy Manager, Industrial & Agriculture	110,000
	Real Time Enrgy Management, Efficiency Planning & Engineer	120,352
	Strategic Energy Manager, Industrial & Agriculture	31,250
Energy and Environmental Economics Inc.	CEF Review BC Analysis, TWO#25 BCA Technical Support	50,000
	Mkt Char: Tech Assist, Tech Assist, REV Pool.	260,487
Energy Conservation & Supply, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	8,000
Energy Management Solutions, LLC	Talent Pipeline:CE and OJT, OJT HIRE	5,760
Enertiv Inc.	Real Time Enrgy Management, Enertiv - Multisite - RTEM	31,703
ENGIE North America Inc.	<200KW PV, PON 2112 NY SUN	250,614
Enterprise Community Partners, Inc.	NY-SUN, Enterprise Solar Community	200,000
EnterSolar LLC	>200KW PV, NY Sun	1,038,402
	>200KW PV, NY-Sun C/I	369,636
Environment & Energy Publishing, LLC	NYSERDA ADMINISTRATION, Annual Subscription E&E News	14,120

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
ePlus inc	NYSERDA ADMINISTRATION, nVidia VDI Licensing	17,760
Erdman Anthony & Associates, Inc.	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUm..	56,408
	Industrial Process Effic, Technical Review and Program S	19,466
	Technical Services, AEAP	6,000
Eric Thomas Roberts	Innovation, Consultant	75,000
Essense Partners Inc.	OTHER PROGRAM AREA, Marketing Support for NYSERDA	917,260
Evoworld	NextGen HVAC, Advanced Buildings	48,089
Extraterrestrial Materials Inc.	<200KW PV, PON 2112 NY SUN	103,711
Facebook, Inc.	Commercial Real Estate Ten, Facebook-770 Broadway-CT	24,989
Facility Strategies Group, LLC	NYCH: LMI, Clean Heating & Cooling	32,200
FFP NY Schaghticoke Project1, LLC	>200KW PV, NY-Sun C&I Payee Assignment	459,736
FFP NY Watertown Project1, LLC	>200KW PV, NY-Sun C&I Assignment	459,736
Finger Lakes Extrusion	>200KW PV, NY Sun	121,298
Finger Lakes United Cerebral Palsy, Inc	New Construction Housing, 2019 LRNCP	30,000
Fingerlakes Renewables	<200KW PV, PON 2112 NY SUN	6,720
First Quality Maintenance II, LLC	NYSERDA ADMINISTRATION, NYC Office Cleaning-15th Floor	19,292
Flight Center Hotel, LLC	Commercial New Construc, NCP16002 - TWA Hotel	383,161
Florenton River LLC	<200KW PV, PON 2112 NY SUN	25,158
	>200KW PV, PON 2112 NY SUN	26,386
Foam It Insulation, LLC	Talent Pipeline:CE and OJT, OJT HIRE	20,640
Fordham University	Campus/Technical Assistance, Clean Heating & Cooling	32,378
	Fuel Cells, Fuel Cell Incentive - FC-013	288,750
	Technical Services, OsEM62-C-Fordham-Lincoln	151,387
ForeFront Power, LLC	>200KW PV, NY Sun	1,049,963
Four Points Group, Inc.	ENERGY ANALYSIS, TWO #2 - NPP 60+	75,000
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	30,989
Fred F. Collis & Sons, Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	50,560
	Talent Pipeline:CE and OJT, OJT HIRE	16,480
Fresh Maintenance LLC	Home Perf w Energy Star, PO for EmPower Project	6,700
Frontier Energy, Inc.	Air Source Heat Pumps, Develop ASHP Pro Forma Tool	43,980
	Air Source Heat Pumps, TWO - ASHP Pro Forma	47,000
Fusion Energy Services LLC	<200KW PV, PON 2112 NY SUN	59,654
G.W. Ehrhart, Inc.	Renewable Heat NY, Ehrhart Energy - Ligas	21,000
	Renewable Heat NY, G.W. Ehrhart - Roberson	21,000
Gaia Sharbel Energy Contracting	Renewable Heat NY, Gaia Sharbel Energy Contractin	7,000
Garner Environmental Services, Inc.	FUEL NY, Fuel NY Portable Emergency Gen	51,000,000
Garnet Solar Partners LLC	>200KW PV, Commercial/Industrial PV	758,620
Gartner Inc.	NYSERDA ADMINISTRATION, Gartner - Membership 20 - 21	39,164
Geatain Engineering PLLC	Commercial Real Estate Ten, GE - 1916 Park Avenue	5,000
	Commercial Real Estate Ten, Geatain-400 Fifth Ave	5,000
	Commercial Real Estate Ten, Geatain-481 Eighth Ave	5,000
GenE Solar I LLC	>200KW PV, NY-Sun C&I	427,574
General Electric International Inc	<200KW PV, PON 2112 NY SUN	334,152
	>200KW PV, Commercial/Industrial PV	1,087,393
	>200KW PV, NY-Sun CI	325,529
Geotherm Inc.	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240

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Contractor	Contract Description	Total Contract Amount
Geotherm Inc.	Talent Pipeline:CE and OJT, OJT HIRE	17,280
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, G&C Associates - 280 Park Ave	5,000
	Commercial Real Estate Ten, GCA - 111 W 33rd 14th Fl	5,998
	Commercial Real Estate Ten, Goldman&Copeland-600 Madison	9,000
	Technical Services, FT13006 - 1290 AoA - FTC	9,993
	Technical Services, FT13012 - 280 Park - FTC	23,984
	Technical Services, FT13017 - 510 5th Avenue - FTC	13,994
	Technical Services, FT13043 - 245 Park - FTC	19,995
	Technical Services, FT13046 - 630 Second - FTC	9,990
	Technical Services, FT13073 - 888 7th Ave - FTC	5,496
	Technical Services, FT13074 - 909 3rd Ave - FTC	5,496
	Technical Services, FT13075 - 595 Madison Ave -FTC	5,496
Graphenix Development Inc.	Cleantech Ignition, PON 3871 Ignition Grants	100,000
GRE Fund III Holdco LLC	>200KW PV, NY Sun C/I	819,877
Green Street Power Partners LLC	>200KW PV, NY Sun	151,718
	>200KW PV, PON 2112 NY SUN	406,944
Green Team USA, LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	18,400
	WORKFORCE DEVELOPMENT, OJT HIRE	58,720
	WORKFORCE DEVELOPMENT, OJT HIRE DAVID WHITE	7,680
GreenLogic, LLC	ENERGY STORAGE, PON 2112 NY SUN	12,500
Greenmount Lane Solar 1, LLC	>200KW PV, NY-Sun C&I	542,553
Grid City Electric Corp	<200KW PV, NY-Sun	9,504
	>200KW PV, NY-Sun	14,256
	>200KW PV, PON 2112 NY SUN	36,960
Group-S LLC	Flexible Tech Assistance, FT12280 - 3611 14th - FTC	15,500
Guidehouse Inc.	TWO #3 - Natural Gas Price For	7,667
GWE Project HoldCo 4, LLC	>200KW PV, NY-Sun C&I	559,837
H.E.L.P Development Corp.	Multifam New Construction, MFNCP PPES T2-Crotona	70,000
Halcyon, Inc.	<200KW PV, PON 2112 NY SUN	5,355
Hamlin Solar 1, LLC	>200KW PV, NY-Sun C&I	1,626,885
Harlem Congregations for	Multifam Performance Pgm, Multifamily	30,600
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,600
Harris Wiltshire & Grannis LLP	NYSERDA ADMINISTRATION, Counsel's Office	24,999
	NYSERDA ADMINISTRATION, Green Economy Research	75,000
Harvest Power, LLC	<200KW PV, NY Sun	6,900
Hawkins Delafield & Wood LLC	GJGNY REVOLVING LOAN FUND, Bond Counsel Services	60,000
Hawn Heating & Energy Services LLC	Talent Pipeline:CE and OJT, OJT HIRE	8,160
Healthy Home Energy & Consulting, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	11,520
Hearthlab Solutions, LLC	RENEWABLE HEAT NY, Cordwood test mthd wood stoves	150,000
Heat Keepers, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Heitmann Builders	Low Rise New Construction, LRNCP - 15 High St - NZE	5,000
High Falls Operating Co, LLC	Industrial Process Effic, Industrial Process Efficiency	533,856
High Peaks Solar	>200KW PV, Commercial/Industrial Program	169,332
	>200KW PV, NY Sun	2,081,376
	NY-SUN, Commercial/Industrial Program	56,444
	Talent Pipeline:CE and OJT, OJT HIRE	11,040

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Contractor	Contract Description	Total Contract Amount
HK Property Monticello LLC	Commercial New Construc, SF158447 - HK Property Montice	7,355
Hobart and William Smith Colleges	>200KW PV, commercial/industrial pv	718,559
	ENVIRONMENTAL RESEARCH, Mercury Dynamics in Finger Lak	167,894
Hodgson Russ LLP	Home Perf w Energy Star, RFP 3300 & RFP 3776 Outside Co	70,000
	NYSERDA ADMINISTRATION, RFP 3300 & RFP 3776 Outside Co	15,000
Holland & Knight LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	40,686
	ZEC:CES ZEC Pgm Non-Rec Exp, RFP 3300 & RFP 3776 Outside Co	30,000
Home Leasing, LLC	>200KW PV, NY Sun	333,099
	New Construction Housing, 2019 LRNCP	82,800
HomeCycle Technologies, Inc.	REC:CES REC System Dev Costs, RESRFP20-1 TEP IE	41,145
Homes for New Yorkers, Inc	Multifam New Construction, MFNCP PHIUS T3-1675 Westch	300,000
	Multifam Performance Pgm, Multifamily	83,580
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	155,220
Housing Visions Consultants, Inc.	Low Rise New Construction, New Construction	24,000
	New Construction Housing, 2019 LRNCP	21,000
Housing Works	Workforce Industry Partnership, PON 3715 Workforce Training	54,090
HP Woodycrest Housing	Multifam New Construction, New Construction	157,500
Hudson River Renewables	<200KW PV, NY-Sun	12,584
	<200KW PV, PON 2112 NY SUN	13,542
Hudson Valley Clean Energy Inc.	<200KW PV, NY-Sun	421,903
	<200KW PV, PON 2112 NY SUN	271,237
	NY-SUN, NY-Sun	201,285
Hudson Valley Community College	REV Campus Challenge, RM26 - Hudson Valley CC	54,666
Hytech Solar Inc	ENERGY STORAGE, PON 2112 NY SUN	6,250
ICF Jones & Stokes	ENVIRONMENTAL RESEARCH, NYS Energy Research and Develo	346,316
ICF Resources, LLC	ENERGY ANALYSIS, Flex Energy Tech Analysis 2	425,000
	OREC: Technical Support, TWO 7, OSW Resiliency Study	49,993
IGS Ventures, Inc.	>200KW PV, NY Sun C/I	189,814
IHS Global Inc.	ENERGY ANALYSIS, IHS Markit/PointLogic Subscrip	54,190
Impact Infrastructure, Inc.	Code to Zero, Building-Level Value Analysis	15,000
	New Construction- Commercial, Building-Level Value Analysis	15,000
	Technical Services, Building-Level Value Analysis	20,000
INF Associates LLC	Commercial Real Estate Ten, INF Associates LLC - Multisite	75,000
	Commercial Real Estate Ten, INF Associates LLC - Multisite	54,530
	Commercial Real Estate Ten, INF-177 Livingston-Multisite	19,773
	Commercial Real Estate Ten, INF-299 Park Ave-Multisite-CTP	74,815
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	18,122
Info-Tech Research Group Inc.	NYSERDA ADMINISTRATION, 1-yr Info-Tech Research Group	34,458
Infogroup Government Division	Eval MCDC Cross Cutting, Infogroup	260,000
	EVALUATION, Infogroup	240,000
	Subscription/Data Access, Infogroup	12,500
InTech Energy, Inc.	Real Time Enrgy Management, InTech-890 Washington Ave-RTEM	93,720
	Real Time Enrgy Management, InTech-6111 Queens Blvd-RTEM	28,328
Integral Building & Design, Inc.	Low Rise New Construction, 2019 LRNCP	10,000
Integral Group LLC	Remote Energy Management, Technical Support DER Study	50,000
Interface Performance Material	Industrial Process Effic, Industrial Process Efficiency	62,932

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Contractor	Contract Description	Total Contract Amount
International Business Machines	On-Site Energy Manager, OsEM57-I IBM Sterling Forest	211,051
Isomedix Operations Inc	<200KW PV, NY-Sun	178,200
J Synergy Green Inc	WORKFORCE DEVELOPMENT, OJT HIRE	35,520
J Synergy Solar LLC	<200KW PV, NY-Sun	6,160
J. Ranck Electric, Inc.	>200KW PV, Commercial/Industrial	358,942
J&A Electrical Construction LLC	<200KW PV, NY-Sun	6,968
	<200KW PV, PON 2112 NY SUN	15,089
Jaros, Baum & Bolles	Technical Services, FT13001 - NYS Exchange - FTC	22,250
John E. Batey	ENVIRONMENTAL RESEARCH, science advisor support env	35,000
John Gowdy	ENVIRONMENTAL RESEARCH, Environmental Research	20,000
John Sager	ENVIRONMENTAL RESEARCH, Env. Reseach Science Advisor	20,000
Johnstone Group, LLC	Consumer Ed and Market Support, Market Development - Admin	50,000
Jones Lang LaSalle Americas, Inc.	Flexible Tech Assistance, FT12273 - IBM 2455 South - PON	85,979
Jordan Energy and Food Enterprises LLC	<200KW PV, PON 2112 NY SUN	8,073
Kamtech Restoration Corp	<200KW PV, PON 2112 NY SUN	14,271
	>200KW PV, PON 2112 NY SUN	34,730
Kasselman Solar LLC	<200KW PV, NY-Sun	45,872
	<200KW PV, PON 2112 NY SUN	160,477
Kawi Energy Group Corp.	Commercial Real Estate Ten, Kawi Energy - Multisite	45,905
Kearns & West, Inc.	Environmental Research, ETWG meeting prep & support	49,940
Kearsarge Oppenheim LLC	>200KW PV, NY-Sun C/I	677,236
Kelliher Samets Volk	Commercial Imp Assist, Marketing Support for NYSERDA	10,000
	Commercial Real Estate Ten, Marketing Support for NYSERDA	11,980
	Flexible Tech Assistance, Marketing Support for NYSERDA	10,000
	Industrial Process Effic, Marketing Support for NYSERDA	9,900
	On-Site Energy Manager, Marketing Support for NYSERDA	25,000
	Real Time Enrgy Management, Marketing Support for NYSERDA	13,960
	REV Campus Challenge, Marketing Support for NYSERDA	11,980
	REVitalize, Marketing Support for NYSERDA	48,000
	Strategic Energy Manager, Marketing Support for NYSERDA	145,000
Technical Services, Marketing Support for NYSERDA	1,980	
Kilowatt Engineering, Inc.	Industrial Process Effic, 2621 Umbrella Contract	9,831
	Industrial Process Effic, IPE16236	8,228
	Industrial Process Effic, IPE16252	28,777
	Industrial Process Effic, IPE16253	24,978
	Industrial Process Effic, IPE16260	15,000
	Industrial Process Effic, IPE16262	13,650
	Industrial Process Effic, IPE16263	12,717
	Industrial Process Effic, IPE16264	18,267
Kinetic Services Engineering P.C	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,240
Kisco River Solar, LLC	>200KW PV, NY-Sun	513,975
Knoll, Inc.	Furniture for Green Bank Offii	184,938
	Furniture Purchase	47,685
	NYSERDA ADMINISTRATION, Furniture for Green Bank Offii	610
L&S Energy Services, Inc.	Campus/Technical Assistance, Umbrella Contract	6,000
	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUm..	28,204

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Contractor	Contract Description	Total Contract Amount
L&S Energy Services, Inc.	Combined Heat and Power, Umbrella Contract	273,000
	Commercial New Construc, RFP3771 Umbrella Contract	22,260
	Flexible Tech Assistance, Umbrella Contract	412,000
	FLEXIBLE TECHNICAL ASSISTANCE, Umbrella Contract	515,000
	Industrial Process Effic, Umbrella Contract	81,170
	INDUSTRIAL PROCESS EFFICIENCY, Umbrella Contract	185,747
	NYCH: Technical Assistance, L&S TWO - NG CHC Screenings	20,000
	RENEWABLE HEAT NY, Umbrella Contract	8,349
	REV Campus Challenge, Umbrella Contract	30,001
	Technical Services, FT13133 - 401 S. Salina - FTC	11,517
LaBella Associates, P.C.	Geothermal Incentive Program, Large-Scale GSHP Rebate	192,000
	REV Campus Challenge, Novus PO Assignment	21,469
Landau Solar II LLC	>200KW PV, NY Sun	948,147
Latham & Watkins LLP	Commercial Real Estate Ten, Latham&Watkins-1271AOA,st3400	22,501
LC DRives	OTHER PROGRAM AREA, PON 3249 Advanced Clean Energy	500,000
Leidos Engineering of New York, P.C.	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUm..	42,306
LiDestri Foods, Inc.	Industrial Process Effic, Industrial Process Efficiency	97,255
Lifetime Housing Development Corporation	Low Rise New Construction, 2019 LRNCP	48,000
Lincoln Life & Annuity Company of NY	NYSERDA ADMINISTRATION, 2020 Long Term Disability Prem	92,000
Long Island Power Authority	NY-SUN, LIPA MOU RGGI Compliance Progr	149,800,000
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	34,290
	ENERGY STORAGE, PON 2112 NY SUN	6,250
Low-Level Radioactive Waste Forum, Inc.	NYSERDA ADMINISTRATION, LLRW Forum Membership Fee 2021	5,000
Luthin Associates, Inc.	EXISTING FACILITIES, C&I Buildings Outreach	7,648,501
	REV Campus Challenge, C&I Buildings Outreach	187,760
	REV Campus Challenge, Efficiency Planning & Engineer	96,000
M.J. Beck Consulting LLC	REC:CES REC System Dev Costs, RESRFP20-1 TEP IE	33,000
M/E Engineering, P.C.	Commercial New Construc, RFP3771 Umbrella Contract	37,150
	Industrial Process Effic, Technical Review and Program S	13,995
	NYCH: Technical Assistance, M/E TWO - NG CHC Screenings	20,000
MacQuesten Construction Management LLC	Multifam New Construction, New Construction	133,400
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, Property Liability and Other	1,119,215
Martin Energy Group Services, LLC	Combined Heat and Power, CHPA-CCMH Times Square LLC	1,550,250
Mastercard International	>200KW PV, NY Sun	254,412
Max Solar Inc	<200KW PV, NY-Sun	11,520
	<200KW PV, PON 2112 NY SUN	27,870
McLean Solar 1, LLC	>200KW PV, NY-Sun C&I	883,593
Meadows Senior Living L.P.	RENEWABLE THERMAL, Solar Thermal Incentive	54,110
Memorial Sloan Kettering Cancer Center	Industrial Process Effic, Industrial Process Efficiency	83,843
Merrimack Energy Group, Inc.	REC:CES REC System Dev Costs, RESRPF20-1 TEP IE	40,700
Mesa Bioenergy Supply, LLC	ENVIRONMENTAL RESEARCH, Mesa BioEnergy BPP Project Eva	49,500
Micatu, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	39,360
Michaels Group Homes, LLC	New Construction Housing, 2019 LRNCP	15,200
	New Construction Housing, 2020 LRNCP	7,600
Micro Nano Technologies	NYCH: Innovation, PON3519 Round 1	430,000
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYT-VIP	174,545

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Contractor	Contract Description	Total Contract Amount
Miles Farmer	ENERGY ANALYSIS, PSC Resource Adequacy Proceedi	80,000
mindSHIFT Technologies, Inc.	NYSERDA ADMINISTRATION, RFP 3919-Sitecore CMS Admin	1,300,000
Minisink Solar 1, LLC	>200KW PV, NY-Sun C&I	900,607
Molecular Glasses, Inc.	OTHER PROGRAM AREA, Technology to Market	400,000
Monolith Solar Associates, LLC	>200KW PV, NY Sun	780,000
MVP Consulting Plus, Inc.	NYSERDA ADMINISTRATION, 20-21 License Renewal for SAS	10,473
NASEO	ENERGY ANALYSIS, USEER Support 2021	50,000
National Economic Research	Mkt Char: Tech Assist, Tech Assist, REV Pool	387,000
National Renewable Energy Laboratory	M-Corps, 2021 Ind Grow Frm Sponsorship	12,000
NESCAUM	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	372,500
	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	174,720
	Renewable Heat NY, RFQL3685 Round 1	120,000
	RENEWABLE HEAT NY, Tech Assist, REV Pool	180,000
	RENEWABLE HEAT NY, Wood Pellet Standard	349,405
NESEA	Geothermal Incentive Program, 2020 BuildingEnergy NYC Conf	8,333
	Multifam Performance Pgm, 2020 BuildingEnergy NYC Conf	8,333
	Prof & Expert Engagement, 2020 BuildingEnergy NYC Conf	1,000
	Retrofit NY, 2020 BuildingEnergy NYC Conf	8,333
Network Craze Technologies	Network.Equip.NYGB.1333.NYC	28,323
	NYSERDA ADMINISTRATION, Network.Equip.NYGB.1333.NYC	28,323
New Buildings Institute, Inc.	Prof & Expert Engagement, 2020 NBI Membership	25,000
	Prof & Expert Engagement, 2021 NBI Membership	25,000
New Energy Equity LLC	>200KW PV, Commercial/Industrial	411,709
	NY-SUN, Commercial/Industrial	137,236
New Flyer of America, Inc.	CLEAN TRANSPORTATION, NYT-VIP	1,108,258
	CLEAN TRANSPORTATION, NYTVIP	1,847,097
New York Battery and Energy Storage	Energy Storage Tech/Prod Dev, NYSERDA cost share funding sup	40,000
New York Geothermal Energy Organization	Geothermal Incentive Program, GSHP Mentoring Program	44,700
New York Solar Energy Industries Assoc.	NYSEIA COVID Support	120,000
New York State Forum for IRM	NYSERDA ADMINISTRATION, NYS Forum Membership 20 - 21	5,000
New York State Marine	CLEAN TRANSPORTATION, NYS Canal Marine Freight	63,000
New York State Solar Farm Inc.	<200KW PV, NY-Sun	7,219
	<200KW PV, PON 2112 NY SUN	50,869
Newport Ventures, Inc.	Code to Zero, TWO2 NYStretch Outreach	50,000
Next Generation Solar, LLC	<200KW PV, PON 2112 NY SUN	10,920
Nextera Energy Capital Holdings Inc	>200KW PV, SUNY Poly Hoosick Falls 2	1,113,280
	>200KW PV, SUNY Poly Selkirk 3	1,052,445
NextEra Energy Capital Holdings, Inc.	>200KW PV, NY-Sun C&I	649,289
Niagara Frontier Transportation Authorit	CLEAN TRANSPORTATION, Integrated Corridor Management	299,955
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	8,736
Nixon Peabody LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	62,810
NMR Group, Inc.	Eval MCDC Clean Transportation, Clean Transportation Evaluatio	61,395
Noresco LLC	Technical Services, FT13144 - IAQ Multiple - FTC	66,648
North American Passive House Network, In	New Construction Housing, NAPHN 2021	25,000
North Branch Services, LLC	Code to Zero, NYStretch Outreach Circuit Ri	65,000
Northeast Energy Efficiency Partnerships	Air Source Heat Pumps, 2020 NEEP Sponsorship	25,000

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Northeast Energy Efficiency Partnerships	Clean Energy Communities, 2020 NEEP Sponsorship	10,000
	Code to Zero, 2020 NEEP Sponsorship	20,000
	Home Energy Ratings, 2020 NEEP Sponsorship	25,000
	NYSERDA ADMINISTRATION, 2020 NEEP Sponsorship	15,000
	Product Standards, 2020 NEEP Sponsorship	20,000
	Prof & Expert Engagement, 2020 NEEP Sponsorship	50,000
	Strategic Energy Manager, 2020 NEEP Sponsorship	10,000
Northeast Green Building Consulting, LLC	Code to Zero, TWO#1 NYStretch Outreach	50,000
Northeast Projects LLC	Buildings of Excellence, BoE Rnd 1 - Design Team InceR1	5,958
Northwell Health, Inc.	Flexible Tech Assistance, FT12013 - Northwell Health	26,280
	Flexible Tech Assistance, FT12208 -N Westchester CHP-PON	17,618
Novel Approaches Solar Applications, LLC	<200KW PV, PON 2112 NY SUN	42,300
Novus Engineering, P.C.	REV Campus Challenge, FlexTech Consultant Selection	36,508
NP Environmental LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	6,720
	Talent Pipeline:CE and OJT, OJT HIRE	8,640
NuWorld Lighting Solutions Inc	WORKFORCE DEVELOPMENT, OJT HIRE	23,360
NY Baldwin II, LLC	>200KW PV, NY-Sun C&I	1,281,677
NY CDG 001 LLC	>200KW PV, NY-Sun	115,656
NY CDG 003 LLC	>200KW PV, NY-Sun	182,490
NY RNM Project1, LLC	>200KW PV, NY-Sun	990,966
	>200KW PV, NY-SUN C&I	990,966
NY RNM Project1A, LLC	>200KW PV, NY-Sun	961,842
NY RNM Project2, LLC	>200KW PV, NY Sun C/I	966,061
NYC Partnership Housing Dev. Fund Co.	Multifam Performance Pgm, Multifamily	167,130
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	224,370
NYS Energy Solutions	WORKFORCE DEVELOPMENT, OJT HIRE	20,480
NYS Labor Management Cooperation Committ	Talent Pipeline:CE and OJT, PON3981 Round 4	171,180
NYS Office of General Services	NYSERDA ADMINISTRATION, Corporate Marketing	9,884
	POLICY DEVELOPMENT, 2019 NYS DPS Printing Services	25,000
	POLICY DEVELOPMENT, Corporate Marketing	140,116
	SARATOGA TECHNOLOGY & ENERGY PARK, Permitting Services, ..	11,500
NYS Office of Information Technology Ser	NYSERDA ADMINISTRATION, Office 365 - Outstanding Bal.	79,929
NYS Office of Parks, Recreation and	<200KW PV, PON 2112 NY SUN	20,088
NYS OGS	ENVIRONMENTAL RESEARCH, Support for finalizing SGEIS	1,100,732
	OTHER PROGRAM AREA, Support for finalizing SGEIS	78,653
NYS Olympic Regional Development Auth.	Industrial Process Effic, Industrial Process Efficiency	437,872
NYSS LLC	<200KW PV, NY-Sun	7,888
O'Connell Electric Company	<200KW PV, PON 2112 NY SUN	17,514
Ogden Cap Properties, LLC	Flexible Tech Assistance, FT11667 - Biltmore Plaza	9,329
Old Stage Road Solar 1, LLC	>200KW PV, NY-Sun C&I	597,701
Omni Navitas Holdings LLC	>200KW PV, NY Sun	2,992,250
	NY-SUN, NY Sun	4,173,063
Omni-Navitas - MAP-ES NY LLC	>200KW PV, NY Sun	887,348
Omnicap Group, LLC	Financial Advisory Services	46,000
	NEW YORK GREEN BANK, Financial Advisory Services	65,000
OnForce Solar	>200KW PV, NY Sun	643,157

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Contractor	Contract Description	Total Contract Amount
OnForce Solar	NY-SUN, PV System @ Manhattan Beer Dis	144,203
Opinion Dynamics Corporation	EVALUATION, RFQ3183 Umbrella Agreement	126,833
Oppenheim Solar South, LLC	>200KW PV, PV System @ SunyPoly	700,777
Orange EV LLC	CLEAN TRANSPORTATION, NYT-VIP	140,080
Otsego County	Flexible Tech Assistance, FT12210 - Otsego County - PON	13,750
OwnBackup Inc.	NYSERDA ADMINISTRATION, Own backupSalesforce.KeyMgt	32,383
Ozz Solar Development Inc.	>200KW PV, NY Sun C&I	231,404
PA Consulting Group	ENERGY ANALYSIS, TWO #1 Enbridge Pipeline Study	35,000
Paradise Energy Solutions, LLC	<200KW PV, NY-Sun	8,000
	<200KW PV, PON 2112 NY SUN	132,809
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	37,160
	>200KW PV, PON 2112 NY SUN	7,722
Penfield Sq Associates MM LLC.	New Construction Housing, 2019 LRNCP	88,400
People United for Sustainable Housing In	REVitalize, RFP 3584 Revitalize	65,000
Pepsi-Cola Technical Operations, Inc.	>200KW PV, NY-Sun	141,474
Pepsico, Inc.	Commercial New Construc, NCP16005 - Technical Operatio	218,458
Philip Hopke	Environmental Research, Health/Reduced Emissions	20,000
Pintail Crossing, LLC	Low Rise New Construction, New Construction	58,400
Pioneer Valley Photovoltaics Cooperative	<200KW PV, PON 2112 NY SUN	6,048
PitchBook Data, Inc.	OTHER PROGRAM AREA, OneYear Pitchbook Subscription	25,000
Pivotal 180, LLC	NEW YORK GREEN BANK, Green Bank	40,000
Plaza Apartments Owner LLC	Multifam Performance Pgm, Multifamily	28,700
Plugin Stations Online, LLC	Talent Pipeline:CE and OJT, OJT HIRE	8,000
PlugPV, LLC	<200KW PV, PON 2112 NY SUN	175,222
	Talent Pipeline:CE and OJT, OJT HIRE	9,000
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT HIRE	18,611
Powerlutions, LLC	<200KW PV, PON 2112 NY SUN	7,394
Premier Solar Solutions LLC	>200KW PV, PON 2112 NY SUN	160,062
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	13,115
Produttiva LLC	Commercial New Construc, NCP15026-DeCicco Sons Millwood	46,722
ProjectEconomics, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Propmodo Inc.	Real Time Enrgy Management, Strategic Industry Partner Eng	60,140
Proterra	CLEAN TRANSPORTATION, NYT-VIP.	4,170,000
Provantage, LLC	NYSERDA ADMINISTRATION, APC Smart UPS Power Supply	6,965
Pvilion Technologies, LLC	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Quanta Technology LLC	High Performing Grid, PON 3397 Round 2 - Category A	400,000
	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	255,000
Quest Energy Group	Commercial Real Estate Ten, Quest - 111 West 33rd Street	15,000
	Commercial Real Estate Ten, Quest Energy - 622 3rd Avenue	7,750
Quest Home Improvement Inc	>200KW PV, PON 2112 NY SUN	26,508
QwikSolar, LLC	<200KW PV, PON 2112 NY SUN	7,280
Randstad North America, Inc.	Air Source Heat Pumps, Payroll Services_CHC_TWO#29	16,000
	Community RH&C, Payroll Services	21,600
	Energy Storage Tech/Prod Dev, Temp Services -	30,206
	High Performing Grid, Temp Services -	30,206
	NYCH: Innovation, Temp Services -	30,206

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Contractor	Contract Description	Total Contract Amount
Randstad North America, Inc.	NYSERDA ADMINISTRATION, Temporary Services	106,880
	ORES Support, Staff Aug - ORES Support	120,000
	Pub Transit & Elect Rail, Temp Services -	30,206
RED Rochester	Technical Services, FT13142 - 1200 Ridgeway - PON	19,845
Regan Development Corp	Low Rise New Construction, New Construction	64,400
	New Construction Housing, 2019 LRNCP	63,200
Regional Economic Models, Inc	ENERGY ANALYSIS, Energy Analysis	44,000
Regional Greenhouse Gas Initiative, Inc.	ENERGY ANALYSIS, 2021 RGGI Funding Agreement	286,131
Renewable Rochester LLC	<200KW PV, NY-Sun	24,496
	<200KW PV, PON 2112 NY SUN	85,509
Renovus Energy, Inc.	<200KW PV, PON 2112 NY SUN	327,700
	>200KW PV, NY Sun	237,872
Rensselaer Polytechnic Institute-LRC	Industrial Process Effic, Industrial Process Efficiency	415,673
	Prof & Expert Engagement, LRC Assist membership	25,000
RES America Developments Inc	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	122,865,629
Research Foundation of The City	ENVIRONMENTAL RESEARCH, Coastal monitoring framework	284,429
Resource Refocus LLC	Code to Zero, TWO#1 Res Rulemaking Support	42,232
RHM Inc.	Renewable Heat NY, AEON Heating and A/C - Forkey	21,300
Rising Solar, LLC	REC:CES REC Contracts, Large-Scale Renewables	17,378,550
RIT HENRIETTA SOLAR 1, LLC	>200KW PV, NY Sun C/I	447,261
Robert Derector Associates	Commercial Real Estate Ten, RDA - 250 W 55th Street	5,000
	Commercial Real Estate Ten, Robert Derector - Multisite	15,000
Robert F. Parker, Jr.	Cleantech Ignition, Technology to Market	25,000
Robert K. Harmon & Company LLC	Pay for Performance, P4P - MEETS TWO	50,000
Rocky Mountain Institute	Remote Energy Management, Technical support for NYSERDA	187,500
	Technical Services, Technical support for NYSERDA	62,500
Rome Housing Authority	Multifam Performance Pgm, Multifamily	83,000
Ross Solar Group, LLC	>200KW PV, NY-Sun C&I	494,701
RRH PARMA SOLAR 1 LLC	>200KW PV, NY-Sun C&I	700,067
	>200KW PV, NYSUN C&I	1,062,226
Ruffalo Appliance	Talent Pipeline:CE and OJT, OJT HIRE	6,400
Rural Ulster Preservation Company	Low Rise New Construction, New Construction	219,500
Russell Unger Consulting LLC	MF Market Transformation, MF Energy Efficiency Consultin	200,000
Ryan Homes (Virginia)	New Construction Housing, 2019 LRNCP	34,200
	New Construction Housing, 2020 LRNCP	85,500
Safari Energy LLC	>200KW PV, NY Sun	43,524
Saranac Lake Central School	ENVIRONMENTAL RESEARCH, Exhaust Stack Upgrade	25,000
Sea Bright Solar, LLC	<200KW PV, PON 2112 NY SUN	8,750
SecondMuse LLC	M-Corps, Technology to Market	2,000,000
Seed Renewables Inc.	<200KW PV, NY-Sun	14,080
Seek More LLC	Consumer Ed and Market Support, Consultant for SFR Upstream	12,455
	NYCH: Supply Chain, Consultant for SFR Upstream	37,545
Seneca County	Clean Energy Communities, CEC300326 - Seneca County	50,000
Seneca Nation	>200KW PV, NY Sun	705,279
Settlement Housing Fund, Inc.	Multifam Performance Pgm, Multifamily	41,895
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	77,805

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
SHI, Inc.	NYSERDA ADMINISTRATION, Monitor Docks 1333 - 2 EOL	12,474
Siemens Industry, Inc.	<200KW PV, NY Sun	395,641
Site Capture LLC	Air Source Heat Pumps, SQA license for cloud service	5,400
	Combined Heat and Power, SQA license for cloud service	5,400
	ESTOR: Implementation Support, SQA license for cloud service	3,400
	Geothermal Incentive Program, SQA license for cloud service	5,400
	NYCH: Comfort Home, SQA license for cloud service	5,400
Sive Paget & Riesel PC	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	19,182
	NYSERDA ADMINISTRATION, Counsel's Office	5,000
	NYSERDA ADMINISTRATION, Internal SEQRA Practice Review	15,000
	Off-Shore Wind Pre-Dev Act, RFP 3300 & RFP 3776 Outside Co	50,000
	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	112,000
Ski Plattekill, Inc.	Industrial Process Effic, Industrial Process Efficiency	6,834
Skylands Renewable Energy, LLC	Small Wind, Wind Turbine Incentive	61,250
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	11,375
SL Green Management	Flexible Tech Assistance, FT12233 - 420 Lexington - PON	29,900
Smith Engineering PLLC	Flexible Tech Assistance, FT12237-Cornell-961EShore-FTC	49,530
Snug Planet, LLC	Talent Pipeline:CE and OJT, OJT HIRE	18,560
Socore Energy, LLC	NY-SUN, New York Sun Competitive PV Pr	270,692
Solar and Wind FX, Inc. (Chris Schaefer)	<200KW PV, PON 2112 NY SUN	8,750
Solar Energy Industries Association, Inc	SEIA COVID Support	120,000
Solar Energy Systems, LLC	<200KW PV, NY-Sun	13,824
	>200KW PV, NY-Sun	20,736
	>200KW PV, PON 2112 NY SUN	58,200
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	272,618
	<200KW PV, PON 2112 NY SUN	303,721
	>200KW PV, NY Sun	1,768,130
	>200KW PV, NY-Sun	21,168
	>200KW PV, PON 2112 NY SUN	92,970
Solar Star Prime 2, LLC	>200KW PV, NY-Sun	4,254,624
Solcius, LLC	<200KW PV, PON 2112 NY SUN	5,208
Soldier On, Inc.	Low Rise New Construction, New Construction	56,000
Solitude Solar LLC	>200KW PV, NY Sun	495,040
Soltage, LLC	ESTOR:Retail Storage Incentive, Retail Storage	960,000
Specialized Packaging Group, Inc	Industrial Process Effic, Industrial Process Efficiency	55,451
Standard Insulating Company	Talent Pipeline:CE and OJT, OJT HIRE	45,802
Stephen Taya Property Development	New Construction Housing, 2019 LRNCP	12,600
Steuben Churchpeople Against Poverty Inc	Low Rise New Construction, 2019 LRNCP	28,000
Steven Winter Associates, Inc.	ADVANCED BUILDINGS, Linkage-Less Burner Retrofit	229,801
	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUm..	169,224
	Commercial New Construc, New Construction	23,807
	Commercial Real Estate Ten, SWA - Demand Flex - Multisite	75,070
	NextGen HVAC, Linkage-Less Burner Retrofit	18,499
Stockholm Environment Institute U.S., In	NYSERDA ADMINISTRATION, LEAP Licenses for 5 users	5,000
Stove Boat, LLC	Environmental Research, Fishermen's Gateway	49,000
Summit Solar Company LLC	>200KW PV, PON 2112 NY SUN	52,392

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Sun Source Technologies	<200KW PV, NY-Sun	11,520
	<200KW PV, PON 2112 NY SUN	23,296
SuNation Solar Systems, Inc.	<200KW PV, PON 2112 NY SUN	49,980
	COMMUNITY SOLAR, PON 2112 NY SUN	6,364
	ENERGY STORAGE, PON 2112 NY SUN	100,000
Sunnova Energy Corp	<200KW PV, PON 2112 NY SUN	16,807
SunPower Capital, LLC	<200KW PV, PON 2112 NY SUN	78,220
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	90,044
	<200KW PV, PON 2112 NY SUN	233,341
Sunrise Solar Solutions, LLC	<200KW PV, PON 2112 NY SUN	65,664
	>200KW PV, PON 2112 NY SUN	494,892
SunRun, Inc	<200KW PV, PON 2112 NY SUN	122,387
	ENERGY STORAGE, PON 2112 NY SUN	12,500
Sunwealth Project Pool 14 LLC	<200KW PV, NY-Sun	21,132
	>200KW PV, NY-Sun	21,133
SUNY - ESF	RENEWABLE HEAT NY, Environmental Research	30,000
	REV Campus Challenge, SUNY ESF - Energy Master Plan	18,112
SUNY Buffalo	Industrial Process Effic, Industrial Process Efficiency	186,860
SUNY Oneonta	New Construction- Commercial, Commercial New Construction	113,339
Surf Clean Energy Inc	<200KW PV, NY-Sun	12,928
	<200KW PV, PON 2112 NY SUN	9,920
	COMMUNITY SOLAR, NY-Sun	6,240
Sustainable Comfort, Inc	Talent Pipeline:CE and OJT, OJT HIRE	23,232
Sustainable Energy Advantage, LLC	>200KW PV, Large Scales Renewables Techni	200,000
	REC:CES REC System Dev Costs, RES Program Review	199,950
Sustainable Energy Developments Inc.	<200KW PV, PON 2112 NY SUN	59,723
Sustainable Westchester	Community RH&C, PON3723 RH&C Campaigns	350,000
Switched Source LLC	76 West, 76 West Energy Bus Competition	250,000
	High Performing Grid, Tie Controller for Renewable	2,250,000
Syracuse University	ADVANCED BUILDINGS, Flame-Assisted Fuel Cell	100,000
	ENVIRONMENTAL RESEARCH, Monitoring of NYS fish for Hg	700,000
	ENVIRONMENTAL RESEARCH, Nutrient Dynamics in the ADKs	40,000
	NYCH: Innovation, Flame-Assisted Fuel Cell	50,000
Systems Management Planning, Inc.	NYSERDA ADMINISTRATION, Horizon Licensing 36 Months	24,768
	NYSERDA ADMINISTRATION, SMP - HPE DL3610 Storage	14,523
Taitem Engineering, P.C.	Campus/Technical Assistance, FT12227-256SunsetLake-FTC	9,336
	Code to Zero, TWO#1 NYStretch Outreach CR	50,000
	Commercial New Construc, New Construction	22,948
	Solar Thermal, Technical Review and Program S	39,817
	Technical Services, AEAP	5,962
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, SecureAuth Renewal 2021-2022	41,949
	NYSERDA ADMINISTRATION, TWO Senior Software - Simon	187,200
	NYSERDA ADMINISTRATION, TWO SR. Software Engineer Anan	173,550
Tecogen	Combined Heat and Power, CHPA - 315 East 68th	189,922
	Combined Heat and Power, CHPA - 555 West 23rd St	346,500
	Combined Heat and Power, CHPA - 1249 Park Ave	171,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Tecogen	Combined Heat and Power, CHPA - Amherst	388,125
	Combined Heat and Power, CHPA - Lakeside Towers	201,094
	Combined Heat and Power, CHPA - Savoy Park II Building	14,280
	Combined Heat and Power, CHPA-The Lucida	178,750
Tern Construction & Development, LLC	Low Rise New Construction, 2019 LRNCP	63,800
Tesla Energy Operations Inc	<200KW PV, PON 2112 NY SUN	38,175
	>200KW PV, Commercial/Industrial	775,964
	>200KW PV, Commerical/IndustrialPV	124,712
	>200KW PV, NY Sun	236,308
	ENERGY STORAGE, PON 2112 NY SUN	381,250
TestingXperts Inc.	NYSERDA ADMINISTRATION, Website Accessibility Audit	10,000
The Brooklyn Brewery Corporation	Industrial Process Effic, Industrial Process Efficiency	16,087
The Business Council of NYS, Inc.	Prof & Expert Engagement, BCNYS-NYSERDA webinars	5,000
	Prof & Expert Engagement, Membership Business Council	6,705
The Cadmus Group, LLC	Air Source Heat Pumps, Stocking/Shelving Survey	152,000
	Consumer Ed and Market Support, RFQ3183 Umbrella Agreement	224,570
	Home Perf w Energy Star, EnergyAffordability and Equity	156,529
The Hartz Group, Inc.	Flexible Tech Assistance, FT12213 - Roxy Hotel - PON	34,400
	Flexible Tech Assistance, FT12214 - Soho Grand Hotel-PON	32,800
The Lion Electric Co USA Inc	CLEAN TRANSPORTATION, NYT-VIP	185,000
The Radiant Store	Renewable Heat NY, Radiant Store - Polak	12,000
	Renewable Heat NY, Radiant Store - Ray Siegar	12,000
	Renewable Heat NY, Radiant Store - Reed	12,000
The Renewables Consulting Group, LLC	OREC: Technical Support, IE ORECRFP20-1	70,000
	OREC: Technical Support, TWO#3- OSW-Mariners	130,000
The Trustees of Columbia University	Environmental Research, CU Health&Air Quality Wrkshop	15,051
Thermodynamix LLC	NYCH: Talent Ppln:CE and OJT, OJT HIRE	18,880
	Talent Pipeline:CE and OJT, OJT HIRE	10,240
ThunderCat Technology LLC	NYSERDA ADMINISTRATION, Atlassian Licenses - Jira	55,965
	NYSERDA ADMINISTRATION, Docusign Subscription 21 - 22	94,115
	NYSERDA ADMINISTRATION, Rightstar Scanning license	5,460
Timothy Marlett	Talent Pipeline:CE and OJT, OJT HIRE	7,680
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	759,006
Town of Aurora	Clean Energy Communities, CEC101467 - Town of Aurora	50,000
Town of Chester	ADVANCED BUILDINGS, Biomass Steam Boiler System	50,000
	RENEWABLE HEAT NY, Biomass Steam Boiler System	350,000
Town of Conewango	Clean Energy Communities, Town of Conewango	50,000
Town of Gallatin	Clean Energy Communities, CEC400159 - Town of Gallatin	30,000
Town of Guilderland	CEC400038 Town of Guilderlan	30,000
	Clean Energy Communities, CEC400038 Town of Guilderlan	5,000
Town of Huntington	OTHER PROGRAM AREA, RFP 3044 R2	1,000,000
Town of Irondequoit	Clean Energy Communities, Town of Irondequoit	194,377
	Town of Irondequoit	55,623
Town of New Castle	CLEANER GREENER COMMUNITIES, Town of New Castle	100,000
Town of Ossining	CLEANER GREENER COMMUNITIES, Town of Ossining	50,000
Town of Pittsford	Clean Energy Communities, CEC300390 - Town of Pittsford	50,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Town of Richland	Clean Energy Communities, Town of Richland	43,594
	Town of Richland	6,406
Town of Ulysses	Clean Energy Communities, PON 3298 CEC	100,000
Town of Westport	Clean Energy Communities, CEC701035 - Town of Westport	50,000
Trane	K-12 SCHOOLS, P12GC-20_E - Camden CSD - PON	103,362
	K-12 SCHOOLS, P12GC-21 - Lowville CSD - PON	52,392
	Real Time Enrgy Management, 310 Prospect Park West - RTEM	26,036
	Real Time Enrgy Management, Hudson City Schools-RTEM	177,972
TRC Energy Services	Campus/Technical Assistance, Four-year contract for Technic	50,000
	NYCH: Supply Chain, Upstream Partners Initiative	900,000
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
Tri State Solar Services	<200KW PV, PON 2112 NY SUN	6,930
Triangle Electrical Systems, Inc.	<200KW PV, PON 2112 NY SUN	5,628
Trinity Heating & Air, Inc.	<200KW PV, PON 2112 NY SUN	11,410
Trove Predictive Data Science, Inc.	Informat. Products & Brokering, DER Data Platform Pilot	400,000
	Informat. Products & Brokering, RFQL3711 TWO Bldg Assets	300,000
Troy Boiler Works, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, IMCET - V..	213,760
Troy Housing Authority	Low Rise New Construction, New Construction	37,000
Troy Web Consulting, LLC	NYSERDA ADMINISTRATION, Troy Web Hosting - 1yr Cloud	7,380
True Building Performance LLC	Talent Pipeline:CE and OJT, OJT HIRE	5,120
True Energy Solutions	Talent Pipeline:CE and OJT, OJT Hire	36,640
U.S. Geological Survey (Troy).	ENERGY ANALYSIS, Accelerated Recovery	50,294
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	192,260
	ENVIRONMENTAL RESEARCH, Acid Deposition and Mercury	130,748
	ENVIRONMENTAL RESEARCH, ALTM Stream Monitoring	643,585
Ulster, County of	Clean Energy Communities, CEC510646 Ulster County	250,000
Unique Comp Inc.	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	52,416
	Pay for Performance, RFP3143 Umbrella Agreement	387,475
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP	330,000
Unity Health System	Commercial Imp Assist, CIAP013 - Unity Hospital	150,000
University of Rochester	High Performing Grid, PON 3770	225,000
Upstate Alternative Energy	<200KW PV, NY Sun	6,840
Urban Green Council	Workforce Industry Partnership, PON 3715 Workforce Training	198,856
Urban League of Rochester, NY, Inc	Low Rise New Construction, New Construction	19,000
	Multifam New Construction, New Construction	22,000
USGS National Center MS270	ENVIRONMENTAL RESEARCH, Honnedage Lake Hg	139,823
	ENVIRONMENTAL RESEARCH, Monitoring Fish Assemblage/Hg	250,000
Van Hee Mechanical	NYCH: Talent Ppln:CE and OJT, OJT HIRE	15,840
Varta Microbattery, Inc	CLEAN TRANSPORTATION, Advanced Battery Storage Syste	250,000
Vidaris, Inc.	Code to Zero, RFQL3711 Vidaris RES/COMcheck	41,866
	Code to Zero, TWO #4 Review Fan Power	17,000
	Code to Zero, TWO#1-DOS Rulemaking Support	122,660
	Code to Zero, TWO#3 NYStretch Cost Eff	136,380
	Technical Services, FT13004 - 355 Lexington - FTC	5,992
	Technical Services, FT13104 - 2000 Purchase - FTC	35,990
Village of Dobbs Ferry	CLEANER GREENER COMMUNITIES, CEC500642 Village Dobbs F..	100,000

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Village of Lakewood	Clean Energy Communities, Village of Lakewood	100,000
Village of Westfield	CLEANER GREENER COMMUNITIES, Village of Westfield	50,000
Vincents Heating and Fuel Service, LLC	Renewable Heat NY, Vincents Heating - Cross	26,120
Viola Homes Inc.	<200KW PV, NY-Sun	8,308
	<200KW PV, PON 2112 NY SUN	93,569
Vivint Solar	<200KW PV, PON 2112 NY SUN	48,423
VRS Meetings and Events, Inc.	OTHER PROGRAM AREA, 76West Award's Event A/V Servi	26,500
W. W. Grainger, Inc.	NYSERDA ADMINISTRATION, Air Purifier equipment	8,946
Wadsworth Energy LLC	Rmve Barriers Dist Enrgy Storg, TWO #1 MDIWG Support	50,000
Weill Medical College at Cornell Univers	REV Campus Challenge, RM46 - Weill Cornell - PON	58,484
Wendel Energy Services, LLC	Flexible Tech Assistance, FT12078OrleansCounty Water-FTC	24,027
Willdan Energy Solutions	Air Source Heat Pumps, Staff Augmentation Services	47,008
	Campus/Technical Assistance, Staff Augmentation Services	105,399
	Commercial Real Estate Ten, Wildan Energy - Multisite	39,900
	Commercial Real Estate Ten, Willdan-1345 AoA FI47-CTP	7,460
	Community RH&C, Staff Augmentation Services	105,399
	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	243,972
	Geothermal Incentive Program, Staff Augmentation Services	105,399
	Industrial Process Effic, Technical Review and Program S	13,251
	Real Time Enrgy Management, Technical Review and Program S	945,750
	Renewable Heat NY, Staff Augmentation Services	182,453
	Rmve Barriers Dist Enrgy Storg, FT12283 - 1250 Waters - FTC	60,030
	Solar Thermal, Staff Augmentation Services	28,345
Willdan Lighting & Electric, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	5,400
	Talent Pipeline:CE and OJT, PON3981 Round 3	250,000
William F.Fitzgerald	ENVIRONMENTAL RESEARCH, Environmental Research	12,441
William Reynolds	>200KW PV, PON 2112 NY SUN	52,080
William Timkey	<200KW PV, PON 2112 NY SUN	5,082
WTJ US Energy Services Inc	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	496,250
Yorkson Legal Inc	NYSERDA ADMINISTRATION, TS_Legal	24,638
Yorktown NY 1, LLC	>200KW PV, NY-Sun C&I	1,776,190
Yorktown NY 2, LLC	>200KW PV, NY-Sun C&I	1,766,682
You Save Green Incorporated	<200KW PV, PON 2112 NY SUN	7,500
Zero Energy Solutions LTD	Novel Bus Models & Offers, ZES Novel Business Model	412,136
Zerodraft Residential Inc.	Talent Pipeline:CE and OJT, OJT HIRE	7,200
Zones LLC	NYSERDA ADMINISTRATION, G9 HP Server Support - 20-21	20,038
	NYSERDA ADMINISTRATION, SMARTnet - Maintenance 20 - 21	26,909
Grand Total		943,736,995