



NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
Acting President and CEO

December 1, 2020
Hon. Andrew M. Cuomo
Governor
Executive Chamber
NYS Capitol
Albany, NY 12224

Dear Governor Cuomo,

Pursuant to the Public Authority Law Section 1867(7), as amended in 2015, attached is NYSERDA’s semi-annual report regarding specified contracting actions for the period from April 1, 2020 through September 30, 2020.

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.nyserdera.ny.gov/-/media/Files/Publications/Annual-Reports-and-Financial-Statements/2020-December-nyserdera-semi-annual-report.pdf>

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

Sincerely,

Signature: _____

Doreen M. Harris
Acting President and CEO

New York State Energy Research and Development Authority

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(P) 1-866-NYSERDA | (F) 518-862-1091
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14210-1484
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New York City
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New York, NY
10018-7842
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(F) 518-862-1091

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

NYSERDA

Revenues Collected - April 1, 2020 through September 30, 2020

Revenue Source	Amount (\$000's)
State Appropriation	14,580
Utility Surcharge Assessments	378,601
Clean Energy Standard Proceeds	259,519
Allowance Proceeds	61,950
Third-party reimbursements	21,448
Federal grants	2,730
Interest subsidy	184
Project repayments	14
Rentals from leases	462
Fees and other income	12,031
Loans and financing receivables interest	15,223
Investment income	429
Total revenues	767,172

NYSERDA
Public Authority Law Report
April 1, 2020 to September 30, 2020

Section Break

Solicitation Summary April 1, 2019 to September 30, 2020

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
PON 4038	Home Energy Rating Provider (round 3)	The New York State Energy Research and Development Authority (NYSERDA) is seeking applications to competitively select home energy contractors and licensed home inspectors to participate in a pilot program.	4/3/2020	7/30/2020	1,000,000.00
RFP 4276	Outreach and Technical Services to Support Clean Energy Communities	The New York State Energy Research and Development Authority (NYSERDA) Communities and Local Government Team is seeking qualified organizations to provide Coordinator Services to support the Clean Energy Communities Program.	4/8/2020	6/11/2020	\$10,600,000.00
RFP 4190	Environmental Monitoring Support Services for West Valley Management Program	NYSERDA seeks proposals from firms to perform Environmental Monitoring Support Services for NYSEDA's West Valley Site Management Program at the Western New York Nuclear Service Center in West Valley New York.	4/28/2020	6/11/2020	No value was stated in solicitation
RFP 4366	High Resolution LiDAR and Aerial Orthoimagery for WNY Nuclear Service Center	NYSERDA seeks proposals from firms with geospatial expertise to collect and deliver high resolution LiDAR and Aerial Orthoimagery for the Western New York Nuclear Service Center and environs near West Valley, New York.	6/8/2020	7/16/2020	No value was stated in solicitation
RFP 4475	Major Renewable Energy Facility Siting Technical Assistance	Consistent with Section 94-c of the New York State Executive Law, the New York State Office of Renewable Energy Siting (ORES) has been created to develop and execute a streamlined permitting process for large-scale renewable energy projects in New York State.	6/17/2020	7/13/2020	No value was stated in solicitation
PON 4359	Innovative Market Strategies	NYSERDA's Innovate Market Strategies Program is seeking to fund emerging clean energy solutions that have the potential to accelerate uptake or strengthen the value proposition of energy efficiency, distributed energy resources, or related clean energy solutions.	6/23/2020	12/31/2022	10,000,000
PON 4448	Transit Tech Lab Partnership Program	Transit Tech Lab Partnership Program Provides an opportunity for technology companies who have been competitively selected to participate in the New York Metropolitan Transit Authority's (MTA) Transit Tech Lab.	6/25/2020	7/6/2020	\$1,000,000.00
RFP 4459	Innovation Marketing Support	NYSERDA is looking for strategic, forward-thinking, and clean tech market savvy firms to support its Innovation Program for the purpose of actively contributing toward the achievement of New York State's renewable energy and climate goals.	7/3/2020	8/10/2020	\$500,000.00

PON 1	Paycheck Protection Program Loans	NY Green Bank invites eligible borrowers to respond to PON-1 for a PPP loan to cover payroll costs and certain other expenses. In order to satisfy NY Green Bank's mandate.	7/13/2020	8/17/2020	No value was stated in solicitation
RFI 4501	Integrated Energy Data Resource (IEDR) for NYS	Establishing an Integrated Energy Data Resource (IEDR) for New York State based on a recommendation from New York State Department of Public Service staff to the New York State Public Service Commission (DPS). This Request for Information (RFI) will support NYSERDA and DPS's efforts to inform the Commission of the expected resources and expenditures necessary to build and operate the IEDR.	7/13/2020	8/10/2020	No value was stated in solicitation
PON 3981 Revision	Energy Efficiency and Clean Technology Training	Through this program, NYSERDA will provide funding to training providers across the State to ensure that New York energy efficiency and clean technology businesses have an adequate supply of new and existing workers with the necessary occupational skills.	7/10/2020	1/14/2021	\$4,000,000.00
RFI 4457	Just Transition Initiative	The objective of RFI 4457 is to solicit feedback and information on retired or soon to be retired fossil fuel facility redevelopment opportunities. More specifically, this initiative will translate into a NYSERDA issued RFP to procure consulting services.	7/17/2020	1/21/2020	\$5,500,000.00
RFP20-1	2020 RES Purchase of New York Tier 1 Eligible Renewable Energy Certificates	NYSERDA seeks to purchase Tier 1 Renewable Energy Certificates associated with electricity generated from eligible facilities that enter commercial operation on or after January 1, 2015.	7/21/2020	9/29/2020	No value was stated in solicitation
RFI 4464	Large-Scale Renewables "Build-Ready" Site Nomination	NYSERDA RFI-4464 advances large-scale renewable energy projects by identifying sites that can be made build-ready for private renewable energy developers. The Clean Energy Resources Development and Incentives "Build-Ready" Program will identify suitable sites and then develop renewable energy projects for eventual competitive auction to private developers.	7/21/2020	7/21/2021	No value was stated in solicitation
ORECRFP20	ORECRFP20-1 Purchase of Offshore Wind Renewable Energy Certificates	NYSERDA seeks to procure Offshore Wind Renewable Energy Certificates associated with at 1,000 megawatts or more, of offshore wind energy, coordinated with a \$200 million opportunity to support local and private investment in port infrastructure.	7/21/2020	9/20/2020	No value was stated in solicitation
RFP 4298	Statewide Multifamily Baseline Study	NYSERDA requests proposals from organizations or individuals or teams interested in conducting a New York Statewide multifamily baseline study across a broad range of energy measures.	7/21/2020	8/17/2020	No value was stated in solicitation

RFP 4441	Innovation Advisory Services Program	Through a new iteration of the Innovation Advisory Services Program, NYSERDA is recruiting subject matter experts with specific industry experience to actively contribute toward the achievement of New York's energy and climate goals.	7/20/2020	9/3/2020	12,500,000.00
PON 4378	Loan Loss Reserve to Catalyze Clean Energy Financing in NYS Communities	The New York State Energy Research and Development Authority (NYSERDA) requests applications from entities for Loan Loss Reserve/Credit Enhancement support for financing products which support clean energy improvements.	7/31/2020	12/20/2020	\$10,000,000.00
PON 4476	National Offshore Wind R&D Consortium - Innovations in Offshore Wind	Developing and demonstrating technology innovations that will reduce the levelized cost of energy (LCOE) for offshore wind in the United States.	8/3/2020	10/19/2020	\$9,000,000.00
PON 4482	Cooperative Advertising and Training for Clean Energy Partners	Provides cost-sharing incentives to support advertising, special promotions and/or events, including training, for eligible clean energy technologies including cold-climate air source heat pumps, ground source heat pumps, energy efficiency.	8/24/2020	12/31/2022	\$5,000,000.00
BRRFP20-1	Build-Ready Site Prospecting RFP	Supports NYSERDA's Build-Ready Program by helping to identify and acquire suitable sites for development of renewable energy projects for eventual competitive auction to private developers.	8/24/2020	9/30/2020	\$2,000,000.00
PON 4423	Remote/Virtual Energy Audit Challenge	The New York State Energy Research and Development Authority (NYSERDA) is seeking applications from home improvement and energy efficiency contractors.	9/2/2020	11/9/2020	No value was stated in solicitation
PON 4536	BPI Goldstar Contractor Accreditation Fee Reimbursement	NYSERDA will provide reimbursement of up to 50% of the cost for Building Performance Institute (BPI) Goldstar accreditation for the period of July 1, 2020 through December 31, 2020	8/10/2020	9/30/2020	\$67,500.00
PON 4498	Empire Building Challenge (Real Estate Partnerships)	The Empire Building Challenge (EBC) supports replicable and scalable low carbon retrofit approaches to achieving carbon neutrality in existing large and tall buildings.	6/29/2020	9/15/2020	\$2,000,000.00
PON 4478	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.	9/29/2020	12/2/2020	No value was stated in solicitation
PON 4463	Career Pathway Training Partnerships for High Efficiency HVAC and Heat Pumps	As part of Governor Cuomo's Workforce Development Initiative, NYSERDA is seeking proposals for hands-on, entry level training programs designed to help develop a talent pipeline of new workers	9/29/2020	12/17/2020	\$8,500,000.00

PON 4000 Revision	New York State Clean Energy internship	Provides funding to eligible clean energy businesses, organizations, or local municipalities/counties interested in hiring interns to perform meaningful work in the clean energy sector. Both clean energy businesses and interns can apply to participate in the program. Accepted businesses will select, interview and make an offer to intern candidates.	8/19/2020	12/30/2024	\$7,500,000.00
PON 3923 Revision	Charge Ready NY	Charge Ready NY Program provides \$4,000 per installed electric vehicle (EV) charging port to applicants who purchase and install qualified Level 2 EV charging equipment at New York State locations. These locations must provide public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (for-profit and not-for-profit) entities may participate in the Program.	9/23/2020	12/31/2021	\$7,000,000.00
PON 4371 Revision	Strategic Energy Management Program	NYSERDA is seeking applications from industrial facilities that are interested in participating in a fully funded, year-long Strategic Energy Management 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.	7/14/2020	12/31/2025	No value was stated in solicitation
RFQL 3902 Revision	Charge Ready NY Equipment and Network Qualifications Process	Establishes a list of qualified Level 2 electric vehicle (EV) charging equipment and networks that will be eligible for incentives under the upcoming Charge Ready NY Program (Program)	5/29/2020	12/31/2021	No value was stated in solicitation
PON 3982 Revision	On-the-job Training for Energy Efficiency and Clean Technology	Through this program, NYSERDA will provide funding 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.	4/15/2020	10/31/2023	\$14,000,000.00
PON 4128 Revision	Electric Power Transmission and Distribution (EPTD) Future Grid Challenge	Smart grid technologies promote the modernization of the electric grid, including the use of renewable and distributed energy resources, fewer greenhouse gas emissions, and lower operating costs	7/1/2020	10/14/2020	No value was stated in solicitation
Pon 3414 Revision	Affordable Solar and Storage Predevelopment and Technical Assistance	Affordable Solar and Storage Predevelopment and Technical Assistance Program is to help address barriers to solar and energy storage installations benefitting low-to-moderate income (LMI) households	7/8/2020	12/31/2024	\$10,650,000.00
PON 3082 Revision	NY-Sun Commercial/Industrial Incentives	The New York State Research and Development Authority provides performance based incentives for the installation by contractors of new grid-connected solar electric photovoltaic (PV) systems.	6/16/2020	12/31/2025	No value was stated in solicitation

PON 2112 Revision	NY-Sun Residential/Non Residential Incentive	NYSERDA provides financial incentives and financing options for the installation by Contractors and Builders of new grid-connected to solar electric photovoltaic PV systems for residential sites.	6/16/2020	12/31/2025	No value was stated in solicitation
PON 4192 Revision	Flex-Tech 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.	6/15/2020	12/31/2025	No value was stated in solicitation
PON 3689 Revision	Real Time Energy Manager	NYSERDA Real Time Energy Management (RTEM) Program promotes effective energy solutions for commercial, multifamily and industrial sites and processes for practitioners in the energy management software and service sector.	5/7/2020	6/30/2021	\$42.1 for Commercial RTEM \$5.7 Million for Industrial RTEM \$6.27 Million for Multifamily RTEM \$2.52 Million Multifamily (LMI) RTEM

There were 26 new solicitations published during the period of April 1, 2020 to September 30, 2020.

There were 11 revised solicitations with major revision changes during the period of April 1, 2020 to September 30, 2020.



**Large-Scale Renewables Site Prospecting Services
for NYSERDA's Build-Ready Program
Request for Proposals (RFP) BRRFP20-1
Approximately \$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: September 30, 2020 by 3:00 PM Eastern Time

NYSERDA is implementing the Clean Energy Resources Development and Incentives Program (the "Build-Ready program"), through which NYSERDA will identify suitable sites for large-scale renewable projects and conduct the necessary assessment, design, permitting, and related activities to develop renewable energy projects for an eventual publicly noticed competitive solicitation process intended to transfer ownership of Build-Ready sites to private sector awardees to further develop, finance, construct, operate, and maintain. The Build-Ready program will focus on the re-use of previously developed and otherwise underutilized sites for renewable facilities, while providing benefits for host communities and protecting environmental justice areas. NYSERDA will employ a multipronged approach to identify candidate sites. Candidate sites would pass through a staged process of increasing levels of assessment and investigation, with the most promising sites moving forward into the full project development phase.

Through this Request for Proposals (RFP), NYSERDA is seeking individuals, organizations, or teams (the "Site Prospecting Consultant") to provide potential site identification, landowner/stakeholder interface, real estate diligence support and other real estate-related activities, GIS mapping services, and project coordination services to support NYSERDA's development of Build-Ready renewable energy projects in New York.

Proposal Submission: Online submission is preferable. Proposers may submit Microsoft Word, Microsoft Excel, Microsoft PowerPoint, portable document format (pdf), or image files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). **The proposal and completed Attachment B should be submitted as one combined file.** Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from the native software (e.g. Microsoft 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 at the beginning of 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 Jennifer Phelps – primary contact (Designated Contact) by email at buildready@nyserda.ny.gov or Greg

Lampman – secondary contact (Designated Contact) by e-mail at buildready@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) by e-mail at 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.

I. INTRODUCTION

In July of 2019, Governor Andrew Cuomo signed the Climate Leadership and Community Protection Act (CLCPA), which increases the 50 percent renewable Clean Energy Standard (CES) goal to 70 percent by 2030 and converts that goal into a mandate. The 70 by 30 mandate is an ambitious clean energy standard and emphasizes the need to not only continue to procure new renewable resources but to expand appropriate renewable generation in the State of New York to its maximum potential. All renewable energy consumed by end-use customers in New York State contributes to the CES target, including generation supported by past, present, and future State renewable energy policies as well as voluntary renewable energy purchases.

In April 2020, Governor Andrew Cuomo signed the Accelerated Renewable Energy Growth and Community Benefit Act (the "Act"), legislation that includes a series of measures designed to support the attainment of the CLCPA goals by expediting the regulatory review and siting of renewable energy and transmission facilities, minimizing impacts and providing benefits to host communities, minimizing impacts to the environment, and ensuring that the energy generated by these new renewable facilities can be efficiently and cost effectively delivered to regions of the state where it is needed.

One such measure is direction that NYSERDA develop and implement the Clean Energy Resources Development and Incentives Program (the "Build-Ready program"), through which NYSERDA will identify suitable sites and then develop renewable energy projects at these sites for eventual publicly noticed competitive solicitation to the private sector, while also implementing new initiatives to foster and encourage local understanding about the importance of renewable energy and the value that it can bring to local communities and protecting environmental justice areas.

Specifically, the Build-Ready program will focus on dormant electric generating sites, former industrial sites, existing or abandoned commercial sites, brownfields, landfills, and other abandoned or underutilized sites. The Build-Ready program is being structured in a way to avoid competition with commercial developers. Project costs will be considered in relation to the broader public benefits provided by the project to the host community, the environment, and/or the project's ability to support achievement of mandates included in the Act and the CLCPA. Ideal sites are those that are economically, socially, and technically viable, but which have specific conditions that make the project development unusually complicated or contain risk barriers which may deter commercial renewable energy developers from advancing such sites independently or expeditiously. The Build-Ready program will actively seek to avoid sites being assessed for development by commercial renewable energy developers. Care will be taken by the Build Ready program, and the Site Prospecting Consultant(s), to understand and minimize landowner and market confusion relating to potential conflicts with commercial renewable energy developers. It is expected, however, that there may be certain types of sites that could be advanced more quickly and efficiently by the Build-Ready program than by

commercial developers. The Build-Ready program will make efforts to identify and advance these types of sites.

To identify potential sites, NYSERDA will employ a multipronged approach that will include, but is not limited to, top-down GIS assessments; a broadly-released site nomination [Request for Information \(RFI\)](#)¹ by NYSERDA; coordination with other agencies and electric utilities engaged in bulk transmission and electrical distribution system upgrade studies; recruitment of site nominations from local governments, Regional Economic Development Councils, local Industrial Development Authorities, State Agencies, landowners, and others; and the engagement of one or more Site Prospecting Consultants selected by NYSERDA to search for potential sites that meet stipulated requirements.

All sites that are identified through the foregoing multipronged approach will pass through successive stages of screening and evaluation, taking into consideration site characteristics, environmental factors, electrical interconnection options, host community benefits, and environmental justice. NYSERDA has already contracted with several firms to support the required desktop assessments, field reconnaissance and surveys, and engineering/design, environmental and interconnection studies.

II. REQUEST FOR SERVICES

Scope of Services

Through this Request for Proposals (RFP), NYSERDA is seeking organizations, teams, or individuals to provide Site Prospecting services to identify potential sites and assist in the acquisition of the necessary site control agreements to support NYSERDA's development of the Build-Ready program's large-scale renewable energy projects in New York.

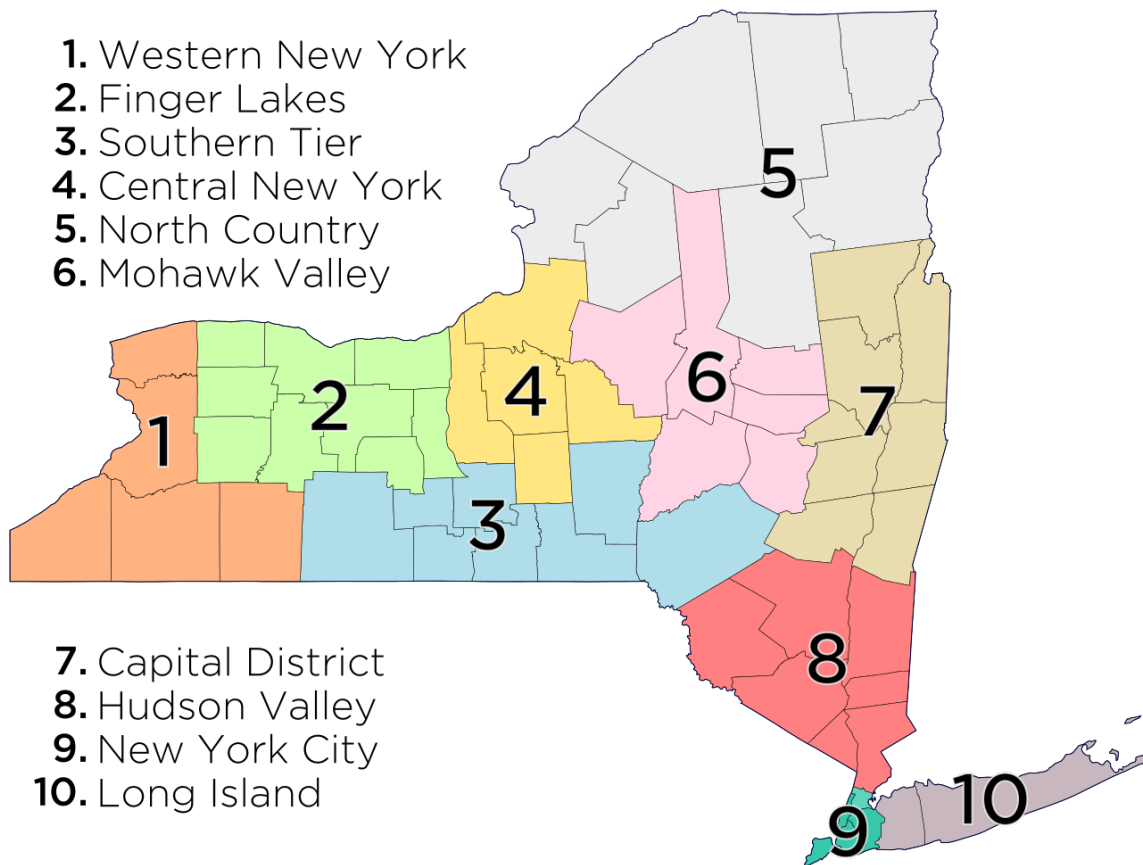
Specific duties and responsibilities of the Site Prospecting Consultant will include:

- Support the identification of parcels that present opportunities for development under NYSERDA's Build-Ready program.
- Provide one or more individuals (the "Land Agents") to serve as a single and consistent point of contact for landowners, local government, and related stakeholders for assigned sites.
- Advise NYSERDA on engagement strategies and best practices in connection with acquisition of site control.
- Present, negotiate, and secure site access, option, lease, and other related site control agreements.
- Conduct research and due diligence on property tax, easements and rights-of-way, and other local property records.
- Conduct research into local zoning laws and ordinances and evaluate the same in the context of the program requirements.
- Arrange and host open houses for local stakeholders, public hearings, and permit-related meetings.
- Coordinate with landowners and local government to provide site access for NYSERDA staff, consultants, and contractors.

¹ https://portal.nyserd.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000x7vDZAAY

- Communicate project status to local stakeholders and coordinate stakeholder communications, as appropriate.
- Identify, research, and manage, as requested, local land surveyors and other related service providers.
- Provide routine updates to NYSERDA staff regarding the status of ongoing activities and provide coordination support through the project development process.
- GIS mapping services may also be requested to support the visualization and analysis of data for potential sites. GIS mapping services may include, but are not limited to, creation of presentation quality digital maps with relevant site information (parcel boundaries, engineering data, environmental data, electrical lines, etc.) segregated into distinct layers; parcel exhibits; pdf map books; shapefiles; and KMZ files.

Site Prospecting Consultant(s) may provide services across the entire State of New York or in only one or more selected economic development regions of the State. The economic development regions are shown in the map below.



Available Funding and Cost Sharing

Up to approximately \$2,000,000 of NYSERDA funding is available through this RFP to support selected contractors, including travel, for a period up to three (3) years. Awarded contracts may be extended, one or more times, for a total contract term not-to-exceed seven (7) years, at NYSERDA's sole discretion. Compensation under the contracts will be on a time-and-materials basis, with direct reimbursement of travel costs per federal guidelines.² NYSERDA anticipates making one or more awards under this solicitation. All, some, or none, of the available funds may be awarded through this RFP. NYSERDA reserves the right to add or reduce time or funding to awarded contract(s). No cost sharing is required.

III. PROGRAM REQUIREMENTS

Eligibility and Proposer Requirements

The selected Site Prospecting Consultant(s) will play a critical role in interacting with landowners, local government, and other stakeholders associated with sites. The Site Prospecting Consultant(s) will be expected to behave in a courteous, thoughtful, honest, professional, cheerful, and transparent manner during all such interactions.

NYSERDA is seeking proposers who possess the following experience, skills, and capabilities:

- Demonstrated experience in working with landowners to secure letters of intent, lease option agreements, purchase option agreements, or similar instruments for the purpose of securing real property rights.
- Demonstrated experience in working with landowners, local government personnel, and community organizations to keep them informed about proposed development projects and to receive and understand any feedback, concerns, or goals expressed by the same.
- Demonstrated experience in conducting basic site reconnaissance for the purpose of identifying reasonably discernible development constraints such as the presence of, or proximity to, wetlands, waterways, railroad tracks, highways, pipelines, cemeteries, utility infrastructure, easements and rights-of-way, and other similar characteristics or surroundings.
- Demonstrated experience in conducting real estate due diligence, including all information and documentation that are reasonably obtained during project development land acquisition including, without limitation, real property related surveys (e.g., ALTA, boundary, etc.), zoning bylaws and other local permitting information, ownership evidence, tax documents, title searches, and other real property diligence documents.
- Ability to communicate effectively with landowners, local governmental officials, the general public, other NYSERDA contractors, and related stakeholders through writing and verbal presentation.
- Interpersonal skills that resonate with audiences of different backgrounds and the ability to communicate persuasively, concisely, and unambiguously in speech and in writing.
- Strong project management skills and the ability to coordinate teams, set priorities, and meet deadlines in a dynamic environment.
- Background and knowledge about renewable energy project siting and development.

² <https://www.fdic.gov/buying/goods/acquisition/contractortravelguidelines.pdf>

- Demonstrated experience and proficiency in using GIS mapping tools preferred.
- Availability of personnel to travel throughout New York State (or the proposed region of service in New York State) up to 80% in a typical week, some of which may include nights, weekends, and overnight travel.

Proposers may submit a proposal to provide Site Prospecting services for the entire State of New York or only for selected economic development regions of the State consistent with Proposer's ability to provide local services.

NYSERDA reserves the right to independently verify any qualifications, experience, or other relevant information provided in the proposal. NYSERDA further reserves the right to request an interview with any or all of the proposers. NYSERDA anticipates making one or more awards under this RFP.

IV. SUBMISSION REQUIREMENTS

A. Proposal Submittal

Online submission is preferable. Proposers may submit Microsoft Word, Microsoft Excel, Microsoft PowerPoint, portable document format (pdf), or image files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). **The proposal and completed Attachment B should be submitted as one combined file.** Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from the native software (e.g. Microsoft 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 at the beginning of 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>).

Proposals must follow the format below. Proposers should include sufficient, succinct information to describe their skills and qualifications and demonstrate their experience with similar work. Unnecessary content or attachments beyond what is 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, "BRRFP20-1", and the page number. The required proposal sections and the maximum allowable length of each proposal section are indicated in the following Section B of this RFP.

NYSERDA reserves the right to negotiate changes to the proposed project approach, teaming arrangements, deliverables, and deliverable formats with the selected proposer(s).

In compliance with §139-j and §139-k of the State Finance Law (see Section VII, 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

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 below, "Proprietary Information", for details.) Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

Each proposal shall contain, at a minimum, the following:

Section 1. Narrative Statement of Experience, Skills, and Capabilities (no more than 3 pages)

Proposers must describe their relevant experience, skills, capabilities, and expertise as an entity/team/individual to deliver the services described in Section II, Request for Services. This must include the specific nature of the activities, quality and depth of the experience, and the number of years engaged in these activities. Proposers must be specific about the types of development projects for which services were provided (e.g., solar energy, wind energy, gas pipelines, water pipelines, electric transmission lines, highways, commercial buildings, etc.) and the types of clients (e.g., electric utility, gas utility, power project developer, small power project developer, commercial real estate developer, etc.).

Proposers must briefly describe at least three (3) individual projects where services similar to those requested through this RFP were provided. At a minimum, the descriptions should include the specific services provided, the type of development project, the type of client, the extent or size of the project (e.g., number of parcels or landowners), the project location, the duration of the effort, and when the services were performed. Include in the description specific role(s) the proposer or proposing team played, services provided, and the outcome. Experience in New York State will be viewed favorably. For projects with confidentiality concerns, examples may be provided without specifying the project or client name.

With respect to GIS mapping, proposers must be specific about their level of expertise and proficiency. Proposers must describe any prior experience in analyzing and/or mapping environmental features (e.g., wetlands and waterways, threatened and endangered species, cultural resources, and other environmentally sensitive areas), electric transmission lines, and electric substations or switchyards. Proposers must also describe if they have access to databases for the same. Proposers must describe any prior experience in using GIS software to identify potential development projects or sites.

Section 2. Team Organization and Qualifications of Key Staff (no more than 3 pages)

Proposers must describe the proposer's organization and management structure, the roles and responsibilities of the individual members of the team, and how the team members will coordinate and communicate with one another. Identify the project manager who will serve as the single point of contact for the overall effort, each Land Agent who will be assigned to individual sites or regions, as well as all personnel that may be involved in providing other key support services. Describe the relevant accomplishments, experiences, and expertise of the individual members of the team.

Describe if any work will be subcontracted and, if so, the experience and qualifications of the subcontractors and how the proposer will interact and coordinate with the subcontractors. Attach a letter of commitment from each subcontractor (not be included in total page count). Failure to

include letters of commitment may be interpreted as the subcontractors not being committed to the effort.

Section 3. Proposed Approach (no more than 2 pages)

Proposers must describe the proposed overall approach to supporting the Build-Ready program. Describe how new sites may be identified and any anticipated coordination with other efforts. Describe the process steps and major stage gates from first contact through securing lease agreements with landowners. Describe how the proposing team would negotiate with site owners and interact with local elected officials over the course of the project. Describe the types of research the proposing team would conduct to assure site diligence is complete. Describe how reporting of progress to NYSERDA would be accomplished. Describe the GIS tools that may be used and the kinds of GIS deliverables produced.

Proposers must specify whether services are being proposed for the entire State of New York or for only one or more economic development regions of the State. For region-specific proposals, proposers must clearly identify the proposed regions using the region names shown in the map included in Section II, Request for Services.

Section 4. Compensation (no more than 1 page)

Proposers will be compensated on a time-and-materials basis, with direct reimbursement of travel costs per federal guidelines³. Proposers must describe the proposed compensation rates and structure for proposer and any subcontractors. Specifically, proposers must:

- Provide hourly compensation rates by individual or job title using **Attachment B – Project Personnel and Rate Form**.
- Clearly specify whether the hourly rates are inclusive of overhead and general and administrative costs, or, if not:
 - Provide the overhead rate and describe what is included in this cost.
 - Provide the general and administrative rate and describe what is included in this cost.
- Describe the method of compensation for travel-related expenses, including the point of origin of travel for purposes of determining the reimbursable travel mileage and when billable service hours (for travel) begin. The point of origin of travel must be specified for each team member if different for each team member.
- Describe any other anticipated costs that might be incurred in the performance of the services and the manner of compensation or reimbursement.
- Describe the period of applicability of the specified rates of compensation and the method of escalation, if any, for all rates of compensation.

Section 5. Real and Perceived Conflict(s) of Interest (no more than 1 page)

The proposing entity, team, or individual, and its principals, subcontractors, and personnel 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 any manufacturer or service-related affiliations. If any affiliations exist, proposers must provide a

³ <https://www.fdic.gov/buying/goods/acquisition/contractortravelguidelines.pdf>

statement verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

V. PROPOSAL EVALUATION

Proposals that meet the requirements of this RFP will be reviewed by a Scoring Committee and will be scored and ranked according to the criteria listed 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 provide clarifications to information outlined in its proposal. Proposers will be notified if they are requested to attend an interview. After the proposals are reviewed, NYSERDA will issue a letter to each proposer (within approximately six weeks of proposal receipt) indicating whether the proposer will be offered a contract award. The selected proposer(s) will be invited to enter into contract negotiations with NYSERDA. NYSERDA anticipates making one or more awards under this RFP.

Evaluation Criteria

Experience, Skills, and Capabilities

- Previous experience in the conduct and delivery of similar or related services.
- Project management, time management, and team coordination skills.
- Background and knowledge about renewable energy project siting and development.

Personnel and Qualifications

- Ability to be responsive in providing requested services.
- Qualifications and expertise of personnel proposed to provide requested services.
- Clear identification of personnel that will be assigned to various portions of the services.
- Proximity of Land Agents to proposed region of service in the State (shorter travel distances result in shorter response time to tend to local issues).

Anticipated Overall Cost

- Rates of compensation for direct labor, overhead, general and administrative expenses, and any other costs or fees.
- Proximity of Land Agents to proposed region of service in the State (larger travel distances result in higher costs to NYSERDA)

Other Considerations

- Alignment of Proposer's approach to providing services with NYSERDA's stated objectives.
- Responsiveness to NYSERDA's request as specified in this RFP, including overall clarity and organization of the proposal.

In order to ensure adequate services are provided across the entire State of New York (or within those economic development regions deemed by NYSERDA to be in need of services), NYSERDA reserves the right to group proposers by regions of service and to score and rank proposers in each region (i.e., each region may have its own scoring and ranking of proposers).

VI. GENERAL CONDITIONS

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

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

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

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

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

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

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether

the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

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

Contract Award - NYSERDA anticipates making one or more award(s) under this solicitation. NYSERDA anticipates an initial contract duration of three years (with one or more renewals for a total contract term of no more than seven (7) 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 (included in Attachment A) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

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.

VII. ATTACHMENTS

The following attachments are provided as a reference document for applicants:

- Attachment A - Sample Agreement
- Attachment B – Project Personnel and Rate Form



NYSERDA

**Purchase of Offshore Wind Renewable Energy
Certificates
Request for Proposals ORECRFP20-1
Release Date: July 21, 2020
Update: September 16, 2020**

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Offshore Wind Renewable Energy Certificates (“ORECs”)¹ as authorized by the New York State Public Service Commission’s [Order Establishing Offshore Wind Standard and Framework for Phase 1 Procurement](#), issued on July 12, 2018 and [Order Authorizing Offshore Wind Solicitation in 2020](#) issued on April 23, 2020 in Case No. 18-E-0071. All Proposers are advised to review the Orders and their Appendices before participating in this Request for Proposals (RFP).

Proposals are due on October 20, 2020 by 3:00 p.m. ET.

Proposals must be held firm and valid for 180 days from October 20, 2020.

All relevant documents pertaining to this RFP are available on NYSERDA’s solicitation website at <https://www.nyserderda.ny.gov/offshore-wind-2020-solicitation>. Proposers are advised to check this website regularly for updates.

Questions about this RFP should be directed to Adrienne Downey or Gregory Lampman (the Designated Contacts) at offshorewind@nyserderda.ny.gov (no phone calls). A Proposers’ Conference will be held on August 12, 2020 at 10:00 a.m. ET ([link](#)). No communication intended to influence this procurement is permitted except by contacting the Designated Contacts through this email address. Contacting anyone other than the Designated Contacts (either directly by Proposer or indirectly through a lobbyist or other person acting on Proposer’s behalf) to influence the procurement may result in: (1) a Proposer being deemed a non-responsive offeror, and (2) Proposer not receiving an award.

COVID-19 RESPONSE

Amid the ongoing COVID-19 global pandemic, all activities undertaken by Proposers in response to this solicitation must adhere to the requirements outlined under Governor Cuomo’s phased reopening plan, “[NY Forward](#)”, and all other State, Federal or local rules and guidance, including adherence to the New York State Department of Health (NYS DOH) [Interim Guidance for Construction Activities During the COVID-19 Public Health Emergency](#). The requirement to follow the NYS DOH guidance applies whether the Proposer is an essential business operating statewide or is permitted to re-open pursuant to any regional phased reopening plan.

See [NYSERDA’s COVID-19 Response resources](#) for more information.

¹ Please note that while the Orders use the generic term “credits,” the term “certificates” is used here, as successful Proposers will be required to participate in NYGATS, and NYGATS uses the term “certificates.” NYGATS Certificates are minted on a one per MWh basis. Each NYGATS OREC Certificate will include a unique serial number.

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Appendix I	Port Infrastructure Investment Plan Data Form
Appendix J	Proposal Submission Guide

ACRONYMS AND DEFINITIONS

Actual Production – The amount of electric energy production from the Project, in MWh delivered to the Injection Point, for which NYSERDA is obligated to purchase the associated ORECs under Article II of the Agreement.

Agreement – Offshore Wind Renewable Energy Certificate Standard Form Purchase and Sale Agreement.

Alternate Proposal – A Proposal defined in Section 2.1.3.

Annual OREC Cap – The amount of ORECs equal to the product of 1.1 and the P10 Annual OREC Exceedance.

Applicable OREC Price Method – The method employed by NYSERDA in each month for determining the Monthly OREC Price as determined in Section 4.01 of the Agreement.

Award Notification Date – The date upon which NYSERDA provides written confirmation to a Proposer indicating that a Project has been selected for contract negotiations.

Benchmark LNOC – The confidential maximum price levels for the Fixed OREC and Index OREC offers that NYSERDA will employ in its determination of potential OREC award(s).

BOEM – The Bureau of Ocean Energy Management within the U.S. Department of the Interior.

CES – Clean Energy Standard.

CLCPA – Climate Leadership and Community Protection Act.

Commercial Operation – A state of operational readiness under which (i) generating capacity is available and physically producing electric energy and associated ORECs, and (ii) all rights, abilities, permits and approvals to schedule and deliver energy to the Delivery Point have been obtained.

Commercial Operation Date – The date upon which the Project or a phase of the Project enters Commercial Operation.

Contract Delivery Term – The period of performance under the Agreement. The Contract Delivery Term for each Project phase will commence on the first day of the month after any portion of the Project phase commences Commercial Operation and end at the earlier of (i) the date upon which the Contract Tenor has elapsed, or (ii) the Outer Limit Date.

Contract Tenor – The maximum duration of the Contract Delivery Term. The Contract Tenor shall be stated in years.

Contract Year – A 12-month period commencing with the beginning of the Contract Delivery Term and each anniversary thereof during the Contract Delivery Term. The phrase “Contract Year” followed by a

number shall refer to a discrete Contract Year within the Contract Delivery Term such that “Contract Year 1” refers to the first 12-month period commencing with the beginning of the Contract Delivery Term, “Contract Year 2” refers to the second such 12-month period, and so on.

Delivery Point – For Projects that inject energy directly into the New York Control Area, the generator bus or location where (a) the administrator of the wholesale power market, or (b) the operator of the transmission/distribution utility, public authority or municipal electric company, measures, or otherwise determines, energy production from the Project. For Projects that inject energy outside of the New York Control Area, the generator bus or location where the NYISO measures energy delivery from the Project into the New York Control Area.

Disadvantaged Communities – A definition pursuant to New York State’s nation leading climate legislation, the CLCPA which includes a target of delivering at least 35 percent of the overall benefits from New York State’s climate programs to Disadvantaged Communities. Disadvantaged Communities are identified in the CLCPA as communities that bear burdens of negative public health effects, environmental pollution, impacts of climate change, and possess certain socioeconomic criteria, or comprise high-concentrations of low- and moderate- income households. Acknowledging that New York State has not yet formally defined Disadvantaged Communities, this RFP will rely on already-established criteria for communities that meet the spirit of the Disadvantaged Communities objectives of the CLCPA including the prioritization of benefits to communities located in low-income census tracts, Potential Environmental Justice Areas, and New York Opportunity Zones.

Economic Benefits Plan – A plan submitted as part of a specific Proposal, inclusive of associated Port Infrastructure Investment Plans, as further described in Appendix C.1.

Economic Benefits Report – An independently audited report, documenting the total dollar amount of actual Economic Benefits accrued to New York and associated activities and commitments undertaken from the Award Notification Date through the end of the first three (3) years of the Contract Delivery Term (See Appendix C.1).

Eligible Ports – Ports that have been pre-qualified through NYSERDA’s RFQL 4259 to receive New York State Funding. Eligible Ports include (alphabetically):

- Arthur Kill Terminal (Staten Island)
- Brooklyn Navy Yard (Wallabout Bay, Brooklyn)
- Cortlandt (Cortlandt, Westchester County)
- Derecktor (Mamaroneck, Westchester County)
- East Greenbush (East Greenbush, Rensselaer County)
- Port Ivory (North Shore of Staten Island)
- Port Jefferson (Port Jefferson, Long Island)
- Port of Albany (Albany, NY)
- Port of Coeymans (Coeymans, Albany County)
- South Brooklyn Marine Terminal (Sunset Park, Brooklyn)

- Tompkins Cove (Tompkins Cove, Rockland County)

A contact list of Eligible Port representatives is available upon request from offshorewind@nyserda.ny.gov.

Environmental Attributes – All environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations, howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual Eligible Production by a Project, consistent with the delineation of attributes set forth in the Agreement.

Expected Total Dollars – The total dollar amount of Economic Benefits in Categories 1 and 2 as presented in the Proposal and accepted by NYSERDA, expected to accrue to New York State as a result of the development, construction, modification, interconnection, and operation of the Project and associated Port Infrastructure Investment Plans from the Award Notification Date through the end of the first three (3) Contract Years.

Fixed OREC Price – A fixed, as-offered price in dollars per OREC as described in Section 4.02 of the Agreement.

FOIL – New York’s Freedom of Information Law, Public Officers’ Law Article 6.

Index OREC Price – An adjustable price in dollars per OREC that nets a fixed, as-offered strike price monthly against a reference price expressed in a market index as determined by NYSERDA pursuant to Section 4.03 of the Agreement.

Incremental Economic Benefits – Those economic benefits within the categories specified in Appendix C.1 that a Proposer can demonstrate: (1) will accrue subsequent to an award under this RFP; (2) would not have accrued but for the award of a contract under this current RFP; (3) do not represent any economic benefits accrued pursuant to an award under any prior New York State RFP, including for the avoidance of doubt, any Contingent Economic Benefits (such term as defined in ORECRFP18-1); and (4) do not include any New York State Funding.

Injection Point – For Projects that interconnect directly into the New York Control Area, the Injection Point is the Delivery Point. For Projects that interconnect outside of the NYCA, the Injection Point shall be the generator bus or the location where the administrator of the local Control Area measures energy delivery from the Project into the local market.

Levelized Unit Net OREC Cost (LNOC) – A means of comparing Proposals with different pricing structures, OREC quantity schedules, Commercial Operation Dates, and Contract Tenors, as described in Section 4.3.

Long-Term Jobs – Jobs lasting three or more years.

LSE – Load-serving entity.

Major Supplier – A supplier of goods and services to Proposer with an anticipated contract value of \$5 million or greater.

Monthly OREC Price – A price in dollars per OREC determined by NYSERDA for each month of the Contract Delivery Term. If the Applicable OREC Price Method is the Fixed OREC Price, the Monthly OREC Price shall be calculated pursuant to Section 4.02 of the Agreement. If the Applicable OREC Price Method is the Index OREC Price, the Monthly OREC Price shall be calculated pursuant to Section 4.03 of the Agreement.

MWBE – Minority and/or Women-Owned Businesses, such term is as defined under New York State Law.

New York Control Area (NYCA) – The geographic bounds of the electricity system that is under the control of the NYISO, which includes transmission facilities listed in the ISO/Transmission Owner Agreement Appendices A-1 and A-2, as may be amended from time to time.

New York Generation Attribute Tracking System (NYGATS) – The tracking system that records electricity generation attribute information within New York State, and processes generation attribute information from energy imported and consumed within New York State, as a basis for creating generation attribute certificates, including ORECs. NYGATS will create exactly one OREC per MWh of generation attributable to the Project and delivered to the Delivery Point.

NY Green Bank Financing – competitively-priced, market-based debt financing issued by the NY Green Bank, that may be available to Projects pursuant to Section 5.2. NY Green Bank is a State-sponsored specialized financial entity that works with the private sector to identify, address, and alleviate market barriers preventing the widespread deployment of clean energy projects across New York State. NY Green Bank used demonstrated financing tools to promote self-sustaining markets, while enabling private sector capital providers to expand the frontiers of current commercial clean energy investment opportunities. More information on NY Green Bank can be found at <https://www.greenbank.ny.gov>.

New York State Assisted Financing – up to \$100 million of senior-secured debt financing for Eligible Expenses, available for draws as critical Port Infrastructure Investment Plan milestones are met pursuant to Section 2.1.2.

New York State Funding – Public grant or senior-secured debt financing for expenses associated with Port Infrastructure Improvement Plans.

NYISO Capacity Market – Collectively, the wholesale markets for capacity administered by NYISO.

NYISO Energy Market – Collectively, the wholesale markets for electric energy administered by NYISO.

NYSERDA Consultants – Consultants engaged by NYSERDA to assist with the evaluation of Proposals.

Offer Capacity – The electric generating capacity of the Project, measured as the installed (nameplate) capacity in alternating current at the Offshore Wind Generation Facility.

Offshore Wind Generation Facility – The installed wind turbine generators and all other associated offshore equipment and infrastructure located within the BOEM lease area.

Offshore Wind Orders – The New York Public Service Commission’s [Order Establishing Offshore Wind Standard and Framework for Phase 1 Procurement](#), issued and effective on July 12, 2018 and the [Order Authorizing Offshore Wind Solicitation in 2020](#) issued on April 23, 2020 in Case No. 18-E-0071.

Offshore Wind Renewable Energy Certificate (OREC) – The electronic record of generation data created by NYGATS and representing all of the attributes, including all Environmental Attributes, of one MWh of electric generation from an Offshore Wind Facility delivered into the New York Control Area and registered with the NYGATS tracking system. The attributes represented in each OREC include all environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations, howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual Eligible Production by a Project, including but not limited to: (i) any direct emissions or any avoided emissions of pollutants to the air, soil or water including but not limited to sulfur oxides (SO_x), nitrogen oxides (NO_x), carbon monoxide (CO), particulate matter and other pollutants; (ii) any direct or avoided emissions of carbon dioxide (CO₂), methane (CH₄) and other greenhouse gases (GHGs) that have been or may be determined by the United Nations Intergovernmental Panel on Climate Change to contribute to the actual or potential threat of altering the Earth’s climate by trapping heat in the atmosphere; (iii) all set-aside allowances and/or allocations from emissions trading programs made unnecessary for compliance in such program as a result of performance under the Agreement, including but not limited to allocations available under 6 NYCRR §§ 204, 237 and 238; and (iv) all credits, certificates, registrations, recordations, or other memorializations of whatever type or sort, representing any of the above.

Operational Installed Capacity – The gross generating capacity, in MW, of the Selected Project that has achieved Commercial Operation and for which an Independent Engineer’s report has been submitted to NYSERDA pursuant to Section 2.01(c) of the Agreement.

Outer Limit Date – A backstop date upon which the Contract Delivery Term ends regardless of whether the full Contract Tenor has elapsed. If the Contract Tenor is 20 years, the Outer Limit Date is January 1, 2049. If the Contract Tenor is 25 years, the Outer Limit Date is January 1, 2054.

P10 Annual OREC Exceedance – An amount of electrical energy (in MWh), such that the estimated probability in any given year that generation from the Project delivered to the Delivery Point would exceed that amount is 10 percent.

Port Infrastructure Investment Plan – A plan submitted as part of the Proposal in support of the Economic Benefits Plan, as further described in Appendix C.2.

Port Infrastructure Minimum Thresholds – Minimum criteria that must be met for a Port Infrastructure Investment Plan to be determined to be “investment worthy.”

Port Infrastructure Scoring Committee – Members of NYSERDA Staff, Empire State Development Staff, NY Green Bank Staff, and Technical Experts responsible for reviewing Port Infrastructure Investment Plans included with Proposals received through this RFP.

Primary Component – A main parts of an offshore wind turbine structure, including the foundation, substructure, transition piece, nacelle and rotor blades.

Project – An Offshore Wind Generation Facility and the associated equipment, infrastructure, and support facilities necessary to construct, operate and deliver energy to the designated Delivery Point and the corresponding ORECs to an account designated by NYSERDA in the NYGATS, excluding facilities and infrastructure associated with a Port Infrastructure Investment Plan.

Project Team – Proposer personnel and contractors who have primary responsibility for project development.

Proposal – An offer to sell ORECs from an Offshore Wind Generation Facility for a given Offer Capacity, Index REC or Fixed REC pricing structure, Delivery Point, and associated Port Infrastructure Investment Plan(s) that conforms to the requirements of this RFP. A Proposal may contain either or both 25- and 20-year Contract Tenors, each with an associated level nominal Strike Price (for Index OREC offers) or Price (for Fixed OREC offers).

Proposer – The business entity that submits a Proposal in response to this RFP.

Reference Capacity Price – An index of NYISO Capacity Market prices as set forth in Section 4.03 of the Agreement.

Reference Energy Price – An index of zonal NYISO Energy Market prices as set forth in in Section 4.03 of the Agreement.

Reimbursement-Based Grant Funding – up to \$100 million of grant financing for Eligible Expenses on a reimbursement basis, available for draws as critical Port Infrastructure Investment Plan milestones are met.

Required Base Proposal – A Proposal defined in Section 2.1.3.

Required Standalone Proposal – A Proposal defined in Section 2.1.3.

Scoring Committee – Members of NYSERDA Staff, New York State Department of Public Service Staff, and competitively-selected Independent Evaluators responsible for evaluating Proposals received through this RFP.

SDVOB – Service-Disabled Veteran Owned Businesses as defined under the Service-Disabled Veteran-Owned Business Act of New York State.

Seller – A Proposer selected by NYSERDA who has executed an Agreement to sell ORECs to NYSERDA pursuant to this RFP.

Short-Term Jobs – Jobs lasting less than three years.

Submission – Package of all files submitted by a developer in response to this RFP.

TWG – Technical Working Group.

Verified Total Dollars – The total dollar amount of Economic Benefits in Categories 1 and 2 verified by NYSERDA to have accrued to New York as a result of the development, construction, modification, interconnection, and operation of the Project and associated Port Infrastructure Investment Plans from the Award Notification Date through the end of the first three (3) Contract Years.

1 INTRODUCTION

1.1 New York's Clean Energy Standard and Offshore Wind Standard

New York State has adopted some of the most ambitious clean energy goals in the nation, with the stated goal of reducing greenhouse gas emissions by 85% by 2050.

On August 1, 2016, the Commission issued its [Order Adopting a Clean Energy Standard](#) (CES), which, based upon the recommendation and comments in a White Paper filed by NYSERDA and Department of Public Service Staff (Staff), established the 50% renewables by 2030 goal. The CES also requested that NYSERDA develop a “blueprint,” identifying the appropriate mechanisms for the Commission and the State to consider in order to maximize the potential of the burgeoning offshore wind industry.

In January 2018, NYSERDA published the [New York State Offshore Wind Master Plan](#) (Master Plan), which included more than 20 studies that gathered data on environmental, social, economic, regulatory, and infrastructure issues relevant to offshore wind energy development, and reflected the State’s extensive outreach efforts with interested agencies, entities, communities, and individuals in the responsible and cost-effective development of offshore wind.

NYSERDA also filed an [Offshore Wind Policy Options Paper](#) in January 2018 that launched the regulatory proceedings that culminated in the Commission’s issuance of the [Phase 1 Order](#) on July 12, 2018. In the Phase 1 Order, the Commission adopted the goal of procuring 2,400 MW of offshore wind capacity by 2030. NYSERDA launched its inaugural solicitation for offshore wind ([ORECRFP18-1](#)) on November 8, 2018.

In July 2019, Governor Andrew Cuomo signed the [Climate Leadership and Community Protection Act](#) (CLCPA). The CLCPA mandates the 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 New York State 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 at least 35 percent of clean energy and energy efficiency program resources to benefit Disadvantaged Communities, achieving 70 percent renewable energy by 2030 and 100 percent renewable energy by 2040. Separately, Governor Cuomo [committed the State to investing \\$200 million in port infrastructure](#) to unlock private supply chain capital and maximize the long-term economic benefits to the State from the regional development of offshore wind.

Simultaneously with signing the CLCPA, Governor Cuomo [announced](#) the single largest renewable energy procurement by any state in U.S. history—nearly 1,700 MW—with the selection of two offshore wind projects for contract awards resulting from NYSERDA’s Phase 1 offshore wind solicitation. On October 23, 2019, Governor Cuomo announced that NYSERDA had finalized contracts with Equinor Wind US LLC for its 816 MW Empire Wind Project and Sunrise Wind LLC (a joint venture of Ørsted A/S and Eversource Energy) for its 880 MW Sunrise Wind Project. NYSERDA filed its comprehensive report,

["Launching New York's Offshore Wind Industry: Phase 1 Report,"](#) (Phase 1 Report) with the Commission on that same date.

On December 20, 2019 in the United States Congress, H.R. 1865, the Further Consolidated Appropriations Act of 2020, was passed into law ([Public Law no. 116-94](#)), extending the application of the 18% Investment Tax Credit to wind facilities until January 1, 2021.

In his [January 2020 State of the State address](#), Governor Cuomo called upon NYSERDA to issue a second solicitation for offshore wind, "to yield at least an additional 1,000 megawatts of clean power, and perhaps substantially more".

On April 23, 2020, the New York Public Service Commission published an [Order Authorizing Offshore Wind Solicitation in 2020](#) effectively authorizing NYSERDA to launch this request for proposals to procure, in aggregate, at least 1,000 MW of additional offshore wind capacity. In soliciting at least 1,000 MW in 2020, NYSERDA has flexibility to evaluate a range of bids that can maximize the competitive outcome, including bid(s) for up to 2,500 MW. For avoidance of doubt, NYSERDA seeks to acquire ORECS only, and will not have any claim to associated electric energy, capacity, or ancillary services associated with the ORECs.

1.2 Background on NYSERDA

NYSERDA was created in 1975 by the New York State Legislature as a public authority and public benefit corporation. The Offshore Wind Orders authorize NYSERDA to act as the central administrator of the Offshore Wind Standard program, in a manner similar to NYSERDA's role in solicitations issued under the CES and the former Renewable Portfolio Standard Main Tier.²

Pursuant to the Commission Orders regarding offshore wind, NYSERDA will purchase ORECs from the contracted Project(s) on behalf of the jurisdictional and voluntarily-complying Load Serving Entities (LSEs) in New York State within the Public Service Commission's jurisdiction, as well as the non-jurisdictional New York Power Authority and Long Island Power Authority that may opt to use NYSERDA as a purchasing entity, and will then sell the ORECs to the LSEs for compliance with the LSEs' offshore wind obligation. Each LSE will be obligated to purchase a percentage of ORECs purchased by NYSERDA in a year that represents the portion of the electric energy load served by the LSE in relation to the total electric energy load served by all LSEs operating in New York State during that period.

² Under the CES and former Renewable Portfolio Standard Main Tier, NYSERDA has supported the development of approximately 2,000 MW of operating land-based wind projects; additional renewable capacity of approximately 4,300 MW of land-based wind and solar projects are contracted and under development.

1.3 Schedule

The schedule for ORECRFP20-1 is as follows (all times ET):

RFP Release Date	July 21, 2020
Proposers' Conference (password OREC)	August 12, 2020, 10:00 a.m.
Deadline for Submission of Written Questions	August 19, 2020, 3:00 p.m.
Responses to Written Questions Posted	August 26, 2020
Deadline for Notice of Intent to Propose	September 23, 2020, 3:00 p.m.
Deadline for NYSERDA Portal Registration	October 13, 2020, 3:00 p.m.
Deadline for Submission of Proposals	October 20, 2020, 3:00 p.m.
NYSERDA Award Notification Date	Q4 2020
Contract(s) Executed	Q4 2020

Please note that the above dates are subject to change. Notification of any changes to the RFP process or documents will be posted on the [NYSERDA Offshore Wind 2020 Solicitation website](#) and sent via email to those parties who have submitted a Notice of Intent to Propose.

1.4 Notice of Intent to Propose

Prospective Proposers are encouraged to submit a Notice of Intent to Propose, which is attached as Appendix A to this RFP. NYSERDA will email updates regarding this RFP to prospective Proposers who submit a Notice of Intent to Propose. This does not relieve prospective Proposers of their responsibility to check the [NYSERDA Offshore Wind 2020 Solicitation website](#) for news and updates. Prospective Proposers who submit a Notice of Intent to Propose are not obligated to submit a Proposal, and Proposals will be accepted from parties who do not submit a Notice of Intent to Propose. The Notice of Intent to Propose form should be sent to offshorewind@nyserda.ny.gov by the date indicated in Section 1.3 using the subject line: Notice of Intent to Propose ORECRFP20-1.

1.5 Proposal Fee

Each Proposer's Submission must be accompanied by a Proposal Fee which will be used by NYSERDA to offset the cost of the evaluation of Proposals. The base Proposal Fee of \$500,000 will cover the Required Base Proposal and Required Standalone Proposal, as defined in Section 2.1.3, and up to three Port Infrastructure Investment Plans, as defined in Section 2.1.2. Each additional Port Infrastructure Investment Plan included in the Proposer's submission beyond three will require an additional \$25,000 Proposal Fee. Alternate Proposals, as also defined in Section 2.1.3, are permitted. Each Alternate Proposal that has a different Offer Capacity, transmission point of interconnection, technical configuration, pricing structure, and/or expected Commercial Operation Date(s) will require an additional \$25,000 Proposal Fee. Inclusion of a second Contract Tenor in the Required Base Proposal, Required Standalone Proposal, or an Alternate Proposal will be accepted without incurring additional Proposal Fees.

Submission Component	Proposal Fee
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Required Base Proposal (including up to three Port Infrastructure Investment Plans) and Required Standalone Proposal (including one Contract Tenor)	\$500,000
Each Alternate Proposal	\$25,000
Each Port Infrastructure Investment Plan beyond three that are included in the submission	\$25,000

The Proposal Fee will automatically be computed within the Master Offers Form. The Proposal Fee and the Contract Security amounts set forth in Article XV of the Purchase and Sale Agreement are the only fees or monetary obligations of Proposer.

Detailed instructions for the payment of the Proposal Fee will be sent from NYSERDA’s finance department to Proposers who submit a Notice of Intent to Propose per Section 1.4 or on any date prior to the Deadline for NYSERDA Portal Registration per Section 1.3 by emailing offshorewind@nyserdra.ny.gov with the subject line: “ORECRFP20-1 Request for Proposal Fee Payment Instructions.”

The Proposal Fee is non-refundable unless NYSERDA cancels this RFP. If this RFP is canceled by NYSERDA, uncommitted Proposal Fees will be returned. **In no other event will any portion of the Proposal Fee be refunded, regardless of whether or not a Proposal(s) is (are) selected by NYSERDA.**

1.6 Proposers’ Conference and Communications with NYSERDA

A Proposers Conference for interested persons will be held via [Webinar](#) (Webex meeting number: 145 860 7164, password OREC). Links can be similarly found via [NYSERDA’s Offshore Wind 2020 Solicitation website](#). Proposers are encouraged to register for this event as early as possible. The purpose of Proposers Conference is to provide Proposers with the opportunity to clarify their understanding of any aspect of this RFP. Prospective Proposers may ask questions during the Proposers Conference, and NYSERDA may respond orally. However, only written answers that are provided by NYSERDA in response to questions and posted on the [NYSERDA Offshore Wind 2020 Solicitation website](#) by the deadline for responses listed in in the schedule in Section 1.3 will constitute official responses.³ Questions and responses will be anonymized.

With the exception of the Proposers Conference, all pre-Proposal contacts with NYSERDA by prospective Proposers and interested parties regarding this RFP or related matters must be via email to the Designated Contacts at offshorewind@nyserda.ny.gov. Prospective Proposers are encouraged to submit written questions about this RFP with the subject line “ORECRFP20-1 Question” on or before the date indicated in Section 1.3.

1.7 Modification or Cancellation of the RFP and Solicitation Process

The terms and conditions of this RFP may, at any time, be changed, postponed, withdrawn, and/or canceled, including any requirement, term or condition of this RFP, without any liability to NYSERDA,

³ Questions solely regarding the calculation or payment of the Proposal Fee may be directed to the Designated Contacts at offshorewind@nyserda.ny.gov and will be answered in confidence to Proposer.

NYSERDA Consultants, or members of the Scoring Committee. Any changes to this RFP will be posted on the [NYSERDA Offshore Wind 2020 Solicitation website](#) and an email will be sent to all prospective Proposers who have submitted a Notice of Intent to Propose. Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news.

1.8 Updates to Proposals

Proposers will not have an opportunity to refresh or restate Proposals after the Deadline for Submission of Proposals. If, prior to the Deadline for Submission of Proposals, a Proposer wishes to modify a Proposal that was submitted before the Deadline for Submission of Proposals, Proposer should contact NYSERDA's Designated Contacts. Otherwise, Proposers may provide new information that was not available at the time of their Proposal submission or the deadline for submission of Proposals. For example, this may include updates on the status of obtaining permits, interconnection studies, or financing. Unless the information is provided at NYSERDA's request under Section 1.9, these updates are for informational purposes only and will not be treated by the Scoring Committee as a change or revision to the terms of the Proposal. If there are any material events that affect the validity of the Proposal, Proposers must promptly notify NYSERDA in writing. NYSERDA reserves the right to consider these material changes during Proposal evaluation.

1.9 Requests for Additional Information

Following the submission of Proposals, NYSERDA and the Scoring Committee may request clarification and additional information from Proposers at any time throughout duration of the evaluation process. Such information will be subject to protection of proprietary information as described in Section 8.1, consistent with other Proposal submission materials. Proposers that do not respond promptly to such information requests or do not provide adequate information may be eliminated from further consideration or have the information in their Proposals modified by NYSERDA or the Scoring Committee to allow a reasonable and appropriate evaluation.

NYSERDA also reserves the right to request clarification directly from port developers regarding Port Infrastructure Investment Plans for their ports as well as interactions between Port Infrastructure Investment Plans for the same port submitted by multiple Proposers.

1.10 Interviews with Proposers

NYSERDA may request in-person and/or videoconference interviews with any Proposer, to be scheduled at a mutually convenient time.

2 PROJECT ELIGIBILITY REQUIREMENTS

2.1 Eligibility

To participate in this RFP, all Proposals must demonstrate compliance with each of the eligibility requirements enumerated in Sections 2.1.1 through 2.1.7.

As used in this RFP, the term “Project” includes the Offshore Wind Generation Facility, along with all associated equipment, infrastructure, and support facilities necessary to develop, operate, transmit, and deliver energy from the Offshore Wind Generation Facility to the Delivery Point, and ORECs to an account designated by NYSERDA in NYGATS, excluding facilities and infrastructure associated with a Port Infrastructure Investment Plan.

2.1.1 ORECs Offered

NYSERDA is seeking to procure ORECs produced from one or more Offshore Wind Generation Facilities located in the ocean waters of the United States that become operational on or after January 1, 2015 that represent, in aggregate, at least 1,000 MW and, if the submitted Proposals justify the larger quantity, up to a maximum of 2,500 MW of total Offer Capacity.

The OREC production from the Offshore Wind Generation Facility offered to NYSERDA through this RFP, up to the Annual OREC Cap, may not be contractually committed to any other entity over the proposed Contract Delivery Term. Awardee will retain ownership and all rights to ORECs that exceed the Annual OREC Cap.

2.1.2 Port Infrastructure Investment Plans

This solicitation seeks to deliver a coordinated solution to the priorities of enabling offshore wind projects in New York and those activities, expenditures, and investments that serve to improve New York State’s offshore wind-supporting infrastructure – including, specifically, the investment of up to \$200 million in New York State Funding in port infrastructure. The New York State Funding is intended to prioritize the staging of offshore wind and/or offshore wind manufacturing and related uses. The prioritization of staging and/or manufacturing port utilization necessitates active coordination between Projects and Eligible Ports in order to create real, persistent and sustainable institutional and labor capabilities in New York State, thereby creating long-term economic opportunities and helping to lower the cost of future offshore wind projects.

New York State is offering funding in the following two discrete Funding Categories, together comprising its \$200 million total commitment:

1. Reimbursement-Based Grant Funding – up to \$100 million of grant financing for Eligible Expenses on a reimbursement basis, available for draws as critical Port Infrastructure Investment Plan milestones are met; and
2. New York State Assisted Financing – up to \$100 million of senior-secured debt financing for Eligible Expenses, available for draws as critical Port Infrastructure Investment Plan milestones are met. Pricing for this Funding Category will be competitively priced based on New York

State's evaluation of the creditworthiness of each Port Infrastructure Investment Plan, as discussed further in Section C.2.E of Appendix C.2.

Further details regarding New York State Funding and the Funding Categories are included in Appendix C.2.

Requests for New York State Funding must be matched with private capital investment in the same Eligible Port at the following levels:

- Reimbursement-Based Grant Funding must be matched \$1.25-for-\$1.00 (\$1.25 of private capital for every \$1.00 of Reimbursement-Based Grant Funding), and
- New York State Assisted Financing must be matched \$0.75-for-\$1.00 (\$0.75 of private capital for every \$1.00 of New York State Assisted Financing).

For a Port Infrastructure Investment Plan to be considered for New York State Funding, the scope of any Port Infrastructure Investment Plan must be limited only to an Eligible Port.

As a matter of pre-screening the submitted Proposal, each Port Infrastructure Investment Plan will be reviewed by a Port Infrastructure Scoring Committee in order to determine whether the Port Infrastructure Investment Plan is "investment worthy" or "not investment worthy." This determination will be based on whether a Port Infrastructure Investment Plan meets the Port Infrastructure Minimum Thresholds (as further described in Appendix C.2):

1. Requests for Grant Funding must be matched \$1.25-for-\$1.00 with private capital investments in the same port facility;
2. Requests for New York State Assisted Financing must be matched \$0.75-for-\$1.00 with private capital investments; and
3. The Port Infrastructure Scoring Committee must determine that the risk-adjusted return for any requested New York State Assisted Financing is positive (internal rate of return is greater than zero).

The determination will additionally be based on the Port Infrastructure Evaluation Criteria (as further described in Appendix C.2):

1. Cost benefit analysis;
2. Port infrastructure investment plan viability
3. Market compatibility; and
4. Alignment with CLCPA objectives;

All Port Infrastructure Investment Plans submitted with a unique Proposal must be determined to be "investment worthy" in order for such Proposal to be eligible for award.

For each Port Infrastructure Investment Plan that is considered "investment worthy" in accordance with the evaluation criteria set forth above and further detailed in Appendix C.2, the associated Proposal will be evaluated for an OREC award, based upon the Commission's evaluation criteria of 70% price, 20%

economic benefits, and 10% viability, as further described in this RFP. Where a Proposal's Port Infrastructure Investment Plan is considered "not investment worthy," the associated Proposal will be deemed ineligible for an OREC contract award. To hedge against the risk of a negative determination by the Port Infrastructure Scoring Committee, that is, a determination that any single Port Infrastructure Investment Plan is found to be "not investment worthy," Proposers are encouraged to consider submitting Alternate Proposals (see Section 2.1.3) with different included Port Infrastructure Investment Plans. These Alternate Proposals could include different options for one or more types of Port Infrastructure Investment Plans (*i.e.*, staging, manufacturing, O&M support), or different combinations of Port Infrastructure Investment Plan types. More than one Port Infrastructure Investment Plan may be submitted for a given Eligible Port, to account for different uses, different funding approaches, or any other variation in the planned development approach.

2.1.3 Required and Alternate Proposals

Each Proposal must be for ORECs delivered from an Offshore Wind Generation Facility with an Offer Capacity of at least 400 MW and up to 2,500 MW.⁴ Each Required Base Proposal must also seek to leverage at least \$100 million in New York State Funding for port investments through its associate Port Infrastructure Investment Plans and adhere to the Funding Category limits and requirements as noted in Section 2.1.2 and Appendix C.2.⁵

All Proposers must submit a Required Base Proposal and a Required Standalone Proposal but may also submit an uncapped number of Alternate Proposals with varied parameters as described below.

- The **Required Base Proposal** must include pricing for a 25-year Contract Tenor using either the Index OREC or Fixed OREC pricing structure and must reflect energy delivered through a direct marine cable interconnection from the Offshore Wind Generation Facility to a point in NYISO Zone J or Zone K. The Required Base Proposal must include at least one Port Infrastructure Investment Plan.
- The **Required Standalone Proposal** must request no New York State Funding, and therefore include no Port Infrastructure Investment Plans. As described in Section 5.2, the Required Standalone Proposal will only be considered for award if New York State has fulfilled its goal of port infrastructure investment through award(s) to another Proposal(s) through this Procurement. The Required Standalone Proposal must include pricing for a 25-year Contract Tenor using either the Index OREC or Fixed OREC pricing structure and must reflect energy delivered through a direct marine cable interconnection from the Offshore Wind Generation Facility to a point in NYISO Zone J or Zone K.

⁴ The Proposal Offer Capacity may reasonably deviate to within ± 5 percent of the 400 MW minimum target requirement if the design capacity of individual components of the Offshore Wind Generation Facility do not sum to exactly 400 MW, but consistent with the SGEIS that supports the Order, the Offer Capacity for any individual Proposal cannot exceed 2,500 MW.

⁵ Reimbursement-Based Grant Funding requires 1.25-for-1 matching and New York State Assisted Financing requires 0.75-for-1 matching, as specified in Appendix C.2.

- **Alternate Proposals** may be for ORECs delivered from Offshore Wind Generation Facilities of other technical configurations or interconnection points, other Offer Capacity, other Economic Benefit packages (including other Port Infrastructure Investment Plans than those submitted in the Required Base Proposal, or no Port Infrastructure Plan as per the Required Standalone proposal), or other expected Commercial Operation Dates. Alternate Proposals may be for either a 20-year or 25-year Contract Tenor and must offer either a level nominal Index OREC Strike Price or Fixed OREC Price as described in Section 2.1.4.

A Proposer may not condition the acceptance of one Proposal based on the withdrawal or acceptance of other Proposals. All Proposals from a given lease area will be mutually exclusive. A Proposer's bid presupposes the ability to commit the Project wholly to New York State and bears no conditionality on the procurement activities of any other state that is presently or subsequently engaged in the procurement of offshore wind. Project eligibility requirements do not preclude the option to propose two or more interconnection points in New York City and/or Long Island as may be necessary to reasonably minimize interconnection costs. Project eligibility requirements do not preclude external points of interconnection in neighboring Control Areas, provided the Proposer submits a Transmission Plan that addresses compliance with the relevant Open Access Transmission Tariff, wheeling and delivery to NYCA, and accord with the NYGATS tracking system that records generation attribute information.

2.1.4 Pricing

Each Proposal must include a firm offer price using either the Index OREC pricing structure or the Fixed OREC pricing structure as described in Section 2.1.3. Offer prices for each Proposal are all-inclusive, that is, for all components of the Project. Under the Index OREC pricing structure, the OREC price varies monthly. It equals the Index OREC Strike Price minus the monthly Reference Price. The monthly Reference Price is the sum of the Reference Energy Price and the monthly Reference Capacity Price, as described in Section 4.1.2.

2.1.5 Site Control

Proposer must hold (a) an irrevocable right or option to develop the entire Offshore Wind Generation Facility site footprint within a federal Bureau of Ocean Energy Management (BOEM) commercial wind energy lease area; or (b) demonstrate the existence, within or as a part of the Proposal, of a fully-executed lease for the BOEM commercial wind energy lease area within which the Offshore Wind Generation Facility is to be sited; or (c) demonstrate that it is a provisional winner of a BOEM wind energy area lease sale pursuant to 30 C.F.R. 585 and is proceeding toward lease execution. Proposers must notify NYSERDA promptly upon the execution of such lease. Section 9.01(c) of the Agreement requires Seller to warrant that it "has, or reasonably expects to have prior to the time needed, all real property rights to construct, interconnect, and operate the Selected Project."

Proposers must identify the proposed interconnection point(s), describe what rights Proposer has to the interconnection point(s), and provide a detailed plan and timeline for the acquisition of any additional rights necessary for the interconnection(s) and for the right-of-way for transmission radial line to the interconnection point(s). Such rights may be held by Proposer directly or indirectly via partnership with

a transmission developer. Proposers may enter into contract arrangement with a transmission developer to support evidence of site control, which NYSERDA may consider in its determination of project viability.

2.1.6 Interconnection and Delivery

Proposers must demonstrate that energy generated by the Offshore Wind Generation Facility can be delivered into the NYCA. The Required Base Proposal must incorporate a Point of Interconnection in NYISO Zone J or Zone K. Alternate Proposals may interconnect in an adjacent Control Area Such Proposals must address how Proposers intend to fulfill the Electricity Delivery Requirements contained in Article III of the Agreement.

For the Required Base Proposal or for any Proposal including a direct interconnection to the NYCA, Proposers must have submitted a valid Large Facility Interconnection Request with NYISO. For Offshore Wind Generation Facility Proposals that would interconnect in an adjacent Control Area, Proposers must have submitted a similar interconnection request to ISO New England or PJM, as applicable.

2.1.6.1 Conformance with NYGATS Operating Rules

If awarded a contract, Proposers must obtain a valid NYGATS ID for the Offshore Wind Generation Facility and operate in conformance with the NYGATS Operating Rules. Delivery of electricity during the Contract Delivery Term that complies with the Electricity Delivery Requirement contained in Article III of the Agreement will be sufficient to support the creation of ORECs by NYGATS and the implementation of the Forward Certificate Transfer of ORECs, up to the Annual OREC Cap, into NYSERDA's NYGATS Account. NYSERDA will make payment for ORECs from the Offshore Wind Generation Facility delivered to NYSERDA's NYGATS account.

2.1.7 Contract Delivery Term

Each Proposal must specify an expected Commercial Operation Date and Contract Tenor. Proposers may elect to install the Project's Offer Capacity in phases, with each phase subject to the full Contract Tenor for the Project. For a multi-phase installation, the Proposer must specify the expected Commercial Operation Date and Offer Capacity for with each phase.

The Contract Delivery Term for each phase of the Project will commence on the first day of the month after the actual Commercial Operation Date and end after the term of the Contract Tenor or at the Outer Limit Date, whichever occurs first. If less than twenty-five percent (25%) of a phase of the Project has commenced Commercial Operation (as determined on an Operational Installed Capacity basis as compared to the Offer Capacity), Seller may elect to delay the commencement of the phase's Contract Delivery Term for a period not to exceed one year after any portion of the Project has achieved Commercial Operation.

The OREC production from the Offshore Wind Generation Facility offered to NYSERDA through this RFP, up to the Annual OREC Cap, may not be contractually committed to any other entity over the Contract Delivery Term.

2.2 Contract Commitments Relating to Considerations Identified in the Offshore Wind Order

The Offshore Wind Orders authorize NYSERDA to include, at its discretion, certain contract requirements in agreements resulting from this solicitation. NYSERDA has adopted the following requirements and has incorporated them into the Agreement.

2.2.1 Prevailing Wage Requirement

Although this is not a public work covered by NYS Article 8, and unless otherwise provided in a Project Labor Agreement (PLA) covering the construction on the Project, all laborers, workmen and mechanics (within the meaning of those terms under NYS Labor Law Article 8) performing construction activities within the United States (including federal waters) with respect to the Project, including, but not limited to, the assembly, staging, installation, erection, and placement of the Project and its electrical interconnection as well as those construction activities related to start-up and commissioning of the Project, whether through long-term or short-term employment, must be paid wages and benefits in an amount not less than the Prevailing Rates (as determined under NYS Section 220 for construction activities in New York, or for construction activities elsewhere as determined by analogous state law) that would be applicable to a public work in the area where the subject Project construction activities occur. Unless provided otherwise in any negotiated PLA, it is generally expected that covered construction, for these purposes, will include United States-based offsite fabrication traditionally performed on-site by construction craft when that fabrication produces items specifically designed for construction of the Project, fabrication occurs off-site for the convenience of the contractor, and the fabrication is part of a single integrated construction process. For construction activities in federal waters, the rates shall be those applicable at the location of the port or ports from which the laborers, workmen or mechanics are based for purposes of that offshore work. This requirement applies: (1) to all laborers, workmen and mechanics performing construction activities, whether direct employees of the Seller or of Seller's subcontractor(s), and (2) regardless of whether or not such employment was claimed as an Incremental Economic Benefit in its Proposal. See Section 18.10 of the Agreement.

2.2.2 Project Labor Agreement

The Offshore Wind Orders authorize NYSERDA to consider the inclusion of a Project Labor Agreement (PLA) requirement in its RFP. As referenced here, a PLA refers generally to a single collective bargaining agreement (including a pre-hire agreement) covering both contractors in the construction industry working on a Project and a bona fide building and construction trade labor organization representing the craft workers on that Project.

After consideration of the potential impact of a PLA, NYSERDA has concluded that a PLA, with appropriate terms, could serve the State's and public's interest. Accordingly, as is described more fully in Section 18.11 of the Agreement, each awardee will be required to present to NYSERDA for its review, within 30 days of the date of the Bureau of Ocean Energy Management's (BOEM) approval of the Construction and Operation Plan (COP) for the Project, a plan outlining its intentions with respect to the negotiation of a PLA to cover all construction activities on the Project, as defined in Section 2.2.1, within the United States (including in federal waters). NYSERDA should thereafter be kept apprised of

negotiations as they proceed, and NYSERDA shall have the right to have one or more representatives attend negotiation sessions as it determines is in its best interests.

Such negotiations are to cover, at a minimum, the topics described below.

The PLA should contain:

1. Provisions that appropriately limit applicability of the PLA to United States-based (including federal waters) covered work on the Project (and not extending to any other work performed by Project contractors and subcontractors, or to the work of their affiliated entities), ensuring that Project contractors or subcontractors are not required to become a signatory to any other labor agreement, and appropriately providing for the supremacy of the PLA over any potentially conflicting labor agreements that might otherwise apply to contractors and subcontractors. The PLA must apply to all covered construction and all contractors and subcontractors, of whatever tier, performing construction work on the Project (subject to appropriate exceptions), and the PLA should be available to all contractors and subcontractors, of whatever tier, regardless of their union affiliation;
2. Provisions for appropriate union recognition and security (limited to Project work) and the referral of skilled craft workers, including provisions for staffing in the event qualified referrals are not reasonably available and for the reasonable use of a number of core employees by contractors and subcontractors (regardless of union affiliation and referral practices that might otherwise exist);
3. Comprehensive labor harmony provisions to ensure against Project disruption as a result of worksite disputes or other labor disputes of any kind;
4. Comprehensive provisions for the resolution of workplace disputes through third party resolution, including provisions for the resolution of jurisdictional disputes (without Project disruption), and appropriate provisions for labor management cooperation;
5. Appropriate provisions to allow the cost effective and efficient coordination of multiple trades and contractors and subcontractors (notwithstanding any local labor agreements that might otherwise be applicable to contractors and subcontractors), as well as other appropriate management rights (such as adequately ensuring the Contractors'/subcontractors' choice of materials, techniques, methods, technology or design, or, regardless of source or location; use and installation of equipment, machinery, package units, pre-cast, pre-fabricated, pre-finished, or pre-assembled materials, tools, or other labor-saving devices; the installation or use of materials, supplies or equipment regardless of their source (including as may be required by a vendor and/or to ensure warranty coverage); and to perform off-site work, subject to any restrictions imposed by law);
6. Appropriate provisions promoting MWBE and SDVOB employment, as well as the employment of New York workers and low-income workers;

7. Appropriate provisions for the use of apprentices; and
8. Appropriate provisions for rules governing worksite access and conduct.

Awardees may appoint or delegate to a contractor or third party the authority to conduct such negotiations and/or to execute the PLA; however, the responsibility to deliver the PLA and to ensure its sufficiency and compliance with its terms will remain with awardee. A final PLA consistent with this Section shall be presented to NYSERDA for review and approval within 180 days of BOEM's approval of the COP for the Project. Section 18.11 of the Agreement provides further procedures should the awardee fail to reach agreement on a final PLA within that timeline.

NYSERDA's review of any agreed-upon PLA will be based on the specific terms of the negotiated PLA and will take into account the best interests of NYSERDA with respect to the Project, and the public it serves, and will include consideration of Project viability, the cost-effectiveness of the PLA, and the need for timely Project completion.

Construction work undertaken to develop port facilities will not be considered construction work on the Selected Project, as defined in the Agreement, and thus will not be covered by Sections 18.10 and 18.11 of the Agreement. However, projects that receive New York State Funding pursuant to this RFP will enter a separate funding agreement with NYSERDA. In light of the State's interest in timely completion of both the port development and the Offshore Wind Generation Facility, any such separate funding agreement will include provisions that mirror Sections 18.10 and 18.11 of the Agreement and that would apply to construction work on the port. Further, as indicated in Section 5.2 of this RFP, NYSERDA will consider project-on-project risk as a program policy factor in its evaluation. Bidders are advised that efforts to ensure the timely completion of port development work and the commitment to avoid labor strife through a PLA will be considered a factor that mitigates project-on-project risk.

2.2.3 Consultation with New York State Agencies

Proposers must agree, if awarded a contract, to consult with certain New York State agencies during planning and development of the Offshore Wind Generation Facility, including the transmission radial line to the on-land interconnection point. The intention of these consultations is to provide the agencies with a greater understanding of the Project and inform the contract awardee about important resource considerations and the permitting approach early in the process, and to inform the approach with feedback from stakeholders and New York State agencies in an effort to reduce uncertainty, improve transparency, and minimize conflicts. Earlier, periodic informal consultations are advised to narrow issues and streamline the formal process. This requirement will be accomplished in parallel with the federal process, recognizing that the Bureau of Ocean Energy Management (BOEM) has primary jurisdiction over the offshore aspects of a Project.

At a minimum, contract awardees will be required to consult with the following agencies relating to agency goals and responsibilities on the following topics:

1. The New York State Department of State (DOS) with respect to a Project's consistency with the policies set forth in the State's Coastal Management Program;

2. The New York State Department of Environmental Conservation (DEC) with respect to assessment and mitigation of potential environmental impacts, including but not limited to, water quality, air quality, benthic communities, fish, fisheries and wildlife impacts of the Project;
3. The New York State Office of Parks, Recreation and Historic Preservation (OPRHP) with respect to the assessment and mitigation of effects on sites of historic or archeological significance;
4. The New York State Department of Public Service (NYDPS) with respect to a Project's electrical interconnection and any applicable regulatory requirements under the Public Service Law;
5. The New York State Office of General Services (OGS) with respect to a Project's electrical interconnection involving State land; and
6. NYSERDA as a point of contact with respect to a Project's general consistency with the New York State Offshore Wind Master Plan and stakeholder feedback.

More specifically, the required consultation will consist of the following steps:

1. At the time it submits a proposed Site Assessment Plan (SAP) to BOEM, a contract awardee will also submit the proposed SAP to DOS, DEC, OPRHP, NYDPS, OGS, NYSERDA, and any other state agency that NYSERDA notifies contract awardee to include (each, a "Consulting State Agency"), so that each such Consulting State Agency may provide input on the SAP concurrently with BOEM's review. Each Consulting State Agency will provide to the contract awardee the agency's initial comments on the proposed SAP – either jointly or individually – within 60 calendar days of receipt. The contract awardee then must meet or engage with each Consulting State Agency that requests a meeting at reasonable times and intervals in an effort to attempt to resolve any issues.

If a contract awardee has already submitted its SAP to BOEM at the time of its Proposal under this RFP, the contract awardee should so state in its Proposal and propose an alternative process for consultation with the Consulting State Agencies.

2. At the time it submits a proposed Construction and Operations Plan (COP) to BOEM, a contract awardee will also submit the proposed COP to the Consulting State Agencies, so that each Consulting State Agency may provide input on the SAP concurrently with BOEM's review. Each Consulting State Agency will provide to the contract awardee that agency's initial comments on the proposed COP – jointly or individually – within 60 days of receipt. The contract awardee then must meet or engage with those Consulting State Agencies that request such a meeting, at reasonable times and intervals in order to attempt to resolve any issues. If a contract awardee has already submitted to BOEM a COP at the time of its Proposal under this RFP, the contract awardee should so state in its Proposal and propose an alternative process for consultation with the Consulting State Agencies with respect to the COP.
3. The requirements and processes set forth in paragraphs 1 and 2 above will apply to any component, or resubmittal of a SAP or a COP, respectively, that a contract awardee submits to BOEM, including, but not limited to, any required surveys or documentation required under the National Environmental Policy Act. Thus, the contract awardee will submit all SAP and COP

components and revisions to the Consulting State Agencies concurrent with submission to BOEM.

4. Proposers are directed to reference Section 8.1 of this RFP, where the treatment of confidential information is discussed. The Consulting State Agencies will not disclose information generated by those agencies (such as comments on draft materials) that they determine contains confidential trade secret information provided by a contract awardee to third parties. Notwithstanding an assertion by a contract awardee that particular information constitutes confidential trade secret information exempt from FOIL, the Consulting State Agencies will make their own determinations as to how to comply with the law and whether a FOIL exemption applies. In order to do so, the Consulting State Agencies may request further information from a contract awardee about contract awardee's asserted justification for withholding designated information. Any agreement on the part of any Consulting State Agency to exempt certain information from FOIL disclosure shall not bind any other agency and shall not diminish a contract awardee's obligation to make non-proprietary Site and Environmental Data available to the public.
5. The consultation requirements set forth above in this Section 2.2.3 do not obviate or replace the federal Coastal Zone Management Act regulatory requirement in 15 CFR Part 930 and in the event of conflicting timeframes, the federal regulations will prevail.

2.2.4 Participation in Technical Working Groups

Proposers must agree, if awarded an Agreement, to reasonably participate in the Environmental, Commercial and Recreational Fishing, Maritime, and Jobs and Supply Chain Technical Working Groups (TWGs) as directed by NYSERDA. This includes participation in TWG meetings and engaging with the relevant stakeholder groups within the TWG regarding the proposed Project.

2.2.5 Support for Monitoring Key Commercial Fish Stocks and Wildlife

Proposers must agree, if awarded an Agreement, to provide financial and technical support to regional monitoring of wildlife and key commercial fish stocks through a minimum contribution of \$10,000 per megawatt of Operational Installed Capacity. Of this, \$5,000 per megawatt of Offer Capacity must be used by the Proposer, in concurrence with NYSERDA, to support regional monitoring of key commercial fish stocks to better understand how offshore wind energy development is potentially altering the biomass and/or distribution of these stocks. Similarly, \$5,000 per megawatt of Offer Capacity must be used by the Proposer, in concurrence with NYSERDA, to support regional monitoring of wildlife to better understand how offshore wind energy development effects distribution and abundance of sensitive species. These monitoring efforts may be committed via regional monitoring organizations or independently by the Proposer (or some combination) upon NYSERDA approval but shall be used to advance the responsible development of the offshore wind energy industry, not necessarily the proposed project.

2.2.6 Site and Environmental Data Transparency

If awarded a contract, Proposers must agree to make publicly available any information or data and supporting metadata that is developed in furtherance of a Project and relates to environmental

characteristics, or use by wildlife, of any offshore, nearshore or onshore areas, as well as any data sponsored or developed by a contract awardee relating to the potential impacts of the construction, operation, or decommissioning of a Project on the environment and wildlife of such areas (separately and collectively, "Site and Environmental Data"). Contract awardees will be required to provide NYSERDA, within 90 days of contract execution, a "Data Availability Plan" detailing how Site and Environmental Data will be made available on an ongoing basis as soon after collection as is practicable for use by third parties in decision making around adaptive management. Data typically classified as proprietary, such as metocean data and geophysical/geotechnical data, will not be considered Site and Environmental Data for purposes of this requirement.

Real- or near real-time reporting of marine mammal sighting and detections may be required and the timing of the availability of other data will be determined through consultations with DOS, DEC or NYSERDA, either individually or as a group. Other environmental data must be made available as soon after collection as is reasonable, on an ongoing and routine basis as appropriate to the collection method and as discussed with DOS, DEC, NYDPS, or NYSERDA, either individually or as a group.

Contract awardees may choose to use existing publicly accessible data repositories and/or developer sponsored websites as venues to host the data and metadata. The intention of this requirement is to allow independent data users the opportunity to develop an understanding of the environmental characteristics of potential offshore wind energy development areas, including areas within which Projects may be located, and to independently assess the impacts of offshore wind energy development on those characteristics in a timely manner. Site and Environmental Data includes information that a contract awardee develops before, during, and after this RFP process, and includes, but is not limited to, information relating to the following topics:

1. Air quality and emissions
2. Water quality
3. Fish and fish habitats
4. Birds and bats
5. Marine mammals and sea turtles
6. Benthic communities

2.2.7 Lighting Controls

If awarded a contract, Proposers must agree to install lighting controls to minimize nighttime visibility. NYSERDA will require that any wind turbines installed by a contract awardee in furtherance of such Contract employ aircraft detection lighting systems (ADLS) in order to meet Federal Aviation Administration obstruction lighting requirements while minimizing lighting-related visual impact and impacts on avian species. In the event that ADLS systems do not meet Federal Aviation Administration Requirements or another technology produces a better outcome, the best available approved technology may be used upon consultation and approval of NYSERDA. Inclusion of ADLS, or an alternative approved by NYSERDA, in a contract awardee's COP submitted to BOEM will also be a requirement of any Contract.

2.2.8 Fisheries Mitigation

Proposers must submit with their Proposal, and subsequently develop and implement a Fisheries Mitigation Plan, further described in Section 6.4.13 and Appendix D.

2.2.9 Environmental Mitigation

Proposers must submit with their Proposal, and subsequently develop and implement an Environmental Mitigation Plan, further described in Section 6.4.14 and Appendix E.

2.2.10 New York State Supplier Opportunity

If awarded a contract, Proposers must agree to provide New York companies with the opportunity to offer to provide goods and services to developers and suppliers of the Project for which there is capability in New York State. Proposer must communicate all opportunities for contracts with an anticipated contract value of \$5 million or greater not already committed at the time of offer submission to New York State companies, including MWBE and SDVOB, registered to the [New York Offshore Wind Supply Chain Database](#) maintained by NYSERDA and provided to contract awardees, except for the provision of goods and services that cannot practically be performed by the New York State supply chain at this time. The opportunity may come from goods or services directly tendered by Proposers or from goods and services tendered by its Major Suppliers.

If selected for an award, Proposer will be required to report on New York State Supplier Opportunity activities as a part of the progress reports to be provided under Section 6.02 of the Agreement.

3 NON-PRICE EVALUATION

3.1 Overview

The Scoring Committee will evaluate Proposals to determine whether they meet each of the eligibility requirements defined in Section 2.1. Proposals that fail to meet these requirements will be ineligible for an award. Proposals that meet the eligibility requirements will be scored and ranked with respect to three components as defined in the Offshore Wind Orders.

NYSDERDA will employ a scoring system that weights price and non-price factors, for a total of 100 points, as follow:

1. Project Viability: 10 points – Non-Price Evaluation (Section 3.2)
2. New York Economic Benefits: 20 points – Non-Price Evaluation (Section 3.3)
3. Offer Prices: 70 points – Price Evaluation (Section 4.4)

The Scoring Committee will award points for the non-price evaluation components of each Proposal (Project Viability and New York Economic Benefits).

3.2 Project Viability

The Project Viability evaluation considers a series of factors that demonstrate whether the proposed Project can reasonably be expected to be in service on or before the proposed Commercial Operation Date(s). To maximize the score received under this scoring component, Proposers must provide evidence that Project development plans are sufficiently mature, and technically and logistically feasible, that Proposers have sufficient experience, expertise, and financial resources to execute the development plans in a commercially reasonable and timely manner, and that the Project as proposed can be developed in a manner which is sensitive to ocean users and coastal communities. Consistent with the terms of the Offshore Wind Orders, receipt of a score of zero for Project Viability will render the project unviable overall and result in rejection of the bid.

Specific categories to be evaluated by the Scoring Committee include:

3.2.1 Permitting Plan and Status

Proposers must demonstrate a complete, credible and achievable plan for successfully obtaining necessary permits within the proposed Project milestones. All required federal, regional, state and local permits must be identified, and the status of each permit must be provided. Proposers must also provide information describing the extent to which support or opposition to the Project may materially affect the Project's permitting approval timelines.

3.2.2 Financing Plan

Proposers must demonstrate that they have sufficient scale, financial resources, and insurance for developing the Project, and a credit rating sufficient for Project development. Proposers must demonstrate that they have completed sufficient due diligence regarding the formulation of a credible

project financing plan. A demonstration of recent experience in successfully financing like technology of comparable size and complexity will be viewed favorably.

3.2.3 Developer Experience

Proposers must demonstrate that the development team has sufficient relevant experience and expertise to successfully finance, develop, construct, operate and maintain its Project. Financing, development, and construction experience can be established by demonstrating that principals of the development team have undertaken relevant project management responsibilities, including: (1) successful development, construction, and operation of a similar type of project within or outside of the U.S.; or (2) successful development, construction, and operation of one or more projects of similar size or complexity or requiring similar skill sets, including experience in New York State.

3.2.4 Proposed Technology

Proposers must demonstrate that the technology it proposes to use is technically viable, and that the Primary Components can be procured to meet the required development schedule. Technical viability may be demonstrated by showing that the technology is commercially available, is reasonably expected to be commercially available prior to the commencement of Project construction or has been used successfully on other similar projects in commercial operation within or outside the U.S. The Proposal must also provide a reasonable timeline and plan for procuring the Primary Components from identified suppliers.

3.2.5 Development and Logistics Plan

Proposers must demonstrate the logistical viability of the Project through a construction plan covering the necessary specialized equipment (*e.g.*, vessels), and applicable maritime law (*e.g.*, Jones Act compliance) to complete Project development. Proposer must demonstrate that it has a plan to secure marine terminal facilities necessary for staging and deployment of major components to the Project site.

3.2.6 Interconnection and Delivery

Proposer must provide a detailed plan and a reasonable timeline to complete the interconnection process with NYISO for direct interconnection(s) to the NYCA and, if applicable, for any other interconnecting authority (Regional Transmission Organization, "RTO," or Independent System Operator, "ISO") in an adjacent Control Area, *i.e.*, ISO-NE or PJM. The timeline must be consistent with meeting the overall development schedule and proposed Commercial Operation Date(s). Proposer must detail the status (and results, if applicable) of interconnection application and studies, as further described in Section 6.4.8. In order to evaluate the interconnection status and deliverability of a Project, as stated in Appendix B, Proposer must grant to NYSERDA the right to share with NYISO, adjacent RTOs, and owners of transmission facilities, as applicable, confidential information about any Proposal submitted by the Proposer. Proposer must also authorize NYISO, adjacent RTOs, and owners of transmission facilities, as applicable, to release information to NYSERDA that may otherwise be considered confidential under the relevant rules or policies of such organizations. NYSERDA understands that certain of the confidential information that may be requested from NYISO, adjacent RTOs, and owners of transmission facilities may be deemed to be Critical Energy Infrastructure Information (CEII). NYSERDA will adhere to all requirements with respect to access to and distribution of CEII information as

may be required by NYISO, adjacent RTOs, or owners of transmission facilities. Proposers may be required to cooperate with NYSERDA and to execute waivers or other documentation necessary for NYSERDA to acquire such information from the relevant RTO. In submitting a Proposal via this RFP, the Proposer affirms NYSERDA's right to engage with the NYISO, adjacent RTOs and owners of transmission facilities, as applicable to support the evaluation of its Proposal.

NYSERDA is seeking ORECs from Offshore Wind Generation Facilities that will deliver their energy to an identified Delivery Point within NYCA over the Contract Delivery Term, in accordance with the Electricity Delivery Requirements contained in Article III of the Agreement. Proposers are obligated to demonstrate how this requirement will be satisfied. NYSERDA will not be responsible for any wheeling charges or any other transmission or administrative related cost levied by an adjacent Control Area associated with delivery of energy to the NYCA, other than payment of the contractually determined OREC Price.

Project eligibility requirements do not preclude the option to propose multiple interconnection points in NYCA as may be necessary to reasonably minimize interconnection costs. Proposals must further provide detail regarding the available capacity, at the time of submission, of the proposed Injection Point. Proposals that demonstrate efficient interconnections and that avoid the creation of stranded assets may receive higher project viability scores.

3.2.7 Proposed Commercial Operation Date(s)

Proposer must provide a proposed Commercial Operation Date, or Commercial Operation Dates in the case of a multi-phase Project, accounting for the permitting, financing, interconnection, and other development milestones associated with the Proposal.

The Proposal must demonstrate that the Project can reasonably be permitted, developed, financed, and constructed within the proposed Project schedule. Proposers must submit reasonable milestones that are achievable, thereby placing the Project on an achievable milestone schedule to support the proposed Commercial Operation Date(s). Proposals with an earlier proposed Commercial Operation Date for the first (or only) phase of the Project may receive higher Project Viability scores so long as the Scoring Committee concludes that the proposed Commercial Operation Date is reasonable and is supported by the overall Proposal, including the Project Schedule submitted by Proposers in accordance with Section 6.4.11 of this RFP.

3.2.8 Community Engagement and Prioritizing Disadvantaged Communities

Through this solicitation, NYSERDA seeks to actively support the outcomes envisioned by New York's State's nation-leading climate legislation, the CLCPA, including its target of delivering at least 35 percent of the overall benefits from New York State's climate programs to Disadvantaged Communities. The Proposal must present a reasonable community engagement plan with a thoughtful approach to build Project support and respectfully respond to opposition. Proposers awarded a contract are encouraged to consult with NYSERDA before and during the implementation of their community engagement plans and will be required to update NYSERDA on their community engagement progress and plans in their quarterly progress reports. Thoughtful community engagement plans may include: a description and analysis of affected communities; a plan for regionally targeted education and marketing strategies that

include advertisements and/or direct mailings, outreach events and activities such as exhibiting at local events, hosting open houses, and targeted engagement with local community groups. Community engagement plans should seek to describe how the Proposal offers benefits related to economic development and the creation of local jobs, reduced energy burden, avoided health costs, added climate resiliency, avoided environmental costs/added enviro benefits, low-income and Environmental Justice population participation, avoided social costs. Community engagement plans may also comprise community benefits agreements and opportunities to build not only community opportunity and capacity in regard to the Project's development, construction, and operations but also opportunities to build community equity in a project and where all such community expenditures would constitute eligible economic benefit claims to support a project's evaluation under this RFP (see Section 3.3). Community engagement plans should also demonstrate alignment with the CLCPA and this solicitation's stated prioritization of benefits, including job creation, to Disadvantaged Communities.

3.2.9 Fisheries and Environmental Mitigation Plans

Proposers must provide a fisheries mitigation plan that demonstrates a full understanding of the potential impact of the Offshore Wind Generation Facility on commercial and recreational fishing and provides a feasible plan to mitigate such impacts. Proposers must also provide an environmental mitigation plan that demonstrates an understanding of environmental impacts during construction and operation of the Offshore Wind Generation Facility and provides a feasible plan to mitigate such impacts.

Proposals that use of acoustically "quiet" foundation design or foundation installation technology solutions that reduce acoustic stress to sensitive marine life may receive higher Project Viability scores.

Proposers with a past performance of cultivating productive relationships with stakeholders in the offshore wind industry and demonstrated excellence in development may receive higher Project Viability scores.

3.2.10 Visibility and Viewshed Impacts

Proposers must address a Project's visibility from shore as described in Section 6.4.16, with more stringent approaches expected for Projects proposed to include turbines less than 20 statute miles from the nearest shoreline point.

3.2.11 Energy Resource Assessment

The Proposal must demonstrate the credibility of the energy resource assessment and production profile, sufficient to demonstrate the Project's financeability and to support the purported environmental and reliability benefits.

3.2.12 Carbon Emissions and Embodied Carbon

Through this solicitation, NYSERDA seeks to actively support the outcomes envisioned by New York's State's nation-leading climate legislation, the CLCPA, including its target of reducing greenhouse gas emissions 80% by the year 2050. In doing so, NYSERDA requires that Proposers describe the efforts undertaken by the Proposer to better understand and consider carbon intensity in design, sourcing and

construction, and the steps that have been taken to minimize embodied carbon, from the proposed Project. Further, proposals must describe the process by which the Proposer will account for embodied carbon on an ongoing basis as the project evolves. This could include the sourcing and manufacturing of primary components such as platforms, turbines, cables, and substations, but should also consider associated activities such as construction, Operation & Maintenance (O&M), and decommissioning. This could also include, opportunities to support carbon mitigation efforts in collaboration with New York State manufacturing sources.

3.3 New York Economic Benefits

Inclusion of the New York Economic Benefits evaluation criteria reflects the importance of positive impacts of this OREC procurement on New York State's economy as well as the long-term benefits that a mature, locally-based industry can provide.

In this solicitation, New York is seeking the Incremental Economic Benefits associated with the development of a Proposed offshore wind Project. The Incremental Economic Benefits will be evaluated for purposes of allocating up to a maximum of 20 points. The instructions related to the permissible Incremental Economic Benefits, the narrative description in an Economic Benefits Plan, and quantitative summary in the Offer Data Form can be found in Appendix C.1.

In developing each Proposal's Economic Benefits Plan, Proposers are encouraged to recognize NYSERDA's support of the CLCPA commitments to prioritize benefits to Disadvantaged Communities as described in Section 3.2.8. Such CLCPA commitments to Disadvantaged Communities will therefore be weighted to reflect such prioritization.

In preparing the Economic Benefits Plan, a Proposal will be evaluated based on the Incremental Economic Benefits within the three Categories specified below (and Section 12.01(b) of the Agreement):

- Category 1: Project-specific Economic Benefits not associated with New York State Funding associated with Port Infrastructure Investment Plans;
- Category 2: Project-specific Economic Benefits associated with New York State Funding of Port Infrastructure Investment Plans; and,
- Category 3: Industry Growth Activities that provide opportunities for overall growth (vs. Project-specific expenditures) of the New York offshore wind industry (including supply chain, workforce, and research and development, or other substantive areas that relate to the emerging offshore wind industry in New York State).

For the avoidance of doubt, Proposers should note that the definitions of these Economic Benefits Categories have changed from the Category definitions used in ORECRFP18-1.

In conducting its evaluation, the Scoring Committee will consider the detailed descriptions and supporting documentation associated with each claim provided in the Economic Benefits Plan (Appendix C.1) submitted with the Proposal. For evaluation purposes, additional weight will be attributed by the Scoring Committee to those expenditures that are firm and credible and that create persistent and sustainable institutional and/or worker capabilities in New York State. The Scoring Committee will also

recognize and therefore weigh those expenditures that are expected to lower the cost of future offshore wind projects in both New York State and the region.

To facilitate a standardized comparison by the Scoring Committee between Proposals with larger or smaller Offer Capacities, for Categories 1 and 2 the total of such adjusted claimed expenditures will be unitized by dividing each Proposal's eligible claims by the Offer Capacity set forth in the Proposal.

In Category 3, Proposals will be assessed on the scale of the likely impact of the proposed activities and the firmness of the commitments. Proposals will be scored on the number, range, maturity, firmness, and credibility of the commitments being made and the magnitude of the potential benefits. In awarding points in Category 3, the Scoring Committee will consider the:

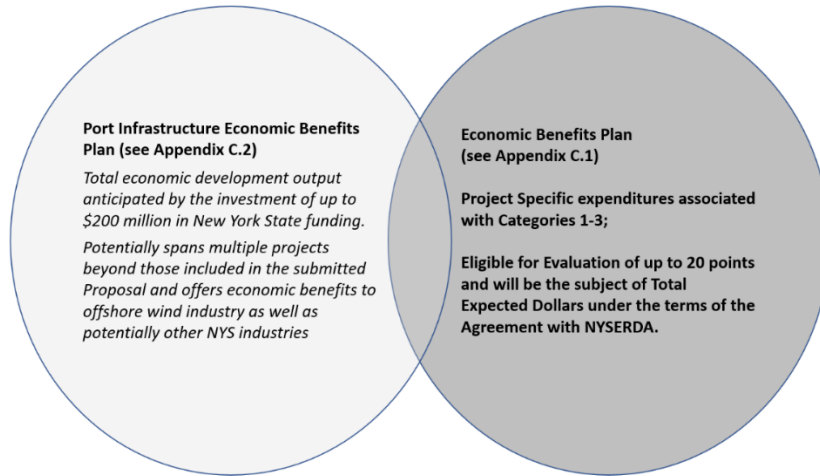
1. nature, quantity and importance of the proposed claims;
2. effectiveness of the approach to developing the proposed claims;
3. supporting documentation to substantiate the nature, firmness and maturity of the commitments, including, for example, letters of support, memoranda of understanding, letters of intent, option agreements, or binding contracts.

Consistent with the Eligibility terms described in Section 2, this solicitation seeks to incentivize key enabling investments in port infrastructure in New York State related to offshore wind. NYSERDA recognizes that a Proposer will, through direct investment, utilize the resultant port infrastructure directly in service of their proposed Project. As described in Appendix C.2, NYSERDA recognizes that the economic development potential of a port may extend beyond supporting any single Project. Similarly to the Economic Benefits categories stated above, the Incremental Economic Benefits associated with the Port Infrastructure Investment Plan are separated into two Categories:

- Category 1P: Project-specific Economic Benefits associated with New York State Funding of the Port Infrastructure Investment Plan (included within Category 2 of the Proposal's Economic Benefits Plan)
- Category 2P: Non-Project-specific Economic Benefits associated with New York State Funding of the Port Infrastructure Investment Plan

Where the Port Infrastructure Investment Plan of any Proposal reflects an Eligible Port facility's long-term value to the industry and to New York State, only those Incremental Economic Benefits associated with the proposed Project are eligible for inclusion in a Proposal's Economic Benefit Plan. For clarity sake, only the Incremental Economic Benefits of the Port Infrastructure Investment Plan that are specific to the proposed Project (Category 1P) will be considered as part of the allocation of up to 20 points in the Proposal's evaluation. Those economic benefits that may be realized from the indicated port's support of future projects (Category 2P) will not be used for the allocation of Economic Benefit points under this current RFP (see Figure 1).

Figure 1: Venn Diagram of Economic Benefits contemplated within ORECRFP20-1



4 OFFER PRICING STRUCTURE AND PRICE EVALUATION

The offer price required for each Proposal must conform to either the Index OREC or Fixed OREC pricing structure, consistent with Section 2.1.3. Under both pricing structures, the Proposer will submit a level nominal offer price.

The pricing structure offered in the Proposal, whether the Index OREC or the Fixed OREC, shall remain the Applicable OREC Price Method for the entire Contract Delivery Term unless and until such Index OREC Price is invalidated, as further described in Section 4.01 of the Agreement.

4.1 OREC Products Pricing

4.1.1 Fixed OREC Pricing

Under the Fixed OREC pricing structure, the Monthly OREC Price is equal to the Fixed OREC Price.

$$\text{Monthly OREC Price} = OP^{\text{Fixed}}$$

where:

$$OP^{\text{Fixed}} = \text{Fixed OREC Price (\$/MWh)}$$

4.1.2 Index OREC Pricing

Under the Index OREC pricing structure, the Monthly OREC Price varies monthly during the Contract Delivery Term and is calculated according the following equation:

$$\text{Monthly OREC Price} = OSP^{\text{Index}} - REP - RCP$$

where:

$$OSP^{\text{Index}} = \text{Index OREC Strike Price (\$/MWh)}$$

$$REP = \text{Reference Energy Price (\$/MWh)}$$

$$RCP = \text{Reference Capacity Price (\$/MWh)}$$

NYSDA will calculate the Reference Energy Price and Reference Capacity Price for each month according to Section 4.03 of the Agreement. The Monthly OREC Price will be calculated during a settlement period following the conclusion of each month according to Section 4.04 of the Agreement.

The calculation of each month's Reference Capacity Price will be based on a Reference UCAP Price, as defined in Section 4.03 of the Agreement. The Reference UCAP Price is converted to its \$/MWh equivalent, the Reference Capacity Price, through the following equation:

$$RCP = \frac{RUP \times UPF \times IC \times 1,000}{MDE}$$

where:

RUP = Reference UCAP Price (\$/kW-month)

UPF = UCAP Production Factor (decimal fraction)

IC = Installed capacity (ICAP) of the generator (MW)⁶

MDE = Metered delivered energy

1,000 = kW to MW conversion factor

The UCAP Production Factor multiplied by the Project's installed capacity is a proxy for the NYISO UCAP in MW. The UCAP Production Factor will be specified separately for a Winter Capability Period (November through April) and a Summer Capability Period (May through October). A default UCAP Production Factor of 38% for both capability periods may be used, consistent with current guidance from the NYISO's Installed Capacity Manual.⁷ Proposers have the option to replace these default values with Proposal-specific UCAP Production Factors that shall be constant throughout the Contract Delivery Term. Any winter and summer UCAP Production Factor values between 0 and 1 are allowed.

4.2 Settlement Mechanism

To calculate the amount payable to Seller, the Monthly OREC Price will be multiplied by the number of ORECs produced from Actual Eligible Production in the prior month and delivered into NYSERDA's NYGATS account. These payments will be calculated after the close of each calendar month during the Contract Delivery Term. During each month's settlement period, NYSERDA will only purchase ORECs such that the cumulative ORECs purchased in the active Contract Year do not exceed the Annual OREC Cap. The Annual OREC Cap is 1.1 multiplied by the P10 Annual Exceedance Estimate, which may be adjusted prior to Commercial Operation, per Section 2.01(e) of the Agreement.

In the case of a negative Monthly OREC Price, the associated payment from Seller to NYESRDA will not be cash-settled on a month-by-month basis. Instead, the amount owed from Seller to NYSERDA will accrue as a debit to be deducted from each subsequent monthly payment until fully recovered. If, due to sustained negative OREC prices, any such debit goes unrecovered for twelve months, Seller shall pay the unrecovered amount to NYSERDA in cash as described in Section 4.05 of the Agreement.

4.3 Offer Price Evaluation Metric

The offer pricing evaluation will be conducted by NYSERDA and NYSERDA Consultants. A quantitative method will be applied to all offers in order to screen and rank the pricing offers using a uniform cost metric. For evaluation purposes, each Index OREC Strike Price and Fixed OREC Price offer will be converted to a Levelized Net OREC Cost (LNOC) in base year \$/MWh. The LNOC price measure allows for an equitable comparison among Proposals with different expected OREC quantities over time.

⁶ Offer Capacity for evaluation purposes, Operational Installed Capacity for settlement purposes.

⁷ NYISO Installed Capacity Manual, published February 2020.

https://www.nyiso.com/documents/20142/2923301/icap_mnl.pdf/234db95c-9a91-66fe-7306-2900ef905338

The LNOC for Proposal p using pricing structure s is the quotient of the cumulative present value of the annual net OREC costs for each calendar year over the proposed Contract Tenor, divided by the cumulative present value of the projected annual number of ORECs produced from Actual Eligible Production over the same calendar years. The annual quantities are discounted at a real discount rate. The resulting quotient is expressed in base year dollars per OREC or MWh.

$$LNOC_p = PVNOC_p / PVOQ_p$$

where:

$PVNOC_{p,Fixed}$ = PV of Net OREC Cost for Proposal p , pricing structure Fixed (\$ PV)

$$= \sum_{y=COD_p}^{y=COD_p+CT_p} \left\{ \sum_{m=1}^{m=12} OP_{p,m,y}^{Fixed} \times OQ_{p,m,y} \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVNOC_{p,Index}$ = PV of Net OREC Cost for Proposal p , pricing structure Index (\$ PV)

$$= \sum_{y=COD_p}^{y=COD_p+CT_p} \left\{ \sum_{m=1}^{m=12} (OSP_{p,m,y}^{Index} - RPE_{m,y}^{Pred} - RPC_{m,y}^{Pred}) \times OQ_{p,m,y} \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVOQ_p$ = PV of OREC delivery quantities for Proposal p (MWh)

$$= \sum_{y=COD_p}^{y=COD_p+CT_p} \left\{ \sum_{m=1}^{m=12} OQ_{p,m,y} \right\} \div (1 + RDR)^{(y-Y_b)}$$

$OQ_{p,m,y}$ = OREC delivery quantity for Proposal p applicable to month m of calendar year y (OREC or MWh)

$RPE_{m,y}^{Pred}$ = Predicted Reference Energy Price index for month m in calendar year y (nominal \$/MWh)

$RPC_{m,y}^{Pred}$ = Predicted Reference Capacity Price index for month m in calendar year y (nominal \$/MWh)

COD_p = Calendar year associated with the expected Contract Delivery Term commencement date for Proposal p (for multi-phase Projects, this calculation will be applied to each phase)

CT_p = Contract Tenor for Proposal p

NDR = Nominal Discount Rate (decimal)

INF = Inflation Rate (decimal)

$RDR = (1 + NDR) / (1 + INF) - 1$ = Real Discount Rate

Y_b = Base year for cost and PV

A nominal discount rate of 6.14%⁸ per year and a long-term inflation rate assumption of 2.0% per year will be used in the LNOC calculation procedure.

For price evaluation purposes only, regardless of the Proposal's proposed Commercial Operation Date, all phases of all Proposals will be evaluated with a Contract Delivery Term commencement year of 2026, and therefore a COD_p of 2026.

For the Index OREC pricing structure, strike prices will be converted into expected annual OREC values by subtracting a forecast of expected Reference Energy Prices and Reference Capacity Prices from the strike prices, based on NYSERDA's forecasts of energy and capacity prices. Neither the price forecasts nor details of the modeling procedures will be disclosed to Proposers.

4.4 Offer Price Scoring

For purposes of cost containment, Benchmark LNOCs will be derived for both the Index OREC and the Fixed OREC. NYSERDA will employ Benchmark LNOCs in the offer evaluation process that support the consideration of and potential disqualification for award of all Proposals that exceed the applicable Benchmark LNOC. For purposes of this procurement, the Benchmark LNOC is synonymous with the "Maximum Acceptable Offer Price Metric" used in NYSERDA's Tier 1 RES procurements. The calculation method will materially differ, however. NYSERDA retains the right to reject any and all project Proposals that exceed the applicable Benchmark LNOC. Use of the Benchmark LNOCs will support a reasonable balance between encouraging investment in new offshore wind projects and protecting ratepayer interests from the incurrence of any deadweight costs associated with accepting a Proposal at any price.

In deriving the Benchmark LNOCs, NYSERDA will, in particular, account for the price results in recent procurements held in New England. A number of additional considerations will be factored into the derivation of the Benchmark LNOCs. Either positive or negative, such additional considerations may include: different hedge efficiency attributes related to the PPA structure used in New England versus the Index or Fixed OREC structure; geotechnical and physical considerations; local spend considerations in New York State, including labor; transmission interconnection and deliverability criteria; the market value of energy and/or capacity; environmental mitigation costs; Project size; and Project timing. In formulating benchmark prices, NYSERDA may add or subtract from the list of additional cost considerations.

Proposals with a Fixed or Index LNOC higher than the applicable Benchmark LNOC will not be eligible for an award. NYSERDA has the authority to reject any or all Proposals, at any time, taking into account not only the Benchmark LNOCs but also recent auctions and market conditions.

Eligible Proposals with a Fixed or Index LNOC below the applicable Benchmark LNOC will have their LNOC values converted into points. The Proposal with the lowest LNOC will receive the maximum 70-point score and higher LNOC offers will receive lower scores. NYSERDA will implement a method that

⁸ The discount rate for Bid Price evaluation (DISCO Discount Rate or DDR) was established by the New York State Department of Public Service Office of Accounting, Audits and Finance.

ensures that the scores of Proposals with higher LNOCs are sufficiently dispersed below the maximum of 70 points such that the final score that aggregates price, viability, and economic benefits retains the intended scoring emphasis on price to the maximum reasonable extent.

5 PRELIMINARY RANKING, PORTFOLIO EVALUATION, AND FINAL AWARD GROUP

5.1 Preliminary Rank Order

5.1.1 Preliminary Rank Order for Required Base Proposal and Alternate Proposals

The Required Base Proposals and Alternate Proposals that include Port Infrastructure Investment Plans will be compared in the Preliminary Rank Order. Based upon the terms of evaluation detailed in Sections 3 and 4 of this RFP, the calculated scores for the Project Viability, New York Economic Benefits, and Offer Pricing components of the Proposal scoring system will be summed. The Proposals will then be ranked by their total scores as a preliminary step in selection.

5.1.2 Preliminary Rank Order for Required Standalone Proposal

To ensure comparison of like Proposals, NYSERDA will segregate the Required Standalone Proposals and each Alternate Proposal that does not include a Port Infrastructure Investment Plan from each Proposers to comprise a secondary tier of Proposals that, as described in Section 2.1.3, will only be considered for award if New York State has fulfilled its goal of port infrastructure investment through award(s) to another Proposal(s) through this Procurement.

For clarity, the Required Standalone Proposals and Alternate Proposals that do not include a Port Infrastructure Investment Plan will be evaluated subject to the terms of Sections 3 and 4 of this RFP, excluding those elements that pertain to the evaluation of Port Infrastructure Investment Plans.

5.2 Portfolio Evaluation; Consideration of Commission Objectives

In its Offshore Wind Orders the Commission identified many potential benefits for this initiative beyond its contribution to the achievement of the CES mandate and the reduction of greenhouse gas emissions. The Offshore Wind Orders also recognize that award decisions may be influenced by portfolio considerations including but not limited to diversity, economy of scale and market competition.

Given the integrated priorities of this solicitation, namely to procure at least 1,000 MW of offshore wind capacity and to maximize port infrastructure development, the portfolio evaluation under this solicitation must seek to ensure and maximize the effective and practicable combinations of New York State Funding and project capacity to maximize the resultant economic benefits for New York State.

In optimization of these integrated goals, NYSERDA may elect to:

- i. leverage potential incremental funding beyond the \$200 million of New York State Funding in the form of NY Green Bank Financing as a supplemental source to support a Proposal's request for New York State Assisted Financing; where any NY Green Bank Financing will be evaluated in accordance with the same criteria as New York State Assisted Financing/the criteria set forth in Section C.2.E of Appendix C.2; and/or

- ii. select a supplemental generation project from the Required Standalone Proposals and Alternate Proposals that do not include a Port Infrastructure Investment Plan based upon their Preliminary Rank Order per Section 5.1.2.

In making awards NYSERDA may furthermore consider the following program policy factors:

- The efficient utilization of key transmission points of interconnection and project selections that will promote the cost-efficient integration of 9 gigawatts of offshore wind;
- Reliability and geographic benefits and/or costs in the NYCA, and the reduction of execution risk through diversity;
- Public health benefits of reducing local air contaminants by displacing fossil generation in downstate New York;
- Secondary economic benefits in addition to those represented in the quantification of Incremental Economic Benefits, including those provided by indirect jobs and new and increased tax payments;
- Potential for visual, environmental and economic impacts and benefits, including the potential for a new source of coastal tourism;
- Competitive benefits of two or more smaller Projects versus the potential scale economy anticipated with a single large Project;
- Economic and environmental tradeoffs related to accelerated fulfillment of the CLCPA's 9,000 MW offshore wind procurement goal earlier versus the potential OREC cost reduction in future procurements due to technology progress, offshore wind transmission infrastructure development, and supply chain efficiencies serving New York; and
- Mitigation of schedule risks associated with simultaneous development of port facilities and the one or more Offshore Wind Generating Facilities that may utilize such facilities ("project-on-project risk").

Proposers are encouraged to address the above program policy factors in their Proposals to the extent applicable.

5.3 Award Group

The initial award group will be comprised of the Proposal(s) that demonstrate the most valuable contribution(s) in achieving the stated goals of this solicitation. As granted by the Offshore Wind Orders, the portfolio, timing, and balancing of benefits considerations and the conformance of the Project(s) with the Commission's objectives will be components of NYSERDA's judgment in determining the initial award group.

NYSERDA will notify the initial awardees by both voice and written communication. The date upon which NYSERDA provides such written notification shall be the initial Award Notification Date.

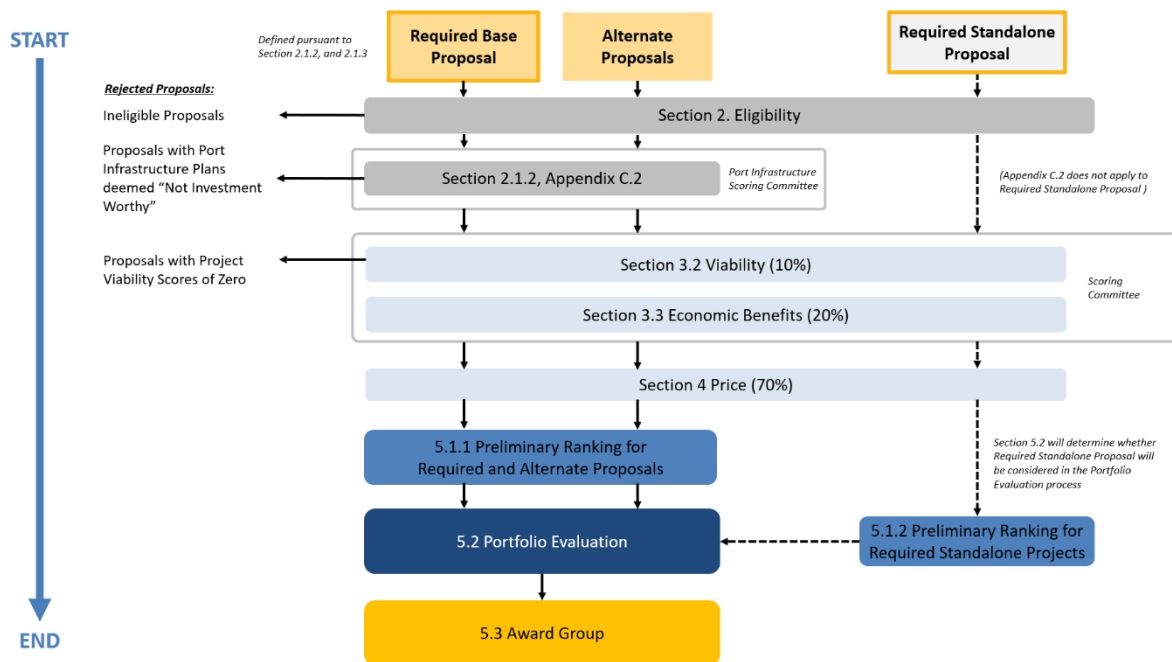
Selection for an initial award does not give the Proposer any legal right or entitlement. Once selected for initial award, Proposers must negotiate a final version of the Agreement with NYSERDA. See Sections 6.6

and 7. NYSERDA also reserves the right to solicit revised Offer Prices and/or to make counteroffers as it deems appropriate. In such case NYSERDA will provide notice by voice communication and email to Proposer’s Authorized Agent(s), as identified on the Proposal. Proposer’s Designated Agent(s) must be authorized to respond and to commit to counteroffers on behalf of Proposer.

NYSERDA may also establish a waitlist of Proposals beyond those Projects offered an initial award. Proposals represent offers to contract and must remain open for a period of at least 180 days from the Deadline for Submission of Proposals indicated in Section 1.3.

The foregoing evaluation process is summarized in Figure 2 below.

Figure 2: ORECRFP20-1 Evaluation Process



NYSERDA RESERVES THE RIGHT TO REJECT OR ACCEPT ANY OR ALL PROPOSALS.

6 INSTRUCTIONS TO PROPOSERS

6.1 Preparation of Proposals

Each Proposer shall have sole responsibility for reviewing this RFP and all attachments hereto and for investigating and informing itself with respect to all matters pertinent to this RFP, including the [NYGATS Operating Rules](#) and NYISO's Open Access Transmission Tariff (OATT) and market rules, and those of the control area into which the Project may interconnect.

Proposers should rely only on information provided in this RFP and any associated written updates posted on the on the [NYSERDA Offshore Wind 2020 Solicitation website](#) when preparing their Proposals. Each Proposer shall be solely responsible for and shall bear all of its costs incurred in the preparation of its Proposal and/or its participation in this RFP. Submission of Proposals including confidential information shall be filed in accordance with Section 6.2.2 of this RFP.

6.2 Organization and Submission of the Proposal(s)

6.2.1 Organization of the Submission

Proposers are required to organize their Proposals consistent with the instructions provided herein. Each Submission, which includes the Required Base Proposal and any Alternate Proposals, must include the following separate files:

1. **Master Offers Form**, a provided Excel workbook template, calculates the Proposal Fee, includes framework for providing Proposal summary information and identifies mapping of submitted files to Proposals common Project descriptive information and a list of one or more Offer Data Form files. Must be submitted as a working Excel file. Only one Master Offers Form can be included in the Submission.
2. **Offer Data Form**, a provided Excel workbook template, contains pricing, technical, and operational information for the proposed Offshore Wind Generation Facility, and claimed Incremental Economic Benefits of the Project. The Offer Data Form allows separate pricing to be submitted for each of the Contract Tenors. Must be submitted as a working Excel file. At least two Offer Data Forms must be included in the Submission, one for the Required Base Proposal and one for the Required Standalone Proposal. An additional Offer Data Form must be submitted for each Alternate Proposal.
3. **Port Infrastructure Investment Plan Data Form (as applicable for Alternate Proposals)**, a provided Excel workbook template, contains funding request / financing plan, project financial model, including sources and uses of funds, key assumptions and financial projections through a duration at least equal to the requested term of New York State Funding, proposed financing terms, budget, economic benefits, and construction schedule information for an Eligible Port in alignment with the corresponding Proposal Infrastructure Investment Plan. Must be submitted as a working Excel file. At least one Port Infrastructure Investment Plan Data Form must be

included in the Submission. A Port Infrastructure Investment Plan Data Form must be included in the Submission for each Port Infrastructure Investment Plan included in the submission.

4. **Proposal Narrative**, a description of the proposed Project including the Offshore Wind Generation Facility, information required to demonstrate the eligibility, viability, claimed Incremental Economic Benefits of the Project, and other relevant information and supporting documentation required to evaluate the Proposal. The organization and contents of the Proposal Narrative *must* be organized in the order presented in Section 6.4, with section numbers that correspond to the numeration in Section 6.4, *e.g.*, the Executive Summary must be Section 1 of the Proposal, and must include the following appendices as discrete, required files, named in accordance with the conventions established in Appendix J. Each Proposal Narrative file and attachment, unless otherwise noted, must be submitted as a fully searchable PDF file with numbered pages. Only one Proposal Narrative, inclusive of all Proposals offered, can be submitted. The Submission must include both Confidential and Public versions of the Proposal Narrative.

- 4.1. **Wind Resource Data** (see Section 6.4.5)

Must be submitted as a working Excel file. At least one Wind Resource Data attachment must be included in the Submission. Additional attachments may be provided if the Wind Resource Data varies between Proposals.

- 4.2. **Financing Plan** (see Section 6.4.7)

At least one Financing Plan attachment must be included in the Submission. Additional attachments may be provided if the Financing Plan varies between Proposals.

- 4.3. **Interconnection and Deliverability Plan** (see Section 6.4.8)

At least one Interconnection and Deliverability Plan attachment must be included in the Submission. Additional attachments may be provided if the Interconnection and Deliverability Plan varies between Proposals.

- 4.4. **Fisheries Mitigation Plan** (see Section 6.4.13 and Appendix D)

At least one Fisheries Mitigation Plan attachment must be included in the Submission. Additional attachments may be provided if the Fisheries Mitigation Plan varies between Proposals. The Submission must include both Confidential and Public versions of each Fisheries Mitigation Plan attachment.

- 4.5. **Environmental Mitigation Plan** (see Section 6.4.14 and Appendix E)

At least one Environmental Mitigation Plan attachment must be included in the Submission. Additional attachments may be provided if the Environmental Mitigation Plan varies between Proposals. The Submission must include both Confidential and Public versions of each Environmental Mitigation Plan attachment.

- 4.6. **Letters of Support for the Proposal** (see Section 6.4.15)

At least one Letters of Support for the Proposal attachment must be included in the

Submission. Additional attachments may be provided if the Letters of Support for the Proposal vary between Proposals.

4.7. Economic Benefits Plan (see Appendix C.1)

At least one Economic Benefits Plan attachment must be included in the Submission. Additional attachments may be provided if the Economic Benefits Plan varies between Proposals.

4.8. Port Infrastructure Investment Plan (see Appendix C.2)

At least one Port Infrastructure Investment Plan attachment must be included in the Submission. A Port Infrastructure Investment Plan must be included in the Submission for each Port Infrastructure Investment Plan Data Form included in the submission.

5. **Proposer Certification Form**, a form (Appendix B) that must be signed by Proposer's authorized representative to certify the validity of the offer and attest to other representations. Only one Proposer Certification Form can be included in the Submission.

Proposers may also submit an unlimited number of supporting attachments (each file size capped at 100MB) to provide information or studies related to the Proposal. Each attachment must be a fully searchable PDF file.

A separate Offer Data Form must be submitted for each Proposal. To the extent that other items from the above list of required files are different than the file submitted for the Required Base Proposal, additional versions of each should be attached. The Master Offers Form must be comprehensive of all submitted Proposals and offer insight into the organization of the entire Submission to facilitate its complete review and any distinguishing factors between individual Proposals. To the extent that a required file or attachment is applicable to more than one submitted Proposal, the Master Offers Form will allow this to be indicated in order to avoid multiple submissions of the same file. A Proposer may submit the same marked up Agreement for all Proposals, or a Proposer may submit separate marked up Agreements for each Proposal if there are reasons for material differences.

6.2.2 Submission Instructions

NYSERDA uses a secure Salesforce site to accept Proposal submissions.

To use this site, Proposers must first [register](#) to the Salesforce Portal at:

https://portal.nyserda.ny.gov/Core_Registration_Page?programName=Offshore_Wind.

For detailed instructions toward submission and interfaces with this site refer to Appendix J, Proposal Submission Guide. Proposers must submit two versions for each Proposal: a complete, unredacted version of the Proposal and a public version of the Proposal Narrative, as described below. Both versions of the Proposal must be uploaded to NYSERDA's secure Salesforce site at:

<https://portal.nyserda.ny.gov/login>.

Technical support for NYSERDA's Salesforce application may be reached by emailing offshorewind@nyserda.ny.gov. Proposers are encouraged to submit their files as early as possible to avoid bandwidth issues with simultaneous uploads to NYSERDA's Salesforce application.

Only fully searchable files will be accepted under this RFP.

6.2.2.1 Confidential Version of Proposals

A Proposer must submit an unredacted complete version of the Proposal(s). The confidential version of the Proposal must include the Master Offers Form, Offer Data Form and Port Infrastructure Investment Plan Data Form working Excel files, with all required information included. The Proposal Narrative and all required attachments must be submitted as searchable PDF files, with the exception of the Wind Resource Data, which must be submitted as a working Excel file. The confidential version of the Proposal will be treated as confidential and sensitive information by the Scoring Committee, subject to the treatment of confidential information discussed in Section 8.1 of this RFP.

6.2.2.2 Public Version of Proposal Narrative

The Proposal Narrative, each Fisheries Mitigation Plan, and each Environmental Mitigation Plan must be also submitted to NYSERDA in a version that can be made publicly available as a searchable PDF file. The public version must include descriptive information on all categories described in Section 6.4, but Proposers may redact information where there is a reasonable basis to assert that Proposer would be commercially harmed as a result of the disclosure of such information. See Section 8.1.

This public versions of the Proposal Narrative, Fisheries Mitigation Plan(s) and Environmental Mitigation Plan(s) will be posted on [the NYSERDA Offshore Wind 2020 Solicitation website](#) shortly after the Proposal submittal deadline. The file name of the submitted file should include the word "Public" as noted in Section J.4.3 of Appendix J. NYSERDA will not further redact the public versions of Proposal Narrative and Mitigation Plans. Anything submitted in the public versions will be made available to the public.

6.3 Offer Data Forms

The Master Offers Form, Offer Data Form (ODF) and Port Infrastructure Investment Plan Data Form (PIIPDF) documents are Microsoft Excel workbooks that can be downloaded from the [NYSERDA Offshore Wind 2020 Solicitation website](#). Each Proposer must submit a single Master Offers Form. A separate ODF is required for the Required Base Proposal, Required Standalone Proposal and each Alternate Proposal. Contract Tenor alternatives for Proposals with the same non-price aspects are included within a single ODF document. A separate PIIPDF is required for each Port Infrastructure Investment Plan. Instructions for completion are included in each form.

6.3.1 Master Offers Form

The Master Offers Form (Appendix H) has three parts, listed below, and a User Guide. If Proposer provides information within other submitted documents that conflicts with the information provided in the Master Offers Form, the ODF, Proposal Narrative, or PIIPDF shall be considered to contain the governing and binding information for both the evaluation and any resulting contract offer.

Part I Proposal Fee Calculation

Proposer name, Proposer ID, Offshore Wind Generation Facility, BOEM renewable energy lease number, list of Port Infrastructure Investment Plans included in the Submission, list of Proposals included in the Submission.

Part II Quantitative Summary of Proposals

Enter summary information about each Proposal from the Proposal Narrative (distance from shore, foundation technology, turbine model) and ODF (injection point control area, injection substation, anticipated Commercial Operation Date for the first (or only) phase, number of phases, pricing structure, offer price(s), total Economic Benefits by Category).

Part III Submission Map

List of all files included in Submission, including file category (*e.g.*, Offer Data Form, Proposal Narrative, Port Infrastructure Investment Plan, Economic Benefits Plan, Interconnection and Deliverability Plan, Fisheries Mitigation Plan, *etc.*), file name, and the Proposals to which each file applies. The Submission Map should offer clarity to NYSERDA of any individual files that service multiple Proposals (*e.g.*, a Fisheries Mitigation Plan that is common throughout) and/or where specific files are applicable only to certain Proposals. For Submission files that represent additional supporting information beyond the required file types, a description of each file is required.

6.3.2 Offer Data Form

The ODF (Appendix G) has six parts, listed below, and a User Guide. If Proposer provides information in other sections of its Proposal(s) that conflicts with the information provided in the ODF, the ODF shall be considered to contain the governing and binding information for both the evaluation and any resulting contract offer.

Part I Identification Worksheet

Proposer name, Offshore Wind Generation Facility name, BOEM renewable energy lease number, unique Proposal name (if not the Required Base Proposal or Required Standalone Proposal), pricing structure, Offer Capacity, number of phases in which Offer Capacity will enter Commercial Operation, Injection Point control area, identification of associated Port Infrastructure Investment Plans by PIIP ID, name, and total New York State Funding (each Required Base Proposal must include \$100 million to \$200 million).

Part II Project Definition Worksheet

The expected Commercial Operation Date and capacity of each phase, the P10 Annual OREC Exceedance value, the summer and winter UCAP production factors, and Injection Point and Delivery Point descriptive information.

Part III Expected Performance Worksheet

Table III-1. P50 Generation (before outages and land-based transmission and curtailment losses) as a fraction of installed capacity by month and hour of day.

Table III-2. Delivered energy as a fraction of P50 Generation by month and calendar year.

Part IV Pricing Worksheet

Offer level nominal Strike Prices (if Index OREC) or Prices (if Fixed OREC) for each Contract Tenor selected. Up to two pricing offers can be submitted in each ODF, for the 25- and 20-year Contract Tenors. The ODF for the Required Base Proposal must include an offer for the 25-year Contract Tenor.

Part V Economic Benefits Worksheets (See 6.4.17 and Appendix C.1)

Each line item listed in Tables V-1, V-2 and V-3 must be cross-referenced in the Economic Benefits Plan using the template provided in Appendix C.1.

Table V-1. Incremental Economic Benefits Category 1, Project-specific Economic Benefits not associated with New York State Funding associated with Port Infrastructure Investment Plans. Data are entered by ID number, including Project phase (development, construction or operation), time period (through third year of Commercial Operation or remainder of Contract Delivery Period), first calendar year and last calendar year in which the benefit is expected to accrue, description, and the net expenditures (stated in nominal dollars), and/or short-term and long-term direct job creation (stated in both unique jobs and FTE-years) in New York State.

Table V-2. Incremental Economic Benefits Category 2, Project-specific Economic Benefits associated with New York State Funding of Port Infrastructure Investment Plans. Data are entered by ID number, including Project phase (development, construction or operation), time period (through third year of Commercial Operation or remainder of Contract Delivery Period), first calendar year and last calendar year in which the benefit is expected to accrue, description, and the net expenditures (stated in nominal dollars), and/or short-term and long-term direct job creation (stated in both unique jobs and FTE-years) in New York State. The entries in Table V-2 must be consistent with the entries in Table II-1P for the PIIPDFs that are applicable to the Proposal that the ODF represents.

Table V-3. Incremental Economic Benefits Category 3, Industry Growth Activities. Data are entered by ID number, including time period (through third year of Commercial Operation or remainder of Contract Delivery Period), first calendar and last calendar year in which the benefit is expected to accrue, description, Proposer's planned measurement metric and quantity of the input activity.

Part VI Summary of Annual Economic Benefits

Economic Benefits entries from Category 1 (Table V-1) and Category 2 (Table V-2) re-stated on an annual total basis based on the years in which the benefits are expected to accrue.

6.3.3 Port Infrastructure Investment Plan Data Form

Each Port Infrastructure Investment Plan must be accompanied by at least one PIIPDF (Appendix I). The PIIPDF has seven parts, listed below, and a User Guide. If the Proposer provides information in the narrative Port Infrastructure Investment Plan that conflicts with the information provided in the PIIPDF, the PIIPDF shall be considered to contain the governing and binding information for both the evaluation and any resulting contract offer. In the case of conflicting information between the ODF and PIIPDF, the ODF shall govern.

Part I Identification and Financial Model

Proposer name, Offshore Wind Generation Facility name, Eligible Port, port use (manufacturing, staging, O&M support or other), Port Infrastructure Investment Plan name, PIIP ID, and the proposed private funding sources.

Part II Economic Benefits

Each line item listed in Tables II-1P and II-2P must be cross-referenced in the Port Infrastructure Investment Plan using the template provided in Appendix C.2.

Table II-1P. Incremental Economic Benefits Category 1P, Project-specific Economic Benefits associated with New York State Funding of Port Infrastructure Investment Plan. Data are entered by ID number, including Project phase (development, construction or operation), time period (through third year of Commercial Operation or remainder of Contract Delivery Period), first calendar and last calendar year in which the benefit is expected to accrue, description, and the net expenditures (stated in nominal dollars), and/or short-term and long-term direct job creation (stated in both unique jobs and FTE-years) in New York State. The entries in Table II-1P must be consistent with the entries in Table V-2 of the ODFs for the Proposals to which the PIIPDF is applicable.

Table II-2P. Incremental Economic Benefits Category 2P, Non-Project-specific Economic Benefits associated with New York State Funding of the Port Infrastructure Investment Plan. Data are entered by ID number, including description, first calendar and last calendar year (up to 2060) in which the benefit is expected to accrue, and the net expenditures (stated in nominal dollars), and/or short-term and long-term direct job creation (stated in both unique jobs and FTE-years) in New York State.

Part III Summary of Annual Economic Benefits

Economic Benefits entries from Category 1P (Table II-1P) and Category 2P (Table II-2P) re-stated on an annual total basis based on the years in which the benefits are expected to accrue.

Part IV Budget and Identification of Eligible Expenses

Enter line items associated with capital expenditures for the proposed Port Infrastructure Investment Plan in nominal dollars in the period (calendar month) in which each expense is expected to be incurred. Operational expenses are not included.

Part V Schedule

Enter key milestones in the development and construction of the proposed Port Infrastructure.

Part VI Proposed Reimbursement-Based Grant Funding Terms

Enter requested terms for the grant funding component of the proposed Port Infrastructure Investment.

Part VII Proposed New York State Assisted Financing Terms

Enter requested terms for the New York State assisted financing component of the proposed Port Infrastructure Investment.

6.4 Proposal Narrative

Only one Proposal Narrative can be included in the Submission, with both confidential and public versions. Each section of the Proposal Narrative must therefore address all Proposals included in the Submission and the variations among them.

6.4.1 Executive Summary

Proposers are required to provide an executive summary that documents the eligibility of the proposed Offshore Wind Generation Facility, and the array of Proposals included in the Submission, including the proposed Contract Tenor(s), the overall Project schedule(s) including expected Commercial Operation Date(s), and other factors Proposers deem to be important.

6.4.2 Impacts of COVID-19 on Proposer and Project Development

Proposers are required to describe how the COVID-19 pandemic has affected their business operations, the process of developing the Project, and the content of the Submission. For the avoidance of doubt, the content of this section of the Proposal Narrative is informational only and will not affect the Project Viability scoring of any of the submitted Proposals.

6.4.3 Proposer Experience

Proposers are required to demonstrate project experience and management capability to successfully develop and operate the Project proposed. NYSERDA is interested in Project Teams that have demonstrated success in developing generating facilities of similar size and complexity and can demonstrate an ability to work together effectively to bring the Project to commercial operation in a timely fashion. Proposers are required to provide the following information with their Proposal:

1. An organizational chart for the Project that lists the Project participants and identifies the corporate structure, including general and limited partners.
2. Statements that list the specific experience of Proposers and each of the Project participants (including, when applicable, Proposers, partners, and proposed contractors), in developing, financing, owning, and operating generating and transmission facilities, other projects of similar type, size and technology, and any evidence that the Project participants have worked jointly on other projects.

3. A management chart that lists the key personnel dedicated to this Project and resumes of the key personnel. Key personnel of Proposer's development team having substantial Project management responsibilities must have:
 - a. Successfully developed and/or operated one or more projects of similar size or complexity or requiring similar skill sets; and
 - b. Experience in financing power generation projects (or have the financial means to finance the Project on Proposer's balance sheet).
4. A listing of projects the Project sponsor has successfully developed or that are currently under construction. Provide the following information for each project as part of the response:
 - a. Name of the project
 - b. Location of the project
 - c. Project type, size and technology
 - d. Commercial Operation Date
 - e. Estimated and actual capacity factor of the project for the past three years
 - f. Availability factor of the project for the past three years
 - g. References, including the names and current addresses and telephone numbers of individuals to contact for each reference.
5. With regard to Proposer's Project Team, identify and describe the entity responsible for the following, as applicable:
 - a. Construction Period Lender, if any
 - b. Operating Period Lender and/or Tax Equity Provider, as applicable
 - c. Financial Advisor
 - d. Environmental Consultant
 - e. Facility Operator and Manager
 - f. Owner's Engineer
 - g. EPC Contractor (if selected)
 - h. Transmission Consultant
 - i. Legal Counsel
6. Details of Proposer's experience in NYISO markets. With regard to Proposer's experience with NYISO markets, please indicate the entity that will assume the duties of Market Participant for your proposed Offshore Wind Generating Facility. Please provide a summary of Proposer's or Market Participant's experience with the wholesale market administered by NYISO as well as transmission services performed by Con Edison, NYPA, and PSEG-LI/LIPA.

6.4.4 Project Description and Site Control

Identify the BOEM wind energy area where the proposed Offshore Wind Generation Facility will be located. Provide documentation that Proposer has a valid lease or irrevocable lease option to develop the leased area within this wind energy area over the entire Contract Tenor.

Provide a site plan (or plans) including a map (or maps) that clearly identifies the location of the proposed Offshore Wind Generation Facility, collection facilities, offshore and onshore route of the generator lead line to the interconnection point, converter station(s), and the assumed right-of-way width. Identify the anticipated interconnection point, support facilities, and the relationship of the interconnection point to other local infrastructure, including transmission facilities, roadways, and waterways.

Identify any rights that Proposer or its development partner has at the interconnection point and for the generator lead line right of way. Provide a detailed plan and timeline for the acquisition of any additional rights necessary for interconnection and for the generator lead line right-of-way. Include these plans and the timeline in the overall Project schedule in Section 6.4.11.

In addition to providing the required map(s), provide a site layout plan that illustrates the location of all on-shore and offshore equipment and facilities and clearly delineates the perimeter of the area in which offshore wind turbines will be placed. Identify the distance in statute miles between the nearest shoreline point and the nearest Offshore Wind Generation Facility turbines.

6.4.5 Energy Resource Assessment and Plan

Provide a summary of all collected wind data for the proposed Offshore Wind Generation Facility site. Identify when and how (*e.g.*, meteorological mast or LiDAR – for “Light Detection and Ranging”) the data was collected and by whom.

Indicate where the data was collected and its proximity to the proposed Offshore Wind Generation Facility site. Include an identification of the location and height for the anemometers and/or “range gate” heights for sensing by LiDAR that were used to arrive at an assessment of the site generation capability. Describe any additional wind data collection efforts that are planned or ongoing. Provide at least one year of hourly wind resource data in a working Excel file (the required Wind Resource Data attachment). Data collected from the site is preferred, though projected data is permissible. The method of data collection must also be included.

Provide a wind resource assessment report for the Proposed Offshore Wind Generation Facility site. Include an analysis of the available wind data which addresses the relationship between wind conditions and electrical output. Provide a site-adjusted power curve. Each curve should list the elevation, temperature and air density used.

6.4.6 Operational Parameters

Provide partial and complete planned outage requirements in weeks or days for the Offshore Wind Generation Facility. Also, list the number of months required for the cycle to repeat (*e.g.*, list time interval of minor and major overhauls, and the duration of overhauls).

Provide all the expected operating constraints and operational restrictions for the Project, the reason for the limitation, and characterize any applicable range of uncertainty.

6.4.7 Business Entity and Financing Plan

Proposers are required to demonstrate the financial viability of their proposed Project. A narrative description of the financing plan should be included in the Proposal Narrative. Detailed supporting information, including financial statements and other documents, should be included in the required Financing Plan attachment. Proposers should provide the following information:

1. Submit information and documentation that demonstrates that a long-term contract resulting from this RFP process would either permit Proposers to finance Proposals that would otherwise not be financeable or assist Proposers in obtaining financing of its Proposal.
2. Describe the business entity structure of Proposers' organization from a financial and legal perspective, including all general and limited partners, officers, directors, managers, members and shareholders, and involvement of any subsidiaries supporting the Project. Provide an organization chart showing the relationship among the different Project participants. For joint ventures, identify all owners and their respective interests, and document Proposers' right to submit a binding Proposal.
3. Provide a description of the financing plan for the Project, including construction and term financing. The financing plan should address the following:
 - a. Who will finance the Project (or are being considered to finance the Project) and the related financing mechanism or mechanisms that will be used (*i.e.*, convertible debenture, equity or other) including repayment schedules and conversion features
 - b. The Project's existing initial financial structure and projected financial structure
 - c. Expected sources of debt and equity financing
 - d. Describe how any such agreements would differ, contingency on NYERDA's selecting either the Fixed OREC or Index OREC form of pricing
 - e. Estimated construction costs
 - f. The projected capital structure
 - g. Describe any agreements, both pre and post Commercial Operation Date, entered into with respect to equity ownership in the proposed Project and any other financing arrangement.
4. Provide documentation illustrating the experience of Proposer in securing financing for projects of similar size and technology. For each project previously financed provide the following information:
 - a. Project name and location
 - b. Project type and size
 - c. Date of construction and permanent financing
 - d. Form of debt and equity financing
 - e. Current status of the project
5. Provide evidence that Proposer has the financial resources and financial strength to complete and operate the Project as planned.

6. Describe the role of the Federal Production Tax Credit or Investment Tax Credit (or other incentives) on the financing of the Project, including presumed qualification year and percentage. The Proposal may not be contingent on receipt of the Production Tax Credit or Investment Tax Credit.
7. Provide complete copies of the most recent audited financial statement and annual report for each Proposer for each of the past three years; including affiliates of Proposer (if audited statements are not available, reviewed or compiled statements are to be provided). Also, provide the credit ratings from Standard & Poor's and Moody's (the senior unsecured long-term debt rating or if not available, the corporate rating) of Proposer and any affiliates and partners.
8. List the board of directors, officers and trustees for the past three years and any persons who Proposer knows will become officers, board members or trustees.
9. Demonstrate Proposer's ability (and/or the ability of its credit support provider) to provide the required security, including its plan for doing so.
10. Provide a description of any current or recent credit issues/ credit rating downgrade events regarding Proposer or affiliate entities raised by rating agencies, banks, or accounting firms.
11. Disclose any pending (currently or in the past three years) litigation or disputes related to projects planned, developed, owned or managed by Proposer or any of its affiliates in the United States, or related to any energy product sale agreement.
12. Provide the expected operating life of the proposed Project and the depreciation period for all substantial physical aspects of the offer, including generation facilities, generator lead lines to move power to the grid, and transmission system upgrades.
13. List all of Proposers' affiliated entities and joint ventures transacting business in the energy sector.
14. Describe any litigation, disputes, claims or complaints, or events of default or other failure to satisfy contract obligations, or failure to deliver products, involving Proposer or an affiliate, and relating to the purchase or sale of energy, capacity or RECs or other electricity products.
15. Confirm that Proposer, and the directors, employees and agents of Proposer and any affiliate of Proposer are not currently under investigation by any governmental agency and have not in the last four years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction involving conspiracy, collusion or other impropriety with respect to offering on any contract, or have been the subject of any debarment action (detail any exceptions).

6.4.8 Interconnection and Deliverability Plan

Proposers are required to demonstrate the Offshore Wind Generation Facility's interconnection status and deliverability capabilities. A narrative description of the interconnection and deliverability plan should be included in the Proposal Narrative. Detailed supporting information should be included in the

required Interconnection and Deliverability Plan attachment. Proposers should provide the following information:

1. Provide documentation to show evidence of the interconnection request to NYISO or any neighboring control areas for Capacity Resource Interconnection Service (CRIS) or for Energy Resource Interconnection Service, or similar interconnection standards in neighboring control areas. For Proposals where capacity is to be delivered to NYCA, Proposers should describe any required transmission system upgrades and provide an estimate of the required transmission system upgrade costs under NYISO CRIS to meet deliverability requirements in NYISO. Evidence that Proposer has a pending, valid interconnection request is sufficient for eligibility under this RFP, but further detail will add to the viability of the proposed plan. Describe the status of any planned interconnection to the grid. Any interconnection studies undertaken by the applicable control area or third parties on behalf of Proposer must be provided.
2. Provide a copy of an electrical one-line diagram showing the interconnection facilities and the relevant facilities of the transmission provider.
3. Identify and provide an estimate of cost, supported by an independent third party, for all proposed or anticipated interconnection and transmission upgrades, including any transmission upgrades beyond the point of interconnection that are needed to ensure delivery of energy from the Offshore Wind Generation Facility into NYCA. Describe measures to identify and control the regulatory and operational risks related to the delivery of energy from the Offshore Wind Generation Facility.
4. Demonstrate that energy and associated ORECs generated by the facility can be delivered into the NYCA. For an Offshore Wind Generation Facility interconnecting in an adjacent Control Area, describe how Proposer intends to fulfill the External Project Delivery Requirement.
5. Provide detail regarding the available capacity, at the time of submission, of the proposed Injection Point.
6. Provide detailed maps that show the proposed off- and on-shore cable route(s) from landfall the proposed Injection Point including as much supportive detail and information of relevance for an actual or eventual Article VII filing as available at the time of submission.

6.4.9 Environmental Assessment and Permit Acquisition Plan

Proposers are required to demonstrate a plan for environmental assessment and permit acquisition for the Offshore Wind Generation Facility. Proposers should provide the following information:

1. Provide a comprehensive list of all the permits, licenses, and environmental assessments and/or environmental impact statements required to construct and operate the Project. Along with this list, identify the governmental agencies that are responsible for issuing approval of all the permits, licenses, and environmental assessments and/or environmental impact statements. If a

Proposer has secured any permit or has applied for a permit, please indicate this in the response.

2. Provide the anticipated timeline for seeking and receiving the required permits, licenses, and environmental assessments and/or environmental impact statements. Include a Project approval assessment which describes, in narrative form, each segment of the process, the required permit or approval, the status of the request or application and the basis for projection of success by the milestone date. All requirements should be included on the Project schedule in as described in Section 6.4.11.
3. Provide the SAP and COP, if completed. If the SAP and/or COP are not completed, provide the status of development of these plans and a proposed plan and timeline for completion.

6.4.10 Engineering and Technology

Provide information about the specific technology or equipment including the track record of the technology and equipment and other information as necessary to demonstrate that the technology is viable.

1. Provide a preliminary engineering plan which includes at least the following enumerated information. If specific information is not known, identify manufacturers, vendors, and equipment that will be considered.
 - a. Type of foundation, Offer Capacity, and generator lead line transmission technology
 - b. Major equipment components to be used, including nacelle, hub, blade, tower, foundation, transmission structures and platforms, electrical equipment and cable)
 - c. Manufacturer of each of the equipment components as well as the location of where each component will be manufactured
 - d. Status of acquisition of the equipment components
 - e. Status of any contracts for the equipment Proposer has or Proposer's plan for securing equipment and the status of any pertinent commercial arrangements
 - f. Equipment vendors selected/considered
 - g. Track record of equipment operations
 - h. Design considerations (technology selection, layout) for climate adaptation and resiliency such as sea level rise and dynamic flooding events, potential impacts from increased frequency and severity of storms (i.e. superstorms, hurricanes), seismic activity, etc.
 - i. Design considerations that help to support responsible disposal and or recycling of components after the end of their useful life and equipment plans that generally aim to consider the precepts of the circular economy.
 - j. In the event the equipment manufacturer has not yet been selected, identify in the equipment procurement strategy the factors under consideration for selecting the preferred equipment, including alignment with the considerations above, as well as the anticipated timing associated with the selection of the equipment manufacturer, including the timing for binding commercial agreement(s).

2. Describe the lighting controls that will be utilized on the Offshore Wind Generation Facility and explain how these controls comply with the minimum contract standards and the Offshore Wind Order.

6.4.11 Project Schedule

A Proposer must demonstrate that its Project can be developed, financed, and constructed within a commercially reasonable timeframe. Proposer is required to provide sufficient information and documentation showing that Proposer's resources, process, and schedule are adequate for the acquisition of all rights, permits, and approvals for the financing of the Project consistent with the proposed milestone dates that support the proposed Commercial Operation Date(s).

Proposers are required to provide a complete critical path schedule for the Project from the notice of award to the start of commercial operations. For each Project element listed below, provide the start and end dates:

1. Identify the elements on the critical path. The schedule should include, at a minimum, preliminary engineering, financing, acquisition of real property rights, Federal, state and/or local permits, licenses, environmental assessments and/or environmental impact statements (including anticipated permit submittal and approval dates), completion of interconnection studies and approvals culminating in the execution of the Interconnection Service Agreement, financial close, engineer/procure/construct contracts, start of construction, construction schedule, and any other requirements that could influence the Project schedule.
2. Describe the anticipated permissible offshore construction windows, and how the construction milestones will be accommodated within these windows.
3. Detail the status of all critical path items, such as receipt of all necessary siting, environmental, and NYISO approvals.

6.4.12 Construction and Logistics

This section of the Proposal addresses necessary arrangements and processes for outfitting, assembly, storage, and deployment of major Project components such as turbine nacelles, blades, towers, foundations, and transmission support structures. Please provide a construction and logistics plan that captures the following objectives:

1. List the major tasks or steps associated with deployment of the proposed Project and the necessary specialized equipment (*e.g.*, vessels, cranes).
2. Identify the marine terminals and other waterfront facilities that will be used to stage, assemble, and deploy the Project for each stage of construction.
 - a. If available, evidence that Proposer or the equipment/service provider have right(s) to use a marine terminal and/or waterfront facility for construction of the Project (*e.g.*, by virtue of ownership or land development rights obtained from the owner).

- b. If not available, describe the status of acquisition of real property rights for necessary marine terminal and/or waterfront facilities, any options in place for the exercise of these rights and describe the plan for securing the necessary real property rights, including the proposed timeline. Include these plans and the timeline in the overall Project schedule in Section 6.4.11.
 - c. Identify any joint use of existing or proposed real property rights for marine terminal or waterfront facilities.
3. Describe the proposed approach for staging and deployment of major Project components to the Project site. Include a description and discussion of the laydown facility/facilities to be used for construction, assembly, staging, storage, and deployment.
4. Indicate the number, type and size of vessels that will be used, their respective uses, and how vessels will be secured for the required construction period. Explain how Proposer's deployment strategy will conform to requirements of the Merchant Marine Act of 1920 (the Jones Act).
5. List the party or parties responsible for each deployment activity and describe the role of each party. Describe the status of Proposer's contractual agreements with third-party equipment/service providers.

6.4.13 Fisheries Mitigation Plan

Proposers must include in their Proposal a Fisheries Mitigation Plan in as much detail as possible that describes how Proposer will mitigate adverse impacts on the commercial fishing industry that may be caused by the Project. A narrative description of the Fisheries Mitigation Plan should be included in the Proposal Narrative. The Fisheries Mitigation Plan itself should be submitted as the required Fisheries Mitigation Plan attachment. Both confidential and public versions of the Fisheries Mitigation Plan must be included in the Submission. Elements of the Fisheries Mitigation Plan are described in detail in Appendix D. Proposers are advised to review the Fish and Fisheries Study prepared for the New York State Offshore Wind Master Plan with respect to the potential impacts of offshore wind energy development on the fishing industry, and also are advised to include in their mitigation plan the appropriate Best Management Practices described in the Master Plan, its supporting studies and more recent relevant work.

6.4.14 Environmental Mitigation Plan

Proposers must include in their Proposals a detailed Environmental Mitigation Plan that describes how Proposer will mitigate adverse environmental impacts that may be caused by the Project. A narrative description of the Environmental Mitigation Plan should be included in the Proposal Narrative. The Environmental Mitigation Plan itself should be submitted as the required Environmental Mitigation Plan attachment. Both confidential and public versions of the Environmental Mitigation Plan must be included in the Submission. Elements of the Environmental Mitigation Plan are described in detail in Appendix E. Proposers are advised to review the environmental studies prepared for the New York State Offshore Wind Master Plan with respect to the potential impacts of offshore wind energy development on the environment, and also are advised to include in their mitigation plan the appropriate Best

Management Practices described in the Master Plan, its supporting studies and more recent relevant work.

6.4.15 Community Engagement Plan

Provide a community engagement plan that identifies proposed stakeholder engagement activities during construction and operation of the Project. A narrative description of the community engagement plan should be included in the Proposal Narrative. Discuss the status of implementing the community engagement plan. Include information on specific localized support and/or opposition to the Project of which Proposer is aware. Detailed supporting information, including copies of any agreements with communities and other constituencies impacted by the Project, not already covered in the Fisheries Mitigation Plan or the Environmental Mitigation Plan, and documentation identifying the level of public support for the Project including letters from public officials, community and local interest groups, newspaper articles, *etc.* should be included in the required Letters of Support for the Proposal attachment.

6.4.16 Visibility and Viewshed Impacts

Proposers must address a Project's visibility from shore. If a Project is proposed to include turbines less than 20 statute miles from the nearest shoreline point of any state, Proposers must explain (i) how the Project will minimize adverse impacts related to visibility of turbines, including potential impacts on the local and state economy and historic and visual resources, such as publicly-accessible viewsheds, and (ii) how consideration of economic and environmental concerns contributed to the proposed distance from shore.

Additionally, all Proposals, regardless of distance from the nearest shoreline, must include a visibility study that presents visual simulations of the proposed Offshore Wind Generation Facility. Visibility studies must include a map or maps along with supporting GIS shape files that depict the nearest coastline, the boundary of the proposed site to be developed and any other reasonable reference points (*e.g.*, coastal cities, historic sites, other wind energy areas). Simulations must be single frame, photographic images with superimposed simulations of the proposed wind turbine technology configured to represent a commercially-scaled and technically feasible scenario that is consistent with the proposed Project including operating capacity, wind turbine size, and generic spacing and configuration. Viewing instructions must be included on each simulation.

Visual simulations must represent, at a minimum, clear, partly cloudy, and overcast conditions during early morning, mid-afternoon, and late day, as well as one simulation at night with the turbines lit under clear conditions. Visual simulations must be provided from a minimum of two representative vantage points which represent the closest points to shore from any turbine within the Offshore Wind Generation Facility and, if applicable, any sensitive or historic viewpoints within 20 statute miles of the nearest turbine. The visibility study must also include analysis of the percentage of time during which different visibility conditions are expected to occur based on past meteorological data.

The simulations must be provided in a format suitable to be printed or electronically viewed by the public and/or the Scoring Committee.

6.4.17 New York Economic Benefits

Proposers must submit their claimed Incremental Economic Benefits by category using the Offer Data Form and support these claims by submitting an Economic Benefits Plan. All claimed expenditures and investments should be provided in nominal dollars (U.S.) at the time of Proposal submission.

The Proposal Narrative should include a high-level narrative summary of the Economic Benefits Plan for each Proposal included in the Submission. The Economic Benefits Plan for each Proposal should be submitted in a separate required Economic Benefits Plan attachment.

The Economic Benefits Plan must include descriptions and supporting documentation for their Incremental Economic Benefits Claims, as described below.

The prorated portion of investments in oversized transmission and interconnection facilities not needed to support the Offshore Wind Generation Facility shall not be included as an Economic Benefit.

As this RFP seeks to deliver a coordinated solution to the priorities of enabling offshore wind projects in New York and those activities, expenditures, and investments – including specifically the investment of up to \$200 million in New York State funding in port infrastructure related to offshore wind.

The Economic Benefit Plan and associated Economic Benefit Claims made for every Proposal that includes a Port Infrastructure Plan must be supported by and consistent with the Port Infrastructure Investment Plan.

6.4.17.1 Economic Benefits Plan

The purpose of the Economic Benefits Plan is (i) to allow Proposer to document its approach to fulfilling the claims that are provided in the Offer Data Form, (ii) to allow Proposer to explain and justify its Incremental Economic Benefits claims, (iii) to help NYSERDA assess the credibility of the Incremental Economic Benefits claimed in the Offer Data Form.

In the Economic Benefits Plan, Proposer must also describe the manner in which Proposer will comply with the New York State Supplier Opportunity requirement described in Section 2.2.10. The Economic Benefits Plan should:

1. Provide a description of how Proposer will evidence in post-contracting biannual reports such compliance for any package of work, on Proposer's behalf or on behalf of its Major Suppliers, with respect to information such as:
 - a. The expected scope of work;
 - b. The estimated value of the scope of work;
 - c. The names of New York companies invited to tender; and
 - d. Evidence that New York State companies have been made aware of the opportunity.
2. Identify any exceptions to providing opportunities to New York vendors for those opportunities deemed by Proposer as impractical to be serviced by the New York State supply chain at this time, along with the reason and justification for designating the

contracting opportunity as an exception. There are three exceptions to providing opportunities to New York vendors:

- a. No New York company can reasonably be expected to have the capability to deliver a scope of work in the timescale needed for the Project;
- b. Proposer or its Major Suppliers have existing or committed contractual arrangements at the time of the offer with suppliers outside of New York; or
- c. The selection of a New York supplier would be impractical (for example, if the customer for the scope of work is outside of New York) or if it would add significant commercial or technical risk to the Project.

6.4.17.2 Economic Benefits Category 1: Project-Specific Economic Benefits not associated with New York State Funding associated with Port Infrastructure Investment Plans

Category 1 is comprised of offshore wind Project-specific spending, investment and job creation in New York State. It includes those net expenditures by developers and their supply chains in New York State, including in-state purchases, employment, and payments/benefits to New York State government or other entities. It also includes long-term capital investments in offshore wind-enabling supply chain, infrastructure, workforce development and research and development (R&D) initiatives in the state that will have an enduring impact on the offshore wind industry and the New York State economy. The Proposal will also describe the degree to which the development and construction of the Offshore Wind Generation Facility will directly create short and long-term jobs in New York State. Induced benefits related to the expenditure of workers' and proprietors' salaries will not be considered. Expenditures and investments that are associated with New York State Funding of a Port Infrastructure Investment Plan are not to be included in Category 1.

A description of Category 1 expenditure types is provided in Appendix C.1. All Category 1 line items must be appropriately cross referenced in the Offer Data Form

6.4.17.3 Economic Benefits Category 2: Project-specific Economic Benefits associated with New York State Funding of Port Infrastructure Investment Plan(s)

Category 2 is comprised of expenditures and jobs that are specifically associated with on New York State Funding of a Port Infrastructure Investment Plan. The items in Category 2 of the Economic Benefits Plan, and the ODF, should include all Category 1P Economic Benefits associated with each of the Port Infrastructure Investment Plans included in the Proposal. All Category 2 line items must be appropriately cross referenced in the ODF.

6.4.17.4 Economic Benefits Category 3: Industry Growth Activities

Category 3 consists of activities that provide opportunities for growth in New York State's offshore wind industry such as supply chain, workforce, research and development, and efforts related to the emerging circular economy related to offshore wind. This category includes programmatic actions that will have desirable impacts on the New York State supply chain and workforce, but the value of which is not denominated in dollars or is not expressly linked to an offshore wind project and is therefore indirectly tied to, or difficult to compare to the large expenditures grouped under Category 1 or Category 2. These Industry Growth Activities include impactful actions taken on the part of Proposer to

enhance the New York offshore wind market, supply chain development, or local workforce. Expenditures associated with these actions should be included in Category 1. The actions and value of those actions and metrics by which they are to be measured should be included in Category 3.

Industry Growth Activities that have the potential to benefit New York State may include but are not limited to those actions and/or developments are delineated in Appendix C.1. Category 3 input activities are *additional* to the New York State Supplier Opportunity threshold requirement that Proposers must agree to provide companies with the opportunity to offer to provide goods and services to developers of the Project for which there is capability in New York State.

The Economic Benefit Plan must include a written description of the input activities that Proposer will take under Category 3. Where possible, Proposer should seek to quantify the input activities, and provide documentary evidence of past examples of similar activities and the impacts they had and supporting documentation from potential partners or beneficiaries. In general terms, Proposers should describe:

1. The nature of the intended commitment;
2. The timetable for undertaking the activity;
3. A discussion of any risks or uncertainties, including the degree to which it is dependent on factors outside Proposer's control, and describe what these factors are;
4. The potential impact of the activities and the factors that will influence the impact;
5. The resources Proposer will deploy (financial or manpower) to deliver the activity; and
6. The organizations with whom Proposer will work.

Proposer should summarize any engagement with third-party organizations that would be involved in the successful delivery of Proposer's commitments. The Category 3 description must also include subsections for Business and Workforce Engagement Plans. Proposer should explain the strategic importance of commitment and how it fits into overall regional offshore wind market development and identify the duration of any commitment.

All Category 3 line items must be appropriately cross referenced in the Offer Data Form.

6.4.17.5 Port Infrastructure Investment Plan(s) (See Appendix C.2)

The Port Infrastructure Investment Plan should describe plans to leverage New York State Funding to support offshore wind staging, manufacturing, and/or other miscellaneous offshore wind related uses of Eligible Ports that create real, persistent and sustainable institutional or labor capabilities in New York State, and that lower the cost of future offshore wind projects.

The Port Infrastructure Investment Plan(s) associated with the Proposal must align with the Proposer's Economic Benefit Plan(s) and associated Economic Benefit Claims as described in Appendix C.1 above; specifically, those Economic Benefit Claims associated with Category 2 that are predicated on New York State Funding. For the avoidance of doubt, New York State funds cannot themselves be counted as part of a Proposal's Economic Benefits Plan or Claims, rather the economic outcomes that are enabled therefrom.

The Proposal Narrative should include a high-level narrative summary of each Port Infrastructure Investment Plan included in the Submission. Each Port Infrastructure Investment Plan must be submitted in a separate required Economic Benefits Plan attachment.

The organization and contents of the Port Infrastructure Investment Plan should align with the structure outlined in Appendix C.2. If a Proposer's submission includes multiple Eligible Ports, a separate Port Infrastructure Investment Plan and PIIPDF must be submitted for each Eligible Port.

6.4.18 Carbon Emissions and Embodied Carbon

Proposers are required to describe how the Project will actively support the outcomes envisioned by New York's State's nation-leading climate legislation, the CLCPA, including its target of reducing greenhouse gas emissions 80% by the year 2050. In fulfillment of which, the Proposal should demonstrate a commitment to understanding the carbon footprint of the Proposed Project overall and a description of how, by design, the Project is actively seeking opportunities to reduce the amount of embodied carbon. To begin to provide some basic accountability for embodied carbon, the Proposal must describe the efforts undertaken by the Proposer, including any tools or methodologies used, to better understand and consider carbon intensity in design, sourcing and construction, and the steps that have been taken to minimize carbon emissions, including embodied carbon, from the proposed Project. The Proposer should also propose the methodology by which such reduction activities will be considered and integrated into the Project's design as the project evolves. Finally, the Proposer should include the proposed process by which the Proposer will validate, following commissioning of the Project, a final accounting of the Project's embodied carbon, including any methodology and certifiable environmental product declarations, to promote disclosure of the Project's ultimate carbon footprint and relatedly, the Project's energy and carbon payback periods.

6.5 Proposer Certification

Proposer must complete and submit the Proposer Certification in Appendix B. The Proposer Certification must be signed by an authorized officer or other duly authorized representative of Proposer.

6.6 Exceptions to Agreement

If Proposer is proposing any exceptions to the Agreement, included as Appendix F, Proposer must provide a redlined markup of the Agreement and provide an explanation and justification for each requested change.

Note that ORECRFP20-1 is a competitive procurement. Competitive procurement rules and the Offshore Wind Order limit NYSERDA's ability to alter the terms of the Agreement. Should the Project receive an award, NYSERDA will contact Proposers to schedule a discussion regarding the terms identified in the redlined markup of the Agreement. Requested changes that recognize the limitations imposed by the competitive procurement rules and the Offshore Wind Orders will have no impact on the scoring or evaluation of the Proposal.

7 POST-AWARD PROCESS

7.1 Provision of Contract for Execution

Upon successful completion of negotiations regarding the terms and conditions, NYSERDA will prepare a conformed copy of the Agreement (Appendix F) which will be delivered to the awarded Proposer, in a manner to be agreed upon, for Proposer's execution and return. NYSERDA may rescind an award should negotiations with the Proposer fail or should such negotiations continue unsuccessfully beyond a reasonable time beyond the initial Award Notification Date.

7.2 Provision of Ports Contract for Execution

If selected for conditional award, Proposers will be expected to work with NYSERDA to incorporate material commitments from the Port Infrastructure Investment Plan into the Agreement (Section 12.11 and Exhibit L).

7.3 Provision of Contract Security

Upon successful completion of negotiations, Awardees will be required to provide Contract Security as described in Article XV of the Agreement.

8 GENERAL CONDITIONS

8.1 Proprietary Information

Consideration should be given before confidential information is submitted to NYSERDA as part of any Proposal. Proposers should consider and review whether information is critical for evaluation, and whether general, non-confidential information may be adequate for review and evaluation purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. The Public Officers Law includes exceptions to disclosure, including Section 87(2)(d) which provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Any information submitted to NYSERDA that 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. NYSERDA reserves the right to make public, after the fifth anniversary of the award date, the Agreement executed with any awarded Proposal.

8.2 State Finance Law Sections 139-j & 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>

Proposer must certify that he/she will comply with State Finance Law sections 139-j and 139-k and a provide disclosure statement regarding whether Proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

8.3 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>.

8.4 Omnibus Procurement Act of 1992

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

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

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

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

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

8.5 Disclosure Requirement

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

8.6 Press Releases and Media Contact

Proposer shall not distribute any press release or contact the media until after the Agreement is executed by both parties and any New York State press releases regarding the awards have been issued. If Proposer wishes to contact the press regarding the award, Proposer must collaborate with NYSERDA's Designated Contacts and Director of Communications to prepare any press release and/or to plan for any announcement. NYSERDA reserves the right to make public, after the fifth anniversary of the Award Notification Date, the Agreement executed with any awarded Project.

8.7 Independent Entities/Limitation of Liability

Neither this RFP nor any other aspect of this solicitation shall create an agency, partnership, joint venture, or co-tenancy relationship among the members of the Evaluation Team or any other individuals or entities involved in the development or administration of this RFP (collectively, the "RFP Parties"), nor any other relationship or liability beyond those (if any) explicitly adopted in writing and executed by authorized representatives of the applicable RFP Parties. None of the RFP Parties shall be liable for any act or omission of any other RFP Party. Neither this RFP nor any other aspect of this solicitation creates or is intended to create third-party beneficiaries hereunder. In no event will an RFP Party be liable to any person for special, incidental, punitive, exemplary, indirect or consequential damages or lost profits, whether by statute, in tort or contract or otherwise.

DISCLOSURE STATEMENT
Competitive Solicitations



This Disclosure Statement is provided with respect to my proposal and sets forth potential conflicts of interest, either real or perceived, for myself or any member of my immediate family, partner(s), or joint venture, with the firms that have responded to this solicitation.

Section I of this Disclosure Statement describes the potential conflicts of interest. Section II of this Disclosure Statement describes the management plan for dealing with the potential conflicts of interests as described in Section I of this form.

SECTION I – DESCRIPTION OF POTENTIAL CONFLICTS OF INTEREST

SECTION II – REMEDY FOR DEALING WITH POTENTIAL CONFLICTS OF INTEREST

Name: _____

Title: _____

Signed: _____

Date: _____



Home Energy Rating Provider
Program Opportunity Notice (PON) 4038
Approximately \$1,000,000 available

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

**Rolling submissions are being accepted until 3:00pm Eastern time on July 31, 2020
or until all funds are committed.**

The New York State Energy Research and Development Authority (NYSERDA) is seeking applications to competitively select home energy contractors and licensed home inspectors to be Home Energy Rating Providers and participate in a pilot program to use home energy ratings to encourage homeowners and homebuyers to invest in energy efficiency upgrades. The solicitation consists of multiple rounds:

Open now:

Round 3: NYSEDA is seeking seek applications from home energy contractors and licensed home inspectors.

Prior rounds:

Round 1: NYSEDA sought applications from participating contractors in NYSEDA's Home Performance with ENERGY STAR® Program to use home energy ratings as a sales tool by delivering ratings to eligible homeowners.

Round 2: NYSEDA sought applications from licensed home inspectors to deliver ratings to homebuyers as part of a pre-purchase inspection.

Informational Webinar: NYSEDA will conduct an informational webinar for Round 3 on June 2nd at 10:30am during which NYSEDA will review the requirements of this solicitation and answer questions. Follow this link to register to attend the webinar:

<https://nyserdany.webex.com/nyserdany/onstage/g.php?MTID=edf692110e64471c8e7bca41d0ee05428>

Within this solicitation, the term "Applicant" refers to a company responding to this solicitation by submitting an application to NYSEDA for pilot participation. "Pilot Provider" refers to an Applicant that has been selected for pilot participation by NYSEDA and with whom a pilot participation agreement has been executed.

Questions may be submitted via email to HomeScore@nyserda.ny.gov prior to the webinar. Applicants will have the opportunity to type-in and ask questions during the webinar as well. NYSEDA will post questions and responses on the "Current Opportunities" section of NYSEDA's website after the webinar. All questions will be posted anonymously, and NYSEDA's written responses will supersede verbal responses given during the webinar.

Applicants are encouraged to check the Current Funding Opportunities page throughout the solicitation period. Questions and answers may be added or revised during the solicitation period. Look for the

Home Energy Rating Provider (PON 4038) link in the “Current Funding Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Application 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. Application 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 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 [Application Instructions and Portal Training Guide \[PDF\]](#) link located in the “Current Opportunities” section of NYSERDA’s website.

No communication intended to influence this procurement is permitted except by contacting:

Keith Bohling (Designated Contact, Primary Contact)
(518) 862-1090, ext. 3491
HomeScore@nyserda.ny.gov

If you have contractual questions concerning this solicitation, contact:

Venice Forbes (Designated Contact)
(518) 862-1090, ext. 3507
VeniceSolicitations@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 Applicant, and (2) may result in the Applicant not being awarded.

I. Introduction

With 73% of homeowners planning to improve their homes within a year¹ and only 35% satisfied with the efficiency of their home², there is demand from homeowners to learn about energy efficiency opportunities in their home. For home energy contractors, a home energy rating may be a beneficial addition to an existing sales approach to encourage market-rate homeowners to proceed with energy efficiency upgrades. With nearly 60% of homebuyers considering a home that needs renovating³, a home energy rating delivered as part of a pre-purchase inspection can provide a roadmap to energy efficiency opportunities. As the homebuyer becomes the homeowner, the home energy rating supports remodeling decisions that include improving the energy efficiency of the home.

Home Energy Ratings are similar to a Miles Per Gallon rating on a car, providing easy-to-understand visual reports that give homeowners and homebuyers insight into how a home performs in areas like insulation, air sealing, heating & cooling efficiency, and hot water heating. Each rating comes with a list of recommendations or improvement plan that helps homeowners plan upgrades to increase the efficiency, comfort, and value of their home.

The New York State Energy Research and Development Authority (NYSERDA) is administering the Home Energy Ratings Pilot (Pilot) to assist New York homeowners in improving the energy performance, durability, comfort, and safety of existing one- to four-family homes. The Pilot will last 2-3 years to establish home energy ratings in specific markets to increase consumer awareness and demand for energy efficiency services. The Pilot targets homeowners who are ready to invest in their new homes and are looking for independent, trustworthy information. Home energy contractors and home inspectors who apply and are accepted as Pilot Providers will provide homebuyers with third-party home energy performance ratings including opportunities for improving a home's energy efficiency and therefore the home's comfort, safety and cost performance.

NYSERDA will supply incentives, training, software, and coaching to help home energy contractors and home inspectors expand their service to include this new opportunity.

The objectives of the Pilot are to:

- Encourage homebuyers and homeowners to make energy efficiency upgrades
- Establish the best practices for delivering home energy ratings to homebuyers

Two home energy rating systems will be used in the Pilot: The US Department of Energy's ("DOE") **Home Energy Score** and **Pearl Home Certification** (collectively "Rating System(s)"). Each Rating System will be tested in different geographic markets to help evaluate each Rating Systems' impact on the market independently.

Home Energy Score will be offered in:

- Broome County
- Erie County
- Queens County

Pearl Home Certification will be offered in:

- Monroe County
- Richmond County
- Tompkins County

¹ 2019 LightStream Home Improvement Survey, LightStream

² 2013 Demand Institute Housing & Community Survey, Demand Institute

³ <https://news.move.com/2019-04-15-Spring-Home-Buyers-Eye-Homes-in-Need-of-Renovation>

Benefits of participating in the Pilot include:

- Capture new customers who learn about ratings via NYSERDA-sponsored marketing and promotional efforts
- Generate additional income with ability to offer free or reduced cost third-party ratings to customers, initially with incentives from NYSERDA
- Become a market leader and position yourself to earn referrals from customers, agents, and contractors
- Help make homebuyers eligible for additional mortgage and loan options
- Free training and mentoring
- Leverage third-party Pilot partner quality control to increase credibility with customers

Expectations for Pilot Providers:

- On-Boarding:
 - Each person providing ratings must attend training (online or in-person). NYSERDA provides an incentive for training time, detailed in the Program Manual (Attachment E).
 - Work with a Pilot-provided mentor while delivering initial scores. After each home visit, the mentor will review the rating, provide coaching, and answer any questions.
- During Pilot:
 - Promote home energy ratings to customers
 - Record home energy features in applicable software
 - Capture digital images of the home's energy features in applicable software
 - Deliver an average of five (5) ratings per month
 - Support quality assurance reviews
 - Actively provide feedback and make adjustments based on pilot learnings

Potential Applicants must read the Home Energy Rating Pilot Participation Agreement (Attachment D) and the Program Manual (Attachment E) which provide more information about the Pilot. NYSERDA expects to select up to four home energy contractors and up to four home inspectors per pilot market area in each round.

Funding has been allocated as part of the Clean Energy Fund's Engaging New Markets Initiative approved on December 1, 2017 (copy available at <https://www.nyserda.ny.gov/-/media/Files/About/Clean-Energy-Fund/CEF-Residential-Chapter.pdf>).

II. Qualifications

1. Each Applicant company must meet both coverage requirements (a) and (b):
 - a) Maintain general liability insurance and professional liability insurance (errors & omissions) per section 2.07 of the Participation Agreement. A certificate copy will be required if the Applicant is selected for pilot participation.
and
 - b) Maintain worker's compensation coverage per section 2.08 of the Participation Agreement. A certificate copy will be required if the Applicant is selected for pilot participation.
2. **For home energy contractors**, each person within the Applicant's company that will be providing ratings must possess at least one of the following certifications:
 - a) Association of Energy Engineers (AEE) Certified Energy Auditor
 - b) ASHRAE Building Energy Assessment Professional
 - c) Building Performance Institute (BPI) Building Analyst
 - d) BPI Energy Auditor
 - e) BPI Multifamily Building Analyst
 - f) ICP Quality Assurance (QA) Assessor
 - g) LEED Rater
 - h) HERS Rater
3. **For home inspectors**, each person within the Applicant's company that will be providing ratings must meet both requirements (a) and (b):
 - a) Possess and continuously maintain during the pilot a New York State Home Inspection License.
 - b) Possess one or more of the following certifications:

InterNACHI® Home Energy Inspector

OR

One or more of these certifications:

- ASHI® Inspector
- ASHI Certified Inspector
- InterNACHI Certified Professional Inspector®

AND

One or more of these certifications:

- BPI Energy Auditor
- BPI Building Analyst
- BPI Healthy Home Evaluator
- HERS Rater
- LEED Rater
- BPI Building Science Principles Certificate of Knowledge
- Or commit to obtaining BPI Building Science Principles Certificate of Knowledge within 30 days of acceptance into the pilot

Other equivalent certifications, or documented experience, may be considered with documentation

III. Participation Agreement Terms

The Participation Agreement will cover the period of time from execution date until December 31, 2021. Incentives will be granted on a first-come, first-served basis for ratings delivered through December 31, 2021 or until funds are fully committed, whichever comes first.

NYSERDA reserves the right to make changes to the Pilot and incentives (including but not limited to amount, timing, recipient, structure, incentive caps, and total budget available) at any time.

IV. Application Process

To apply to this PON, an application must be completed in which the Applicant agrees to abide by the terms and conditions of the Home Energy Rating Pilot Participation Agreement (Attachment D) and Program Manual (Attachment E). If an Applicant wishes to participate in the Pilot in more than one geographic market, a separate application must be submitted for each geographic market.

The online application includes:

1. An online form with information about the Applicant.
2. An Application Questionnaire that **must be downloaded, filled out, then uploaded as part of the application**. See Attachments B and C. This Questionnaire asks for details about the following:
 - Company experience
 - Training
 - Approach to participating in the pilot
 - General business practices
3. Uploaded copies of staff certifications

Specific application instructions can be found in Attachment A. Faxed or e-mailed applications will not be accepted.

The competitive selection process contains multiple steps including an initial eligibility review and ranking by a scoring committee. Applications received for more than one market area from the same Applicant will be reviewed separately.

Initial Eligibility Review

Verification that all required application elements are included and that the Applicant meets all minimum qualifications.

Evaluation Criteria

Applications that pass the Initial Eligibility Review will be reviewed by a scoring committee consisting of NYSERDA staff and selected outside reviewer(s) using the evaluation criteria listed below (listed in descending order of importance):

- Pilot partnership
 - Commitment to delivering Ratings to homeowners or homebuyers
 - Committed staff for Pilot participation
 - Staffing plan supports Pilot participation
 - Marketing plan supports Pilot participation
 - Number of ratings expected to be completed per month
- Quality Control and Business Practices
 - Strength of Applicant's inspection process

- Strength of quality control processes and commitment to improving and maintaining quality
- Strength of customer dispute resolution process
- Commitment to customer satisfaction
- Strength of online reviews and ratings
- Strength of Better Business Bureau rating or accreditation (if applicable)
- Experience
 - Home energy contractors:
 - Applicant's residential energy efficiency experience through their service territory, and in the specific pilot market in which they are applying
 - Home inspectors:
 - Experience delivering home inspections
 - Experience inspecting energy efficiency home aspects of a home
- Training
 - Training and continuing education completed
 - Building science training, credentials and/or certifications
- Home energy rating experience
 - Level of experience delivering home energy ratings, scores, or certifications

Program Policy Factors

NYSERDA may consider the following program policy factors in making selection decisions:

- The degree to which the application supports NYSERDA's goal of market transformation to deliver Ratings to homeowners and homebuyers.
- The degree to which there are technical, market, or organizational risks associated with the application.

At NYSERDA's discretion, Applicants may be requested to interview with all or part of the scoring committee to address any potential questions or clarifications outlined in the applications. Applicants will be notified if they are requested to participate in an interview. **Applications should be clear and complete and not rely on a possible interview to demonstrate the merits of the application.**

V. GENERAL CONDITIONS

In compliance with §139-j and §139-k of the State Finance Law, Applicants will be 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.

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your application. Review should include whether it is critical for evaluating an application, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the Applicant wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to 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 50.1 <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>. Applicants are required to answer questions during application submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the Applicant 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>.

Participation Award - NYSERDA anticipates executing several Participation Agreements under this solicitation. NYSERDA anticipates a Participation Agreement of duration of up to three (3) years. NYSERDA may request additional data or material to support 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. NYSERDA expects to notify Applicants approximately (4) weeks from the application due date 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 - 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 an application, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all applications received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to 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 Applicants based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. Attachments

- Attachment A – Application Instructions
- Attachment B – Application Questionnaire for Contractors
- Attachment C – Application Questionnaire for Home Inspectors
- Attachment D – Participation Agreement
- Attachment E – Pilot Manual



Innovative Market Strategies Solicitation Guidelines for Rolling Enrollment

Program Opportunity Notice (PON) 4359
\$10,000,000 Available
Project Schedules not to exceed 2 Years

Concept Proposals accepted on an ongoing basis through 2022
or until NYSERDA closes this solicitation*

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

Program Summary:

NYSERDA invites Concept Proposals for Innovative Market Strategies that have the potential to accelerate uptake or increase the value proposition of energy efficiency, distributed energy resources, or related clean energy solutions. The goal of this Program is to identify and fund projects demonstrating promising approaches to scaling clean energy and efficiency adoption in New York State. For profit, not-for-profit, and public entities with energy solutions that have high potential for success are encouraged to apply. Proposals may include, but are not limited to; promising approaches to achieving carbon neutral buildings, increasing the ability for buildings to serve as resources for the grid, aggregation strategies that can reduce cost, innovative and/or underutilized business models that can support deep energy efficiency projects, demonstrations that have the potential to address utility needs, increasing access and affordability to low-to moderate-income residents, and scaling clean energy adoption in historically underserved communities.

*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>).

This solicitation employs a two-step application process. Proposers must initially submit a Concept Proposal. Full Proposals are considered by invitation only. Concept Proposals are invited on a rolling basis until further notice via NYSERDA’s website.

Concept Proposal

Concept Proposals must not exceed four pages (using Times New Roman 12-point font or similar, single line spacing, no less than 0.75-inch margins) and must use the Concept Proposal format provided under Section III. PROPOSAL REQUIREMENTS. For both Concept and Full Proposals, online submission is preferable. Concept Proposals and Full Proposals will be evaluated based on the criteria listed under IV. EVALUATION.

Full Proposal (by Invitation Only):

Full proposals are subject to the Proposal Requirements and Proposal Evaluation criteria below. The Full Proposal package is **to be submitted only by NYSERDA invitation**. NYSERDA may include additional questions and/or requests for additional materials specific to a proposal at the time of invitation.

Proposals must be concise and present the information needed to fully address the evaluation criteria (see III. PROPOSAL EVALUATION). Proposals that exceed the page limits or fail to follow the format guidelines may be rejected as non-responsive. If proprietary information must be submitted to provide a complete proposal, instructions are provided for submitting Proprietary Material (See the “General Conditions” section below). Each page of the proposal should state the name of the proposer, the PON number, and the page number.

Proposal Submission:

Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s 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>).

For detailed instructions on how to submit a proposal (both for online and paper submissions), click the link “Application Instructions and Portal Training Guide [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If you have any questions concerning this solicitation, contact Monica Ridgway (Designated Contact) at ims@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.

I. INTRODUCTION

NYSERDA invites Concept Proposals for solutions that have the potential to accelerate uptake or increase value proposition of energy efficiency and / or distributed energy resources. The goal of this Program is to identify and fund promising approaches to scaling non fossil fuel-based energy adoption in New York State. For profit, not-for-profit, and public entities with clean energy solutions that have high potential for success are encouraged to apply.

Concept proposals are encouraged for the following categories:

- Advanced efficiency solutions – market tests to demonstrate promising approaches for
 - scaling the ability to intelligently manage a building’s energy demand to provide load shaping services to the grid - especially while concurrently improving occupant experience, increasing efficiency, and/or improving resilience.
 - scaling market adoption of energy efficiency solutions that integrate multiple technologies and/or energy efficiency measures to achieve significant greenhouse gas emissions reduction in buildings.
 - new or underutilized business models and finance structures that can support deep energy efficiency projects and longer payback measures/projects (e.g. greater than three years).
- Innovative demonstrations or market tests that have the potential to address the needs of one or more New York utility, as outlined on the [REV Connect](#) platform. Proposals do not need to be submitted to the REV Connect portal to be considered under this category however each Proposal under this category should indicate: 1) which utility(ies) would benefit from the project being proposed and 2) which utility opportunity area the Proposal is intended to address.¹
- Affordability and access to clean energy solutions– market tests to demonstrate promising approaches for increasing adoption of clean energy solutions for low and moderate income (LMI) communities including affordable housing and/or increasing offerings and financing that address market barriers in these communities.

Concept proposals may address more than one solution ‘type’ and are encouraged to discuss market barriers and risks. Concept proposals that meet the objectives of this solicitation but are not covered by these categories may still be eligible to apply. Concept proposals should demonstrate a clear understanding of why the proposed project may or may not be successful in order to be invited to submit a full application.

¹ REV Connect is New York’s central innovation platform designed to bring together utilities, solution providers and NYSERDA to test and deploy innovative business models, programs and approaches to scaling clean energy across sectors and technologies (e.g. electric vehicles, clean heating and cooling, energy efficiency, data analytics, etc.). Utility opportunity topics can be found on the REV Connect website by clicking on the “Innovation Opportunities” tab.

Subsequent sections of this PON are as follows:

- II. Program Requirements (page 4)
- III. Proposal Requirements (page 5)
- IV. Proposal Evaluation (page 10)
- V. General Conditions (page 11)
- VI. Attachments (page 13)

II. PROGRAM REQUIREMENTS

For profit, not-for-profit, and public organizations interested in market testing their clean energy solution are invited to submit a Concept Proposal.

Concept proposals should articulate why the proposed solution or strategy has the potential to make a significant contribution to the state's clean energy goals. NYSERDA reserves the right to reject proposals that would otherwise be eligible for other existing NYSERDA or other New York State funding opportunities. Specific Concept Proposal requirements and Full Proposal requirements are described in Section III.

Available Funding and Awards

Up to \$10,000,000 of NYSERDA funding is available. All, some, or none, of the available funds may be awarded through this PON.

The awards will be structured as grants, with no recoupment obligation or cost share requirement to the grant recipient. Award proceeds will be paid out based on negotiated milestones. A final payment may be reserved until project completion. **If awarded, NYSERDA may choose to negotiate the amount of such final payment, and any of the project milestones and associated payments.**

Although cost sharing is not required, proposers may offer cost sharing. The proposer's cost share may be cash or in-kind and may come from the proposer, project partner, or other stakeholder. Cost share is valued by NYSERDA as a tangible commitment on the part of the proposer to the project's success and will be a proposal evaluation factor.

Exceptions to Terms and Conditions

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

Program Policy Factors

- Advancing the goals of the State Energy Plan, the Clean Energy Fund, Reforming the Energy Vision, and the Climate Leadership and Community Protection Act.
- Increasing the likelihood for increased energy affordability and access to clean energy solutions for LMI residents or otherwise disadvantaged communities.

III. PROPOSAL REQUIREMENTS

Through this PON, NYSERDA welcomes proposals to market test clean energy solutions with demonstrated potential to significantly help New York State make progress towards its ambitious clean energy goals.

To be considered to submit a Full Proposal, proposers must initially submit a Concept Proposal following the Concept Proposal Template below. Concept proposals favorably reviewed will be invited to submit a Full Proposal for consideration.

The requirements for Concept Proposals and Full Proposals are described below.

Concept Proposals

Concept Proposals must not exceed four pages (using Times New Roman 12-point font, single spacing with 0.75” margins) and must use the format provided below. Page limit does not include team and market partners. Concept proposals that do not follow the required format may not be considered for a Full Proposal. Concept Proposals will be evaluated by the same criteria as Full Proposals (see IV. Proposal Evaluation).

Concept Proposal Format

- **Project title and abstract** – title and summary of the proposed solution, identifying objectives, goals, and a clear hypothesis that can be validated through funding from this program.
- **Value proposition and potential market impact** – please provide an explanation of the value proposition of the proposed solution and the potential addressable market. This section should plainly state the best-case scenario for this proposal – how does this project move from receiving funding from this Program to scaling adoption of clean energy solutions in New York State?
 - Proposers may indicate available New York State market and customer segments for the clean energy solution at scale (this can include # of buildings, square footage, number of customers, market segments reached and associated economic benefits, carbon reductions, etc.).
 - Quantify as possible the estimated energy savings, carbon reductions, economic benefits, and other impacts that would result from widespread market deployment of the solution.

- **Market barriers and proposal risks** - this section should plainly state current market barriers that this solution is seeking to overcome, as well as identifying the strongest arguments as to why this proposal will or will not work.
- **How will success be measured** – what is the hypothesis that is being tested through this proposal? How will the hypothesis be proved or disproved at the conclusion of this project?
- **Team and market partners (not included in page limit)** – team members, their affiliation, project role, strengths and project partners.

Proposers invited by NYSERDA to submit a Full Proposal will have a maximum of four (4) weeks to submit a Full Proposal from the date of invitation. Full proposals received after 4 weeks will be returned without consideration.

Full Proposals (by Invitation Only)

Full proposals must provide Sections 1 - 6 described below. NYSERDA may include additional questions and requests specific to the proposal at the time of invitation. The proposer’s goal should be to concisely present the information needed to fully address the Proposal Evaluation criteria in Section IV. Proposals that exceed the page limits or fail to follow the format guidelines provided in this section may be rejected as non-responsive. A proposer who believes proprietary information must be submitted to provide an adequate proposal must comply with the Section V instructions for submitting proprietary material.

Each page of the proposal should state the name of the proposer, PON 4359, and the page number.

State Finance Law Compliance

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

Request for Exception from Public Disclosure

If the proposal includes proprietary or confidential information, a request to except it from disclosure, including a written statement of the reasons why the information should be excepted, should be provided. The proprietary or confidential information should be marked as such within the narrative of the proposal, and the request for exception should refer specifically to this information. See Section V for more detail.

Full Proposals must include the following sections. Proposers are asked not to submit proprietary material unless it is essential to the proposal. Proposers submitting proprietary material should review and comply with the instructions for submitting proprietary material in Section V.

1. **Executive Summary** – Briefly summarize the proposed clean energy solution and the performance goals. Explain how the proposed solution will contribute to achieving New York State’s ambitious clean energy goals. Discuss market barriers as well as other companies operating in this market. If projects similar to the proposal have been tried in other jurisdictions, please discuss results. Indicate how proceeds of a NYSERDA award will be used to further validate the clean energy solution in new markets or applications. **(Limit: 2 pages)**

2. **Background** – Discuss the background and rationale for the proposed project. **(Limit: 3 pages)**
 - Describe the existing market for the clean energy solution and barriers to accelerated, large-scale deployment.
 - Describe how existing businesses and customers approach the clean energy solution in the market and barriers to adoption.
 - Share relevant market data, customer interest, etc. that support your rationale for the proposal.

3. **Clean Energy Solution** – Describe the proposed clean energy solution in detail; describe what is being tested through this proposal; indicate how the proposal is novel and provide justification as to why this proposal will be successful. **(Limit: 5 pages)**
 - Describe how the solution addresses one or more of the market test ‘types’ as described in the concept paper.
 - State the proposal’s performance goal(s).
 - Describe and, if relevant, quantify the following aspects of the clean energy solution the proposal seeks to test.
 - Customer segment(s) and size (specify # of customers participating in project where applicable)
 - Customer value proposition, and revenue streams to other key partners if applicable
 - Channels to market and customer relationships
 - Describe the “best case scenario” unlocked by NYSERDA funding of the proposed solution.

4. **Market Opportunity and Potential for Scaling** –Provide evidence of market analysis for the intended NYS sector and customer segment. This should include any evidence of customer acceptability of solution and prior community engagement. **(Limit: 3 pages)**
 - Indicate available New York State market and customer segments for the clean energy solution at scale. (this can include # of buildings, square footage, number of customers, market segments reached and associated economic benefits, carbon reductions, etc.).
 - Quantify as possible the estimated energy savings, carbon reductions, economic benefits, and other impacts that would result from widespread market deployment of the solution.
 - Address the barriers that must be overcome to achieve large-scale market penetration of the clean energy solution.

5. **Team Qualifications** – Identify and describe the team, highlighting areas of strength and ability to execute the proposal. **(Limit: 2 pages, excluding resumes)**

- Describe the proposing company and its existing business, if any. Indicate company age, revenues, and key customers, if any. Identify the lead staff on this effort, and how much of their time they will allocate to this proposal, if funded.
- Highlight experience in the clean energy industry and customer segments that the company is targeting.
- Describe the market partners and/or potential customers that have already been engaged for this proposal. Provide letters of support if possible.
- If available, any awards or endorsements, investment in the company by institutional or strategic investors, or letters of interest from utility partners.
- Identify team members, highlight their experience, affiliation, project role, strengths and project partners.
- To the extent that team members will be contributing work to this effort, identify the lead staff on this effort, and how much of their time they will allocate to this proposal, if funded.

6. Scope of Work, Evaluation, Budget and Cost Sharing – Itemize the proposed tasks to be funded and task budgets. This will form the basis of a contractual Statement of Work. **(Limit:1 page per task)**

- Identify the proposal’s goals and other metrics to be validated.
- Identify and describe the tasks that would be funded in whole or in part under this solicitation.
- Identify and describe the data sources that will be used to validate the success of the clean energy solution. State the hypotheses that the proposal is seeking to validate. Specify where utility partners are required for data-sharing, as appropriate.
- Describe the plan for review meetings, progress reports and the final report. The final report must present an objective evaluation on the success and/or challenges of the solution’s implementation. This evaluation should be an ongoing activity for the duration of the contract period.
- Indicate the total budget for each task. Identify NYSERDA funding that will be applied to each task and the amount of cost-share and source of cost-share for each task. If such contribution is “in-kind”, describe it and the basis for attaching a cash value to it.
- NYSERDA funding awarded under this solicitation will be paid based on milestones that will be negotiated prior to contracting. Include proposed progress milestones for each task to show meaningful progress.
- Cost Sharing –Cost sharing can be from the proposer, other team members, and / or other governmental, for profit, or not-for-profit, private or public 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, or other general overhead are 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 already incurred.

Show the Task by Task Budget including any cost-sharing in the following format (expand table for each task as needed):

Task Name	NYSERDA Cash Contribution	Proposer In-Kind Contribution	Proposer Cash Contribution	TOTAL BUDGET by TASK
1.	\$	\$	\$	\$
2.	\$	\$	\$	\$
3.	\$	\$	\$	\$
4.	Total NYSERDA	Total Proposer In-Kind	Total Proposer Cash	Total OVERALL BUDGET
	\$	\$	\$	\$

Annual Metrics Reports

If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual, or twice annual basis, a prepared report with analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project.

NYSERDA reserves the opportunity to conduct a follow up review of the proposed clean energy solution and may conduct its own evaluation of the Market Tests that are funded under this PON. All data collected must be shared with NYSERDA. Selected proposers will also need to be open to participating in interviews or cooperate with other data gathering NYSERDA may want to undertake. 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 February 1 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

Concept Proposals and Full Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below.

At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the Full Proposals, or provide demonstrations of tools, as applicable. Proposers will be notified if they are requested to attend an interview or provide a demonstration.

Evaluation Criteria

1. Likelihood that the proposal will achieve its goal(s) and that the clean energy solution could have a significant impact in helping New York State achieve its ambitious clean energy targets

- Is the proposed solution designed to result in a stand-alone product or a scalable solution?
- Does the proposal provide a way to objectively evaluate progress on an ongoing basis?
- Does the clean energy solution present clear value for target customer segments?
- Is there potential of the proposed clean energy solution to be replicated at scale in New York State?
- What is the expected impact of the proposal in accelerating market adoption of the clean energy solution?
- Is there demonstrated support of the clean energy solution by investors or letters of support from current / potential customers or New York State utilities?

2. Appropriateness, experience, and merit of the team

- Demonstrated experience, qualifications and ability of the team to successfully execute the proposal.

3. Risks and Challenges Does the proposal clearly identify the risks, barriers, and challenges associated with market adoption of the proposed clean energy solution?

- Have these barriers been addressed in the proposal?
- How well does the proposing team demonstrate understanding of the clean energy solution's competition in the marketplace?

4. Project Plan Does the proposed statement of work provide a clear description of the tasks to be undertaken and method for how the key risks and challenges will be addressed?

- Are the goals of the proposal clear?
- Can the proposed work be reasonably accomplished for the time, effort, and resources proposed?

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections

139-j and 139-k. These provisions contain 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 - NYSEERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEERDA 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 NYSEERDA, the prospective contractor must also certify to NYSEERDA 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 NYSEERDA. 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 - NYSEERDA 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 proposal should be submitted using the most favorable cost and technical terms. NYSEERDA may request additional data or material to support applications. NYSEERDA will use the Sample Agreement to contract successful proposals. NYSEERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEERDA expects to notify proposers approximately 7 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEERDA agreement.

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

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

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

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

VI. ATTACHMENTS

The following attachments are provided for as a reference:

- Attachment A – Sample Agreement
- Attachment B – Budget Template

**Loan Loss Reserve to Catalyze Clean Energy
Financing in New York State Communities**
Program Opportunity Notice (PON) 4378
\$ 10,000,000

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

Applications Accepted Starting: June 30th, 2020 at 3:00 p.m. Eastern Time*
Solicitation shall remain open until \$10,000,000 is allocated

Program Summary

The New York State Energy Research and Development Authority (NYSERDA) requests applications from entities for Loan Loss Reserve/Credit Enhancement support for financing products which support clean energy improvements in residential (1-4 unit) dwellings, small commercial (100 employees or less), not-for-profit and multifamily (5+ unit) buildings (Eligible Properties) located in New York State Communities. The Loan Loss Reserve will provide reimbursement for defined losses on individual transactions. Initial awards to qualified Applicants will be based on the Targeted Building Sector proposed. Applicants need to apply separately for each proposed Sector. Maximum initial awards are as follows:

- Residential (1-4 unit) Sector: Five hundred thousand dollars (\$500,000)
- Small Commercial Sector: Five hundred thousand dollars (\$500,000)
- Multifamily (5+ unit) Sector: One million dollars (\$1,000,000)
- Not-for-Profit Sector: One million dollars (\$1,000,000)

NYSERDA will consider making additional funding available through additional solicitation rounds should there be a strong market response to this pilot solicitation.

Application 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. Application 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 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.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting John Joshi (Designated Contact) at (212) 971-5342, ext. 3636, Heather Clark (Designated Contact) at (518) 862-1090, ext. 3253 or by e-mail NYLLR@nyserda.ny.gov. 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 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 receiving an award.

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 online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The online 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>).

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II. Definitions

- (a) Affordable Multifamily Buildings: Buildings under regulatory agreement, rent-controlled, rent-stabilized or government subsidized
- (b) “Applicant”: A Financial Institution or other entity applying for a Loan Loss Reserve award.
- (c) “Borrower”: An entity or individual who enters into an Eligible Financing Agreement with a Finance Provider for the purpose of completing a Project. The entity or individual is not required to own the Eligible Property.
- (d) “Eligible Financing Agreement”: An agreement made between a Finance Provider and a Borrower to finance a Project. The agreement must be for improvements to an existing building and may not be for the construction or purchase of a building.

The agreement must meet the definition of either an Eligible Lease or Eligible Equipment Financing Agreement, Eligible Loan, Energy Services Agreement, Eligible Savings-Based Payment Agreement, Energy Savings Portfolio Insurance Agreement, or Predevelopment Financing Agreement. The Eligible Financing Agreement must meet the requirements specified in [Section VII](#).

- (e) “Eligible Lease”: An agreement that provides the Borrower with Energy Saving Measures in exchange for payments in amounts that are due according to a schedule established in the agreement. Such payments are made to the Finance Provider or its assignee for a specified term. Title to the equipment may transfer at the beginning or end of the term.
- (f) “Eligible Loan”: An agreement that provides the Borrower with proceeds used to finance Energy Saving Measures in exchange for payments in amounts that are due according to a schedule established in the agreement. Such payments are made to the Finance Provider or its assignee for a specified term. Eligible Loans must be closed end loans; no revolving lines of credit will qualify.
- (g) “Eligible Property”: A property located in New York State that is a Target Building Sector.
- (h) “Energy Saving Measures”: Any Qualified Energy Efficiency Improvement or Renewable Energy System.
- (i) “Eligible Savings-Based Payment Agreement”: An agreement that provides the Borrower with agreed-upon energy savings from Energy Saving Measures in exchange for regular payments to the Finance Provider or the Finance Provider’s assignee. The term may be specified by a number of months or may run until payments have reached a specified amount.

The agreement must satisfy each of the following criteria:

- (1) Savings will be measured and verified no less than annually;
- (2) Total monthly energy and efficiency charges for the Borrower must be projected to be "cash flow positive," based on industry-accepted estimates, meaning: allowing for seasonal variations, the combined monthly energy expense (gas and electric) along with all projected monthly Eligible Savings-Based Payment Agreement charges is projected to be less than the Borrower's pre-project monthly energy expense;

- (3) The Borrower will share in benefits if actual savings exceed projected savings;
- (4) The Borrower does not bear risk in the event that savings are less than projected.
- (j) “Energy Services Agreement”: An agreement that provides the Borrower with the use of Energy Saving Measures as well as ongoing service and maintenance of that equipment in exchange for regular payments to the Finance Provider or the Finance Provider’s assignee for a specified term. Title to the Energy Saving Measures does not transfer to the Borrower.
- The agreement must include either:
- (1) A guarantee of functionality for any Energy Saving Measures and non-Energy Savings Measures; or
 - (2) A guarantee of energy savings. Equipment functionality or energy savings must be measured no less than annually.
- (k) “Energy Savings Portfolio Insurance Agreement”: A portfolio insurance policy guaranteeing that if an energy efficiency shortfall occurs on savings underwritten, the policy is triggered, paying the customer. The policy provides portfolio insurance to ESCO and Contractors that covers a comprehensive set of energy efficiency, renewable energy and distributed generation measure and a guarantee that the savings produced by the project will be sufficient to cover the cost of project financing for the life of the project. NYSERDA will offer support for underwriting additional energy savings above the savings proposed in the Investment Grade Audit Report, for a Eligible Savings-Based Payment Agreement.
- (l) “Finance Provider”: The Applicant approved for participation in the Program. Also referred to as a Contractor in the terms and conditions.
- (m) “Financial Institution”: Any insured depository institution, insured credit union, Community Development Financial Institution (CDFI), or other entity licensed by the New York State Department of Financial Services to perform lending services, or chartered or regulated by the federal government to perform lending services.
- (n) Investment Grade Audit Report” scope of work to be implemented by the ESCO, establish guaranteed savings, develop an agreed-upon plan to measure and verify the guaranteed savings, and ensure that the agreed-upon project meets statute requirements.
- (o) “Loan Loss Reserve Award Amount”: The amount established by NYSERDA for financial assistance provided for the Loan Loss Reserve Account for the benefit of a Finance Provider, or successor servicer or assignee as may be requested and approved in writing by NYSERDA, for Eligible Financing Agreements, and as such amount may be amended in writing by NYSERDA.
- (p) “Loan Loss Reserve Account”: An account established and maintained by NYSERDA for the benefit of the Finance Provider or successor servicer to hold the Loan Loss Reserve Balance for each Target Building Sector.
- (q) “Loan Loss Reserve Balance”: The amount of Loan Loss Reserve that is available to the Finance Provider held in the Loan Loss Reserve Account, which shall equal the initial Loan Loss Reserve Award Amount plus any subsequent awards less any amounts paid to Finance Provider for losses, and any amortized reduction.

- (r) “Origination” and “Origination Date”: the date on which any Eligible Financing Agreement becomes the legally binding obligation of the Finance Provider and Borrower, all in accordance with the terms and conditions set forth herein or incorporated herein, and any law or regulation incorporated herein.
- (s) “Predevelopment Financing Agreement”: a loan or other financing agreement to cover pre-construction analysis and design for Energy Savings Measures, including but not limited to Green/Integrated Physical Needs Analysis (GPNA/IPNA), or Investment Grade Energy Audit which is used for the analysis of potential energy, water, and health performance upgrades to buildings in the Small Commercial, Multifamily, and Not-for-Profit Sectors.
- (t) “Qualifying Eligible Loss”:

The amount of any Eligible Financing Agreement, that is more than 120 days past due, calculated as follows:

- (1) for Eligible Loans the unpaid principal and remaining unpaid interest;
 - (2) for Eligible Leases the sum of remaining unpaid payments;
 - (3) for Energy Services Agreements: the minimum or actual, or guaranteed energy savings multiplied by
 - a) for kWh power savings the base kWh rate; or,
 - b) for thermal fuel savings the base BTU rate;
 - (4) for Eligible Savings-Based Payment Agreements, the minimum of actual or guaranteed energy production multiplied by:
 - a) for kWh power production the base kWh rate; or,
 - b) for thermal fuel production the base BTU rate;
 - (5) for Predevelopment Financing Agreement the unpaid principal and remaining unpaid interest
 - (6) for Energy Savings Portfolio Insurance Agreement, the unpaid principal and remaining interest due to a shortfall in returned savings that were unwritten above the baseline projections of energy savings in the Investment Grade Audit Report
- (u) “Principal Amount”:
- (1) for Eligible Loans the unpaid balance as of the date of the Monthly Report;
 - (2) for Eligible Leases the sum of remaining unpaid payments;
 - (3) for Eligible Savings-Based Payment Agreements: the minimum actual or guaranteed energy savings multiplied by
 - a) for kWh power savings the base kWh rate; or,
 - b) for thermal fuel savings the base BTU rate;
 - (4) for Energy Savings Portfolio Insurance Agreements, the minimum of actual or guaranteed energy production above those guaranteed in the Investment Grade Audit Report multiplied by:
 - a) for kWh power production the base kWh rate; or,
 - b) for thermal fuel production the base BTU rate;
 - (5) for Predevelopment Financing Agreements the unpaid balance as of the date of the Monthly Report
- (v) “Program”: The Loan Loss Reserve/Credit Enhancement Program described in this Program Opportunity Notice.

- (w) “Project”: One or more Qualified Energy Efficiency Improvements or Renewable Energy Systems, installed at an Eligible Property financed in whole or in part under a single Eligible Financing Agreement, or predevelopment financing for Qualified Energy Efficiency Improvements or Renewable Energy Systems at an Eligible Property, including Green/Integrated Physical Needs Analysis, financed in whole or in part under a single Eligible Financing Agreement.
- (x) “Qualified Energy Efficiency Improvements”: A modification to a structure that shall increase the energy efficiency and conservation of an existing structure, including but not limited to:
- (1) Application of weather-stripping, caulking, sealant and other materials around doors, windows, and other areas of a building for the purpose of insulating or sealing openings in the building envelope and within the building to mitigate energy loss;
 - (2) Testing, repairing and replacing heating or cooling systems or components of such systems;
 - (3) Thermostat upgrades;
 - (4) Water heater repair and replacement;
 - (5) Roof, chimney, fireplace and roof vent repair as determined to be necessary to mitigate energy loss or resolve energy-system related health and safety issues;
 - (6) Repair and replacement of storm windows, permanent windows and exterior doors;
 - (7) Repair or replacement of major appliances;
 - (8) Installation of thermal solar heat or hot water systems;
 - (9) Addition of insulation to exterior walls or ceilings;
 - (10) Replacement of inefficient light bulbs and lighting fixtures and systems;
 - (11) Minor repairs that are necessary to ensure maximum efficiency from the provision of qualified energy efficiency services;
 - (12) Installation of carbon monoxide detectors and indoor environmental testing and mitigation deemed necessary as a result of the provision of other qualified energy efficiency services;
 - (13) Fuel switching to convert an electrically heated building to a more efficient heating source provided that significant energy cost-savings can be demonstrated.
 - (14) Beneficial electrification, including heat-pumps (geothermal, ASHP, Desiccant Heating and Cooling systems, and other high-efficiency beneficial electrification solutions)

Please refer to the NYSERDA document “*Loan Loss Reserve Illustrative Guidelines for Eligible Technologies*” for additional details in Attachment E.

- (y) “Renewable Energy Systems”: are technologies that generate energy from non-depletable or naturally replenishable resources. Renewable resources include solar energy, wind, the heat of the earth (geothermal), and plant materials (biomass). Renewable energy technologies produce power, heat or mechanical energy by converting those resources either to electricity or to motive power.
- (z) “Servicing”: conducting a customer service operation to on-board all Eligible Financing Agreements into the servicer's servicing system, handling Borrower inquiries regarding Eligible Financing Agreements already under servicing, sending out regular financing billing statements, collecting and applying payments, handling requests for modifications, collections

where necessary, and distributions to investors where applicable.

- (aa) “Target Building Sectors”: are (1) residential (1-4 unit) dwellings; (2) a structure used or occupied by a small business (100 employees or less); a structure used or occupied by a not-for-profit corporation; and (4) multifamily (5+ unit) buildings.

III. Introduction

NYSERDA is a public benefit corporation of the State of New York created under Article 8, Title 9 of the New York State Public Authorities Law. NYSERDA offers objective information and analysis; innovative programs, including energy efficiency, renewable energy, and energy research and development; technical expertise; and funding to help New Yorkers increase energy efficiency, save money, use renewable energy and reduce reliance on fossil fuels.

The goal of this program is to increase adoption of Qualified Energy Efficiency Improvements and Renewable Energy Systems in Eligible Properties in New York State Communities by expanding access to, and terms of, clean energy financing solutions offered by qualified Financial Providers to finance these projects. NYSERDA will enter into agreements with qualified Financial Providers to provide a partial portfolio loss coverage against their qualified financing portfolios they originate for Qualified Energy Efficiency Improvements or Renewable Energy Systems in Eligible Properties in New York State Communities, providing for defined losses on individual transactions, up to a Loan Loss Reserve Award Amount. The initial Loan Loss Reserve Award Amount will be based on which Target Building Sector that the Financial Provider Applicant will provide financing for. NYSERDA reserves the right to adjust this initial award after one year; adjustments can include reduction or increase of award based on portfolio growth, performance and availability of funds; provided, no such adjustment will affect NYSERDA’s obligation to a Finance Provider with respect to outstanding Eligible Financing Agreements.

Energy Efficiency and Renewable Energy Loans (Solar) have demonstrated stable credit performance during the period NYSERDA has provided a loan program to support the deployment of energy efficiency and solar energy. Since 2010, NYSERDA has administered the Green Jobs Green New York (GJGNY) Loan Program which provides loans to finance energy efficiency improvements and the installation of renewable energy systems in residential 1-4 family buildings. Attributes and payment performance experience on the residential GJGNY Loan Program can be found on NYSERDA’s website at <https://www.nyserda.ny.gov/Researchers-and-Policymakers/Green-Jobs-Green-New-York/Data-and-Trends>. Potential applicants offering financing for the residential sector are encouraged to review this information to assist in anticipating performance results of their financing portfolios.

IV. Applicant Eligibility Requirements

By submitting an application hereunder, Applicant hereby represents to NYSERDA, as of the date of its application and on the date that it is approved as a Finance Provider: Applicant is (i) a Financial Institution as defined herein, or (ii) a non-Financial Institution that is authorized to do business in New York State and fulfills each of the requirements set forth in [Section VI](#) hereof; and (iii) is not currently receiving financing support through the NY Green Bank.

V. **Application to Participate in the Program**

An Applicant seeking to become a Finance Provider must submit a complete application to NYSERDA signed by a person authorized to legally bind the Applicant including the signatory's name, title, and date. The Applicant must sign the acknowledgements, certifications, and representations of the Applicant.

All applications must include a certification that all the information provided is true and correct to the best of the signatory's knowledge.

A complete application includes the following information, disclosures, acknowledgements, certifications, and representations, and can be accessed from the following link at <https://nyserda.seamlessdocs.com/f/LoanLossReserve>

1) Information

The Applicant must provide the following:

- a) Name, address, and website URL of the Applicant.
- b) Name, title, phone number, and e-mail address of the Program contact person for the Applicant.
- c) Type of finance entity, e.g., insured depository institution, insured credit union, Community Development Financial Institution, or other type.
- d) Name(s) of any federal government regulatory agency(ies) to which the Applicant is accountable and license number(s), if applicable.
- e) Whether the Applicant is, or is required to be, licensed by the NYS Department of Financial Services for the lending activities proposed to be carried out in the Program, and documentation of such licensure.

2) Disclosures

The Applicant must disclose the following:

- a) The name of the entity funding the Projects that are to be enrolled in the Program;
- b) The name of the finance agreement counterparty(ies) or the service agreement counterparty(ies) who will be named on the closing documentation provided to the Borrower;
- c) The assignee(s) of repayment streams, if any; and
- d) The Applicant's intent as to what it will do with the Eligible Financing Agreements, if known, (e.g. hold, sell, transfer, participate, etc.) and the identity of a purchaser, if applicable.

3) Proposed Products

To participate in the Program, the Applicant must provide a description of proposed financial product(s) (Eligible Financing Agreements), including:

- a) A detailed description of the products the Applicant is proposing to offer, including, but not limited to, the type of financing product and its relationship to the categories of Eligible Financing Agreements, collateral requirements (if any), minimum and maximum financed amounts, interest rates, terms, service or maintenance charges, fees, prepayment penalties, and a description of customer eligibility and underwriting criteria.

- b) A description of the geographic area(s) in New York where the financing program(s) will be offered.
 - c) An explanation of how the Loan Loss Reserve Account will be utilized to provide benefits to Borrowers compared to the Applicant's typical product offerings in one or more of the following ways:
 - i. Broadened approval criteria;
 - ii. Longer terms;
 - iii. Larger amounts available to finance;
 - iv. Better rates; and/or
 - v. Other advantageous terms.
 - vi. For Energy Savings Performance Insurance:
 - (a) Additional available cashflow underwritten for the same measures costs; or
 - (b) Shorter debt term, based on the baseline underwritten cashflow; or
 - (c) Net higher savings investment ratio based vs. original U/W cashflow without a policy;
- 4) In compliance with §139-j and §139-k of the State Finance Law (see [Section XVI](#), General Conditions below for additional information), Applicants will be 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.
- 5) Acknowledgements of the Applicant
 By submitting an application to NYSERDA to participate in the Program, the Applicant, through its authorized officer, hereby certifies to NYSERDA that the information provided in its application is true and correct as of the date hereof and on the date it is approved as a Finance Provider.
- 6) Representations of the Applicant
 The Applicant hereby represents to NYSERDA as of the date of its application and as of the date such application is approved that:
- a) it is duly organized and validly existing under the laws of the state of its organization.
 - b) it is duly qualified to do business (if applicable) and has all the necessary licenses and approvals in New York State to carry out its activities under the Program.
 - c) it has the power and authority to execute and carry out the terms of the Program.
 - d) it is not subject to a cease and desist order or other regulatory sanction from the appropriate federal or state regulatory body, which would impair its ability to participate in the Program.
 - e) it has no proceedings or investigations pending or threatened before any court or regulatory body against the entity.
 - f) it has the experience and expertise to underwrite, originate, and service financing products in accordance with all applicable regulations and laws.
 - g) it has trained and qualified employees suitable for underwriting, originating, and servicing financing products, or has an agreement with a qualified firm to support this function.
 - h) The person signing the application, whose name and title is printed below the signature with the date of the signature, is authorized to legally bind the Applicant.
 - i) The information submitted in the application is true and accurate to the best of the signatory's knowledge.

- j) All Applicants that are not Financial Institutions have reviewed and will comply with the additional requirements specified in [Section VI](#).

The Applicant further represents to NYSERDA, as of the date it is approved by NYSERDA to participate in the Program as a Finance Provider:

- a) It must follow all Program rules and terms and conditions set forth herein.
- b) That all Eligible Financing Agreements when made met the requirements set forth in [Section VII](#).
- c) It must permit an audit by NYSERDA of any of its records relating to the Finance Provider's financing portfolio during normal business hours on its premises and must supply such other information concerning the financing portfolio as may be reasonably requested by NYSERDA. Additionally, the Finance Provider must permit an audit of its records relating to how it is representing the Program to the public, including, but not limited to, web and print collateral, marketing scripts, and marketing materials.
- d) It agrees to provide to NYSERDA at any time financing documentation, including Borrower contract and if applicable and available any related documents used for underwriting including utility bills, energy efficiency financing disclosures, energy modeling report, energy load analysis, including the Home Energy Rating Systems reports and certificates of completion.
- e) NYSERDA and New York State have no liability to the Finance Provider under the Program except from funds deposited in the Loss Reserve Account(s) for the Finance Provider.

7) Covenants Agreed to Upon Approval by NYSERDA

The application must include the Applicant's representation, warranty, and covenant contained in this Section, signed by a person authorized to legally bind the Applicant.

Upon approval by NYSERDA to participate in the Program as a Finance Provider the Applicant:

- a) must retain all records relating to each Eligible Financing Agreement for the term of financing plus three years after the financing agreement has ended.
- b) is solely responsible for identifying and making all disclosures and providing periodic reports to its Borrower (s) as required under applicable finance laws.
- c) is solely responsible for updating NYSERDA with any changes to the company's name, contact person, loan officer/staff, type of financial institution, the counties where the Program will be available (subject to NYSERDA's approval), the names of the regulatory agency having jurisdiction over the entity, or the name of the entity's insurance company.
- d) is solely responsible for delivering to NYSERDA, no less than 15 days prior to such expiration date, certificates of insurance evidencing the renewal of such policies, and shall promptly pay all premiums thereon due.
- e) is solely responsible for updating NYSERDA (and that NYSERDA has the right to approve of) any changes to the entity financing program requirements, fees assessed against Borrowers, the ways in which the Program will benefit Borrowers.
- f) must comply with all applicable finance laws, possess and maintain all required state and federal licenses, and remain in good standing with all governmental authorities having jurisdiction over its business.
- g) must maintain quality control and management systems to evaluate and monitor the overall

quality of its loan or financing related activities including, where applicable, underwriting reviews, and consumer complaint resolution processes.

- h) must maintain a written disaster recovery plan that covers the restoration of the facilities, backup and recovery of information in electronic processing systems.
- i) must establish and maintain adequate audit and management control systems to guard against dishonest, fraudulent or negligent acts by employees and contractors involved in the Origination process.

8) Application Process

- a) Upon receipt of a completed application, NYSERDA will, within thirty business days, review and determine whether additional information is required, or whether the application is sufficient to permit the Applicant to be a Finance Provider.
- b) NYSERDA's decision regarding enrollment will be final.
- c) NYSERDA will notify the Applicant of its decision and provide an award letter if approved as a Finance Provider.

9) Changes to Product Terms

- a) If, after being approved to participate in the Program, a Finance Provider wishes to make changes to products offered that will adversely affect the benefits to Borrowers under the (as described in [Section V\(3\)](#)) the changes must be approved by NYSERDA.

10) Finance Provider Withdrawal and Termination

- a) A Finance Provider may withdraw from the Program, in whole or in part, by giving written notice to NYSERDA, signed by a person authorized to legally bind the Finance Provider in the following circumstances and subject to the following conditions:
 - a. The Finance Provider has transferred or sold all or part of the Finance Provider's Eligible Financing Agreements that are covered by the Agreement (each, a "Covered Agreement") in accordance with [Section XIV](#) hereof.
 - b. The Finance Provider releases NYSERDA from all Loss Reserve Account(s) coverage with respect to all existing Covered Agreements and shall not be eligible to submit future financings for coverage under the Program. Finance Provider will continue to report recoveries with respect to losses previously paid under the program and shall repay NYSERDA its proportionate share of any recovery.
 - c. Finance Provider will not issue any further Eligible Financing Agreements under the Program but that the Loss Reserve Account(s) will continue in existence to support all Eligible Financing Agreements that were issued prior to such notice. Finance Provider will continue to fulfill its reporting requirements to NYSERDA for the covered portfolio.
- b) For any such notice received the remaining balance in the Finance Provider's Loss Reserve Account(s) will be reverted to NYSERDA.
- c) This Agreement may be terminated by NYSERDA at any time during the term of this Agreement upon ten (10) days prior written notice to the Finance Provider upon the

occurrence of any of the following:

- (i) Entry of a cease and desist order, regulatory sanction, or any other action against the Finance Provider by a regulatory agency or court with jurisdiction over the Finance Provider;
 - (ii) Failure of the Finance Provider to abide by applicable finance law or the program rules within this PON;
 - (iii) Failure of the Finance Provider to service or issue any Eligible Financing Agreements under the Program, as applicable, for a period of one year;
 - (iv) Failure of the Finance Provider to report to NYSERDA pursuant to [Section XII](#) within sixty calendar days; or
 - (v) Providing false or misleading information regarding the Finance Provider, or an Eligible Financing Agreement, to NYSERDA, or failure to provide NYSERDA with notice of material changes in submitted information regarding the Finance Provider.
- d) In the event of such termination, the Finance Provider must not issue any further Eligible Financing Agreements, but all previously issued Eligible Financing Agreements will continue to be covered by the Loan Loss Reserve Account until the Finance Provider is paid, claims are filed, or the Finance Provider withdraws from the Program pursuant to [Section V\(11\)\(a\)\(i\)](#).
- e) A terminated Finance Provider must continue to report on Eligible Financing Agreements pursuant to [Section XII](#).
- f) If a terminated Finance Provider fails to report to NYSERDA pursuant to [Section XII](#) for sixty calendar days, the remaining Loan Loss Reserve Balance in the Finance Provider's Loss Reserve Account(s) may be reverted to NYSERDA.

VI. Additional Requirements for Entities that are not Financial Institutions

If an Applicant is not a Financial Institution as described in this Agreement, in addition to the requirements set forth in [Section V](#), to be approved as a Finance Provider, Applicants must submit the following information in a format as specified by NYSERDA. Applicant represents to NYSERDA that all information provided hereunder is true and correct, to the best of Applicant's knowledge, as of the date of the application and as of the date such application is approved.

- 1) Income statements and estimated balance sheets for each of the last three years of operations. Newly formed non-profit community-based Applicants, with a services agreement with an affiliate, are exempt from this requirement.
- 2) Net Worth: The Applicant must demonstrate to NYSERDA that it has a net worth of no less than \$1 million and assets that exceed 0.5% of assets under servicing. Newly formed non-profit community-based Applicants are exempt from this requirement.
- 3) Underwriting Qualifications: Applicant must provide the following to NYSERDA:

- a) Demonstrated experience, in writing, with underwriting financing;
 - b) Demonstrated experience, in writing, with home improvement financing and the coordination of such financing with contractors and businesses;
 - c) Written description of its underwriting process; and
 - d) Demonstrated qualifications, in writing, of the Applicant and key positions and associated job duties with regard to underwriting.
 - e) Newly formed non-profit community-based Applicants are exempt from this requirement.
- 4) Origination Qualifications: Applicant must provide the following to NYSERDA:
- a) Demonstrated ability, in writing, to originate financing in accordance with all applicable finance laws, including related expertise and experience, trained and qualified personnel, and suitable systems, processes, and facilities to support the business;
 - b) Demonstrated experience, in writing, with equipment financing and the coordination of such financing with contractors and businesses;
 - c) Sample transaction documentation.
 - d) Newly formed non-profit community-based Applicants are exempt from this requirement.
- 5) Servicing Qualifications: If the Applicant will perform the Servicer role under the Program, it must provide the following to NYSERDA:
- a) Demonstrated capacity, in writing, for, and experience with, servicing the type of product(s) the Applicant will be providing and general customer service; and
 - b) A description of key positions and associated job duties, software, and systems used by the Applicant in performing servicing of Eligible Financing Agreements.
 - c) Newly formed non-profit community-based Applicants are exempt from [Section VI\(6\)\(a-b\)](#).
- 6) The person signing the application, whose name and title is printed below the signature with the date of the signature, is authorized to legally bind the Applicant.

VII. Eligible Financial Products

1) Disclosure

For all financial products, the Finance Provider must disclose to the Borrower either:

- a) An annual percentage rate (APR) (inclusive of any fees) as well as any advance payments which the Borrower is required to pay; or
- b) The total cost of the Project for the Borrower comprised of monthly payments multiplied by the number of months in the agreement plus any fees [(monthly payments * number of months in the agreement) + fees]. Monthly payments should be inclusive of, but not limited to, equipment and installation repayment, and any charges for financing, services, maintenance, or oversight of equipment.

For the purposes of this Section, Eligible Savings-Based Payment Agreements will satisfy the requirements set forth in the preceding paragraph with the Finance Provider's provision of a good-faith estimate of the total cost of the project, based on industry-accepted methods and

assumptions used to estimate energy savings, due to the fact that monthly payments maybe variable under these agreements.

2) Other Provisions

In addition to meeting any requirements for an Eligible Lease, Eligible Loan, Eligible Service Agreement, or Eligible Savings-Based Payment Agreement, the following provisions apply:

- a) Funds to be used for renewable energy, energy efficiency, health and safety and resiliency, with a majority of funds used for renewable energy and efficiency.
- b) The financing of new construction is not allowed.
- c) Interest rates, if applicable, must be fixed.
- d) Applicants cannot use dealer buydowns.
- e) Applicants cannot have prepayment penalties on residential offered financing products.
- f) Interest rates must be fixed rates.
- g) Maximum residential interest rates shall be the ten-year Treasury plus 750 basis points.
- h) Financing products can include secured or unsecured loans as well as those listed above in the Introduction. Financing products are not limited to those listed and NYSERDA encourages Applicants to present innovative financing structures.
- i) Residential financing products to consumers with FICO® scores less than or equal to 580 shall not include debt products.
- j) Residential products for consumers with FICO® scores less than or equal to 580 shall include a performance guarantee.
- k) Residential financing products shall have a minimum term of five (5) years or greater but shall allow a Borrower the option of a shorter term if Borrower requests.
- l) Applicants can submit new innovative financing products and structures for approval. NYSERDA approval will be contingent on benefit to end users and customers.
- m) Portfolio distribution for Eligible Financing Agreement for:
 - (i) Residential: A minimum of 35% of the loans by dollar amount must be to residential customers with a FICO credit score = < 680
 - (ii) Multifamily: A minimum of 35% of the loans by dollar amounts must be for Affordable Multifamily Buildings
- n) The maximum amount of loan loss reserve asset coverage for any Eligible Financing Agreement are as follows:
 - (i) Residential: Fifty thousand dollars (\$50,000)
 - (ii) Small Commercial: Five hundred thousand dollars (\$500,000)
 - (iii) Multifamily: One million dollars (\$1,000,000)
 - (iv) Not-for-Profit: Five hundred thousand dollars (\$500,000)

VIII. Loan Loss Reserve/Credit Enhancement

- 1) NYSERDA will provide ninety percent (90%) asset coverage for Qualifying Eligible Losses, as defined below, subject to sufficient funds in the Finance Provider's Loan Loss Reserve Balance.
- 2) Loan Loss Reserve Account shall be available for the full term of each financing originated by

the Finance Provider during the term of the Eligible Financing Agreement.

3) The Loss Percentages shall be as follows:

- a) Residential with applicant FICO® score less than or equal to 660: thirty five percent (35%) of the remaining Principal Amount of each such Eligible Financing Agreement.
- b) Residential with applicant FICO® greater than 660: ten percent (10%) of the remaining Principal Amount of each such Eligible Financing Agreement.
- c) Small Commercial: the sum of twenty percent (20%) for the first \$50,000 and five percent (5%) on the remaining Principal Amount of each such Eligible Financing Agreement.
- d) Multifamily: the sum of twenty percent (20%) on first \$100,000 and five percent (5%) on the remaining Principal Amount of each such Eligible Financing Agreement.
- e) Not-for-Profit: the sum of twenty percent (20%) on first \$100,000 and five percent (5%) on the remaining Principal Amount of each such Eligible Financing Agreement.

IX. Loan Loss Reserve Award

1) Additions to the Finance Provider's Loan Loss Reserve Award Amount

NYSERDA shall have no obligation to make additional contributions to the Finance Provider's Loan Loss Reserve Account other than the initial Loan Loss Reserve Award Amount. NYSERDA shall conduct a review of the Finance Provider's issuance of Eligible Financing Agreements annually commencing one year from award and may, in its sole discretion and availability of funds, based on the portfolio growth, and/or performance:

- a) Increase the Loan Loss Reserve Award Amount in an amount equal to the initial Loan Loss Reserve Award Amount;
- b) Increase the Loan Loss Reserve Award Amount in an amount less than the initial Loan Loss Reserve Award Amount;
- c) Increase the Loan Loss Reserve Award Amount in an amount greater than the initial Loan Loss Reserve Award Amount to the extent the Finance Provider has provided market rational for such award; or,
- d) Reduce the Loan Loss Reserve Award Amount if the amount of the Loan Loss Reserve Balance is below fifty percent (50%) of the initial Loan Loss Reserve Award Amount at the one-year mark.
- e) Finance Provider can request an increase to the initial Loan Loss Reserve Award Amount when eighty (80%) percent of the initial Loan Loss Reserve Award Amount has been allocated to the Loan Loss Reserve Account, subject to availability of funds.

X. Loan Loss Reserve

1) Loan Loss Reserve Account

NYSERDA agrees to maintain available funds and establish a Loan Loss Reserve Account for each Target Building Sector on NYSERDA's balance sheet for the benefit of the Finance Provider. The Finance Provider's Loan Loss Reserve Account will be adjusted and

administered as provided in this Program Opportunity Notice and shall be solely for the benefit of Finance Provider, or any assignee as may be requested and approved in writing by NYSERDA.

2) Loan Loss Reserve Balance

The Finance Provider shall report in the Monthly Report the amount of the Loan Loss Reserve Balance which shall be calculated based on the defined percentage, subject to the Target Building Sector allocation of the Loan Loss Reserve amount, of the original principal amount of the Eligible Financing Agreements originated less any reductions as set forth below. NYSERDA shall review the reported Loan Loss Reserve Balance and within fifteen (15) days after receiving the Monthly Report notify the Finance Provider of any comments or required updates.

3) Reductions to Finance Provider's Loan Loss Reserve Balance

a) Losses paid to the Finance Provider

The Loan Loss Reserve Balance shall be reduced by any and all amounts paid by NYSERDA to the Finance Provider for Qualifying Eligible Losses pursuant to [Section XII](#).

b) Repayment

Whenever an Eligible Financing Agreement is repaid in full at maturity or upon early repayment in full, the Finance Provider shall report such repayment in the Monthly Report, with a result in reduction of the Loan Loss Reserve Balance, as described above.

XI. Administration of the Loan Loss Reserve

1) Administration

NYSERDA shall administer the Loan Loss Reserve Account in accordance with the terms of this Program Opportunity Notice. NYSERDA shall account for the Loan Loss Reserve Balance on its balance sheet and on behalf of the Finance Provider, and any successors or assignees as may be requested and approved in writing and shall maintain appropriate records. The Loan Loss Reserve Balance shall be used solely for the purposes provided in this Program Opportunity Notice. The Finance Provider shall report to NYSERDA as part of its Monthly Report the current Loan Loss Reserve Balance.

2) Payment upon Suspension of Operations

If NYSERDA suspends all business operations for a period of 180 days or more, then if NYSERDA so elects or if the Finance Provider so requests, NYSERDA will make a "Final Payment" in cash to the Finance Provider. That Final Payment will constitute a full and final satisfaction of all further obligations of NYSERDA to the Finance Provider under this Program Opportunity Notice. The "Final Payment" shall be equal to the Loan Loss Reserve Balance after all adjustments required by this Program Opportunity Notice have been made. Following the Final Payment, the Finance Provider shall continue to track the Eligible Financing Agreements and the use of the Final Payment with respect to such Eligible Financing Agreements. When the Finance Provider's last Eligible Financing Agreement has either been repaid or the Finance Provider has recovered its Qualifying Eligible Losses, then the Finance Provider shall refund to NYSERDA (or its successors or assigns) any remaining amount of the Final Payment that was not used to pay Qualifying Eligible Losses.

XII. Reporting Requirements

1) Monthly Report

Within ten business days after the end of each month, the Finance Provider shall provide to NYSERDA an itemized report as specified in Attachment D (the "Monthly Report"). The Monthly Report shall include:

a) New Eligible Financing Agreements

An itemized report of new Eligible Financing Agreements issued during that month, including the origination date, the name of the Borrower(s), amount of financing, interest rate, amount of monthly payments, term and if the Project is a Qualified Energy Efficiency Improvement or Renewable Energy System.

b) Confirmation of Eligibility

A certification by Finance Provider that to the Finance Provider's knowledge that the new financing agreements are all Eligible Financing Agreements under the criteria included in [Section VII](#).

c) Portfolio Status

A cumulative summary report for all outstanding Eligible Financing Agreements, including original balance, current balance, payments received and information about any delinquent payments.

d) Sold, Transferred or Assigned

A cumulative summary report on all Eligible Financing Agreements that were sold, transferred, or assigned to a third party, the date of such sale, transfer, or assignment, the name of the purchaser, transferee, or assignee and whether the transaction was in whole or in part.

2) Review

NYSERDA shall have the right to review documentation for any Eligible Financing Agreement included in a Monthly Report.

3) Confidentiality

NYSERDA will use information provided in each Monthly Report and other information provided by Finance Provider for program management and evaluation purposes only, and will require all staff, affiliates, agents, and designees to treat the information as confidential unless otherwise required by law. For all other uses, NYSERDA will only release information in an anonymous and aggregated form – that is, by removing all personally identifying information.

XIII. Recovery from the Loan Loss Reserve Balance

1) Loss Recovery

Finance Provider shall be entitled to payment from the Finance Provider's Loan Loss Reserve Balance for losses. The Finance Provider may claim from the Finance Provider's Loan Loss Reserve Balance as unrecovered losses ninety percent (90%) of the Qualifying Eligible Loss. As a result, the Finance Provider shall retain responsibility for ten percent (10%) of each Qualifying Eligible Loss.

2) Claim for Recovery from the Finance Provider's Loan Loss Reserve Balance

To claim a Qualifying Eligible Loss and receive reimbursement from the Loan Loss Reserve Balance, the Finance Provider shall provide to NYSERDA (a) a written schedule itemizing each Qualifying Eligible Loss claimed and certifying that it is for an Eligible Financing Agreement that is at least 120 day past due, and (b) a certification that the Finance Provider has exercised commercial reasonable efforts to obtain recovery against the Borrower in the form noted in Attachment C.

3) Loss Recovery.

Whenever Finance Provider makes a claim consistent with the terms of this Program Opportunity Notice for a Qualifying Eligible Loss from the Finance Provider's Loan Loss Reserve Balance as provided above, the Finance Provider shall be entitled to payment of the Qualifying Eligible Loss up to but not in excess of the amount of the Finance Provider's Loan Loss Reserve Balance at the time that such claim for an Qualifying Eligible Loss is presented to NYSERDA.

4) Timing of Payment

If the Finance Provider makes a claim consistent with the terms of this Program Opportunity Notice for a Qualifying Eligible Loss from the Finance Provider's Loan Loss Reserve Balance, NYSERDA shall make payment to the Finance Provider to the extent provided above, no later than thirty (30) days following the end of the month in which the claim is

made.

5) Payments Limited to Loan Loss Reserve Balance

The aggregate liability of NYSERDA to the Finance Provider shall not under any circumstances exceed the Finance Provider's Loan Loss Reserve Balance. The Finance Provider does not have any additional recourse against NYSERDA for Qualifying Eligible Losses in excess of the Finance Provider's Loan Loss Reserve Balance at the time. The Finance Provider acknowledges and agrees that its losses on Eligible Financing Agreements may exceed the funds available in the Finance Provider's Loan Loss Reserve Balance. This Program Opportunity Notice is not a guarantee of the full amount of Eligible Financing Agreements. Except as explicitly provided in this Program Opportunity Notice, NYSERDA is under no obligation to further contribute to or supplement the Finance Provider's Loan Loss Reserve Balance.

6) Subsequent Collection Activities

The Finance Provider agrees to use its commercially reasonable efforts to collect any delinquent Eligible Financing Agreement, even after it has collected from the Finance Provider's Loan Loss Reserve Balance with respect to such Eligible Financing Agreement. For any recovery on an Eligible Financing Agreement net of expenses, the Finance Provider shall retain 10% of such net recovery and 90% of such net recovery shall be paid to NYSERDA.

XIV. Sale and Transfer of Eligible Financings

- 1) A Finance Provider may sell, transfer, or assign an Eligible Financing Agreement or the associated repayments of an Eligible Financing Agreement, in whole or in part, or a portfolio of Eligible Financing Agreements, in whole or in part, provided that it shall remain responsible for its obligations to NYSERDA hereunder, including applicable reporting requirements with respect to Covered Agreements. Any such sale, transfer or assignment must be reported to NYSERDA in accordance with [Section XII\(1\)\(d\)](#) and requires NYSERDA written approval. The Finance Provider must notify the buyer, transferee or assignee that the Covered Agreements are partially protected by, and are subject to the terms and conditions of, a Loan Loss Reserve from NYSERDA under the Program.

XV. Awards

Applicants that apply and meet the qualification criteria set forth in this Program Opportunity Notice shall be notified by NYSERDA of the acceptance of their application and participation in the program.

XVI. 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 the application, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise

or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the Applicant wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <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
Division for Small Business
625 Broadway
Albany, NY 12207

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

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

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

Contract Award - NYSERDA anticipates making one or multiple award(s) under this solicitation. NYSERDA anticipates a contract duration which will extend through the awardee's term of its Financing Portfolio. If terminated, any reserve funding on financings originated by awardee through the effective date of termination will remain in effect until such financings are paid in full or reported as unrecoverable losses. NYSERDA may request additional data or material to support applications. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA expects to notify Applicants in approximately four (4) weeks from the application submission whether your firm will receive an award.

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 an application, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all applications received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject applications. NYSERDA reserves the right to disqualify applicants based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The applicant 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 applicant or former officers and employees of NYSERDA, in connection with applicant's rendering services. 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 applicant 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 awardee 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"). Applicants 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.

Applicants 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 applicant or its subcontractors and who is disqualified from providing services pursuant to any Ethics Requirements may share in any net revenues of the awardee or its subcontractors derived from the award. NYSERDA may request that awardees 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 award at any time if any work performed is in conflict with any of the Ethics Requirements.

XVII. Attachments

Attachment A - Application <https://nyserda.seamlessdocs.com/f/LoanLossReserve>

Attachment B - Program Terms and Conditions

Attachment C – Claim Form

Attachment D – Monthly Report

Attachment E - Loan Loss Reserve Illustrative Guidelines for Eligible Technologies



Remote/Virtual Energy Audit Challenge

Program Opportunity Notice (PON) 4423
\$1,000,000 Available

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

Applications / Proposals Due:

Category 1 Applications - November 9th by 3:00 PM Eastern Time*

Category 2 Proposals - October 26th by 3:00 PM Eastern Time*

Program Summary:

Under the Climate Leadership and Communities Protection Act (CLCPA) of 2019, New York State has established some of the nation's most aggressive energy efficiency and decarbonization goals. While energy efficiency field work has re-opened after the NY PAUSE resulting from the COVID-19 pandemic, NYSERDA seeks to support the efficiency industry by partnering with the home improvement and energy efficiency industry to assist in developing viable approaches for remote and virtual residential energy audits that stimulate market activity and improve consumer engagement. For the purposes of this funding opportunity, the following definitions are established:

- **Remote Audit:** Auditors conduct building assessments remotely by engaging with customers using tools such as video conferencing, phones, or photos.
- **Virtual Audit:** Software that collects and analyzes remotely available data sets to prospect for leads, develop a building model, prescreen customers, and/or develop preliminary energy efficiency recommendations.

This solicitation seeks to test tools and approaches in both categories.

Through this initiative, NYSERDA will support the development of safer work practices in the post-COVID-19 era by funding the deployment and testing of remote-access and no-touch energy auditing strategies in the market. There are two categories of funding available:

Category 1 (Open Enrollment): Qualified contractor partners will develop and test remote energy audit strategies with 1-4 unit residential customers of all income levels in New York State. NYSERDA will provide development grants up to \$25,000 to support partners in establishing remote audit capabilities and training staff to provide those audits. In addition, participating partners will be paid the standard in-field energy audit rate for the program in which the customer is participating for each documented remote energy audit completed through March 31, 2021.

Category 2 (Competitive Selection): Remote and virtual energy audit product and service providers are invited to apply for acceleration grants up to \$200,000 to support rapidly scaling the deployment of these strategies in the market. A cost share of 30% is required for these projects and partnering is encouraged.

Up to \$1,000,000 of NYSERDA funding is available through this PON. NYSERDA anticipates making several awards under this solicitation. All, some, or none, of the available funds may be awarded through this PON. NYSERDA reserves the right to add or reduce the term and/or funding to awarded contracts.

Application / Proposal Submission:

Category 1:

To be considered for a development grant under Category 1 of this Program Opportunity Notice (PON) applicants must sign and submit the Remote/Virtual Energy Audit Challenge Application. This application is located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). The Remote/Virtual Energy Audit Challenge Application includes:

- A brief (1 page or less) description of the audit approach to be used including what software/tool(s) will be used, how and what data will be collected, how data will be stored, data transfer capabilities and customer engagement strategies (outreach, lead generation, customer interaction methods, communication and reporting). The application must successfully describe how the proposed remote audit approach satisfies the **Minimum Energy Audit Specification** and assists NYSERDA in meeting the challenge **Objectives** listed above
- 1. A description of applicant’s residential audit experience and provide relevant work samples that demonstrate the quality of the applicant’s work, methodology and tools utilized. A list of staff responsible for conducting remote energy audits and their qualifications.
- 2. A list of NYSERDA data sources or other references and resources to be used (if any) to support the development and implementation of the proposed remote audit strategy (see list of examples available through NYSERDA below).
- 3. List the regional market(s) where energy audits will be offered. If customer targeting is planned, identify which customer segments to be targeted.
- 4. The development grant level being requested (up to \$25,000) and a brief description of how those funds will be used. Development grant funds may be used to offset costs associated with the procurement or development of tools and resources supporting the deployment of remote energy audits or training and technical support for staff to conduct remote energy audits. Any other use of funds must include an explanation describing how the expenditure supports the deployment of remote energy audits.
- 5. Include a proposed timeline including estimated development time, anticipated remote audit launch date, and estimated monthly projections for audit completions through March 31, 2021.
- 6. Applicants proposing to use or develop proprietary systems must clearly identify what aspects or components of the remote audit system or process will remain proprietary assets of the applicant. Open source solutions or those that can be made available in the public domain at the end of the test period are strongly encouraged, but not required.

Applications must be submitted to bill.keating@nyserdera.ny.gov by 3:00 pm, November 9th, 2020. Incomplete applications will be returned for additional information. 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 applications by mail post marked or hand-delivery by 3:00 pm on November 9th, 2020 if e-mail submission is not possible.

Category 2:

Proposals for Category 2 will be accepted in accordance to the following instructions.

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

No communication intended to influence this procurement is permitted except by contacting Bill Keating (Designated Contact) at (518) 862-1090, ext.3089 or by e-mail bill.keating@nyserderda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at (518) 862-1090, ext.3232 or by e-mail at elsydasolicitations@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 offerer, and (2) may result in the proposer not being awarded a contract. * **All proposals must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3pm Eastern Time, files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSEERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. INTRODUCTION

Objectives

The **goals** of the Remote/Virtual Energy Audit Challenge are two-fold:

- In the short-term NYSEERDA seeks to support contractors and homeowners in identifying efficiency opportunities in ways that reduce time, effort, and in-person contact.
- In the long-term NYSEERDA aims to establish a standardized remote energy audit approach which can be used in the future to rapidly scale delivery of energy audits and improve customer engagement process to put homeowners statewide on the path to a clean energy future. This initiative will provide valuable market insights to inform the development of processes, systems, and program designs to support that goal.

The initiative seeks to address the following **key issues**:

- Determine what types of tools and platforms work best to support remote auditing strategies across a range of use cases including lead generation, customer acquisition, pre-assessments, virtual assessments, and remote sales.
- Assess the viability and efficacy of a variety of remote customer engagement strategies including online survey tools, phone surveys, digital photographs, video calls, etc.
- Assess the usability and accuracy of virtual auditing tools and predictive models.
- Provide insights for program process, and systems modifications to support the evolution of New York State's residential programs and achievement of our clean energy, affordability, and environmental equity goals.
- Identify opportunities for future investments to support wide-scale deployment of remote customer engagement and energy auditing and alignment with other efforts to streamline and simplify NYSEERDA's processes.

Category 1: Development Grants

Development grants are available to help off-set the contractor's costs associated with implementing a remote audit strategy and/or expanding capacity to deliver remote audit strategies. Contractors must commit to completing a minimum of 20 remote audits to receive a development grant. Grants will be paid out according to the following schedule:

Table 1	
# of Audits Commitment	Grant Amount
20-50	\$5,000
51-200	\$15,000
>200	\$25,000
Total Possible Grant:	\$25,000

Development grant payments will be made in three installments, as follows, through March 31, 2021.

Total Grant Amount	Milestone payment #1	Milestone Payment #2	Milestone Payment #3
\$5,000	\$2,000 up front	\$1,500 upon successful completion and submittal of first 10 remote audits	\$1,500 for remaining target number of audits and submittal of pipeline reports and summary of findings
\$15,000	\$5,000 up front	\$5,000 upon successful completion and submittal of first 30 remote audits	\$5,000 for remaining target number of audits and submittal of pipeline reports and summary of findings
\$25,000	\$8,000 up-front	\$8,000 upon successful completion and submittal of first 50 remote audits	\$9,000 for remaining target number of audits and submittal of pipeline reports and summary of findings

Companies receiving development grants must provide monthly Pipeline Reports (see template, Attachment C) to NYSERDA including close rates by measure type that result directly from remote audit recommendations. Pipeline and close rate tracking reports must be provided for each participation month through March 31, 2021. The total available funds for development grants under this initiative are \$250,000. Funds will be allocated to applicants on a first-come first-served basis for all qualifying applications received within the enrollment period. NYSERDA reserves the right to increase the grant pool, institute caps, or otherwise modify the per unit audit payments based on program performance and budgetary constraints.

Minimum Energy Audit Specification

To qualify for this funding, in accordance with the requirements of the Green Jobs Green New York Act of 2009, remote energy audits must, at a minimum, include:

- A complete assessment of the home’s energy-related features
- An assessment of the home’s historical energy consumption
- A list of prioritized recommended improvement measures and estimated savings generated using NYSERDA’s Residential Energy Audit Tool, TREAT, Snug Pro, Optimizer, EmpCalc, or the Comfort Home assessment tool
- A review of any potential health and safety issues related to the proposed improvement measures

Special Requirements for Assisted Home Performance and Empower Projects

For customers who are eligible for Assisted Home Performance (AHP) or Empower, additional information will be required to be collected on-site after the remote audit has been completed in order to fulfill the energy audit requirements for those programs. Contractors working with AHP or Empower qualified customers should wait to submit their remote audit information until the required site inspections have also been completed and submit the complete audit through the designated program workflow. Contractors submitting audits to AHP or Empower will be paid the full audit fee for that program. To receive credit for completing a remote audit under the Remote Audit Challenge, the contractor must identify all audits submitted using remote strategies as described in the contractor’s Remote Audit Challenge application submission to NYSERDA. NYSERDA is currently working with the Building Performance Institute to develop field procedures, expected to be available for beta testing in the field by mid-September, 2020, which may be used to complete in-field tasks that cannot be completed remotely and which use lower touch strategies. Until those protocols become available, contractors are encouraged to work with their NYSERDA project managers to ensure they have satisfied all program-specific requirements as safely as possible.

Category 1 Eligibility Criteria

Development grants will be awarded on a first-come, first served basis for all qualified applications received. To qualify, applicants must either a) be a contractor currently participating in one of NYSERDA's residential retrofit programs and have a program status of active or provisional; or, b) demonstrate a minimum level of experience equivalent to completing a minimum of 50 in-field audits by providing documentation of education and credentials; the tool(s), platform(s), and/or program used to complete the audits; the time period and market region when and where the work was completed; and the number of audits completed.

Category 1 applicants will be required to execute a participation agreement with NYSERDA to participate in one or more of the following programs: Residential Energy Audits, Comfort Home, Empower, or Assisted Home Performance to be eligible for a development grant through the Remote/Virtual Energy Audit Challenge.

References and Resources

Energy audits must be completed by qualified personnel consistent with the requirements for NYSERDA's in-field Residential Energy Audit program. Qualifying credentials include:

- Association of Energy Engineers (AEE) Certified Energy Auditor
- American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE)- Building Energy Assessment Professional
- Building Performance Institute (BPI) Building Analyst
- Building Performance Institute (BPI) Energy Auditor
- Building Performance Institute (BPI) Multifamily Building Analyst
- Investor Confidence Project (ICP) Quality Assurance (QA) Assessor
- Leadership in Energy and Environmental Design (LEED) Rater
- Residential Energy Services Network (RESNET) Home Energy Rater (HERS) Rater

NYSERDA resources available to participating partners include but are not limited to the following list.

Listing of vendors offering tools and services supporting possible remote audit solutions in the open market.

Note, this list is provided as a convenience for applicants. The tools and resources listed have not been reviewed or vetted by NYSERDA and are listed voluntarily by the providers <https://www.nyserda.ny.gov/All-Programs/Programs/Become-a-Contractor/Home-Performance-With-ENERGY-STAR/Remote-Audit-Providers>

- NYSERDA's pro forma financing eligibility screening tool
- NYSERDA's market segmentation and customer targeting tool (I.e. "Faraday Tool")
- Published data sets available through Open-NY (<https://data.ny.gov/>)
- NYS Energy Prices and Weather Data (<https://www.nyserda.ny.gov/Researchers-and-Policymakers/Energy-Prices>)
- NYSERDA's building stock and potential studies (<https://www.nyserda.ny.gov/About/Publications/Building-Stock-and-Potential-Studies>)
- NYSERDA's archive of technical reports (<https://www.nyserda.ny.gov/About/Publications/EA-Reports-and-Studies/Other-Technical-Reports>)

Category 2: Acceleration Grants

In addition to supporting contractors in building capacity to deliver remote auditing services, NYSERDA also seeks market-ready solutions to accelerate deployment of virtual and remote auditing tools at scale in the market. Category 2 funding is available to entities offering tools, products, and services that support remote data collection, virtual energy assessments, and remote sales of energy efficiency and clean energy solutions for residential market.

Under this funding opportunity, NYSERDA will provide individual acceleration grants up to \$200,000 for projects that will assist contractors in rapidly scaling adoption of remote energy audit strategies and that lead to sales of energy efficiency and clean energy home improvements. A 30% cost-share is required. It is anticipated that multiple organizations will receive acceleration grants under this PON; teaming arrangements are encouraged. Projects must be focused on remote and no-touch strategies and should be designed to address one or more of the following objectives. Projects successfully addressing more than one objective will be ranked higher in the competitive selection process.

- **Objective 1** – Accelerate market adoption of clean energy solutions (including installation of energy efficiency

- and heat pump technologies)
- **Objective 2** – Reduce soft costs associated with customer acquisition, bidding, and closing sales
- **Objective 3** – Increase customer lead-to-sales conversion rates for energy efficiency and clean energy improvements
- **Objective 4** – Promote peak demand and load reduction strategies in addition to reduced energy consumption

The subsequent sections of this PON are as follows:

- II. Program Requirements
- III. Proposal Requirements
- IV. Proposal Evaluation
- V. General Conditions
- VI. Attachments

II. PROGRAM REQUIREMENTS

Reporting and Participation Requirements

Category 1

Participating contractors agree to the following:

- Provide each customer with an electronic copy of their energy audit report generated by the tool used to complete the assessment and secure customer acknowledgment of receipt of said report electronically.
- Provide NYSERDA with audit data appropriate to the customer's program eligibility:
 - For **Comfort Home**: The Contractor shall enter the project data directly into Compass or upload batched file to Compass per the Comfort Home data standard per Attachment D – Tab 2 as described below.
 - For **Residential Energy Audits**, projects the Contractor shall upload the Residential Energy Audit Tool file to the Residential Energy Audit workflow in the NY Portal for each customer.
- Contractors using third-party or proprietary energy modeling tools to support their remote audit approach must submit this data to NYSERDA. Participants using third party modeling software must also complete and upload the program specific audit tool in Compass or the NY HP Portal as described above. Data from third party should be submitted using one of four formats:
 - Project data for GJGNY Energy Audit using data standard per **Attachment D: Tab 1** (*This format is best for market-rate audits, not otherwise eligible for Comfort Home or EmPower/Assisted Home Performance incentives.*)
 - Project data for Comfort Home using data standard per **Attachment D: Tab 2** – (This format best for audits where the homeowner will be seeking incentives in the Comfort Home Program.)
 - Project data for EmPower/Assisted Home Performance using EmpCalc export worksheet or list of project data inputs and data outputs formatted per BPI-2100-S-2013 Standard for Home Performance-Related Data Transfer. (This format is best for remote audit tools with HPXML compliant output.)
 - The data derived from any third-party or proprietary modeling tools may be batched on a monthly basis and submitted to NYSERDA in manner to be designated by the NYSERDA project manager for the respective program, Residential Energy Audits, Comfort Home, or Empower/Assisted Home Performance.

- On a monthly basis and in manner to be designated by the NYSERDA project manager Remote Audit Challenge participants shall provide a list of completed remote audit challenge projects. This list should include the project ID for the respective program, Residential Energy Audits, Comfort Home, or Empower/Assisted Home Performance.
- Participate in two round-table discussions to be scheduled in with NYSERDA staff to review results and share lessons learned.
- Submit one interim and one final Summary Report of Findings (see template, **Attachment E**) listing lessons learned. Interim reports will be due at least one week prior to the first scheduled round-table discussion and final reports will be due by March 1, 2021.
- Submit monthly pipeline and measure close rate tracking reports through March 31, 2021.

Category 2

Category 2 acceleration grant recipients will be required, at a minimum, to provide monthly status reports including updates on project progress, milestones achieved, challenges encountered and recommended solutions, and metric reporting and progress toward goals; as well as any other agreed upon deliverables as described in the final contract.

Available Funding, Awards, and Cost Sharing

Category 1

Up to \$ 250,000 of NYSERDA funding is available through this solicitation under Category 1. All, some, or none, of the available funds may be awarded. NYSERDA reserves the right to add or reduce time to awarded contracts, add or reduce funding to awarded contracts, or both.

The awards will be structured as grants with no recoupment obligation to the recipient company. Award proceeds will be paid out on the basis of the audit completion milestones detailed in Table 2.

Category 2

Up to \$750,000 of NYSERDA funding is available through this solicitation under Category 2. All, some, or none, of the available funds may be awarded. NYSERDA reserves the right to add or reduce time to awarded contracts, add or reduce funding to awarded contracts, or both.

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

Successful proposers under Category 2 will be required to provide cost sharing. At least 30% of the total project cost is required. The proposer's cost share may be cash or in-kind and may come from the proposer itself or partner organizations. Cost share is valued by NYSERDA not only as a sharing of its financial risk, but also as a tangible commitment on the part of the proposer to the project's success. Consequently, cash from the proposer is the preferred form of cost share.

Exceptions to Terms and Conditions

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

III. PROPOSAL REQUIREMENTS

Through this PON under Category 2 NYSERDA welcomes proposals to support the efficiency industry by partnering with the home improvement and energy efficiency industry to assist in developing viable approaches for remote and virtual residential energy audits that stimulate market activity and improve consumer engagement. Such proposals must lay out a set of activities (“Scope of Work”) that will enable more rapid penetration of the proposed solution, and growth of remote/virtual energy audits in New York State.

The proposer’s goal should be to concisely present the information needed to fully address the Proposal Evaluation criteria in Section IV. Proposals that grossly exceed the page limits or fail to follow the format guidelines provided in this section may be rejected as non-responsive. A proposer who believes proprietary information must be submitted to provide an adequate proposal must comply with the Section V instructions for submitting proprietary material.

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

State Finance Law Compliance

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

Request for Exception from Public Disclosure

If the proposal includes proprietary or confidential information, a request to except it from disclosure, including a written statement of the reasons why the information should be excepted, should be provided. The proprietary or confidential information should be marked as such within the narrative of the proposal, and the request for exception should refer specifically to this information. See Section V for more detail.

Category 1:

Applicants submitting under Category 1 are not required to submit a proposal. Category 1 applicants will complete, sign and submit the Remote/Virtual Energy Audit Challenge Application via e-mail to bill.keating@nyserda.ny.gov.

Category 2:

Proposals under Category 2 should provide a narrative that consists of the following sections.

- 1. Executive Summary** – Briefly summarize the proposal by describing the offering and how it addresses market barriers to the deployment remote/virtual energy audits. Briefly describe a demonstrated transaction or use case that provides validity for the proposed approach. Indicate how proceeds of an award will be used and quantify the potential for growing the market for remote/virtual energy audits. **(Limit: 2 pages)**

- 2. Demonstrated Remote/Virtual Audit Approach** – Describe the proposed approach in some detail; indicate how the approach will use “no touch” techniques and provide a detailed description of a real transaction that reveals how the approach works successfully. **(Limit: 8 pages)**

- Describe and, if applicable, quantify the projected impact on each of the key objective categories of the proposed remote/virtual energy audit approach.
 - Objective 1: Market adoption rates for energy efficiency and clean energy solutions
 - Objective 2: Transactional soft costs
 - Objective 3: Lead-to-sales conversion rates
 - Objective 4: Peak demand and load reduction
- Quantify how long the proposed product or service has been in market, the annual growth of contractors/customer using the product or service and annual company revenue.
- Describe your plan to facilitate partnering with the contractor community and /or NYS utilities as part of the proposed project.
- Describe a plan for replicating and scaling of the proposed product or service beyond the grant period.
- Describe any non-proprietary and open-source components of the proposed product or service.
- Describe the business model, transaction costs and contractor /customer value proposition of the proposed approach.

3. Market Opportunity and Potential for Scaling – Describe and size the potential market for the proposed remote/virtual energy audit offer.

(Limit: 2 pages)

- Indicate total available market for your offerings based on the proposing company's current value propositions. Indicate the served available market that the proposing company can reach through existing channels.
- Describe the tasks the proposing company must execute to expand the available market.
- Provide a monthly projection of the number of participating contractors and project completions using the proposed approach.

4. Team Qualifications – Identify and describe the team, highlighting areas of strength and its completeness to execute the business model. **(Limit: 2 pages plus individual bios or resumes)**

- Describe the proposing company and its existing business. Indicate company age, revenues, and key customers.
- Please provide a biography of company key executives and team members responsible for executing the business plan. Highlight any experience in the clean energy industry and in the segments that the company is targeting.
- Provide third-party substantiation of the strength of the management team, for example, any awards or endorsements, or investment in the company by institutional or strategic investors.

5. Scope of Work, Budget and Cost Sharing – Provide a description of tasks to which proceeds would be put. This will form the basis of a contractual Statement of Work. **(Limit:1 page per task)**

- Describe the tasks that would be financially supported by any award of funds under this solicitation. Describe how these tasks will enable the expansion of the business and the attendant greater deployment of remote/virtual energy audits.
- Indicate the total budget for each task, and provide a basis for that budget, such as hours and labor rate, cost of materials, etc. Break down the amount of NYSERDA funding that will be applied to each task and the amount of cost-sharing that will be applied. Indicate the source of the cost-sharing contribution on a task-by-task basis. If such contribution is "in-kind", describe it and the basis for attaching a cash value to it.
- Any NYSERDA funding awarded under this solicitation will be distributed on the basis of milestones that will be negotiated post-award. Please suggest appropriate verifiable milestones that signify meaningful progress and might be used to trigger distribution of funds.
- Cost Sharing – The proposal should show non-NYSERDA funding of at least 30% of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

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

IV. PROPOSAL EVALUATION

Category 2 proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below.

At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals, or provide demonstrations of tools, as applicable. Proposers will be notified if they are requested to attend an interview or provide a demonstration.

Category 2 Evaluation Criteria

Projects proposed under Phase 2 will be competitively selected based on the following scoring criteria:

- Use of remote (no touch) strategies (REQUIRED)
- Market-readiness of the remote/virtual audit technology being used
- Projected impact on each of the key objective categories:
 - Objective 1: Market adoption rates for energy efficiency and clean energy solutions
 - Objective 2: Transactional soft costs
 - Objective 3: Lead-to-sales conversion rates
 - Objective 4: Peak demand and load reduction
- Project scale in terms of targeted number of participating contractors and project completions
- Cost-effectiveness of the approach
- Proposing organizations qualifications and experience in the energy efficiency industry
- Demonstrated ability of vendor to partner with the contractor community and /or NYS utilities as part of the proposed project
- Potential for replication and scaling of the product or service beyond the grant period
- Leveraging of funds/resources and cost-share proposal
- Use of non-proprietary and open-source solutions which can be made available to the market

Program Policy Factors

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

- The degree to which pricing and hourly rates are in line with the rest of the market.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Whether the proposed project will advance the goals of the State Energy Plan, the Clean Energy Fund,
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

V. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making one or more awards under this solicitation. NYSERDA anticipates a contract duration of approximately one year, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers approximately 7 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

VI. ATTACHMENTS:

Category 1:

Attachment A – Terms and Conditions

Attachment B – Application Form

Attachment C – Pipeline Report

Attachment D – Data Submission Standards

Tab 1 - GJGNY Energy Audit Data Standards

Tab 2 - Comfort Home Data Standard

Attachment E – Summary Findings Report Template

Attachment F – Covid-19 Addendum

Category 2:

Attachment A – Sample Agreement and Terms and Conditions

Attachment B – Sample Budget

Attachment C - Covid-19 Addendum



Transit Tech Lab Partnership Program
Program Opportunity Notice (PON) 4448
Up to \$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 will be accepted through July 20, 2020 by 3:00 PM Eastern Time or until all funds are committed

I. INTRODUCTION

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from 2020 Transit Tech Lab (TTL) Finalists to demonstrate innovative public transportation technologies and strategies that have the potential to reduce GHG emissions and associated energy consumption of the existing transit bus, rail and connected intermodal transit systems in New York State. The New York Metropolitan Transportation Authority's (MTA) Transit Tech Lab (TTL) is an accelerator program to identify promising technologies that can help improve MTA's operations and performance. The 2019-20 accelerator focused on three challenges related to accessibility, curb coordination, and revenue generation. As transit agencies seek innovative ways to serve riders more efficiently through wider adoption of technological advancements and capitalization of industry expertise through public private partnerships, opportunities exist to rethink public transportation operations and to help transit agencies improve energy efficiency and to improve transit ridership in transit deserts. NYSEDA aims to support innovative transit solutions like those identified through the TTL that could potentially generate sustainable environmental, social and economic benefits through reduced greenhouse gas (GHG) emissions, improved quality of commute for riders and millions of dollars in annual cost savings. Proposals should demonstrate a feasible path to economic viability and be replicable and transferrable throughout the State by different size transit agencies.

NYSERDA's Transit Tech Lab Partnership Program (PON 4448) provides an opportunity for technology companies that have been competitively selected in the TTL to be considered for NYSEDA funding. Technology companies seeking funding through this solicitation must demonstrate that their project(s) supports NYSEDA's Clean Energy Fund goals and falls within one or more of the Challenge and Focus Areas outlined herein. Companies will be eligible for funding through this solicitation if they: (1) were competitively selected during the Transit Tech Lab application evaluation; (2) participated in the TTL accelerator program; and (3) were selected as a proof-of-concept finalist with the MTA.

Companies will be required to submit a Budget and Statement of Work as described herein, along with their TTL application/proposal submission materials. TTL Finalists being considered for NYSEDA funding are subject to NYSEDA executive management approval.

Note: Only companies that have been selected as a 2020 Transit Tech Lab Finalist are eligible to apply.

II. PROGRAM INFORMATION

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

A. Innovation Challenges

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

Challenge 1 – Improve Efficiency and Reliability of Rail Traction Power

- Innovations that advance the state of technology for energy efficiency improvements to electrified rail transit that address **one or more of the following focus areas:**
 - Rail equipment
 - Advances in energy management and harvesting
 - Train equipment innovations
 - Improvements to train operations

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

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

- Innovations that advance the state of technology for energy efficiency improvements to transit buses, paratransit, and non-revenue vehicle operations that address **one or more of the following focus areas:**
 - Innovations that facilitate bus and paratransit electrification
 - Innovative approaches to bus operations
 - Technologies or strategies to reduce energy use from non-revenue fleets

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

Challenge 3 – Improve the Transit Experience

- Innovations that serve to expand transit ridership and improve the efficiency of transit facilities that address **one or more of the following focus areas:**
 - Innovative approaches to improve customer experiences using data to improve route planning, information sharing, and decision-making tools for riders
 - Demonstration of technologies, strategies, or partnerships to improve first and last-mile connections to public transit hubs, especially in rural areas or transit deserts

- Innovations that reduce energy use in transit facilities through improvements in operations or maintenance procedures

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

B. Funding

Only projects categorized as Demonstration type will be considered for this solicitation. A Demonstration project is defined below.

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.

This solicitation is aimed at demonstrating emerging public transportation related technologies, services, or strategies that are commercially available but have not yet been significantly deployed in NYS. This includes hardware, software, policies, and market development initiatives.

NYSERDA's share of funding for any project of this type will be limited to a maximum of \$500,000. All projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds.

NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund any of the proposal's phases therein at a lower level than that requested.

C. Program Requirements

Project Scope. To qualify for funding, proposals must:

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

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

- Projects are expected to begin within three months of the proposal due date. Generally, the project schedule should not exceed 12 months.
- Teaming Agreements are strongly encouraged, where appropriate, to enhance the likelihood of project success. Teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, or other stakeholders.

III. PROPOSAL REQUIREMENTS

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

Proposal

If a proposer is selected as a proof-of-concept finalist with the TTL, the proposer will be eligible to submit a Proposal using the instructions and attachments listed below.

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

Each page of the proposal should state the name of the proposer, the PON number, and the page number. All proposers are required to submit, at a minimum, the following documents:

- 1) Statement of Work
- 2) Budget Form
- 3) TTL Application
- 4) Proof of TTL Finalist Selection

Cost Sharing

The proposal should show non-NYSERDA funding of at least 50% of the total cost of the project. Cost sharing can be from the proposer, other team members, and/or other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered cash contributions. Unpaid labor may be considered in-kind contributions.

NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost share any expenses that have already been incurred.

Show the cost-sharing plan using the following table in the Statement of Work (expand table as needed):

	Task 0	Task 1	...	Task X	Cash	In-kind Contribution	Total
NYSERDA					\$	\$	\$
Proposer					\$	\$	\$
Others (list individually)					\$	\$	\$
Total					\$	\$	\$

A. Submission Process and Requirements

Complete and submit your application/proposal online at:

https://portal.nyserderda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt000000x735WAAQ

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

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

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

File names must include the proposer's entity name.

B. Contacting NYSEERDA about a Proposal

No communication intended to influence this procurement is permitted.

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

If you have contractual questions or questions about NYSEERDA's processes and policies regarding this solicitation, contact **Nancy Marucci** at (518) 862-1090, ext. 3335 or by email at nancysolicitations@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 may result in a proposer being deemed a non-responsible offerer and may result in the proposer not being awarded a contract.

C. Compliance with State Finance Law

In compliance with [Sections 139-j and 139-k of the State Finance Law](#) (see **GENERAL CONDITIONS** below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

IV. PROPOSAL EVALUATION

Proposal Evaluation. Proposals that meet solicitation requirements will be reviewed by a Scoring Committee based on how well they align with the goals of this PON and meet the following evaluation criteria:

Proposed Solution/Scope

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

Project Benefits

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

Market Potential

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

Project Team/Support

- The project team has both a strong technical and business background with the relevant and necessary expertise to complete the proposed work.
- The proposer has successfully commercialized one or more products or deployed services.
- The proposer has secured strong commitments from all essential team members and partners, including cost sharing, and has demonstrated strong support from necessary market actors.

Project Value

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

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.

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

- 1) Whether the proposed project will advance the goals of the State Energy Plan and the Clean Energy Fund, which include improving resilience and reducing GHG emissions.
- 2) The degree to which the proposed project contributes to a diversity of technical approaches and methods that best achieve the overall goals and objectives of NYSERDA.

- 3) The degree to which the proposed project contributes to the geographic diversity of public transportation projects funded by NYSERDA.
- 4) The degree to which there is industry involvement and demonstrated ability to accelerate the adoption of energy or related technologies.
- 5) Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
- 6) The degree to which the expected benefits are commensurate with the size and risk profile of the proposed project and are aligned with the program objectives.
- 7) The degree to which the amount and type of proposed cost share is appropriate to the size and risk profile of the proposed project.
- 8) Past performance of the proposer on other NYSERDA projects
- 9) The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- 10) The degree to which pricing and hourly rates are in line with the rest of the market.

NYSERDA expects to notify proposers in approximately 2-4 weeks from proposal due date whether the proposal has been selected to receive an award.

V. AWARDEE CONDITIONS

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

A. Contract Award

NYSERDA anticipates making multiple award(s) under this solicitation. NYSERDA anticipates a contract duration of 12 months unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 2-4 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.

B. Deliverables

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

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

Annual Metrics Reports

NYSERDA requires awardees to annually submit a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates must reference credible sources and estimating procedures, and all assumptions must be documented. Reporting must commence the first calendar year after the contract is executed. Reports must be submitted by January 31 for the previous calendar years' activities (i.e. reporting period). Reporting will continue for 2-10 calendar years post contract close, depending on funding category. Reporting metrics must be provided in accordance with a web-based form, which will be distributed by NYSERDA.

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

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](#).

VI. GENERAL CONDITIONS

- A. Confidential and 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.

B. Freedom of Information Law

[The New York State Freedom of Information Law, Public Officers law, Article 6](#),¹ provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise."

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

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

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

Empire State Development
Division for Small Business
625 Broadway
Albany, NY 12207
<https://esd.ny.gov/>

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

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

¹ <https://www.dos.ny.gov/coog/foil2.html>

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

- D. State Finance Law, Sections 139-j and 139-k-** NYSERDA is required to comply with State Finance Law sections 139-j and 139-k.² These provisions contain procurement lobbying requirements. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).
- E. Tax Law Section 5-a-** NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the Department) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification: see [ST-220-TD](#).³ 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](#).⁴ The Department has also developed [guidance](#)⁵ for contractors.
- F. Limitation -**This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.
- G. Disclosure Requirement -**The proposer must disclose any indictment for any alleged felony or any conviction for a felony within the past five years, under the laws of the United States or

²<https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>

³ http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

⁴ http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf

⁵ <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>

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

H. 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.

I. 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.

VII. ATTACHMENTS

- Attachment A – Statement of Work
- Attachment B – Budget Form
- Attachment C – TTL Application
- Attachment D – Proof of TTL Finalist Selection
- Attachment E – Sample Agreement



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
Acting President and CEO

**Career Pathway Training Partnerships for High Efficiency HVAC and Heat Pumps –
Governor Cuomo's Workforce Development Initiative
Program Opportunity Notice (PON) 4463
\$8.5 Million Available**

Proposal Due Date: December 17, 2020 by 3:00 p.m. Eastern Time.

Program Summary

As part of Governor Cuomo's Workforce Development Initiative, the New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for hands-on, entry level, technical training programs to help develop a talent pipeline of new workers (e.g., technicians, installers, technical sales) to work in high efficiency heating, ventilation, and air conditioning (HVAC) careers specializing in heat pump technologies, specifically ground source and air source cold climate heat pump applications. The purpose of this solicitation is to fund training providers including but not limited to high schools, unions, trade associations, community based and non-profit organizations and community colleges, who engage high school students, out-of-school youth, and unemployed or underemployed adults in high efficiency HVAC coursework leading directly to jobs or to more advanced technical training, certification, or degrees. Job interviews, job placement preparedness, and other job placement activities will be required elements of each project. It is anticipated that successful proposers will already have HVAC or related training programs and proposals will be focused on expanding into heat pump technologies and focusing on priority populations. Proposers are required to have at least 50% of their program trainees be from a priority population as defined below.

Total funding currently available for this solicitation is \$8.5 million. Additional funds may be provided if available. It is estimated that NYSERDA will fund approximately 15 to 20 proposals with maximum awards not to exceed \$550,000. Proposals seeking the maximum award amount of \$550,000 are required to train a minimum of 50 to 60 students. At least 80% of those trained must be successfully placed in a job, internship, or apprenticeship. Preference will be given to proposals with lower training costs per person and a greater number of total participants to be trained and proposals that include leveraging existing training infrastructure and assets such as curriculum, equipment, instructors, etc. A minimum cost share of 10% is required and preference will be given to proposals with higher cost share percentages. Development and implementation of training is expected to be completed within 18 to 30 months, with an additional 12-month period for tracking and monitoring program graduates. Funds may be used for activities including but not limited to curriculum development, training trainers, training labs and equipment, test and certification fees, scholarships, marketing and outreach, and job placement support activities. Funding for internships and on-the-job training placements is not allowed under this solicitation. Funding and incentives for internships and on-the-job training are available to eligible businesses through NYSERDA's PON 4000 and PON 3982 respectively. Successful proposals will be required to leverage these additional funds for internships and on-the job training placements to help students get hands-on experience and hired.

NYSERDA will conduct an informational webinar on Thursday, October 22, 2020 at 1pm Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can send an email to Darina Mayfield at WFinfo@nyserda.ny.gov with the subject line "PON 4463 Career Pathway" to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar, or during the Webinar using the web platform. Following the conclusion of the Webinar, NYSERDA will post questions and responses on the NYSERDA website. All questions will be posted anonymously, and NYSERDA's written responses will supersede any responses given during the Webinar.

I. Introduction

Background

Thermal energy used in buildings for space heating, hot water, and cooling accounts for 37% of net energy consumption and 32% of all combustion-based greenhouse gas emissions in New York State. Widespread adoption of clean heating and cooling technologies is critical to the achievement of ambitious climate targets. Businesses working in the HVAC market must have an adequate supply of workers with necessary skills, credentials, and experience related to heat pump design, installation, service, and sales for the heat pump market to scale up. Despite the strong growth of New York State's clean energy industry and growing demand for clean energy services, the broader building trades workforce is shrinking. Over the next ten years, many HVAC installers, boiler operators and other skilled trades workers are scheduled to retire. HVAC companies already have trouble filling job openings, and the need for contractors trained and qualified to install heat pumps will likely be compounded by a projected worsening of the HVAC workforce gap in coming years.

Career pathway approaches to workforce development offer articulated education and training steps between occupations in an industry sector, combined with support services, to enable individuals to enter and exit various levels and to advance over time to higher skills, recognized credentials, and better jobs with higher pay. This solicitation will provide funding to training providers to attract students to HVAC/heat pump careers and train them in areas including basic, technical and advanced skills as needed to align with HVAC businesses' need for workers. Training providers will be required to develop partnerships with businesses in order to provide real work experience through on-the-job training, internships, pre-apprenticeships and/or apprenticeships.

Proposal Submission

Online submission is preferable. **PLEASE COMBINE ALL DOCUMENTS INTO ONE SINGLE PDF FOR ONE SINGLE UPLOAD TO SALESFORCE. There is only one slot for upload, if you upload documents individually, you will overwrite each document.** 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 Darina Mayfield at (518) 862-1090, ext. 3672, or Adele Ferranti, (518) 862-1090, ext. 3206, or by email WFinfo@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. or by email 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.

Terms and Definitions

Career Pathway: In general, the U.S. Department of Labor refers to a career pathway as a combination of rigorous and high-quality education, training, and other services that— (A) aligns with the skill needs of industries in the economy of the State or regional economy involved; (B) prepares an individual to be successful in any of a full range of secondary or postsecondary education options; (C) includes counseling to support an individual in achieving the individual's education and career goals; (D) includes, as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster; (E) organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable; (F) enables an individual to attain a secondary school diploma or its recognized equivalent, and at least one (1) recognized postsecondary credential; and (G) helps an individual enter or advance within a specific occupation or occupational cluster. For specific career pathway requirements under this solicitation see the Program Requirements section below.

Priority Populations: Includes but is not limited to Veterans, Native Americans, individuals with disabilities, low-income individuals at or below 60% of State median income, unemployed power plant workers, previously incarcerated individuals, and individuals residing in Potential Environmental Justice Areas as defined by the New York State Department of Environmental Conservation. More information on Potential Environmental Justice Areas can be found at this link: <https://www.dec.ny.gov/public/911.html>

Technical Training: Refers to the delivery of competency-based, hard-skilled training courses to meet critical high efficiency HVAC/heat pump skill development needs, including topics specific to ground source and air source cold climate heat pump applications.

Certifications: Refers to a voluntary system of standards, usually set by key stakeholders and subject matter experts that practitioners can choose to meet in order to demonstrate accomplishment or ability in their profession.

Internship: Defined as paid, supervised, work experience or job shadowing lasting a minimum duration of 8 weeks and must be for a minimum of 80 total hours. The purpose of the internship is for an intern to gain hands-on experience, determine their interest in a clean energy career, and create a network of contacts. Some interns find permanent, paid employment with the organizations with which they interned. This can be mutually beneficial to the employer as experienced interns often need less training when they begin regular employment. **Wage subsidies for internship placements are not eligible for funding under this solicitation. However, funding for internships is available to eligible businesses through NYSERDA PON 4000.**

On-the-job Training (OJT): Defined as full time, permanent, employment where the individual acquires knowledge, skills, and competencies related to defined job tasks through mentorship from a senior staff member. OJT is provided by an eligible business to an employee while the employee is engaged in productive work on the job. **Wage subsidies for OJT placements are not eligible for funding under this solicitation. However, OJT incentives are available to eligible businesses through NYSERDA PON 3982.**

Note: PON 4000 incentives can be combined with PON 3982 for workers that are hired by an eligible business after an internship.

Apprenticeship: Defined as full-time employees who develop skills under the close supervision of a skilled worker. Apprenticeship programs are conducted by employers, jointly by employers and unions, or by groups of employers. The New York State Department of Labor registers apprenticeship programs, offering apprentices the opportunity to do real-world, high quality work, learning both on-the-job and in a

classroom setting while making a decent wage. For this solicitation, apprenticeships must be related to heat pump technologies.

II. Program Requirements

Funding

Total funding currently available for this solicitation is \$8.5 million. Additional funds may be provided if available. It is estimated that NYSERDA will fund approximately 15 to 20 proposals with maximum awards not to exceed \$550,000. Proposals seeking the maximum award amount of \$550,000 are required to train a minimum of 50 to 60 students. At least 80% of those trained must be successfully placed in a job, internship, or apprenticeship. If the 80% threshold is not met when an initiative is implemented, payments made through a contract may be prorated. Preference will be given to proposals with lower training costs per person and a greater number of total participants to be trained and proposals that include leveraging existing training infrastructure and assets such as curriculum, equipment, instructors, etc. Development and implementation of training is expected to be completed within 18 to 30 months, with an additional 12-month period for tracking and monitoring program graduates. NYSERDA will retain up to 10% of the total contract amount as a final payment based on performance.

A minimum cost share of 10% is required and preference will be given to proposals with higher cost share percentages. Cost share can be in the form of cash, labor costs, equipment donations, training fees offset by a third party, training organization staff salaries, etc. NYSERDA will not pay for efforts which have already been undertaken. The proposing team cannot claim as part of their required 10% cost share any expenses that have already been incurred. Proposals requesting more than \$550,000 will not be considered. Additional funding may be added to successful projects after the original contract award.

Funds may be used for activities including but not limited to curriculum development, training trainers, training labs and equipment, test and certification fees, scholarships, marketing and outreach, and job placement support activities. **Funding for internships and on-the-job training placements is not allowed under this solicitation.** Funding and incentives for internships and on-the-job training are available to eligible businesses through NYSERDA's PON 4000 and PON 3982 respectively.

This program is supported with System Benefits Charge (SBC)/Clean Energy Fund (CEF) funding. SBC/CEF service territory consists of areas with electric service provided by Central Hudson Gas and Electric Corp., Consolidated Edison Company of NY, Inc., NYS Electric and Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric. All training opportunities funded under this solicitation will be expected to occur in SBC/CEF service territories. For New York State training locations outside of the SBC/CEF service territory, a New York State clean energy training provider must demonstrate that over 60% of the students and clean energy businesses that it will serve either live, or serve customers, in SBC/CEF service territory. If the 60% threshold is not met when an initiative is implemented, payments made through a contract may be prorated.

Food and refreshments, computers (and related equipment such as servers, software, etc.), clothing, motor vehicles of any kind, personal devices and cell phones are not eligible for NYSERDA funding. In addition, costs such as transportation, tutoring, job site equipment (e.g., work boots or tool belts), childcare assistance, or other wraparound services are not allowable costs for NYSERDA payments, but can be used to meet the cost share requirements of this PON.

While wraparound services are not typically eligible for funding, clearly defined and justified wraparound services will be evaluated and considered on a case-by-case basis. For example, public transportation costs for students in priority populations may be considered.

Eligibility

NYSERDA seeks to support established training programs that can demonstrate experience in entry-level technical training for high efficiency HVAC/heat pump technologies. Training providers such as high

schools, unions, trade associations, NYS registered apprenticeship programs, community based and non-profit organizations, and community colleges are eligible for funding under this solicitation. **Collaboration is encouraged between training providers and other organizations.** All eligible training providers must possess the following minimum basic qualifications:

- Credentialed and knowledgeable team with documented and relevant experience in curricula development, delivery and maintenance, and evidence-based learning techniques.
- Experience with implementing training as part of a career pathway that leads to additional training, certification, degree, continuing education credits, job experience or job placement.
- Experience with or a strategy for engaging business and industry partners and professional organizations in program activities such recruitment, job/internship placement, etc.
- Ability to deliver training and related program activities to NYS residents including having sufficient equipment and lab space to facilitate hands-on learning.
- Capacity to bring on additional resources as necessary to meet programmatic needs.
- Experience in integrating new material into existing curricula and/or developing new stand-alone curricula approved by the NYS Department of Education for use at post-secondary education levels.
- Accreditation by the NYS Education Department and/or training program accreditation by a nationally recognized third-party entity.
- Ability to reach priority populations.

Career Pathway Requirements

A successful career pathway program will have a combination of rigorous and high-quality education, offered concurrently with and in the same context as workforce preparation activities and training. It is anticipated that successful proposers will already have HVAC or related training programs and proposals will be focused on expanding into heat pump technologies and focusing on priority populations. To be eligible for funding, the proposed career pathway program must:

- Align with the basic, technical, and advanced skill needs of employers within the high efficiency HVAC industry. Education and training must address heat pump basics (e.g., types of systems, applications for heating in cold climates), load calculations and load matching, system design, and thermostats and integrated controls.
- Train a minimum of 50 to 60 students if seeking the maximum award amount of \$550,000 and successfully place at least 80% of those trained in a job, internship, or apprenticeship. If the 80% threshold is not met when an initiative is implemented, payments made through a contract may be prorated.
- Have projected program outcomes including total number to be trained; total number of students that complete training and obtain relevant credentials, as appropriate, total number to be placed in internships; total number to be placed in apprenticeships; total number interviewed by employers, total number to be placed in jobs; and total number to go on to receive advanced training or higher education.
- Offer coursework leading to entry-level jobs, internships, and apprenticeships or more advanced technical training, certification, or degrees designed to ready students for entry-level employment (e.g., technicians, installers, technical sales) in the high efficiency HVAC industry.
- Leverage new, existing, or modified instructor-led classroom, online, or hybrid/blended curriculum and education/training delivery, including opportunities for hands-on application of skills on the part of learners.
- Utilize existing training facilities as much as possible to leverage funds and applicable work that has already been done.
- Provide counseling to support the student in achieving their education and career goals relevant to their coursework, including providing job preparedness and placement activities.
- Have a plan for training guidance counselors and other support staff where applicable.
- Develop partnerships with businesses to provide real work experience through on-the-job training, internships, pre-apprenticeships, and apprenticeships, etc.

- Have a plan for tracking students placed in jobs, internships, pre-apprenticeships, and apprenticeships, etc. for a minimum of 12 months after completion of the training program.
- Market to target audiences with a focus on disadvantaged populations and have at least 50% of their trainees be from a priority population as defined above.
- Demonstrate that over 60% of the students and clean energy businesses that it will serve either live, or serve customers, in SBC/CEF service territory (see Funding section above).
- Leverage PON 4000 and PON 3982 funds for internships and on-the job training placements to help students get hands-on experience and hired.
- Have a plan to become self-sustaining once NYSERDA funding is exhausted.

Reporting and Tracking Requirements

Reporting is essential to communication between the selected training provider and the NYSERDA Project Manager. Reporting is necessary to measure progress and as a basis upon which the Project Manager assesses whether or not to approve the Contractor's invoice. Quarterly reporting on training activities and key program performance metrics must be submitted to NYSERDA, as well as training program outcomes for a 12-month period following the conclusion of training activities. NYSERDA will provide the report format.

Quarterly reports will include, but not be limited to, the following:

- Title of project
- Contract number
- Reporting period
- Project progress, including tasks completed in month, tasks left to complete, etc.
- Feedback from instructors delivering training
- Identification of issues or concerns
 - Planned solutions
 - Areas where NYSERDA assistance is needed
- Metrics:
 - Summary of recruitment efforts
 - Complete list of trainings held during the reporting period including dates, instructor contact information and locations where the training sessions were held.
 - Class rosters including the name, address, contact information, electric utility service territory, and education level and employment or school enrollment status for all attendees for each training session.
 - Complete pre- and post-training surveys, including instructor review (NYSERDA will provide)
 - Total number trained.
 - Total number that completed training and obtained relevant credential or certification, including information on the credential or certification received.
 - Total number of participants receiving job interviews and a list of the interviewing companies.
 - Total number of participants placed in internships, apprenticeships, or jobs. Name of the employer, contact information, hourly wage, and training plan including a detailed description of the participant's roles and responsibilities, and anticipated learning outcomes.
 - Total number of participants continuing to advanced training / education and complete information on the training or education institution and certification or degree sought.
- Registration fees paid by participants and summary of third-party funds used for training
- All costs incurred to conduct training sessions
- List of equipment and materials purchased or donated
- Pictures of training activities and select success stories

III. Proposal Requirements

Proposers are required to complete and submit the following components via the Proposal Submission guidelines above:

1. Attachment A – Project Application including the following attachments:
 - a. Statement of Work
 - b. Schedule
 - c. Attachment B – Budget Form
 - d. Cost Breakdown by Task
 - e. Other attachments applicable to proposal (see below)

PLEASE COMBINE ALL DOCUMENTS INTO ONE SINGLE PDF FOR ONE SINGLE UPLOAD TO SALESFORCE. There is only one slot for upload, if you upload documents individually, you will overwrite each document.

Attachment A – Project Application Questions

- Does your project ensure that over 60% of the students and clean energy businesses that the program will serve either live, or serve customers, in SBC/CEF service territory?
- Are you proposing to deliver a hands-on, entry level training program designed to help develop a talent pipeline of new workers (e.g., technicians, installers, technical sales) that is 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?
- Give a brief description of the proposed project including project objectives.
- What is the total number to be trained and cost per person? If requesting the maximum award amount of \$550,000, are you proposing to train a minimum of 50 to 60 students?
- What experience do you have in developing career pathways and providing entry-level technical training in clean energy and job placement activities? What current activities does this proposal build upon and where does this training fit within the overall curriculum offered by the institution, including training progression opportunities? Are you proposing to successfully place at least 80% of those trained in a job, internship, or apprenticeship.
- What partnerships exist now or will be developed (e.g., other training providers, business/industry, professional associations, NYSDOL Career Centers, etc.)? Response must clearly identify the roles and responsibilities of subcontractor(s) included in the proposed training program.
- Provider letters of commitment from all subcontractors or partnering organizations. Each must be signed by a person authorized to bind the organization.
- Provide letters of support from at least three (3) businesses who have hired graduates from your clean energy related training in the past and who can attest that proposed training relates directly to their future hiring needs.
- What experience do you have in designing, developing, or modifying and evaluating relevant curricular materials? Describe the proposed career pathway curriculum and explain how it will be used and/or modified. How are business and industry partners involved in the development and update of curricular materials?
- Provide course outline and syllabus for any courses proposed.
- How and where will training be delivered (i.e., classroom, lab, online, blended model)? What does the hands-on component of the training entail? How will classes be scheduled and how will students register?
- What equipment will be required and is it available now? If not, how will the necessary equipment be procured? How will the equipment be used by training participants and/or instructors?
- Does the proposed training result in a nationally recognized certification, if appropriate? If there is no national certification for training offered, how is the training evaluated for quality and industry

demand? How will any newly developed or modified curricular materials be evaluated and improved?

- Besides training, what other services will be included as part of the career pathway program (e.g., counseling, job preparedness and placement activities)?
- What are the qualifications of your instructors and supporting staff? How is the quality of instruction maintained?
- Provide resumes for all instructors and key personnel.
- What is your experience recruiting and training priority populations? What marketing methods will be used to target and recruit priority populations and who will be responsible for these efforts? Are at least 50% of targeted program participants from a priority population as detailed in the solicitation?
- How will students be screened? What will students need to succeed in this program? How will student needs be addressed and how will performance be evaluated?
- How will you track program requirements and outcomes during the program and for 12 months after the completion of the program?
- Provide a detailed Statement of Work. The Statement of Work must include project goals, objectives, tasks, deliverables, and outcomes. (See below for additional details.)
- Provide an anticipated schedule for completing tasks. This schedule can be in weeks or months from contract execution and should be a maximum of 18 to 30 months for developing and implementing training. The schedule should include an additional 12-month period for tracking and monitoring program graduates. The schedule should correspond to the individual tasks and budget. (See below for additional details.)
- Complete and submit the Attachment B – Budget Form detailing the budget for the proposal and showing costs related to labor, direct materials (including supplies, equipment, and other costs), travel, and subcontractors. (See below for additional details.)
- Provide total cost breakdown between applicant cost share and NYSERDA cost share for each task detailed in the Statement of Work. A minimum cost share of 10% is required from the applicant. Cost sharing for individual tasks may vary between applicant and NYSERDA, however, total cost must result in no more than a 90% NYSERDA/10% Applicant split. Preference will be given to proposals with higher cost share percentages (See below for additional details.)
- What are your sources of funding for the cost share required and other funding? Are you leveraging third party funds? If so, please describe. Are you leveraging PON 4000 and PON 3982 funds for internships and on-the job training placements to help students get hands-on experience and hired?
- How will the program be sustained after the scope of services is complete and NYSERDA funds are no longer available?
- Provide a list of NYSERDA contracts within the past 4 years that your organization and/or team members have received. Provide other supporting material deemed necessary.

Statement of Work

Proposers must include a detailed Statement of Work (SOW) with their application. The SOW is the primary contractual document that identifies the deliverables and provides a basis for payment. It is an action document that specifically delineates each step or procedure required to accomplish the tasks outlined. The SOW must be prepared as an ordered set of tasks, including subtasks as necessary. The proposers should describe their approach/methodology and define their rationale for the proposed approach. They should describe the actions they will take to complete each task and the anticipated outcome of each task. Each action should, therefore, be identified, indicating who will perform it, how it will be performed, when it will be performed, and its anticipated measurable deliverables. See Attachment C – Sample Agreement for a sample Statement of Work. Use the following format to describe each task or subtask:

Task 1: Task Title

The Contractor shall....

The Task 1 deliverable is....

Schedule

The proposer must provide an anticipated schedule for completing tasks. This schedule can be in weeks or months from contract execution and should be a maximum of 18 to 30 months for developing and implementing training. The schedule should include an additional 12-month period for tracking and monitoring program graduates. The schedule should correspond to the individual tasks and budget.

Schedule example:

Task No.	Title or Description	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8
1.	Develop Curriculum								
2.	Recruit								
3.	Conduct Training								
4.									
5.									

Attachment B – Budget Form

The proposer must complete and submit the Attachment B – Budget Form with their application. The Attachment B – Budget Form details the budget for the proposal and shows costs related to labor, direct materials (including supplies, equipment and other costs), travel, and subcontractors. 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. Work completed or costs incurred prior to NYSERDA’s execution of a contract are ineligible for funding or for consideration as cost share. **For more information on funding, cost share, and allowable expenses please see the Funding section above.**

Cost Breakdown by Task

The proposer must provide total cost breakdown between applicant cost share and NYSERDA cost share for each task detailed in the SOW. A minimum cost share of 10% is required from the applicant. Cost sharing for individual tasks may vary between applicant and NYSERDA, however, total cost must result in no more than a 90% NYSERDA/10% Applicant split. Proposers should show the cost sharing plan in the following format:

Task X (complete for all tasks) Budget Categories	Applicant Cost Share	NYSERDA Cost Share	Total
1. Labor	\$	\$	\$
2. Direct Materials, Supplies, Equipment & Other Costs	\$	\$	\$
3. Travel	\$	\$	\$
4. Subcontractors	\$	\$	\$
Total	\$	\$	\$

Attachments

Proposers must submit the following materials as attachments to their application. **PLEASE COMBINE ALL DOCUMENTS INTO ONE SINGLE PDF FOR ONE SINGLE UPLOAD TO SALESFORCE. There is only one slot for upload, if you upload documents individually, you will overwrite each document.**

- Letters of commitment for all subcontractors or partnering organizations. Each must be signed by a person authorized to bind the organization.
- Letter of support from at least three (3) businesses who have hired graduates from your clean energy related training in the past and who can attest that proposed training relates directly to their future hiring needs.
- Course outline and syllabus for any courses proposed.
- Resumes of key personnel who will complete tasks described in the SOW.
- Statement of Work
- Schedule
- Attachment B – Budget Form
- Cost Breakdown by Task
- A list of NYSERDA contracts within the past 4 years that your organization and/or team members have received.
- Other supporting material deemed necessary by the proposer.

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed and evaluated by a Scoring Committee consisting of NYSERDA staff and selected outside reviewers including the Workforce Development Initiative interagency review committee. All references to the “proposer” below apply to the proposer and any additional team members. Final rankings and contract awards will be based on the below Evaluation Criteria, listed in order of importance. After proposals are reviewed by the Scoring Committee, NYSERDA will notify each proposer whether or not the proposal was favorably evaluated (within approximately 10 weeks).

NYSERDA reserves the right to require an interview before final contract award decision. NYSERDA also reserves the right to eliminate from further consideration any proposal deemed to be substantially or materially non-responsive to the requirements of this PON or the requests for information contained herein. Furthermore, NYSERDA reserves the right to select projects for funding based on the geographical coverage across New York State to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives.

Evaluation Criteria

Relevant Experience and Qualifications – 30 Points

- What is the proposer’s track record of / approach to ensuring job placements and relationships with clean energy businesses/employers? Does the proposer have at least three letters of commitment or support from businesses who have hired individuals from their energy-related training in the past and who can attest that proposed training relates directly to their future hiring needs?
- What experience does the proposer have in developing career pathways, implementing entry level technical training in clean energy, and providing job placement activities? Are key personnel’s education and experience relevant to the training and job placement needs? Does the proposal include resumes of key personnel and instructors?
- Does the proposer demonstrate appropriate experience designing, developing, or modifying and evaluating relevant curricular materials in response to industry stakeholder needs?

- Does the proposed training and job placement activities prepare participants for an internship, apprenticeship or for entry level employment in the high efficiency HVAC industry?
- Are training sites located in NYS and does the proposer have adequate equipment to support classroom or laboratory training that meets industry standards? Are sufficient resources (staff, facilities, equipment, and materials) being devoted to the SOW and each proposed task?
- Does the proposer have a letter(s) of commitment or support from partnering organizations? Are roles and responsibilities of subcontractor(s) clearly identified?
- What is the proposer's previous experience with NYSERDA, if any? Did they provide a list of NYSERDA contracts within the past 4 years that their organization and/or team members have received?

Statement of Work (SOW) – 20 Points

- Is the SOW thorough, specific, logical, and consistent with NYSERDA's program goals and the PON's objectives?
- Is the SOW appropriate in its approach to market and deliver quality training and job placement activities?
- Does the SOW include tasks that address all the requirements of the PON? Is there enough detail provided for each task in the SOW?
- Does the SOW include all metrics reporting requirements?
- Does the proposer provide a schedule and complete development and implementation of training within approximately 18 to 30 months? Does the schedule include an additional 12-month period for tracking and monitoring program graduates?

Comprehensiveness of Approach and Management Plan – 30 Points

- How comprehensive are the technical training and job placement activities being proposed? Are any additional range of services (e.g., counseling, job preparedness activities) included?
- How comprehensive are projected program outcomes including total number to be trained; total number to be placed in internships; total number to be placed in apprenticeships; total number to be placed in jobs; and total number to go on to receive advanced training or higher education?
- Is the geographic range of training delivery and job/internship/apprenticeship placements detailed?
- If requesting the maximum award amount of \$550,000, does the proposal seek to successfully train a minimum of 50 to 60 students and place at least 80% of those trained in a job, internship, or apprenticeship?
- Are at least 50% of targeted program participants from a priority population as detailed in the solicitation? How well does the proposer detail their strategy to engage priority populations and reach the 50% threshold required? How well does the proposer demonstrate stringent screening of any potential training participants?
- How well does the proposer demonstrate that over 60% of the students and clean energy businesses that it will serve either live, or serve customers, in SBC/CEF service territory?
- Is the course content, in keeping with NYSERDA's requirement, appropriate in preparing participants for work in the intended occupation and for more advanced technical training or entry-level employment? Is a course outline and syllabus provided for all courses proposed?
- Does the proposed training result in a nationally recognized certification, if appropriate? If there is no national certification for training offered, how well is the training evaluated for quality and industry demand?
- Does the proposal's management plan include coordination and interaction with all of the relevant parties (partners, local resources, and other programs) and is the coordination well developed?
- How comprehensive is the plan for training guidance counselors and other support staff where applicable?
- What are the plans for sustaining the program once NYSERDA funding is exhausted?

Cost – 20 Points

- Is the budget reasonable and responsive to funding requirements under the solicitation? Does the proposal include the Attachment B – Budget Form and a cost by task breakdown?
- Is the total number to be trained adequate? Is the training cost per person reasonable?
- Is 10% cost share included? Is the proposer proposing a cost share higher than 10%? How will it be provided? Does the proposer leverage any third-party funds? Is there a complete description for each funding source?
- Is the proposer leveraging PON 4000 and PON 3982 funds for internships and on-the-job training placements to help students get hands-on experience and hired?
- Are the proposer's costs appropriate when compared to the costs of other comparable proposals and the projected results?

V. General Conditions

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

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

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

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

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

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

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

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

Tax Law Section 5-a - 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 qualifying multiple contractors under this solicitation. NYSEDA anticipates a contract duration of approximately 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 proposal. 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 to 12 weeks from the proposal due date whether your proposal has been qualified. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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

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

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 – Project Application
Attachment B – Budget Form
Attachment C – Sample Agreement

New York State Energy Research and Development Authority

Albany

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

nysesda.ny.gov | info@nysesda.ny.gov

Buffalo

726 Exchange Street
Suite 821
Buffalo, NY
14210-1484

(P) 716-842-1522

(F) 716-842-0156

New York City

1359 Broadway
19th Floor
New York, NY
10018-7842

(P) 212-971-5342

(F) 518-862-1091

**West Valley Site
Management Program**

9030-B Route 219
West Valley, NY
14171-9500

(P) 716-942-9960

(F) 716-942-9961

National Offshore Wind Research and Development Consortium (NOWRDC)
Approximately \$9,000,000 Available

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

***National Offshore Wind Research and Development Consortium
Innovation in Offshore Wind Solicitation 1.0
(Via NYSERDA PON 4476)
Proposal submissions accepted until:***

**Round 1 - Enabling Large Scale Turbines:
Due Date September 21, 2020**

**Round 2 - Support Structure Innovation; Supply Chain
Development: Due Date October 5, 2020**

**Round 3 - Electrical Systems and Innovation; Mitigation of Use
Conflicts: Due Date October 19, 2020**

3:00PM EST as designated by Round due date

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I. INTRODUCTION

In June 2018, the U.S. Department of Energy (DOE) announced the selection of the New York State Energy Research and Development Authority (NYSERDA), the Renewables Consulting Group (RCG), the Carbon Trust (CT), and the Advanced Energy Research and Technology Center (AERTC) at Stony Brook University to form a nationwide research and development organization for the offshore wind industry. The National Offshore Wind Research and Development Consortium (NOWRDC) is a nationally focused, independent, not-for-profit consortium of key offshore wind industry stakeholders and research institutions. NOWRDC is dedicated to managing industry-prioritized research and development of offshore wind to maximize economic benefits for the United States. The U.S. DOE award is for \$20.5 million. This award was matched by NYSERDA, for a total of \$41 million to support offshore wind research projects. In addition, three states (Massachusetts, Maryland and Virginia) offer cost share programs for applicants from those states. NOWRDC completed its first solicitation for offshore wind research and development technology projects earlier this year; twenty projects were selected for contract negotiation to receive funding from NOWRDC, bringing the total funding awarded to date to over \$17.3 million.

NOWRDC seeks to fulfill, in part, a long-term vision for offshore wind energy in the United States that is supported by current policy for an all-inclusive energy strategy. To achieve this vision, NOWRDC supports identification of the technology innovations needed to address challenges and lower costs in each of the five U.S. offshore regions, allowing offshore wind to compete in all regional electricity markets without subsidies. The necessary cost reductions can be realized in part through targeted research and development (R&D) that removes or reduces technological and supply chain barriers to deployment and lowers development risk to investors. NOWRDC envisions this research being conducted through desktop

studies, design development, and computer analysis, as well as hardware development with supporting demonstration and validation activities.

In November 2019, NOWRDC released its Research and Development Roadmap 2.0 (Roadmap) to advance offshore wind technology, drive wind technology innovation and combat climate change. Incorporating industry-led feedback, the Roadmap presents a long-term vision for innovative offshore wind technology development in the United States and identifies key priorities for establishing the industry as a leading national clean energy sector. Proposers are encouraged to review the Roadmap which is posted on NOWRDC's website at: <https://nationaloffshorewind.org/>.

Focusing on the research and development priorities identified in the Roadmap, available research funds will be distributed through a series of competitive solicitations over four years. These competitive solicitations reflect the three Research Pillars described in the original U.S. DOE funding opportunity announcement (DOE FOA 1767):

Pillar #1: Offshore Wind Plant Technology Advancement

Pillar #2: Offshore Wind Power Resource and Physical Site Characterization

Pillar #3: Installation, Operations and Maintenance, and Supply Chain

This Solicitation seeks proposals that fall within Pillar #1 and Pillar #3 to address the specific Technical Challenge Areas outlined in Section II of this document. Future solicitations or revisions of this Solicitation may add additional Challenge Areas, or update or remove existing ones. Proposals for research on topics other than those identified in Section II, in accordance with the current revision of the Solicitation at the time the proposal is submitted, are not within the scope of this Solicitation and will be considered non-responsive.

NOWRDC intends to support projects in partnership with the best research organizations to achieve maximum impact. Proposals are welcomed from all geographic locations. It should be noted that, as a condition of the award, a waiver from the U.S. DOE will be required for any funded work that will be undertaken outside of the United States.

All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind developer or a U.S. offshore wind materials or services supplier, or include an advisory group of industry experts to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should demonstrate knowledge of prior research, and/or identify partners who have been working on this challenge in order to demonstrate that the proposed research will further the overall state-of-the-art.

Proposal Submission: Proposers may submit multiple proposals provided that each proposal concerns a separate and distinct topic. Each individual proposal must be submitted as a single file, inclusive of all supporting documents. Online submission is preferred. 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. NOWRDC 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. For technical questions about this proposal please email info@nationaloffshorewind.org. Emails will be reviewed daily, and responses provided as warranted.

Contractual questions or questions about NOWRDC's processes and policies regarding this Solicitation should be directed to Carrie Cullen Hitt at carrie.hitt@nationaloffshorewind.org. 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.

Scoring Rounds:

Proposals will be accepted at any time up until the due dates noted for each of the three Scoring Rounds described in Section II. There will be one Scoring Committee per Round. NOWRDC reserves the right to change the interval of Scoring Rounds. Any, all, or none of the available program funds may be awarded in any Scoring Round. Proposals not selected for award can be updated based on feedback and can be resubmitted in later solicitations.

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

Guidance for Federally Funded Research and Development Centers (FFRDCs):

National Offshore Wind Research and Development (NOWRDC)
Program Opportunity Notice
Approximately \$9,000,000 Available

Federally Funded Research and Development Centers (FFRDCs), including but not limited to U.S. DOE national laboratories, are eligible to receive awards under this Solicitation as either a prime recipient or subrecipient. Except where noted below, all requirements for proposal submission and project execution apply equally to FFRDCs and to other applicants.

Proposals from or including FFRDCs will be evaluated and selected for award according to the procedures and criteria described in this Solicitation. No preference in evaluation and selection of awardees will be given to proposals from or including FFRDCs. FFRDC funding may not exceed 25% of the total of DOE's and NYSERDA funding for projects awarded in response to NOWRDC Solicitations. As of the date of this Solicitation, up to approximately \$5,000,000 of project funding remains available for potential awards to FFRDCs as prime or sub-recipients, in response to this or future solicitations. There is, however, no obligation to award any of this amount beyond the established guidelines of the merit-based process by which all applications will be evaluated.

II. SOLICITATION TOPICS AND REQUIREMENTS

The following Scoring Rounds (see Table 1 below) and Challenge Area descriptions include examples of projects that would address the challenge as a guide for prospective proposers. Guidelines for quantifying the benefits of proposed projects to the U.S. offshore wind industry are also provided.

Proposals for research on topics other than the Challenge Areas described are not in scope for this Solicitation and will be considered non-responsive. However, in future Solicitations, Challenge Areas may be added, deleted or modified. Similarly, the Roadmap, on which solicitation topics are based, will be periodically revised in response to progress in research and commercialization, as well as needs voiced by industry.

Construction of new research facilities or capital-intensive modification of existing facilities will not be funded under this Solicitation. However, this Solicitation may support research and equipment related to such facilities. For example, if testing and validation of an innovative technology are included in the scope of a proposed project, certain costs such as fabrication of test articles, procurement or upgrading of state-of-the-art instrumentation, data collection labor, and established facility usage fees may be funded. However, funds may not be used to, for instance, build or upgrade facility structures or infrastructure, or to erect instrumentation towers.

All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind developer, a U.S. offshore wind component supplier, or include an advisory group comprising developers and/or suppliers to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research that can be leveraged and/or partners who have been working on this challenge to demonstrate that the research will clearly further the overall state-of-the-art and will not duplicate or approximate other studies, products, or R&D projects.

The offshore wind industry is trending toward installing larger turbines (12MW - 15MW) in the next decade, with ultra-large (>15MW) turbines likely in the future. Therefore proposals under Round One are required to propose technical innovations consistent with the design specifications of the NREL/IEA 15MW reference turbine (information provided below), or with another set of 12MW – 15MW turbine specifications provided by a turbine manufacturer, in order to credibly establish the applicability and cost effectiveness of the proposed innovations to future turbines of that scale or larger.

Round 2 and Round 3 innovations may be applicable to any size of commercial offshore turbine planned for installation in U.S. waters. However, they should use the 15MW reference turbine, or another set of manufacturer-provided specifications, where needed to establish credibility of assumed design parameters and to justify cost/benefit analyses. Further, proposals should recognize and attempt to address trends toward ultra-large turbines.

Table 1

Challenge Area	Round 1 Enabling Large Scale Wind Turbines Due Date September 21	Round 2 Support Structure Innovation; Supply Chain Development Due Date October 5	Round 3 Electrical Systems and Innovation; Conflicting Use Mitigation Due Date October 19
1	R1c1: Enabling Fabrication and Installation of Future Foundations	R2c1: Support Structure Solutions to Reduce Impact and Cost of Fixed and Floating Arrays (including anchor and mooring design)	R3c1: Cable Innovation to Reduce Cable Failure, Electrical Losses and Costs
2	R1c2: Port and Marine Systems Innovation to Support Offshore Logistics	R2c2: U.S. Supply Chain Development Through Innovation	R3c2: Innovation in Transmission Hardware or Transmission Options to Reduce Interconnection Costs
3	R1c3: Port Gaps Assessment and Strategies	R2c3: Solutions to O&M Challenges	R3c3: Innovation or Strategies to Mitigate Grid System Impacts
4	<i>Intentionally Left Blank</i>	R2c4: Safety Systems Innovation	R3c4: Technology Solutions to Mitigate Use Conflicts

Round 1: Enabling Large Scale Wind Turbines

Challenge Area 1: Enabling Fabrication and Installation of Future Foundations

Challenge Area 2: Port and Marine Systems Innovation to Support Offshore Logistics

Challenge Area 3: Port Gaps Assessment and Strategies

Proposal submissions in Round 1 should specifically use a 15MW reference turbine (large turbine) as the baseline for determining relevant design parameters and cost benefit analysis.

Background

As further cost competitiveness is pursued through increasingly larger offshore turbines, the physical size of each component has grown rapidly. In Fall 2019, General Electric announced development of a 12-MW Haliade-X turbine platform and, in May 2020, Siemens Gamesa announced a 14-MW turbine.

Industry developers foresee installed turbine capacities in the range of 15 MW during the later 2020s. These large turbines, while a positive step for the industry, come with new technical challenges. Aside from the turbine upscaling itself, these challenges include understanding the impacts that larger turbines and their components will have on required vessel capacity, port infrastructure, test methods and facilities, construction and installation methodologies, and maintenance.

In March 2020, NREL in collaboration with the International Energy Agency and the Danish Technical University released a 15MW *reference* turbine. Round 1 of this Solicitation calls for proposals that address the challenges of installing and maintaining turbines of this scale or larger, using the open source specifications of this reference turbine for commonality reference. The specifications can be found here: <https://www.nrel.gov/docs/fy20osti/75698.pdf>. If a proposer has its own large turbine design, this may be used as an alternative reference baseline.

Challenge Area 1: Enabling Fabrication and Installation of Future Foundations (R1c1)

Challenge Statement

Offshore turbine size has increased significantly over the past decade and is predicted to continue increasing. Technology solutions are needed to adapt the design, testing, fabrication, and installation of existing foundation structure types in order to support the commercial trend toward larger turbines.

Objective

The main objective for this challenge is to optimize existing or develop new foundation and other support structure design options (including transition piece designs) for the coming generations of turbines, using the 15 MW *reference* turbine as a design baseline. If a proposer has its own similar scale turbine design this may be used as an alternative reference baseline. Design modifications will be proposed and evaluated, and new support structures designs will be identified to suit site conditions or enable support structure manufacturing and installation within the United States. Proposals may be for fixed or floating structures.

Background

As the offshore wind industry continues to develop, there is a great opportunity to innovate, modify, and optimize offshore substructures to enable installation and U.S. fabrication of these turbines. For example, a recent study by the Carbon Trust identifies substructure optimization, logistics, maintenance and repairs as technology challenges for large-scale floating wind turbines (Carbon Trust, Floating Wind Joint Industry Project, 2020).

Example Project Types

The following list provides example project types that could address this challenge, incorporating the specifications of the 15-MW reference turbine to ensure applicability to turbines of the coming decades. This list is meant as a reference and is not intended to be exhaustive. All project proposals will be considered, provided they contribute to the objectives of addressing this Challenge Area.

- Technical solutions to avoid the use of jack-up vessels;
- Innovative solutions to avoid the use of heavy lift vessels;
- New piling methods that allow installation of larger monopiles but lower loads, reduce fatigue loads from pile driving, better verticality to eliminate the transition piece, lower dependence on expensive heavy-duty pile driving vessels, and reduce noise during installation;
- Use of suction pile technology;
- Innovative materials that can be used as an alternative to steel, such as advances in composite concrete, that are lower cost, provide the necessary strength and lifetime, and/or are supplied by U.S. manufacturers; and
- An innovative or optimized approach to fabricating substructures (e.g., increasing the modularity of a substructure or innovations to improve welding of complicated foundation designs and alternatives to welded connections;) that will increase the efficiency of quayside fabrication and facilitate local production.

Challenge Area 2: Port and Marine Systems Innovation to Support Offshore Logistics (R1c2)

Challenge Statement

This Challenge Area seeks to explore alternative methods to provide marine logistics solutions that best utilize existing U.S. infrastructure and vessel capabilities and remain within the constraints of the existing U.S. maritime laws, while simultaneously meeting the cost requirements of the U.S. offshore wind industry (and assuming the 15MW reference turbine).

Objective

The main objective of this challenge is to develop alternative, innovative solutions that will lower costs associated with the fabrication, handling and transportation of offshore wind related materials, hardware, equipment, and componentry. These solutions may be applied to the fabrication facility, construction and installation port, and/or at the final offshore project site. Possible solutions may include novel systems or technologies that can be applied to new or existing U.S.-flagged vessels, or developed to support port infrastructure, or innovative fabrication processes. These may include, but are not limited to, new handling/transport solutions or hardware to ease handling and/or transportation of specific items, or storage solutions to optimize use of limited vessel/port real estate.

Handling and transport solutions must be considered in conjunction with turbine/foundation system design, existing U.S. port capabilities and upgrade potential, and 15-MW turbine-scale specifications, in compliance with the Jones Act and other applicable port and vessel regulatory statutes. Solutions may be applicable to fixed-bottom and/or floating foundation installations.

Per the terms of the U.S. DOE cooperative agreement with NYSERDA, this Solicitation will not fund physical improvements to ports or vessels or the construction of new vessels or port infrastructure. Projects that develop innovative designs or alternative methodologies will be considered. Please refer to the Example Project Types for this Challenge Area for further guidance.

Background

Major offshore wind plant construction and maintenance activities, to support both turbine and balance of plant hardware, will require onshore-to-offshore, handling, storage, and transportation of large and heavy components often requiring very specific considerations. Recent turbine growth trends have introduced new challenges associated with port and lifting capacity, handling strategies, and space optimization solutions for the components and materials involved in an OSW plant. Traditional solutions to these issues have the potential to drive costs up rapidly as turbine sizes increase, and therefore, scaling traditional and current solutions and methodologies may not be the only, or the best, way to meet the marine logistics requirements associated with large wind turbines (using the 15MW reference).

The Merchant Marine Act of 1920, also known as the Jones Act, requires that delivery of any goods between two ports in the United States be conducted by a U.S.-flagged, U.S.-built vessel. This generally restricts European vessels from being brought to the U.S. to support construction operations. At present, there are no Jones Act-compliant vessels capable of carrying out the heavy lifts necessary to install current and future turbines, which require lifting heights greater than those previously encountered in the U.S. offshore oil and gas industry. The U.S. currently hosts a strong base of Jones Act-compliant vessels to support the domestic offshore oil and gas industries, many of which may be suitable for retrofit to support primary installation or support roles in offshore wind.

The perceived ability of a port to support the construction of large-scale offshore wind turbines currently rests on several key considerations, including port laydown storage capacity, quayside length and availability, heavy-lift equipment, laydown pad load limitations, port vessel traffic, and port overhead/underwater obstructions. While many of these port requirements are not inherently specific to offshore wind — and there may be existing partial solutions developed to support other industries like offshore oil and gas — there is an opportunity and need for continued innovation to lower the costs and barriers to entry associated with ports supporting large-scale offshore wind.

Although this Challenge Area is specific to port, fabrication, and vessel innovations related to the handling and transportation of the large and heavy materials required to install and service the 15MW reference turbine, vessel solutions are not limited to heavy-lift installation vessels. Other supporting vessel types included under this Challenge Area may include tugs, barges, crew transfer vessels, and service operations vessels, all of which may be capable of assuming support roles in project installation or maintenance operations.

Example Project Types

The following list provides example project types that could address this challenge, incorporating the necessary specifications to ensure applicability to the anticipated larger turbines of the next decades. This list is meant as a reference and is not intended to be exhaustive. All project proposals will be considered provided they address the objectives of this Challenge Area. All prospective proposals for this Challenge Area are encouraged to seek input from — or partner with — an offshore wind developer, a U.S. port or vessel operator, and/or port/vessel experts to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research that can be leveraged and/or partners who have been working on this challenge to demonstrate that the research will further the overall state-of-the-art.

- Assessment of how traditional offshore activities and equipment can be repurposed to serve offshore wind;
- Technical assessment of existing Jones Act-compliant vessels, their suitability to serve the offshore wind industry, or potential modifications to support the reference turbine design,
 - Include design/redesign solutions, timelines for implementation, and detailed cost estimates;
- Development of new or modified tools and equipment that will facilitate improved fabrication, handling or transportation of offshore wind materials, equipment, hardware, and componentry (turbine component rigging, racking, or dunnage solutions, steel prefabrication and transportation solutions, concrete batching and transportation solutions, etc.);
- Alternative, innovative heavy lifting methodologies including consideration of corresponding health and safety consequences to the proposed solution;
- A new, innovative vessel design and/or installation approach to accommodate the reference turbine, and potentially larger turbine designs in the future; and
- Innovative service operation and crew transfer vessels.

It is the intent of this Challenge Area to fund technical analyses and innovative design and engineering activities. This Solicitation will not fund the actual construction or adaptation of vessel concepts or port infrastructure.

Challenge Area 3: Port Gaps Assessments and Strategies (R1c3)

Challenge Statement

The current U.S. port system faces new requirements and challenges as it prepares to support large-scale offshore wind development in U.S. lease areas (NYSERDA, 2019, Port Infrastructure). While many ports have regional and geographic advantages that can be leveraged, further assessments and strategies are required to unlock regional efficiencies to improve port capabilities, coordination, and competitiveness.

Objective

The objective of this challenge is to assess the core capabilities of public and private ports in supporting the U.S. offshore wind development areas, and to develop systems or solutions that will improve port capabilities, coordination and competitiveness. Successful concepts may be tailored to specific geographies or specific regional port systems. Concepts will be partially evaluated based upon their achievable LCOE benefit. Further they should demonstrate knowledge of the requirements for these large turbines to enable full assembly, laydown, storage, and load-out with proximity to fabrication. Analysis and/or solutions proposed must reflect a current understanding of the U.S. port system, must objectively assess regional strengths and weaknesses (i.e. no regional bias), and must comply with all applicable federal and state laws and regulations.

Per the terms of the U.S. DOE cooperative agreement with NYSERDA, this Solicitation will not fund physical improvements to ports or the construction of port infrastructure. Projects that yield compelling insights or alternative methodologies and port design will be considered. Please refer to the Example Project Types for this Challenge Area for further guidance.

Background

The U.S. port system has developed to support various maritime activities including fishing, marine transport, and marine resource exploration, for which specific efficiencies and strategies have been developed regionally to improve efficiency and reduce costs.

The immediate need is reflected in port infrastructure improvement projects being undertaken in several U.S. States. For example, in June of 2020, New Jersey Governor Murphy announced plans to construct a 200+ acre hub-style marshalling and manufacturing port in Lower Alloways Creek Township which is intended to be the first purpose-built, “greenfield” port for offshore wind on the East Coast (New Jersey Office of the Governor, 2020, Governor Murphy Announces Plan to Develop the New Jersey Wind Port: First Purpose-Built Offshore Wind Port in the U.S.) In addition, in Fall 2019, New York announced a request for qualifications for entities interested in port infrastructure improvements with up to \$200 million. While significant overhaul may be required at key offshore wind ports, and many of the port capabilities required to support offshore wind activities will be specific to that industry, there is a high likelihood that analogous methods and strategies have been developed in some capacity to support tasks associated with other, more traditional maritime industries.

Due to the regional sectorization of port abilities that has naturally developed due to the location of natural resources or trade routes, there may be certain solutions, strategies, or “tribal knowledge” that are “locked into” certain geographies, and not others. To ensure the U.S. port system develops in such a way that it can competitively support offshore wind expansion across large areas of the U.S. perimeter coastline, support strategies and solutions must be shared, adapted, and implemented across the broader network of U.S. ports.

Another important aspect driving the success of U.S. port integration in the domestic offshore wind industry is the presence (or absence) of local characteristics, either natural or man-made, that may pose geographic advantages or disadvantages in the context of the offshore wind supply chain. The identification and impact assessment of factors including overhead obstructions, draft depth, vessel traffic, port lift and resting load capabilities, and port laydown real estate is critical to assist ports and developers in optimizing their collaborative operations.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and is not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area. All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind developer, a U.S. port or vessel operator and/or port/vessel experts to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research that can be leveraged and/or partners who have been working on this challenge to demonstrate that the research will further the overall state-of-the-art.

- Feasibility studies assessing strategies for regional collaboration among ports to address technical and logistics challenges;
- Feasibility studies for assessing onshore port access;
- Studies to assess competitive advantages and potential new approaches of U.S. port regions in addressing characteristics including, but not limited to fabrication, construction, assembly, and/or installation. New designs should include assessments of competing use and safety; laydown, lift, and loading capacities; and general access for 15MW reference scale turbines;
- Assessment of conflicting use and potential mitigation strategies at ports in coordination with various potentially impacted entities; and
- Innovative solutions or strategies to address existing fabrication, handling or transport constraints at U.S. ports.

It is the intent of this Challenge Area to fund technical analyses and innovative design and engineering activities. This Solicitation will not fund the actual construction or adaptation of vessel concepts or port infrastructure.

Round 2: Support Structure Innovation; Supply Chain Development

Challenge Area 1: Support Structure Solutions to Reduce Impact and Cost of Fixed and Floating Arrays (including anchor and mooring design)

Challenge Area 2: U.S. Supply Chain Development Through Innovation

Challenge Area 3: Solutions to O&M Challenges

Challenge Area 4: Safety Systems Innovation

Innovations under Round 2 may be applicable to any size of commercial offshore turbine planned for installation in U.S. waters, particularly for projects currently under development. However proposals should also reflect awareness of industry trends towards large (~15MW) and ultra-large (>15MW) wind turbine installations. Where needed to establish the credibility of assumptions used in establishing design parameters and carrying out cost benefit analyses, proposal submissions should use either established open source turbine specifications, such as the 15MW reference turbine, or specifications provided directly by a turbine manufacturer.

Challenge Area 1: Support Structure Solutions to Reduce Impact and Cost of Fixed and Floating Arrays (R2c1)

Challenge Statement

Technology solutions are needed to optimize platforms, monopiles, jackets, gravity-bases, suction buckets, transition pieces and/or other types of foundation designs in order to lower overall cost and ensure suitability under the specific conditions of U.S. offshore wind regions for near term wind plant installations while taking into account applicability to future turbine designs.

Objective

The main objective for this challenge is to develop support structure design solutions (potentially including transition piece, anchor, and mooring designs) that are optimized for U.S. site conditions and transport and installation capabilities, and that facilitate the advancement of U.S. manufacturing capabilities.

Substructures and foundations account for 13.9% of the capital expenditure for a fixed-bottom offshore wind plant (Stehly et al., 2020), and this percentage can vary significantly with water depth, bottom conditions, and the capability of the local supply chain. Most offshore wind turbines installed to date are mounted on fixed-bottom substructures embedded into the seabed. This is largely due to the easy transferability of skills and knowledge of similar designs from the oil and gas industry, as well as the relatively shallow water depths available for siting projects. With more than 40% of the U.S. offshore wind resource located in water depths of 60 meters or less, the use of fixed-bottom substructures is feasible in many U.S. offshore locations (DOE, 2017).

Figures 1 and 2 show the present mix of offshore wind substructure types compared to the projected mix for new projects that are currently in the pipeline globally. Figure 1 shows the present industry status. For projects that have announced the type of substructure they plan to use, Figure 2 shows a trend toward jackets and other substructure types as the industry moves into other geographic markets, larger turbines, and more challenging site conditions. Note that most of the global pipeline has not decided on a specific technology yet. To date, monopiles make up the majority of installed offshore wind substructures in

Europe. However, their dominance in the industry is decreasing as other substructures are better suited for some sites due to varying site conditions.

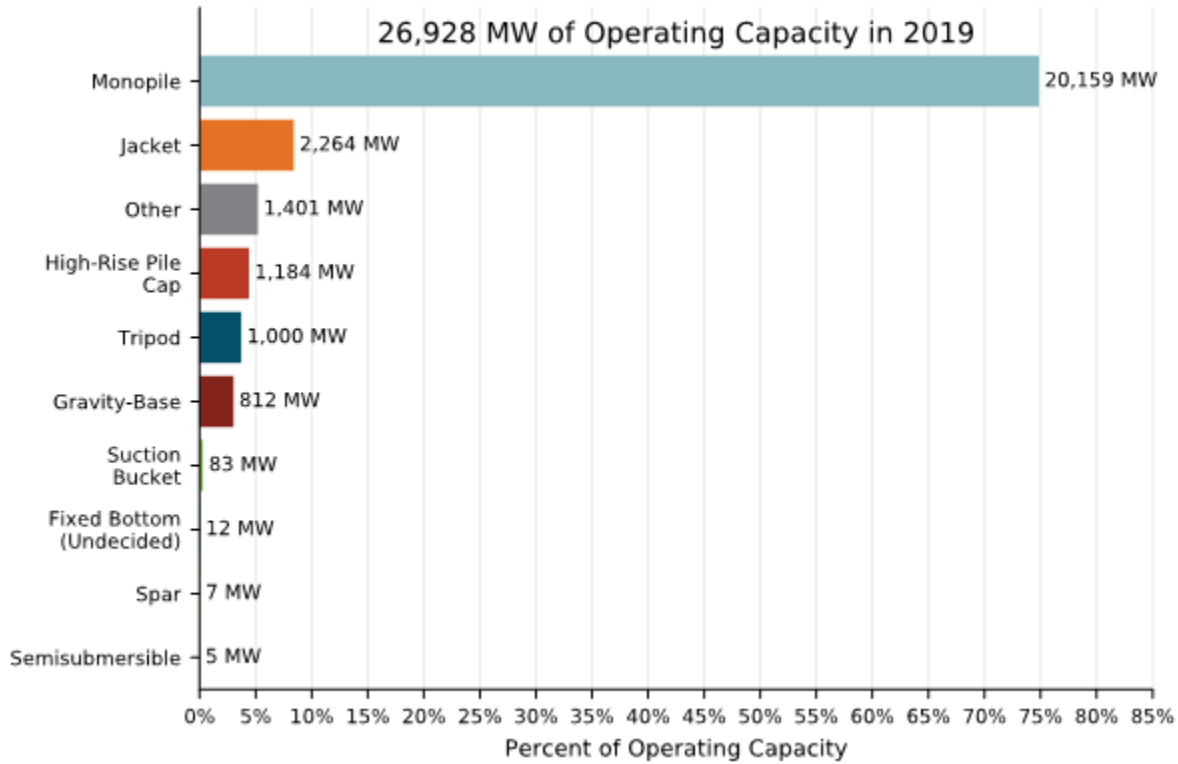


Figure 1. Current Mix of Substructure Types for Installed Offshore Wind Turbines Source: NREL

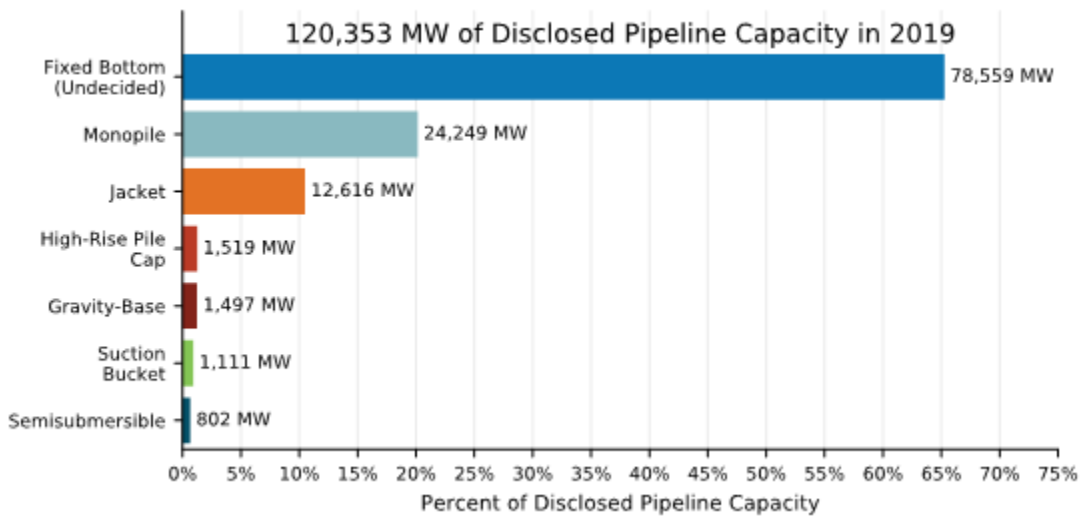


Figure 2. Future Projection of Substructure Types for Global Offshore Wind Fleet Source: NREL

Although there are several different substructure designs available, the market is characterized by three existing available designs: monopiles, jackets, and gravity-base, all designed and developed based on European offshore site conditions. Assessments of the suitability of existing available support structures targeted for U.S.-specific conditions are needed. These assessments are encouraged to quantify, but are not limited to, the following variables:

- Support structure mass and cost scaling;
- Suitability for ultra-large turbines;
- Domestic installation capabilities;
- The development of geotechnical calculation methods suitable for U.S. soils and seabed conditions;
- Domestic supply chain opportunities;
- Alternative installation methods to mitigate possible environmental impacts;
- Alternative installation methods to avoid negative cost impacts due to Jones Act restrictions;
- Innovative corrosion protection adapted for U.S. conditions (salinity, seabed, etc.)
- Extreme wind and wave resiliency; and
- Water depth.

In addition to assessing the suitability of existing designs for U.S. site conditions, there are a number of opportunities to develop *innovative* products or solutions that are more suited to U.S. conditions, supply chain and vessel availability, including:

- Innovative substructure designs that can be readily utilized;
- Innovative materials used as an alternative to conventional steel, such as advances in composite concrete, that are more cost effective, provide necessary strength, and can be readily supplied by U.S. manufacturers (Wind Power Engineering, 2018);
- Substructure solutions that reduce dependency on foreign flagged or expensive heavy lift vessels; and
- Options that extend the lifetime of the substructure, delaying the need to decommission and reducing the overall levelized cost of energy.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area.

- Comparative assessment of various foundation/support structure types (including fixed and floating) in near term U.S. applications (addressing site suitability, timeframe requirements, local supply);

- Technical assessment and/or solutions to meet specific foundation/support structure/anchor/mooring requirements;
 - Innovative substructure designs or design modifications to existing substructures delivered by the U.S. supply chain that can be readily utilized;
 - Likely overall cost implications of any modifications;
 - Installation modifications;
 - Infrastructure modifications or innovations; or
 - Ability to mitigate a technology barrier (e.g., difficult soils types) to deployment in the United States.
- Options that extend the lifetime of the substructure, delaying the need to decommission and reducing the overall levelized cost of energy; and
- Substructure solutions that reduce the dependency on foreign flagged or expensive heavy lift vessels.

Challenge Area 2: U.S. Supply Chain Development Through Innovation (R2c2)

Challenge Statement

Many of the components for commercial offshore wind projects in the U.S. will be imported due to lack of qualified U.S. manufacturing and supply capabilities. Given current construction plans in the U.S., there will be manufacturing constraints. The primary U.S. challenge is to increase both capability and capacity.

Objective

The objective of this challenge is to develop new technologies and concepts to accelerate the U.S. supply chain towards the goal of promoting local content used in offshore wind plants. Successful concepts should result in increased utilization of existing U.S. manufacturing and new manufacturing (e.g. substructures that use the oil & gas supply chain, or ultra-large locally manufactured blades, etc.) that take advantage of or help create local or regional manufacturing and assembly capabilities. Proposed projects need not be limited to existing design configurations but may offer collaborative innovations that introduce combinations of new materials, new strategies for deployment, and new advanced manufacturing methods that leapfrog current supply constraints, including manufacturing capacity. All proposals should consider the long-term development of ultra-large turbines.

Background

As the U.S offshore wind market begins to take shape, one of the prevailing questions posed to the key manufacturers is, “When will offshore wind components be produced in the U.S.?” With a growing

pipeline of projects projected to be built along the Atlantic coast within the next decade and a lack of qualified U.S. manufacturing and supply capabilities, many of the components, subcomponents, and infrastructure for the initial phase of commercial wind projects in the U.S. will be imported.

While the Block Island Wind Farm was assembled using European-built turbines and a foreign-flagged installation vessel, the project has also demonstrated the potential for U.S. produced and installed components, including steel jacket foundations having been supplied by fabricators from the Gulf of Mexico's oil and gas industry. This is a good starting point for the U.S. offshore industry, proving that certain wind plant requirements can already be met by using the existing supply chain companies in the U.S. The question to be addressed by U.S. manufacturers is whether they can match the demand of the U.S. offshore project pipeline and the increasing scale of individual projects and technology.

It is critical to determine how the U.S. supply chain can be accelerated to most effectively encourage investment in U.S. offshore wind component and vessel manufacturing investment. Studies have indicated that factors such as infrastructure development, logistics optimization, and project timelines can all affect the degree to which local content can be effectively incorporated into an offshore project.

Another vital part of U.S. supply chain development to enable U.S. offshore wind will be to accelerate the training and growth of the domestic workforce. This is an opportunity for researchers and developers to develop training centers and create new ways of training technicians (offshore, electrical, welders, etc.) and managers to master the execution and operation of an offshore wind turbine and do so in a safe and efficient manner. Innovative technology can lead to new methods of training the workforce for emerging workforce requirements.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area. All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind developer, a U.S. offshore wind component supplier, or include an advisory group comprising developers and/or sub-structure suppliers to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research that can be leveraged and/or partners who have been working on this challenge to demonstrate that the research will further the overall state-of-the-art. Analyses of the skill sets and/or tooling required to implement any proposed technology or method are welcome as part of the project in order to maximize the opportunity to increase the supply chain.

Projects under this Challenge Area might include:

- Supply chain strategy solutions that utilize alternatives to traditional raw materials for offshore wind manufactured components;
- Design of an innovative U.S.-focused standardized training program, in compliance with federal regulations, for offshore wind technicians or fabricators to build experienced local workforces;
- Optimization of a major wind plant component to utilize U.S. expertise and manufacturing competencies, and reduce costs;
- Development of a modularized component design that can be manufactured and installed using unique U.S. supply chain capabilities; and
- Development of a lean manufacturing process for serial production of turbine and other wind plant components in order to reduce LCOE.

Challenge Area 3: Solutions to O&M Challenges (R2c3)

Challenge Statement

With the number of offshore wind turbines installed in U.S. waters set to increase, system reliability is likely to become a growing concern. In an offshore environment, the cost of component damage/failure or operations and maintenance (O&M) is complicated. Managing these issues on a reactive basis has proven to be expensive and inefficient, however, with current advances in analytics and technology there is the opportunity to optimize O&M strategies, reducing the need for technicians to go offshore, and ultimately reduce LCOE.

Objective

The objective of this challenge is to optimize the operation and maintenance of fixed and floating offshore wind plants to:

- Increase efficiencies in O&M (measured by possible metrics such as lower cost, decreased downtime, increased turbine availability, or increased energy capture);
- Achieve demonstrable reductions in component level damage and failures; and
- Reduce the labor hours spent offshore and the associated safety risk to personnel.

All proposals should consider the long-term development of ultra-large turbine deployment.

Background

Supervisory Control and Data Acquisition (SCADA) acts as a central ‘nerve center’ for the wind plant connecting individual turbines, the substation and meteorological stations to a central computer. SCADA systems are predominantly used to support analyses on the productivity of the wind plant and therefore focus primarily on collecting data to monitor the turbines’ operating status, health condition, real-time and long-term performance, as well as physical control inputs (e.g. orientation, yaw, etc.).

Comparatively little data is being collected to monitor the health of other components that make up the offshore wind plant, such as foundations and electrical cables etc., to assess damage or likelihood of

failure. Issues on these components are usually identified during physical component inspections, (for which there is currently little guidance or industry standards) and may only be identified once the damage has progressed to a more serious (expensive) state.

One offshore wind industry trend has been to increase the number of remote sensors across the various offshore wind plant components to enhance the remote monitoring capabilities and to better identify, predict, and diagnose component damage and potential failures. The use of condition monitoring sensors on electrical cables is more common practice as is the use of sensors on steel foundations to monitor the extent of corrosion. This is particularly true for cable installation since a significant proportion of insurance claims on electric cables result from over bending or snagging during installation, causing damage to the internal conductors. Unfortunately, the development rate of new innovations in wind plant health prognostics, advanced analytical diagnostics, and new predictive maintenance strategies have not kept pace with the ever-increasing volumes of data being collected. Data is collected in a variety of formats and is difficult to synthesize.

There is the opportunity to not only considerably improve and increase the technology used to capture component status data, but also develop a holistic integrated system that can collect, analyze, and interpret all component level data and make O&M decisions remotely. This would allow for fault detection during construction as well as facilitating better O&M planning leading to a more efficient maintenance process, reduced O&M cost and a reduced need for technicians going offshore.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and is not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area.

Solutions are sought that can demonstrate increased analytical capability at component, system, turbine or plant level, and/or reduce at sea labor hours for O&M personnel on the U.S. fleet of offshore wind turbines. Favorable proposals will leverage known methods and “lessons learned” from the collective European offshore wind O&M experience. Proposals should demonstrate access or ability to access necessary OEM data.

All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind developer, a U.S. offshore wind component supplier, or include an advisory group comprising developers and/or suppliers to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research that can be leveraged and/or partners who have been working on this challenge to demonstrate that the research will clearly further the overall state-of-the-art and will not duplicate or approximate other products or R&D projects.

Innovations under this topic may include advances to current technologies and capabilities for:

- Remote repair capabilities featuring advanced sensors, artificial intelligence, and turbine-based robotics;
- Improvements in remote inspection accuracy using drones and autonomous vessels;
- Self-healing concepts to reduce manual repairs;

- Development of machine learning / ‘big data’ processing methods to facilitate lower cost offshore O&M and increase reliability;
- Demonstration and development of guidance on industry best practice for U.S. offshore wind component inspections;
- Condition monitoring sensor development for cables and sub-structures during installation and operation;
- Improving the understanding of asset lifetime integrity through advanced sensors; and
- Integrated systems that can track the status of all major components and subsystems in the wind plant to inform O&M planning.

Challenge Area 4: Safety System Innovation (R2c4)

Challenge Statement

As the U.S. offshore wind industry grows in scale and size of workforce, numerous installation and maintenance activities will require that human operators perform duties in the potentially hazardous environmental conditions and spaces associated with an offshore wind plant. Technology solutions and strategies must be developed and implemented to mitigate worker exposure to the electrical, mechanical, height and marine-related hazards present in the offshore wind work environment to reduce the cost, both human and monetary, associated with workplace accidents.

Objective

The objective of this challenge is to assess the potential hazards present in an offshore wind farm and to develop systems or solutions that, accordingly, will apply controls in accordance with the U.S. Occupational Health and Safety Administration’s (OSHA) hierarchy of Hazards and Controls, which are, in order of effectiveness, Elimination, Substitution, Engineering Controls, Administrative Controls, and Personal Protective Equipment (PPE). In accordance with this hierarchy, the most effective solutions within this Challenge Area will eliminate the hazard, which in the context of Offshore Wind may involve removing the worker entirely from the hazardous offshore environment. This type of solution will involve developing novel technologies or solutions that will enable tasks previously requiring local human operators to be performed remotely from a non-hazardous location.

While complete elimination of hazardous conditions is always the most effective safety solution, there are some tasks required in offshore wind construction and maintenance for which remote solutions do not yet exist. To address these types of tasks, successful proposals will develop novel engineering controls, administrative controls, or PPE solutions that will reduce the risk of personnel injury or death associated with that task in its anticipated environment.

Background

Currently, U.S. facilities within 3 nautical miles (nm) from shore must be permitted in accordance with state and local laws and regulations. Beyond this threshold are Federal waters, where the Energy Policy Act of 2005 assigned primary regulating authority to the Department of the Interior, and by proxy, the

Bureau of Ocean Energy Management (BOEM) and the Bureau of Safety and Environmental Enforcement (BSEE). Health and Safety compliance for an offshore wind farm requires the developer to implement a safety management system (SMS) as part of their Construction and Operations (COP) plan in accordance with 30 CFR 585. The SMS is overseen by the BSEE, in cooperation with the Occupational Safety and Health Administration (OSHA) and the U.S. Coast Guard (USCG).

Currently the best practices for offshore wind health and safety in U.S. waters are in their nascent stage of development and are not explicitly stated in any federal regulatory code, but as the U.S. offshore wind industry grows, more rigorous and transparent industry-led health and safety protocols and standards must be established and refined to combat the inherent hazards associated with its challenging work environment.

Proposed solutions are encouraged to consider the current offshore wind regulations and requirements in the U.S., but should also consider the European offshore wind experience, where many more labor-hours have been committed to construction, operation, and maintenance activities. In addition, there are considerable health and safety “lessons learned” to be leveraged from the traditional U.S. offshore industries, including oil and gas exploration.

Successful proposals will address technology concepts and will be able to quantitatively demonstrate that the proposed concept can lower risk to personnel using metrics such as reduced labor at sea or comparisons to other related information on documented hazards that can be mitigated through the proposed innovation.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and is not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area.

Solutions are sought that can demonstrate increased personnel safety performance at the component, system, turbine or plant level, preferably by reducing at-sea labor hours for all personnel on the U.S. fleet of offshore wind turbines, but also by improving the safety systems, tools, PPE, training, and processes associated with all tasks currently requiring at-sea human labor, as well as offshore wind-related assembly, construction, installation, and loadout operations that may be conducted ashore.

Innovations under this topic may include:

- Novel or improved Personal Protective Equipment (PPE) specific to offshore wind environments or operations;
- Novel or improved safety procedures, protocol, or best-practices specific to offshore wind environments or operations;
- Technical innovations to reduce the occupational hazards associated with offshore wind-specific tasks. Such solutions may include:
 - Novel or improved fall arrest and restraint systems;
 - Lightning or extreme weather prediction and protection systems;
 - Technical solutions to reduce hazards associated with vessel-to-platform crew transfer;
 - Electrical protection systems to reduce risk of electrocution or shock; and

- Evaluation and comparative risk assessment of offshore wind-related technologies or strategies (for construction through O&M phase) that quantitatively define relative risk profiles.

All project submissions will be assessed on projected Total Recordable Incident Rate Ratio (TRIR) improvement to infer LCOE impact, rather than a direct LCOE calculation. Projects submitted without a projected TRIR improvement calculation will not be considered. TRIR Improvement must be calculated using the OSHA standard calculation¹, as below

$$TRIR = (\# \text{ of total recordable injuries and illnesses}) * 200,000 / \text{Total Employee Hours Worked}$$

$$TRIR \text{ Improvement} = TRIR_{\text{post-implemented solution}} - TRIR_{\text{pre-implemented solution}}$$

It is the intent of this Challenge Area to fund technical analyses and innovative design and engineering activities. Per the terms of the U.S. DOE cooperative agreement with NYSERDA, this Solicitation will not fund the actual implementation or adaptation of safety systems.

Round 3: Electrical Systems and Innovation; Conflicting Use Mitigation

Challenge Area 1: Cable Innovation to Reduce Cable Failure, Electrical Losses and Costs

Challenge Area 2: Innovation in Transmission Hardware or Transmission Options to Reduce Interconnection Costs

Challenge Area 3: Innovation or Strategies to Reduce Grid System Impacts

Challenge Area 4: Technology Solutions to Mitigate Use Conflicts

Proposals under Round 3 may be applicable to any size of commercial offshore turbine planned for installation in U.S. waters, particularly for projects currently under development. However, proposals should also reflect awareness of industry trends towards large (~15MW) and ultra-large (>15MW) wind turbine installations. Where needed to establish the credibility of assumptions used in establishing design parameters and carrying out cost benefit analyses, proposal submissions should use either established open source turbine specifications, such as the 15MW reference turbine, or specifications provided directly by a turbine manufacturer.

Challenge Area 1: Submarine Cable Innovations to Reduce Failure, Electrical Losses and Cost (R3c1)

Challenge Statement

The Challenge is to reduce the capital costs of the submarine cable system while drastically lowering failure rates and building the U.S. supply chain to accommodate large GW scale U.S. development with turbine sizes increasing to 15 MW and beyond.

¹ OSHA, *Clarification on how the formula is used by OSHA to calculate incident rates*

Objective

The main objectives for this Challenge Area are to:

- Reduce costs and impacts of electrical cabling needed to connect offshore wind to the grid;
- Develop technical solutions to improve the reliability of subsea cables used in the array and for the export system; and
- To optimize offshore wind plant submarine cables and layouts for ultra-large wind turbines and minimize footprint on the seabed.

Background

The U.S. offshore wind industry is projected to grow to 29 GW by 2035 based on state-level policy commitments. This corresponds to U.S. demand by 2030 of hundreds of miles of electric cables; but currently major suppliers of submarine cables are overseas and most cable will need to be imported. Improvement in the reliability of submarine cables in the U.S. Waters is needed. In addition, according to Lloyd Warwick International Claims Database (2002—2019), 83% of the offshore wind insurance claims were related to cable failures (Musial et al 2020; Carbon Trust 2018). In addition, as projects move farther from shore for better wind resources, AC transmission systems may not be the most economic option due to higher cost, increased transmission losses, and other technical barriers. Systems such as High Voltage Direct Current (HVDC) and MVDC are possible alternatives; however, there are very few domestic or international suppliers of this equipment. Moreover, dynamic cables for floating offshore wind brings new challenges for long term reliability of submarine cable. As the industry moves into federal waters, the industry must achieve higher cable reliability while continuing to lower the cost of the electric infrastructure.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area. All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind or offshore transmission developer or include an advisory group comprising developers to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research and/or partners who have been working on this challenge to demonstrate that the research will further the overall state-of-the-art.

- Technology advances that lower cost in the U.S. of both turbine-to-turbine array cables and array-to-shore export cables, including dynamic cables;
- Technology advances that increase U.S. market availability of both turbine-to-turbine array cables and array-to-shore export cables;
- Evaluation of electromagnetic frequency (EMF) from HVAC and HVDC networks in likely development areas, and mitigation techniques;

- Innovative technologies/designs/architectures that lower individual project cost, reduce risks, reduce losses, or enable longer distance transmission through the application of new power conversion systems, cable technology, or array cable topology; and
- Submarine cable monitoring systems - either integrated with the cable such as innovative distributed sensor system or improved conventional technology that conducts on site cable monitoring nearly full time and exports data via wet dock or by being retrieved and redeployed by project vessels;

Challenge Area 2: Innovation in Transmission Hardware and Transmission Options to Reduce Interconnection Costs (R3c2)

Challenge Statement

Technology advancement and innovation are needed to lower individual project costs, reduce transmission losses, enhance grid reliability, reduce environmental impacts, and enable aggregation strategies that address potential offshore wind grid interconnection challenges. New planning, procurement, and risk-management approaches are needed to minimize costs of grid infrastructure and upgrades, and to enhance competition. This Challenge Statement includes transmission and marine cabling configurations at/or greater than 66kV.

Objective

Identify innovative hardware and electrical system designs to resolve transmission challenges.

Background

Transmission infrastructure typically accounts for 25-40% of offshore wind capital expenditure, of which 8–12% typically accounts for the cost of cable supply and installation, but the cost of interconnection to the grid may vary widely depending on the availability of viable interconnection options. These options are expected to become increasingly scarce as the industry builds more offshore wind; innovations are needed to reduce the transmission expansion requirements and maximize the amount of offshore wind energy that can be integrated. Typically, the design of the offshore wind transmission infrastructure is influenced by several factors (NREL, 2014): Site characteristics; for example, distance to shore, existing seabed infrastructure, water depths, and seabed geology. The multi-layered permitting structure for offshore wind transmission and uncertainty related to onshore upgrade costs creates risks that can escalate the cost of an offshore wind project. In addition, export cable landfall has been an issue of contention for past U.S. offshore wind projects.

This Challenge seeks to reduce those risks while lowering system cost.

Example Project Types

- Networked offshore transmission configurations that have the potential to enhance reliability, optimize interconnection with the terrestrial grid, and reduce impacts on marine ecosystems;
- Grid modeling and planning approaches that consider onshore upgrades, offshore infrastructure and combinations thereof to optimize grid integration to achieve established targets and potential longer-term needs;
- Identify state or federally endorsed cable landing sites that could be an alternative to shared transmission;
- Expandable shared radial HVDC systems;
- Feasibility studies on offshore HVAC network(s) that could be cost effectively built in stages as new projects come on-line and connected to HVDC links to shore; and
- Technology solutions to reduce LCOE related to offshore substation.

Challenge Area 3: Innovation or Strategies to Mitigate Grid System Impacts (R3c3)

Challenge Statement

Rapid deployment of offshore wind in the U.S. will create significant technical challenges for utilities, developers, regulators, and policymakers seeking to introduce a large amount of variable resource from offshore wind with minimal grid impact at the lowest possible cost. The integration of significant amounts of offshore wind is likely to impact resource adequacy, system-wide production costs, scheduling of existing units, curtailment and system flexibility. (See NREL, Lau et al, 2020).

Objective

The main objective for this challenge is to reduce the cost and minimize impacts of integrating offshore wind with the grid.

Background

The criticality of the transmission infrastructure in connecting the offshore wind plant to the grid is great motivation for continued improvement and optimization to limit risks, reduce the levelized cost of energy and increase reliability. Technology and planning advancements will help mitigate these risks but also may allow offshore wind to add additional value to the grid through ancillary services or other market products.

Projects in this Challenge Area may facilitate the development of analytical frameworks and tools to optimize grid integration. Projects will also provide a clear vision on where the industry is focusing its efforts, on best practices for offshore and onshore transmission, and therefore, what technical and regulatory trends the supply chain and regulators should focus on for future offshore wind electrical system advancement. De-risking and reducing the cost of integrating offshore wind with the grid will facilitate steady, predictable deployment of offshore wind and thus enhance the likelihood of attracting supply chain companies to the U.S.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area. All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind or offshore transmission developer or include an advisory group comprising wind/and or transmission developers, transmission and grid system operators to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research and/or partners who have been working on this challenge to demonstrate that the research will further the overall state-of-the-art.

- Approaches that enable OSW to provide ancillary grid services (for example an energy storage innovation that demonstrates value to the grid through increased dispatchability to meet peak demand, supply grid essential reliability services (such as voltage control and frequency response), increased system reliability, system restoration capability (i.e. black start), or otherwise demonstrating the value in helping to meet a state's renewable targets);
- Alternatives to battery storage, such as thermal storage;
- Technical assessment of the most critical power system infrastructure barriers or enablers to developing offshore wind;
- Assessment of existing onshore grid systems, future requirements, and the potential upgrades needed to ensure uptake of large amounts of offshore wind power;
- Planning models that reduce the risk associated with integrating multiple offshore wind farms to achieve offshore wind goals; and
- Studies to examine non-wires alternatives to transmission upgrades using offshore wind to relieve congestion.

Challenge Area 4: Technology Solutions to Mitigate Use Conflicts (R3c4)

Challenge Statement

Offshore wind development must work in balance with other marine users and wildlife, aiming for minimal disturbance. Improved techniques and innovative technologies are required to help reduce potential conflicts between offshore wind energy and wildlife at U.S. offshore wind installations. Technology solutions to assess or mitigate potential use conflicts are needed to safely and efficiently complete turbine installation, to operate wind plants effectively among the many existing ocean species and uses, and to promote the social acceptance of offshore wind.

Objective

The objective of this Challenge Area is to develop technical solutions to offshore wind environmental and conflicting use issues that benefit both stakeholders and offshore wind developers. Solutions will reduce the cost and time of construction and installation; better understand or mitigate environmental impacts; and effectively reduce impacts on other users of the sea.

Background

The construction, installation, and operation of offshore wind farms will have a range of potential impacts that need to be assessed and addressed, as required. Offshore wind developers in the U.S. can learn from the existing offshore wind technology and experience in Europe, but while it is imperative to apply lessons learned from Europe in the U.S., it is also clear that U.S. waters host a different set of ocean users which present different challenges regarding avoiding or mitigating use conflicts. The growing pipeline of proposed offshore wind projects in the U.S. poses potential environmental impacts and, likewise, opportunities for future environmental research. For example, there are a number of ongoing efforts sponsored by DOE, Greentown Labs and Vineyard Wind that recognize the need to understand the impact of offshore wind energy development (EERE, 2020; Vineyard Wind, 2020).

Offshore wind arrays can have significant impacts on wildlife and other ocean users during the construction and operation phases if not properly addressed. Proactively evaluating and addressing siting conflicts can have long-term benefits by shortening development timelines (and hence cost), minimizing operations curtailments, and strengthening community relationships. This is especially important in areas where endangered species, such as North Atlantic right whales, are active. However, current techniques to protect wildlife through curtailment of operations may excessively restrict construction windows and significantly increase construction and installation costs.

Validated technology solutions that can be integrated into the wind system design at a turbine or farm level will be considered under this Challenge Area. Examples of potential conflicts during construction, installation, or operation include: collisions of surface vessels with marine mammals; avian species interactions; interference with commercial and recreational fishing, and the potential impact of noise on marine mammals from pile-driving.

Example Project Types

The following list provides example project types that could address this challenge. This list is meant as a reference and is not intended to be exhaustive. All project proposals will be considered provided they contribute to the objectives of addressing this Challenge Area. All prospective proposals for this challenge are encouraged to seek inputs from, or partner with, an offshore wind developer to ensure the direction of the project and outcomes can be commercially applied. Additionally, proposals should identify research that can be leveraged and/or partners who have been working on this challenge to demonstrate that the research will clearly further the overall state-of-the-art and will not duplicate or approximate other studies or technology advances.

Technology solutions under this topic may include:

- Noise solutions:
 - Advancements or demonstrations of novel installation practices, and/or foundation types that reduce noise output;
 - Advancements in and demonstration of noise quieting technologies for construction and siting activities;
- Radar solutions:

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- Technical solutions for addressing turbine interference with coastal high frequency radar for wave and current monitoring and search and rescue activities; and
 - Solutions to mitigate the impact of wind turbines on marine navigation radars, such as those used by commercial fishers and other mariners.
-
- Monitoring solutions that allow for automating collection of pre- and post-construction of species composition, abundance patterns, behavior, and interactions with turbines in a way that allows for:
 - More continuous data collection efforts than boat-based or ship-based data collection efforts, that are less biased by limitations in data collection periods by sea state, good weather, and daytime conditions;
 - Lower costs;
 - Improved ability to monitor on autonomous platforms, including addressing challenges like motion compensation, power, data storage and transfer; and
 - Improved algorithms for automated data analysis, including organism detection, classification, and tracking.

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B. Funding Categories

Three (3) categories of research will be considered for funding:

- A. **Technical Feasibility Studies:** Category A is for feasibility studies that conduct preliminary research into the concepts underlying new products, systems, strategies or services as a first stage of development. These studies are necessary precursors to ultimate product development and commercialization. Feasibility studies may include conceptual design, technology and market assessments, and similar early-stage studies. Funding for projects in this category will be limited to \$300,000. It is expected that all proposals will include a budget that is commensurate with the proposed project plan and proposers will justify their proposed budget in terms of reasonable costs and scope.
- B. **New Product, Systems, Service or Strategy Development:** Category B includes efforts that are crucial to the development of a marketable product, system, strategy or service and any testing or validation of an innovation that is not already commercially available. Funding for projects in this category will be limited to \$800,000. It is expected that all proposals will include a budget that is commensurate with the proposed project plan and proposers will justify their proposed budget in terms of reasonable costs and scope.
- C. **Demonstration of Technologies, Systems or Services:** Category C is aimed at demonstrating and testing innovative offshore wind technologies, systems, strategies or services that have undergone product development and require testing to reach commercialization or are already commercially available but have not yet been sufficiently demonstrated in the U.S. to gain industry acceptance. This includes hardware, software, and market development initiatives. For projects in this category will be limited to \$1,500,000. It is recognized that some demonstration projects, particularly large-scale demonstrations, may require additional funding. As such, proposers are encouraged to seek additional funds, in-kind contributions or access to facilities from various offshore wind stakeholders. It is expected that all proposals will include a budget that is commensurate with the proposed project plan and proposers will justify their proposed budget in terms of reasonable costs and scope.

Proposers must select at least one (1) funding category per proposal, which must be indicated in the proposal. Proposals that do not identify a funding category may not be reviewed. If the funding category selected does not match the scope of the project, NOWRDC may at its discretion evaluate the project in terms of a category that in its determination better matches the proposed scope. If such a proposal is selected for award, it will be subject to the requirements of the funding category to which it has been assigned.

Multi-phase project proposals (i.e. a single project that spans more than one funding category) will be considered. For example, a proposed project may include Category B Product Development (Phase I)

followed by a Category C Product Demonstration (Phase II). Each proposed project Phase must adhere to the requirements of the appropriate funding category for that Phase including required documentation and recommended maximum funding levels. NOWRDC may, at its discretion, select one or more phases for award without selecting other proposed phases. With respect to the proposal requirements (see Section III), multi-phase project proposals must submit all required attachments and fill out all required sections of the Proposal Forms for each phase per the instructions of Attachment B.

All multi-phase projects must include Go/No-Go decision points following each Phase. To proceed to the next phase the Contractor must demonstrate its progress in meeting the technical and commercial milestones of the prior Phase. The Contractor will not be permitted to proceed to the next Phase or submit invoices for work performed in that Phase without written approval, which may be granted or withheld at NOWRDC's sole discretion.

Similarly, Go/No-Go decision points will be required within each project Phase or at one or more points within a single-phase project, typically after each approximate \$250,000 allotment of NOWRDC funding.

Project schedules must take into account a U.S. DOE Go/No-Go decision point at the conclusion of each Budget Period, as follows:

Budget Period 2: from January 1 2021 to December 31 2021

Budget Period 3: from January 1 2022 to December 31 2022

Budget Period 4: from January 1 2023 to December 31 2026

If a DOE no-go decision is reached at the conclusion of a Budget Period, milestones completed prior to the no-go decision may be invoiced. Work completed after the no-go decision may not be invoiced. Milestones partially completed may be partially invoiced, with an allowable amount determined at NOWRDC's sole discretion.

The proposed Statement of Work is subject to negotiation and NOWRDC may offer to fund any of the proposal's phases therein at a lower level than that requested, such as by offering to fund a feasibility study rather than a proposed prototype development effort.

C. Project Requirements

Project Scope. To qualify for funding, proposals must:

- Address issues essential for cost reduction, deployment, and industry expansion specific to offshore regions of the U.S. Proposals offering research topics already being addressed by other international projects must explain why further research is necessary.
- Adhere to the challenges identified in Section II of this Solicitation. Although the Technical Challenges and Roadmap will be updated in the future, it is expected the NOWRDC will continue to maintain an industry-focused, prioritized offshore wind R&D agenda that enables early U.S.

offshore wind project development, LCOE reduction, and geographic industry expansion beyond the currently designated Wind Energy Areas.

- Provide benefits to multiple end users. R&D projects that benefit multiple end users are expected to have a greater impact toward achieving the NOWRDC's industry-wide cost reduction targets compared to R&D projects focused on a developer's specific commercial offshore wind project.

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

- Projects are expected to begin as soon as is feasibly possible with a project schedule estimate of: 6 – 18 months for Category A; 18 - 30 months for Category B; and Category C will be negotiated based on the scope and goals of the project.
- Teaming Agreements which include an end user such as an offshore wind developer or a key member of the offshore wind supply chain are strongly encouraged, to enhance the likelihood of successful commercialization. Teams may include offshore wind developers, turbine manufacturers, supply chain members, research organizations, universities, national laboratories, end-users, or other stakeholders.
- Proposals must state the existing Technology Readiness Level (TRL) of any technology being proposed and what the expected TRL of that technology will be at the end of the proposed project, as a direct result of having undertaken the project. See Attachment B3, Technology and Commercialization Readiness Level Calculator.

Project Benefit Quantification. The following guidelines should be considered when developing proposals.

Establish Potential Benefits Clearly and Credibly

All proposals will be evaluated on their perceived benefits to offshore wind energy development in the United States. Therefore, it is incumbent upon each applicant to provide a clear and credible case for their proposed R&D project that substantiates its value. Regardless of the TRL level of a proposed innovation, or the focus area of a proposed study, its potential to become a viable commercial product or otherwise be adapted for uses benefiting the offshore wind community must be articulated in a manner that conveys a practical understanding of the industry's needs and a quantification of cost and/or risk reduction, to the extent possible. Representations of project benefits should include the timeframe within which those benefits are likely to be realized.

It is up to the applicant to decide how they can best make a credible case for the value of their proposed project. The paragraphs that follow provide information on potential approaches to consider. Regardless of the approach, validation of its methodology and conclusions through external references and/or supporting documents from potential users or development partners will be looked upon favorably in the proposal evaluation process.

Assess Potential Impact on LCOE

One of the most common metrics for judging the benefit of a specific innovation or technical advancement is to calculate its impact on the levelized cost of energy (LCOE). Applicants may seek to establish the value of their proposed project through an explanation of how it could reduce the LCOE of offshore wind projects in the United States, including an estimation of when that impact would be achieved. Explanations focusing on component level innovations should consider the overall system-wide effect on cost of energy rather than limiting the focus to the given component.

It is expected that all LCOE calculations will be justified with evidence and analysis. Any unsupported claims may be discounted or disregarded. A methodology for calculating LCOE based on the *2018 Cost of Wind Energy Review* (see <https://www.nrel.gov/docs/fy20osti/74598.pdf>) published by the National Renewable Energy Laboratory is provided below. For consistency, it is recommended that all proposers use this approach. Also, proposers, where applicable, should use the reference turbine as described in each Challenge Area and found here: <https://www.nrel.gov/docs/fy20osti/75698.pdf>. If a proposer has its own large turbine design, this may be used as an alternative reference baseline.

Recommended methodology for calculating LCOE:

The term levelized cost of electricity (LCOE) refers to the net present value of the unit-cost of electricity over the lifetime of a generating asset. The following equation is used in estimating the LCOE impact of a proposed innovation:

$$\text{LCOE} = \frac{(\text{FCR} \times \text{CapEx}) + \text{OpEx}}{\text{AEP}_{\text{net}}}$$

where:

<u>FCR</u>	=	<u>fixed charge rate (%)</u>
<u>CapEx</u>	=	<u>capital expenditures (\$/kW)</u>
<u>OpEx</u>	=	<u>average annual operational expenditures (\$/kW/year)</u>
<u>AEP_{net}</u>	=	<u>net average annual energy production (kWh/year).</u>

The Fixed Charge Rate (FCR) represents the annual revenue per dollar of investment required to pay the carrying charges on that investment, which include finance charges, income taxes, inflation and depreciation. To ensure consistency of financial assumptions among project proposals, a real FCR of 6% should be assumed by applicants in their LCOE calculations.

Innovations that have the greatest impact could positively affect multiple elements of the LCOE equation. Certain innovations could lead to a higher cost of a given component that would be offset by greater cost reduction in another area. For example, an advanced control system may increase turbine cost but may enable higher capacity factors that decrease LCOE. As part of the LCOE analysis, proposers should

specify which cost elements are affected, how they are affected and by what percentage they increase or decrease. Analyses should provide credible projections of when estimated cost reductions could reasonably be achieved, following a project award.

Reducing Offshore Wind Plant Risks

Where relevant, proposals may claim project benefits by providing an explanation of how their outcomes will reduce uncertainties and risks in wind plant development, installation, and/or operations and/or the costs associated with health and safety during the life cycle of a project.

Projects that claim to reduce uncertainties and risks related to project costs, revenue or installation timelines should substantiate and quantify those impacts to the extent possible. As applicable, LCOE calculations may be used.

Projects that seek to reduce health and safety risks should clearly describe, and wherever possible quantify, the direct and indirect positive effects of the project and provide or reference substantiating documentation.

Enabling Technologies

In certain cases, technology innovations may be seen as enabling a new business sector or type of commercial project. Any such claims should convey a thorough understanding of the sectors they would influence, indicate how they would be implemented, and be substantiated through credible cost benefit calculations.

Positive Impacts on the U.S. Supply Chain

All proposals shall provide an explanation of how the proposed project could have a positive impact on advancing the offshore wind supply chain to the benefit of U.S. companies. Positive impacts (direct or indirect) on the supply chain may be demonstrated in many ways such as (but not limited to) the potential for increased participation from U.S. companies, reduced U.S. market entry barriers, adaptation of existing technologies or processes to offshore wind energy, and reduced uncertainty for investors.

Commercialization Strategy

All proposals shall include a summary and explanation of foreseeable follow-on efforts that will be required to enable the commercial use of the outcomes of that project in offshore wind plants in the U.S. All proposals for an innovative or modified technology/ methodology are required to provide a commercialization plan that details the expected path to commercialization or how the innovation will enable commercialization, and the necessary milestones in achieving it.

Thoroughness and credibility of the underlying commercialization analysis may be enhanced through:

- itemization of the rough order of magnitude costs to implement the proposed commercialization pathway;
- indication of key product performance and cost metrics that would need to be achieved for successful commercialization; and
- a high-level breakdown of the time required to undertake follow-on tasks within the commercialization strategy.

Any proposal for innovative designs, methods, or advanced systems must ensure that the resulting outcomes are compliant with U.S. regulations and best practices. Proposals should be thorough and realistic in indicating whether further engineering efforts, testing, field validation, or component and system certification will be required prior to commercial deployment.

It is recognized that for some projects, considerable stakeholder engagement may be required to achieve the desired dissemination and utilization of results. Proposals will be encouraged to highlight where industry buy-in is needed, who the key stakeholders are, and provide a brief summary of how this industry integration would be achieved.

Although a project award may support specific stages of product development, there should not be an expectation that NOWRDC or NOWRDC funding will support all stages required to reach commercialization.

Letters of Commitment or Interest.

If relying on any other organization to provide data, conduct a portion of the work, provide services, equipment, or facilities, or contribute funds, a letter from that organization describing its planned participation and financial commitment must be included. In particular, if the project is dependent on data being provided by an offshore wind developer(s), a letter of commitment from the developers must be provided clearly describing the authority for use of the data, how the data will be used and for what purposes.

Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. This is especially critical when partnering with an offshore wind developer or offshore wind supply chain members.

The first letter type is actual involvement in the project work (e.g. by providing a validation site or being an advisor). To the extent that the proposer is relying on an NOWRDC Member Company to do work in order to complete the proposer's contractual responsibilities, then, like any other subcontractor (compensated or otherwise), the Member Company should provide a 'letter of intent' confirming the Member/subcontractor's commitment to doing the work. Since the Member Company is participating in the proposal in such circumstances, NOWRDC's Conflict of Interest Policy (the "Policy") and the New York Not-for-Profit Corporation Law will require any employee of the participating Member serving on NOWRDC's Board of Directors or R&D Committee to make a disclosure regarding the Member's participation in the proposed work and to recuse from any vote to fund/not fund the specific proposal, as relevant. Please see the attached memo regarding Member Conflict Guidance for further discussion of the relevant rules.

The second type of support letter involves a request by a proposer for a letter indicating that a Member Company supports the project (a "letter of support"), which the proposer would submit in its response to a NOWRDC Solicitation as demonstration of industry support. Although letters of support from Member Companies are allowed and can provide some value to the Scoring Committee in its review process, caution should be observed with respect to such requests. Under applicable NYSERDA procurement rules (which apply to the current NYSERDA-managed Solicitation and NOWRDC solicitations that use funding received under the Funding Agreement between NYSERDA and the NOWRDC), such requests could be viewed as an "attempt to influence procurement by contacting anyone other than the Designated Contact," in violation of such rules. At this time, and to the extent of the limited facts described in this PON, NYSERDA has taken the position that such a letter of support, without more, would not be in violation of applicable rules. However, all Members should be aware of this concern and to interact with proposers accordingly. Further, NOWRDC policy prohibits proposers from lobbying individual Members or Directors outside of NOWRDC's formal review processes for purposes of securing votes for a proposal in Scoring Committee or R&D Committee decisions. This policy should also be kept in mind in

interactions by proposers. In practice a letter of support would not be given much weight by the Scoring Committee and will never be a deciding factor in a decision whether to fund a proposal.

Given the considerations described above and NOWRDC's intent and obligations to maintain full transparency and integrity in the award review and approval process, if a proposer has communicated with a Member Company about a proposal, the proposer and the Member should disclose such communication^[A2] and any relevant related circumstances in the Solicitation response and related communications, as applicable, to ensure the proper management of the same. If an employee of the Member Company is serving on the Board of Directors, any Member participation in a proposal should be disclosed to NOWRDC's Compliance Officer (currently, its Secretary) in accordance with NOWRDC's Conflict of Interest Policy.

Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Project awards will be contingent on the proposer securing the relevant committed data, work, services, equipment, facilities, or funds as required by the project.

III. PROPOSAL REQUIREMENTS

Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal and have been timely submitted in accordance with appropriate due dates and times.

The proposer must submit a proposal using the instructions and attachments listed below. The goal should be to concisely present the information needed to fully address the Proposal Evaluation Criteria (Section IV). Proposals that exceed the word limits or fail to follow the format guidelines will be rejected as non-responsive. If you believe proprietary or confidential information must be submitted to provide an adequate proposal, please clearly indicate in your proposal which information is proprietary and confidential and mark that information accordingly. Attachments beyond those requested will not be considered. Each page of the proposal should state the name of the proposer, the PON number, and the page number. All proposers are required to submit, at minimum, the following documents:

- Attachment A: Proposal Narrative (with required attachments)
- Attachment B1: Statement of Work
- Attachment C1: Milestone Payment Schedule
- Attachment C2: DOE Sub-Recipient Budget Justification

Instructions for all attachments are provided in the Attachment A Proposal Narrative file.

Required sections of the Proposal Narrative differ according to the Funding Category being proposed. Additional attachments may also be required based on the proposed Funding Category or Categories.

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	Funding Category A	Funding Category B	Funding Category C
Executive Summary	✓	✓	✓
Problem Statement and Proposed Solution	✓	✓	✓
Business Model Canvas (Attachment B2)		✓	✓
State of Research and Technology Targets	✓	✓	✓
TRL/CRL Calculator (Attachment B3)	✓	✓	✓
Commercialization Potential of Proposed Solution		✓	✓
Feasibility Study Information	✓		
Three-Year Financial Projections Worksheet (Attachment B4)		✓	✓
Demonstration Site and Product (for projects that include pilot or validation testing ONLY)		✓	✓
Replication Potential of Proposed Demonstration (for projects that include pilot or validation testing ONLY)		✓	✓
Statement of Work (Attachment B1) and Schedule	✓	✓	✓
Project Benefits	✓	✓	✓
Budget	✓	✓	✓
Proposer Qualifications	✓	✓	✓
Letters of Commitment	✓	✓	✓

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Attachments	✓	✓	✓
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Proposers must carefully review the Attachment A, Proposal Narrative to ensure that all required sections and attachments are submitted. Failure to do so may result in the proposal being rejected as non-responsive.

A. Cost-Sharing

Proposers are not required to provide any form of cost-share. However, it is recognized that for projects such as demonstration projects, project team members may wish to provide additional funding or in-kind contribution to maximize the benefit of the project. Proposers are encouraged to provide an indication of any additional funding or in-kind contribution that will be used to support the delivery of a project.

B. Compliance with New York State Finance Law

In compliance with Sections 139-j and 139-k of the New York State Finance Law , proposers will be required to answer questions during proposal submission, which will include disclosing any Prior Findings of Non-Responsibility.

C. Annual Metrics Reports

If awarded, the proposer will be required to submit to NOWRDC on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar year's activities (i.e. reporting period). The Contractor shall provide metrics in accordance with a web-based form, which will be distributed by NOWRDC. NOWRDC may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NOWRDC agreement.

IV. PROPOSAL EVALUATION CRITERIA

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

A. Project Benefits and Value

All assumptions must be supported and justified using sources and evidence. Scoring will be based on the proposal team's ability to meet these criteria. For additional information see **Project Benefit Quantification**, Section IIC.

- The proposed solution addresses a core technical barrier that is not being addressed by others and has the potential for wide-scale replicability.
- The proposed solution will bring economic benefits to the U.S. offshore wind industry in the form of manufacturing capability, supply chain development or technical services. U.S. jobs are expected to be created and/or retained as a result of this project.
- The proposed solution quantifiably lowers development risk and/or represents an enabling technology likely to increase offshore wind deployment in the U.S.
- Timeframes for the offshore wind industry to realize the benefits of the proposed solution are realistic and appropriate.
- The implementation strategy is well-conceived, appropriate for the current stage of development, and there is a sound plan for measuring progress and success.
- The proposed project scope makes a clear case that it can deliver significant benefits. Where necessary and appropriate, the proposer has secured a commitment for additional cost share.
- The proposer exhibits strong market demand for this solution and has already identified one or more commercialization partners.
- The proposed solution has potential to significantly reduce LCOE. Components of LCOE include capital costs, operating costs and financing cost. Solutions that increase annual energy production without a commensurate increase in cost will also reduce LCOE.

B. Innovation, State of the Art and Technical Merit

- The proposal identifies a problem fully aligned and essential to the advancement, in the United States, of one of the identified Technical Challenge Areas.
- The proposer has demonstrated insightful understanding of the current state-of-the-art relative to the Challenge Area.
- The proposed project is technically sound, feasible, innovative, and superior to alternatives, and will make significant progress toward solving the identified problem.
- The proposed approach and scope of work are aimed at developing and commercializing a technology, as opposed to basic research and discovery.
- Technical assertions, such as assessments of performance relative to the state-of-the-art, are verified by rigorous analysis.

- The proposal demonstrates industry buy-in and validation of the proposed technical concept.
- The proposal has demonstrated why the innovation is uniquely relevant to the U.S. offshore wind industry or the development of its supply chain.

C. Project Plan, Scope, Risks and Challenges

- The proposed project plan is clearly defined, with fully developed tasks, subtasks, milestones and deliverables that will enable effective project management.
- The scope of work is fully appropriate to the selected problem and will be highly valuable towards meeting the goals of the Technical Challenge Area and the Roadmap.
- Technical and programmatic risks are clearly understood and fully disclosed, with well-considered mitigation plans that have a high probability of ensuring project success.
- The cost of the project is strongly justified with respect to the expected benefits and the potential market or deployment opportunity.
- The proposal outlines a detailed plan for pursuing additional funding and development support, if necessary, to bring the proposed solution to full commercialization.
- The proposed work can be accomplished within the amount of time, effort, and resources proposed.
- The selected Funding Category is appropriate for the proposed solution.
- The proposal provides letters of commitment from all outside organizations the proposal team will need to provide data, equipment, support, facilities, etc.
- The implementation strategy is well-conceived and appropriate for the current stage of development, with a sound plan for measuring progress and success.
- The proposal offers a compelling explanation of how it will address barriers to market entry and commercialization.
- The proposed plan is as efficient as possible with regards to resources and time, including maintaining as limited of an administrative budget as positive relative to overall project budget.

D. Team Experience and Capabilities

- The proposed team has the necessary expertise and resources to carry out the proposed work.
- The project team includes members with industrial and business experience as well as technical skill.
- The project team has successfully commercialized applicable products, deployed similar services or has completed a similar project.
- The proposal team has secured strong commitments from all essential team members and partners, including letters and has demonstrated strong support from necessary market actors.

- The proposal clearly demonstrates the team structure and staff responsibilities.
- For demonstration projects relying on entities and jurisdictional authorities such as a maritime agency, leaseholder, equipment manufacturer, etc., the project team has secured or has a plan to secure all the commitments necessary to execute the proposed project scope.

Program Scoring

Each proposal will be scored on a scale of 100 with the following weighting applied to each of the evaluation criteria:

- 1) Project Benefits and Value – 40%
- 2) Innovation and State of the Art – 30%
- 3) Project Plan, Scope, Risks and Challenges – 15%
- 4) Team Experience and Capabilities – 15%

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

Program Policy Evaluation Factors

NOWRDC reserves the right to accept or reject proposals based on the following factor(s):

- 1) Whether the proposed project will accelerate technology advances in areas that industry or the company, by itself, is not likely to undertake.
- 2) The degree to which the proposed project optimizes the use of available funding to achieve programmatic objectives.
- 3) The degree to which the proposal expands the geographic diversity of NOWRDC’s R&D efforts.
- 4) The degree to which the proposal expands the technical portfolio of NOWRDC.
- 5) The degree to which the proposed project has leveraged award funds to expand their project scope and value attained with non-award resources.
- 6) The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- 7) Past performance of the proposer on other projects with NOWRDC, NYSERDA, the U.S. DOE, and NOWRDC Member companies.
- 8) The degree to which project expenses are in line with market rates.

Awardees are expected to be notified within approximately 12 weeks from proposal submission if their proposal has been selected to receive an award, contingent upon successful execution of an award.

V. General Conditions

A. Proprietary Information

Careful consideration should be given before confidential information is submitted to NOWRDC as part of your proposal. Your review of information to be submitted should include whether information, if confidential, is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. You must submit a signed Applicant Assumption of Risk form with your application.

Funding awarded for projects hereunder is made available pursuant to a funding agreement between NOWRDC and the New York State Energy Research and Development Authority (“NYSERDA”), which agreement includes requirements for NOWRDC to provide information to NYSERDA which is included in your proposal. 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, NOWRDC and NYSEDA cannot guarantee the confidentiality of any information submitted.

B. Omnibus Procurement Act of 1992

This section and those that follow describe certain requirements applicable to awards using funding made available from NYSEDA. 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

C. State Finance Law sections 139-j and 139-k

NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four [4] years).

D. 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/currentforms/st/st220tdfillin.pdf>). Prior to contracting with NOWRDC, the prospective contractor may also be required to 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/currentforms/st/st220cafillin.pdf>). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

E. Contract Award

NOWRDC anticipates making multiple awards under this solicitation. NOWRDC anticipates a contract duration of one to three (3) years, unless it determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each application should be submitted using the most favorable cost and technical terms. NOWRDC may request additional data or material to support applications. NOWRDC will use the Attachment D, Sample Agreement to contract successful proposals. NOWRDC may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NOWRDC 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. NOWRDC expects to notify proposers in approximately eight to twelve (12) weeks from the receipt of a proposal whether your proposal has been selected to receive an award. NOWRDC may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NOWRDC agreement.

F. 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 the following

that are intended for such purposes: 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](#).

G. Limitation

This solicitation does not commit NOWRDC to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NOWRDC 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 NOWRDC's best interest. NOWRDC 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. NOWRDC 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.

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

I. Vendor Assurance of No Conflict of Interest or Detrimental Effect

The proposer shall disclose any existing or contemplated relationship or transaction of the proposer, or any known relationship or transaction of any person or entity that is a member, shareholder or other equity owner of five percent (5%) or more of the proposer, or of any parent, subsidiary, or other affiliate of the proposer, or any known relationship or transaction of any clients/customers of the proposer, to or with NOWRDC or NYSERDA, or with any current or former employee, officer, or director of NOWRDC or NYSERDA, which relationship or transaction could give rise to an actual, or the appearance of, a conflict of interest or impropriety in connection with the proposer's rendering of services as proposed. If any such actual or apparent conflict of interest or impropriety does or might exist, please describe how you would

eliminate or prevent it. Indicate what procedures will be followed to detect, notify NOWRDC 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 or other equity owners of five percent (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.

J. 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 (2) 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 using such subcontractor for any work performed would conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed conflicts with any of the Ethics Requirements.

VI. ATTACHMENTS

Attachment A – Form-Fillable Proposal Narrative

Attachment B1 – Statement of Work

Attachment B2 – Business Model Canvas Template

Attachment B3 – Technology and Commercialization Readiness Level Calculator

Attachment B4 – Three-Year Financial Projections Worksheet

Attachment C1 – Milestone Payment Schedule

Attachment C2 – DOE Sub-Recipient Budget Justification

Attachment D – Sample Agreement (Includes SOW Template)



NYSERDA

Co-operative Advertising and Training for Clean Heating and Cooling Partners

Program Opportunity Notice PON 3694 – Rev 01

Summary of Revisions

EFFECTIVE April 1, 2018

- 1) Changes the name from “Co-operative Advertising and Promotions for HVAC Partners” to “Co-operative Advertising and Training for Clean Heating and Cooling Partners” for clarity
- 2) Increases the total budget to \$2 Million
- 3) Adds high-efficiency, low-emissions (HELE) wood heating as an eligible technology
- 4) Adds Renewable Heat New York partners to list of eligible participants
- 5) Clarifies under **How to Submit an Application** that applications for Co-op activities involving HELE wood heating can be submitted retroactively to January 1st

Empire Building Challenge (Real Estate Partnerships)

Program Opportunity Notice (PON) 4498 - Up to \$2,000,000 available

Applications accepted through October 29, 2020 by 3pm ET*

The Empire Building Challenge (EBC) is a multi-phase initiative designed to support replicable and scalable low carbon retrofit approaches to achieving carbon neutrality in existing tall buildings. Announced in Governor Andrew Cuomo's 2020 State of the State, EBC is a public-private partnership between New York State Energy Research and Development Authority (NYSERDA) and leading commercial and multifamily real estate portfolio owners and large tenants. EBC will demonstrate innovative low carbon retrofit projects that reduce buildings' energy consumption and greenhouse gas emissions, and are scalable and replicable across New York State.

Through this solicitation – EBC Real Estate Partnerships – NYSERDA is accepting applications from real estate portfolio owners and large tenants that meet minimum threshold criteria to become a Qualified Empire Building Challenge Partner (“Partner”). This solicitation is the first part of the Empire Building Challenge. Only applicants selected through this competitive solicitation are eligible to submit proposals for the second part of the initiative, expected to be released Q1 2021, which includes a competitive funding opportunity of up to \$5 million per qualified Partner for low carbon retrofit project proposals.

NYSERDA offers the following benefits to Partners:

- Up to \$250,000 per Partner in funding for technical planning work necessary to develop detailed plans and roadmaps for low carbon retrofit proposals.
- Up to \$5 million per Partner in funding for replicable and scalable low carbon retrofit proposals to be awarded on a competitive basis.
- Support in obtaining utility incentives and coordination with Partner utility account representatives.
- Promotion of Partners on NYSERDA's website, associated marketing materials and via State press releases.

Informational Webinar: NYSERDA will host an informational webinar on Thursday, October 1st, 2020 starting at 10am. [Register to participate](#) in advance, or log into the webinar [by signing in](#) just prior to 10 am. Questions may be submitted ahead of the webinar by emailing questions to EBC@nyserda.ny.gov until 5pm on Tuesday, October 29th.

Application Submission: Online submission is strongly encouraged. Complete and [submit your application here](#). For ease of identification, all electronic files must be named using the Applicant's entity name in the title of the document. 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](#).

Questions: For technical questions, contact Sophie Cardona (designated contact) at EBC@nyserda.ny.gov or (212) 971-5342, ext. 3590. For contractual questions, contact ElsydaSolicitations@nyserda.ny.gov. 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 applications must be received by 3pm 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 Applicant's responsibility to ensure that all submission requirements have been met. *Please note the following: for electronic submissions, there are required fields that need to be filled in, in addition to uploading attachments. Be sure to allot ample time to submit applications. The electronic application system closes **promptly** at 3pm (ET) on the date above, and files in process or attempted edits past that time will not be accepted.*

NYSERDA reserves the right to close or extend the solicitation at any time and/or add funding to the solicitation should other program funding sources become available. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

Empire Building Challenge Overview

Empire Building Challenge (Two-part solicitation process)	<p style="text-align: center;">Part 1: Real Estate Partnerships Applications accepted through October 29, 2020 Total funding available: \$2,000,000</p> <p>Applications sought from commercial and multifamily real estate owners and large tenants, to become Qualified Empire Building Challenge Partners. Each Partner will:</p> <ul style="list-style-type: none">• Have access to up to \$250,000 for technical analysis and planning support for development of low carbon retrofit proposal(s).<ul style="list-style-type: none">○ Upon being qualified under this solicitation, Partners will apply to the NYSERDA FlexTech Program and will be eligible for a 100% NYSERDA cost share, up to a maximum of \$250,000 to cover the cost of the technical analysis and planning support under the FlexTech Program funding opportunity.• Become eligible to submit proposals for project design and implementation of low carbon retrofits under Part 2, described below. <p>Each Applicant must include a consulting partner(s) in their application, who will be committed to delivering the technical analysis and planning work under Part 1.</p> <p>NYSERDA reserves the right to hold a second qualification round in 2021 to seek additional partners.</p>
	<p style="text-align: center;">Part 2: Low Carbon Retrofits Implementation Projected solicitation launch: Q1 2021 Total funding available: \$25,000,000 Only open to Partners selected through Real Estate Partnerships PON</p> <p>Funding will be available (up to \$5,000,000 per Partner) for the design, development and implementation of low carbon retrofit projects in Partners' buildings and portfolios, between 2021 and 2024. These projects must be replicable and scalable, and they will be evaluated on a competitive basis. The Partners will have the opportunity to provide input on what the most relevant evaluation criteria should be for these low carbon retrofit projects.</p>

Terminology

Term	Definition
Applicant	The Applicant is the commercial and/or multifamily real estate portfolio owner and/or large tenant.
Affordable Housing	NYSERDA defines affordable projects in which at least 25% of the units are, or are expected to be, occupied by households earning not more than 80% of the Area or State Median Income, whichever is higher. All other properties are considered market-rate.
Partner	The Applicant that is qualified through the present solicitation and becomes eligible to submit proposals under Part 2 of the Empire Building Challenge.
Carbon Neutral Building	A carbon neutral building is a highly energy efficient building that does not contribute to emissions of greenhouse gases that cause climate change.
Low Carbon Retrofits Implementation Solicitation	Part 2 of the Empire Building Challenge, scheduled to be launched in the first quarter of 2021.
Tall Building (commercial)	An existing commercial office building at least 15 stories high.
Tall Building (multifamily)	An existing multifamily building at least 8 stories high.
New York State Climate Goals	Refer to the following webpage for information on the Climate Leadership and Community Protection Act (CLCPA): https://climate.ny.gov/

Section I: Introduction

The Empire Building Challenge (EBC) is an initiative that supports replicable and scalable low carbon retrofit approaches to achieving carbon neutrality in existing, Tall Buildings. Announced in Governor Andrew Cuomo's 2020 State of the State, EBC is a public-private partnership between NYSERDA and leading commercial and multifamily real estate portfolio owners and large tenants to:

- Develop and demonstrate low carbon retrofit approaches that can be replicated across the State's Tall commercial office and multifamily Buildings.
- Recruit best-in-class equipment manufacturers, solution providers and other businesses to invest in business development, innovation and product development, to overcome the barriers preventing Tall Buildings in NYS from achieving carbon neutrality.
- Establish New York State as the building retrofit capital of the world, through public-private partnerships that maximize private sector investments in building retrofits, create good jobs and promote local economic development, while reducing greenhouse gas emissions.

The first part of this initiative is a competitive application process to establish partnerships between NYSERDA and leading real estate owners and large tenants. Applicants that meet minimum eligibility criteria (see Section IV) will be selected on the basis of the evaluation criteria listed in Section VII. The second part, expected to be released in Q1 2021, will provide a competitive funding opportunity for low carbon retrofit proposals, open only to the qualified EBC partners selected through this solicitation.

NYSERDA anticipates issuing a third phase of the Empire Building Challenge with lower levels of funding that will be opened up to a broader audience of market participants, with the goal of replicating successful low carbon retrofit models that emerge from the initial Empire Building Challenge initiative.

Section II: Replicable and Scalable Low Carbon Retrofits for Tall Buildings

Through the Empire Building Challenge, NYSERDA seeks to support demonstration projects that establish a replicable and scalable approach for the decarbonization of Tall Buildings. Tall Buildings, particularly in New York City, face a unique set of technical barriers to decarbonization. Their height and density make it significantly more challenging to find technical pathways to carbon neutrality. By establishing partnerships with leading owners and occupants of Tall Buildings, EBC will help demonstrate replicable and scalable retrofit approaches that can put Tall Buildings on a path towards carbon neutrality. Of particular interest to NYSERDA are retrofit projects that support decarbonization of heating loads, increasing flexibility of a building's energy demand, and reducing tenant-driven consumption.

Section III: Carbon Neutral Building Definition

This section provides a draft definition for a Carbon Neutral Building, and the primary attributes of such buildings. As part of the application process, applicants should propose their own definition and strategies for achieving Carbon Neutral Buildings from a portfolio or single-building approach.

Carbon Neutral Buildings Draft Definition: A carbon neutral building is a highly energy efficient building that does not contribute to emissions of greenhouse gases that cause climate change.

The primary attributes of a Carbon Neutral Building include:

- High performance building envelope: A well-insulated and air-sealed envelope that reduces both peak and non-peak energy demands.
- Efficient equipment: The building's equipment, appliances and fixtures are highly efficient and provide active ventilation of interior spaces.
- Load flexibility: The building provides load flexibility through electrical or thermal energy storage, and load reduction through the recovery of waste thermal energy.
- Grid interactivity: The building's energy management system can respond to grid signals to change the operating schedule of building equipment and in some cases export energy onto the grid.
- Clean energy: The building satisfies its load requirements from on-site or off-site emission-free energy sources.

Section IV: Minimum Eligibility Criteria

Applications will be evaluated on a competitive basis. The scoring criteria by which applications will be evaluated are listed in Section VII (Evaluation Criteria). Owners of multifamily housing that meets NYSERDA's definition of Affordable Housing are encouraged to apply. All buildings that are included in the Application must be located in New York State and contribute to the System Benefit Charge on a common area electric utility bill. Eligible Applicants will:

- Make a public commitment that one or more buildings within the Applicant’s NYS building portfolio will achieve carbon neutrality by 2030-2035 (see Section VI: Application Requirements).

AND

- Own at least one building taller than fifteen stories where commercial office is a primary use, or one building taller than eight stories where residential is a primary use.

OR

- Occupy more than 50% of at least one commercial office building taller than fifteen stories.

Joint applications of one or more building owner and/or commercial office occupier are acceptable.

Section V: Partnership Benefits and Other Partner Responsibilities

Empire Building Challenge Partners receive the following benefits:

- Gain marketing and promotion as real estate industry leaders in all EBC documents and communications, including press releases and media, and at press events with senior NYSERDA and State officials.
- Access up to \$250,000 in technical assistance for low carbon retrofit proposal development during Part 1 of EBC.
- Receive an exclusive invitation to submit low carbon retrofit proposal(s) for Part 2 of EBC, to access up to \$5 million for replicable and scalable low carbon retrofit projects that help achieve Partner decarbonization goals.
- Receive support for obtaining utility incentives or securing other funding and financing sources for low carbon retrofits.

Additional Empire Building Challenge Partner responsibilities include the following:

- By the end of Q2 2021, develop a roadmap to complete at least one significant low carbon retrofit project in at least one building by the end of 2024.
- Support NYSERDA’s efforts to recruit leading manufacturers and solution providers from around the globe to serve the New York low carbon building retrofit market.
- Make public the process and results of the low carbon retrofit(s) funded through this effort, including retrofit project economics, carbon and energy impacts of the retrofits, and case studies related to the Partner’s activity in the Empire Building Challenge.
- Allow low carbon retrofit projects to be included in NYSERDA’s promotional efforts and cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to exhibitions, articles, electronic media and lectures, among other things, to promote the Empire Building Challenge and its outcomes.

Section VI: Application Requirements and Submission

Applications should not be excessively long. Unnecessary attachments beyond those sufficient to present a complete and effective response will not influence the evaluation of the application. Applicants must address the following criteria in their response. As part of their application, each Applicant will identify one or more consulting firm(s) capable of delivering the technical analysis work required to be eligible for Part 2 funding. Applications should be no longer than 12 pages, and may include appendices as needed.

1. **Applicant Description:** Including, but not limited to, company history, portfolio size, building typologies, Affordable Housing portfolio size, investment thesis, and other information that may support the Applicant's submission.
2. **Track record:** Applicant's track record of investing in sustainability and building decarbonization.
 - a. Provide examples of comprehensive initiatives that have been completed to date. Include the level of investment, energy reduction metrics, and impacts to operations.
3. **Public commitment:** Carbon Neutral Building(s) Public Commitment Statement. The statement must include the following:
 - a. Site Energy Use Intensity Target below 2010 baseline year (specify target year, e.g. 2030, if different than carbon neutrality target year)
 - b. Carbon neutral building definition
 - c. Carbon neutrality target year (no later than 2035)
 - d. Address/name of individual buildings or a building portfolio description including locations and descriptions of all buildings included in the portfolio
4. **Proposed building(s):** Description of the building(s) the Applicant intends to advance through the Empire Building Challenge. For multifamily buildings, please include the proportion of units that meet NYSERDA's definition of Affordable Housing.
5. **Low carbon retrofits project concepts:** Conceptual overview of potential low carbon retrofits the Applicant may advance in Part 2 of the Empire Building Challenge, including a preliminary timeline of milestones.
6. **Supply chain engagement:** A conceptual plan to engage with supply chain market actors, to advance emerging technologies within the Applicant's portfolio.
7. **Transparency:** Commitment to transparency and sharing of retrofit project economics and case studies.
8. **Consulting Partner:** Provide name of consulting partner firm(s), and brief qualifications overview.

NYSERDA reserves the right to request additional information to support an Applicant's submission. [Applications must be submitted electronically by 3pm](#), on October 29, 2020.

NOTE: The electronic application system closes promptly at 3pm. Files in the process of attempted edits or submission after 3pm ET on October 29, 2020 will not be accepted. Applicants should allot sufficient time to enter and submit applications.

Section VII: Evaluation Criteria

Applications will be evaluated based on the following criteria:

- Total square feet of NY real estate covered by the Applicant’s public commitment to carbon neutrality.
- Total square feet of NY real estate within the Applicant’s building portfolio (commercial and/or residential).
- Track record of investments in building decarbonization and energy efficiency.
- Level of ambition and specificity in the Applicant’s target of site energy use intensity reduction.
- Level of ambition and specificity in the Applicant’s definition of carbon neutral buildings.
- Thoughtfulness and quality of conceptual low carbon retrofit projects:
 - What key decarbonization barriers does the retrofit project overcome?
 - Is the scope comprehensive and integrated with other portfolio-wide efforts?
 - How replicable and scalable are the low carbon retrofit concepts?
- Level of commitment to transparency and making information and case studies public.

NYSERDA reserves the right to accept or reject an application at its sole discretion, based on the following program policy factors:

- The extent to which applications that contain multifamily buildings include Affordable Housing.
- The square footage impacted by the proposed buildings included in the Application and covered by the Applicant’s public commitment to carbon neutrality.
- Whether the proposed low carbon retrofit projects will accelerate transformational technology advances in areas that industry by itself is not likely to undertake, because of technical and financial uncertainty.
- The degree to which the Application contains buildings that are likely to demonstrate the feasibility of low carbon retrofit solutions in geographic locations with significant potential for replicability and scalability (e.g. New York City and other dense urban environments in New York State), as well as impact and applicability to different building typologies.

Section VIII: General Conditions

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of two (2) 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 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 Attachment A, Terms and Conditions 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 Attachment A, Terms and Conditions, 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 customers in approximately four (4) weeks from the receipt of a complete project package whether the submission 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 Attachment E, Terms and Conditions. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

IX. Attachments

Attachment A – Sample Agreement

Attachment A - Sample Agreement

**New York State Energy Research and Development Authority
("NYSERDA")**

AGREEMENT

- 1. Agreement Number:
- 2. Contractor:
- 3. Project Director:
- 4. Effective Date:
- 5. Total Amount of Award:
- 6. Project Period:
- 7. Expiration Date:
- 8. Commitment Terms and Conditions

This Agreement consists of this form plus the following documents:

- Exhibit A, Statement of Work;
- Exhibit B, General Contract Provisions, Terms and Conditions;
- Exhibit C, Standard Terms and Conditions;
 - Exhibit D, Prompt Payment Policy Statement; and
- Exhibit E, 2017 Report Content Guide.

8. ACCEPTANCE. THIS AGREEMENT SHALL NOT BECOME EFFECTIVE UNLESS EXECUTED BELOW BY NYSERDA.

[CONTRACTOR]

**NEW YORK STATE ENERGY RESEARCH AND
DEVELOPMENT AUTHORITY**

Signature: _____

Signature: _____

NYSERDA

Authorized Signatory

Name _____

Title _____

STATE OF)
) SS.:
COUNTY OF)

On the ____ day of _____ in the year _____, before me, the undersigned, a Notary Public in and for said State, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individuals(s), or the person upon behalf of which the individual(s) acted, executed the document.

Notary Public

**EXHIBIT A
STATEMENT OF WORK**

Project Title

Contractor _____
Project Number _____

BACKGROUND/OBJECTIVES

(PROVIDE A BRIEF DESCRIPTION OF THE PROJECT. THIS SHOULD BE NO MORE THAN A TWO PARAGRAPH DESCRIPTION THAT PROVIDES A BACKGROUND OF THE PROBLEM, AS WELL AS HOW THE CONTRACTOR INTENDS TO SOLVE THE PROBLEM. KEEP IN MIND THAT THE CONTRACT SHOULD "STAND ON ITS OWN," I.E. ANYONE SHOULD BE ABLE TO PICK IT UP AND FIGURE OUT WHAT IS GOING ON.)

DEFINITIONS

(Define any acronyms or uncommon words/phrases/technical terms to be used in the SOW)

The Contractor is defined as:

Company Name _____
Contact Name _____
Street Address _____
City, State Zip code _____
Email/Phone/Fax _____

The Project Site(s) is/are defined as:

Site Name _____
Site Street Address _____
City, State Zip code _____

Subcontractor(s) is/are defined as:

Subcontractor name _____
Subcontractor street address _____
City, State Zip code _____

TASK 0 - PROJECT MANAGEMENT AND PROGRESS REPORTING

Responsibility

Regardless of subcontracting arrangements, the Contractor shall be responsible for the timely completion of all the tasks in the Statement of Work per the schedule included herein. The Contractor shall provide all project management activities necessary for the performance of this Statement of Work, as per attached *milestone schedule/budget*, which shall include the following activities:

- Coordinate the work of the Contractor's employees and those of sub-contractors and equipment vendors that are undertaking tasks described in this Statement of Work;
- Ensure control over the project budget and adherence to the project schedule; and
- Provide all project reporting to NYSERDA as specified in this Statement of Work.

Progress Reporting

The Contractor shall submit **periodic** progress reports, no less frequently than quarterly, to NYSERDA's Project Manager no later than the 15th of the month following each reporting period. The Progress Reports shall include information on the following subjects in the order indicated, with appropriate explanation and discussion:

- a. Name of contractor
- b. Title of the project.
- c. Agreement number.
- d. Reporting period.
- e. Project progress including a summary of progress, findings, data, analyses, results and field-test results from all tasks carried out in the covered period.
- f. Planned work for the next reporting period.
- g. Identification of problems.
- h. Planned or proposed solutions to identify problems described in (f) above.
- i. Ability to meet schedule, reasons for slippage in schedule.
- j. Schedule - percentage completed and projected percentage of completion of performance by calendar quarter - may be presented as a bar chart or milestone chart.
- k. Budget- analysis of actual costs incurred in relation to the budget.

Deliverables: Written Periodic Progress Reports.

Project Kick-off Meeting

The Contractor shall hold a project kick-off meeting within thirty days from the contract execution date. The Contractor shall coordinate with NYSERDA's Project Manager to arrange the meeting at a mutually convenient time and place. The Contractor is encouraged to invite representatives of sub-contractors and equipment vendors. The purpose of this meeting shall be to finalize the strategies for accomplishing the objectives of this work. In a timely manner, the Contractor shall submit to NYSERDA's Project Manager a brief report summarizing the issues discussed and decisions made, if any, during this meeting.

Deliverable: A brief report regarding the project kickoff meeting.

Project Completion Meeting

The Contractor shall conduct a project completion meeting, it shall occur within time period covering 15 days prior to and 15 days following the submission of the draft Final Report. The Contractor shall coordinate with NYSERDA's Project Manager to arrange the meeting at a mutually convenient time and place.

Deliverable: A brief report regarding the project completion meeting.

Annual metrics reports

On an annual basis, the Contractor shall submit, to NYSERDA's Project Manager, 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 was executed. Reports shall be submitted by January 31st for the previous calendar year's activities (i.e. reporting period). The Contractor shall provide metrics in accordance with a web-based form, which will be distributed by NYSERDA.

Task 1-Title

Identify Task and Expected Deliverable for said task. The tasks should:

- *Be worded using action phrases, and should always start with "The Contractor shall..."*
- *Tasks should be worded so it is clear what the Contractor is required to do.*
- *If the Contractor is working with a subcontractor, it should say which one, specifically (unless there is only one, or all of them, in which case 'Subcontractor' or Subcontractor's, respectively, is acceptable.)*
- *Avoid using phrases like 'etc,' or 'including, but not limited to;' these phrases are ambiguous and hard to enforce.*
- *Tasks should be linear, so later tasks build on earlier tasks, and earlier tasks inform work being completed later on, as much as possible.*
- *When referring to previous tasks, it should be worded as "...the work/report/system/method approved in Task X."*

Task 1 Deliverable- This should be directly tied to the work completed in the Task. Most, if not all Tasks, should have a deliverable, except in special circumstances.

- *Deliverables should be a tangible item: a report, a presentation, pictures, purchase orders or bills of lading.*
- *Deliverables should not be something not asked for in the Task, and work completed in the Task should be reported on in the deliverable.*

Task 1 Schedule- Every Task should have a timeframe from the Effective Date that the work is expected to be completed in. This can be divided up task by task or included as a separate attachment.

(Repeat Identification of task and deliverable as often as needed under this contract.)

Task X - Final Report

Upon completion of the contract period, the Contractor shall prepare a non-proprietary/non-confidential Final Report, in accordance with the Exhibit E Report Content Guide, covering all aspects of the work performed under this Agreement; the report shall include information on the following subjects:

- Discussions of the observations and findings and recommendations, if any, from all tasks, and avenues for further improvements, as appropriate;
- Discussions of the project results and lessons learned regarding configuration, capabilities, and benefits of the project; and
- Environmental, and economic benefits, and implementation scenarios associated with such.

Draft Version and Final Version of Final Report: A draft version of the Final Report shall be submitted to NYSERDA's Project Manager no later than the date specified in the Milestone Schedule of the NYSERDA Agreement for this task. NYSERDA will comment on the draft version within 60 working days after receipt of such draft. Within 30 working days after receipt

of NYSERDA's comments, the Contractor shall prepare a final version of the report reflecting therein careful consideration of NYSERDA's comments to the satisfaction of NYSERDA and submit two (2) paper copies and one (1) electronic copy of the final version of the Final Report.

Deliverables: A draft version of the Final Report.
A final version of the Final Report.

EXHIBIT B

GENERAL CONTRACT PROVISIONS, TERMS AND CONDITIONS

Article I

Definitions

Section 1.01. Definitions. Unless the context otherwise requires, the terms defined below shall have, for all purposes of this Agreement, the respective meanings set forth below, the following definitions to be equally applicable to both the singular and plural forms of any of the terms defined.

(a) General Definitions:

Agreement: This Agreement shall consist of Page One and the Exhibits noted thereon, all of which are made a part hereof as if set forth here in full.

Budget: The Budget set forth at Exhibit A hereto.

Cash-based Expenses: Those obligations of Contractor that shall be settled in cash.

Contract Administrator: NYSERDA's Director of Contract Management, Cheryl M. Glanton, or such other person who may be designated, in writing, by NYSERDA.

Contract Information: Recorded information regardless of form or characteristic first produced in the performance of this Agreement, that is specified to be compiled under this Agreement, specified to be delivered under this Agreement, or that is actually delivered in connection with this Agreement, and including the Final Report delivered by Contractor pursuant to Exhibit A, Statement of Work, if applicable.

Proprietary Information: Recorded information regardless of form or characteristic, produced or developed outside the scope of this Agreement and without NYSERDA financial support, provided that such information is not generally known or available from other sources without obligation concerning their confidentiality; has not been made available by the owner to others without obligation concerning its confidentiality; and is not already available to NYSERDA without obligation concerning its confidentiality. Under no circumstances shall any information included in the Final Report delivered by Contractor pursuant to Exhibit A, Statement of Work, if applicable, be considered Proprietary Information.

Person: An individual, a corporation, an association or partnership, an organization, a business or a government or political subdivision thereof, or any governmental agency or instrumentality.

Responsible: Responsible or Responsibility means the financial ability, legal capacity, integrity and past performance of Contractor and as such terms have been interpreted relative to public procurements. See NYS Finance Law § 163(1)(c).

Statement of Work: The Statement of Work attached hereto as Exhibit A.

Subcontract: An agreement for the performance of Work by a Subcontractor, including any purchase order for the procurement of permanent equipment or expendable supplies in connection with the Work.

Subcontractor: A person who performs Work directly or indirectly for or on behalf of the Contractor (and whether or not in privity of contract with the Contractor) but not including any employees of the Contractor or the Subcontractors.

Work: The Work described in the Exhibit A (including the procurement of equipment and supplies in connection therewith) and the performance of all other requirements imposed upon the Contractor under this Agreement.

Article II

Performance of Work

Section 2.01. Manner of Performance. Subject to the provisions of Article XII hereof, the Contractor shall perform all of the Work described in the Statement of Work, or cause such Work to be performed in an efficient and expeditious manner and in accordance with all of the terms and provisions of this Agreement. The Contractor shall perform the Work in accordance with the current professional standards and with the diligence and skill expected for the performance of work of the type described in the Statement of Work. The Contractor shall furnish such personnel and shall procure such materials, machinery, supplies, tools, equipment and other items as may reasonably be necessary or appropriate to perform the Work in accordance with this Agreement.

Section 2.02. Project Personnel. It is understood and agreed that the Project Director identified at Item 3, Page One of this Agreement shall be responsible for the overall supervision and conduct of the Work on behalf of the Contractor and that the persons described in the Statement of Work shall serve in the capacities described therein. Any change of Project Director by the Contractor shall be subject to the prior written approval of NYSERDA. Such approval shall not be unreasonably withheld, and, in the event that notice of approval or disapproval is not received by the Contractor within thirty (30) days after receipt of request for approval by NYSERDA, the requested change in Project Director shall be considered approved. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall notify the Contractor within thirty (30) days of receipt of the request for approval that additional time is required and shall specify the additional amount of time necessary up to thirty (30) days.

Section 2.03. Title to Equipment. Title shall vest in the Contractor to all equipment purchased hereunder.

Article III

Deliverables

Section 3.01. Deliverables. All deliverables shall be provided in accordance with the Exhibit A, Statement of Work.

Article IV

Payment

Section 4.01. Payment Terms. **[If cost-share is applicable, insert - It is understood and agreed that NYSERDA and the Contractor are sharing the costs for the Work to be performed.]** In consideration for this Agreement and as NYSERDA's full payment for the costs of the performance of all Work, and in respect of all other direct and indirect costs, charges or expenses incurred in connection therewith, NYSERDA shall pay to the Contractor amounts not to exceed the maximum amount set forth in Item 5, Page One of this Agreement for the cost elements identified in the Budget to be funded with NYSERDA funds, subject to the provisions and restrictions contained herein, including, without limitation, the Prompt Payment Policy Statement attached hereto as Exhibit D. NYSERDA is not obligated to make any payments beyond the expiration date of this contract, any balances will be disencumbered at that time, unless NYSERDA at its sole discretion, elects to extend the expiration date. NYSERDA's payments shall be on a reimbursement basis, and shall be paid only to the extent that Cash-based Expenses are incurred by the Contractor in performance of the Work in accordance with the provisions of this Agreement, and the following:

(a) Billing Rates: The Contractor shall be reimbursed for the services performed by its employees under the terms of this Agreement at the lesser of employee's billing rate set forth in the Budget or the employee's billing rate applicable at the time the Work is performed. Such billing rates shall be inclusive of actual Cash-based Expenses in the form of wages paid the employee, fringe benefits, overhead, general and administrative (G&A), and other indirect costs. Contractor hereby warrants and guarantees that the billing rates charged herein are Contractor's customary billing rates for performance of work of the type described in the Statement of Work attached hereto.

(b) Direct Charges: To the extent Cash-based Expenses are incurred by the Contractor, the Contractor shall be reimbursed for reasonable and necessary actual direct costs incurred (e.g., equipment, supplies, travel and other costs directly associated with the performance of the Agreement) to the extent required in the performance of the Work and to the extent such costs are anticipated in the Budget. Travel, lodging, meals and incidental expenses shall be reimbursed for reasonable and necessary costs incurred. Costs should generally not exceed the daily per diem rates published in the Federal Travel Regulations. Reimbursement for the use of personal vehicles shall be limited to the Internal Revenue Service business standard mileage rate in effect at the time the expense was incurred.

Section 4.02. Progress Payments.

(a) Invoicing: The Contractor may submit invoices for progress payments no more than once each month and no less than once each calendar quarter for Work performed during such period. Invoices shall be submitted electronically to NYSERDA's online invoice system at: <https://services.nyserda.ny.gov/Invoices/> or, if this project is managed through NYSERDA's Salesforce application, via NYSERDA's Salesforce Contractor Portal with the Contractor's log-in credentials. If electronic submission is not possible, invoices may be addressed to NYSERDA, "Attention: Accounts Payable." Such invoices shall reference the purchase order number, which will be generated and provided to the Contractor upon contract execution, and the Agreement number shown at Item 1 on page 1 of this Agreement. Invoices shall be inclusive of the total project costs incurred, delineated into NYSERDA's Funding share and the Cost-Share and Other Co-funding share, if applicable, and they shall be in a format consistent with the cost categories set forth in the Budget. Invoices shall be itemized and provide reasonable documentation for the above to provide evidence of costs incurred. If a wage rate or billing rate is used, Contractor must certify on its invoice that such rate represents the lesser of: (i) the actual rate at the time the Work was performed, and (ii) the rate listed for each such employee listed in the Budget. NYSERDA may adjust amounts payable to correlate the proportion of NYSERDA's funding share paid to the proportion of the Work completed. Final invoices must be received by NYSERDA prior to the expiration date of the contract.

Section 4.03. Final Payment. Upon final acceptance by NYSERDA of all deliverables contained in Exhibit A, Statement of Work, pursuant to Section 6.02 hereof, the Contractor shall submit an invoice for final payment with respect to the Work, together with such supporting information and documentation as, and in such form as, NYSERDA may require. All invoices for final payment hereunder must, under any and all circumstances, be received by NYSERDA prior to the expiration date of the contract. In accordance with and subject to the provisions of NYSERDA's Prompt Payment Policy Statement, attached hereto as Exhibit D, NYSERDA shall pay to the Contractor within the prescribed time after receipt of such invoice for final payment, the total amount payable pursuant to Section 4.01 hereof, less all progress payments/milestone payments previously made to the Contractor with respect thereto and subject to the maximum commitment set forth in Section 4.06 hereof.

Section 4.04. Release by the Contractor. The acceptance by the Contractor of final payment shall release NYSERDA from all claims and liability that the Contractor, its representatives and assigns might otherwise have relating to this Agreement.

Section 4.05. Maintenance of Records. Unless otherwise addressed by separate provision(s) within this Agreement governing the destruction of certain project data, the Contractor shall keep, maintain, and preserve at its principal office throughout the term of the Agreement and for a period of three years after acceptance of the Work, full and detailed books, accounts, and records pertaining to this Agreement, including without limitation, all data, bills, invoices, payrolls, time records, expense reports, subcontracting efforts and other documentation evidencing, or in any material way related to, Contractor's performance under this Agreement.

Section 4.06. Maximum Commitment. The maximum aggregate amount payable by NYSERDA to the Contractor shall be the amount appearing at Item 5 of page one of this Agreement. NYSERDA shall not be liable for any costs or expenses in excess of such amount incurred by the Contractor in the performance and completion of the Work.

Section 4.07. Audit. NYSERDA shall have the right from time to time and at all reasonable times during the term of this Agreement and for the maintenance period set forth in Section 4.05 hereof to inspect and audit any and all books, accounts and records related to this Agreement or reasonably necessary to the performance of an audit at the office or offices of the Contractor where they are then being kept, maintained and preserved pursuant to Section 4.05 hereof. Any payment made under the Agreement shall be subject to retroactive reduction for amounts included therein which are found by NYSERDA on the basis of any audit of the Contractor by NYSERDA, the State of New York or an agency of the United States not to constitute an allowable charge or cost hereunder.

Article V

Assignments, Subcontracts and Performance

Section 5.01. General Restrictions. Except as specifically provided otherwise in this Article, the assignment, transfer, conveyance, subcontracting or other disposal of this Agreement or any of the Contractor's rights, obligations, interests or responsibilities hereunder, in whole or in part, without the express consent in writing of NYSERDA shall be void and of no effect as to NYSERDA.

Section 5.02. Subcontract Procedures. Without relieving it of, or in any way limiting, its obligations to NYSERDA under this Agreement, the Contractor may enter into Subcontracts for the performance of Work or for the purchase of materials or equipment. Prior to beginning any Work, Contractor shall notify the NYSERDA Project Manager of all subcontractors performing work under the Agreement, as well as all changes in subcontractors throughout the term of the Agreement. Except for a subcontractor or supplier specified in a team arrangement with the Contractor in the Contractor's original proposal, and except for any subcontract or order for equipment, supplies or materials from a single subcontractor or supplier totaling less than \$50,000, the Contractor shall select all subcontractors or suppliers through a process of competitive bidding or multi-source price review. A team arrangement is one where a subcontractor or supplier specified in the Contractor's proposal is performing a substantial portion of the Work and is making a substantial contribution to the management and/or design of the Project. In the event that a competitive bidding or multi-source price review is not feasible, the Contractor shall document an explanation for, and justification of, a sole source selection. The Contractor shall document the process by which a subcontractor or supplier is selected by making a record summarizing the nature and scope of the work, equipment, supplies or materials sought, the name of each person or organization submitting, or requested to submit, a bid or proposal, the price or fee bid, and the basis for selection of the subcontractor or supplier. An explanation for, and justification of, a sole source selection must identify why the work, equipment, supplies or materials involved are obtainable from or require a subcontractor with unique or exceptionally scarce qualifications or experience, specialized equipment, or facilities

not readily available from other sources, or patents, copyrights, or proprietary data. All Subcontracts shall contain provisions comparable to those set forth in this Agreement applicable to a subcontractor or supplier, and those set forth in Exhibit C to the extent required by law, and all other provisions now or hereafter required by law to be contained therein. Each Subcontract shall make express reference to this Agreement, and shall state that in the event of any conflict or inconsistency between any Subcontract and this Agreement, the terms and conditions of this Agreement shall control as between Subcontractor and Contractor. For each Subcontract valued at \$100,000 or more, the Contractor shall obtain and maintain, pursuant to Section 4.05, a completed Vendor Assurance of No Conflict of Interest or Detrimental Effect form from such Subcontractor prior to the execution of the Subcontract. Such form shall be made available to the Contractor by NYSERDA. Each such Subcontract shall contain a provision whereby the Subcontractor warrants and guarantees that there is and shall be no actual or potential conflict of interest that could prevent the Subcontractor's satisfactory or ethical performance of duties required to be performed pursuant to the terms of the Subcontract and that the Subcontractor shall have a duty to notify NYSERDA immediately of any actual or potential conflicts of interest. If this Agreement includes a provision requiring Contractor to make Payments to NYSERDA for the Sale or Licensing of a Product, each Subcontract shall include the provisions of Section 8.02, suitably modified to identify the parties. The Contractor shall submit to NYSERDA's Contract Administrator for review and written approval any subcontract(s) specified in the Statement of Work as requiring NYSERDA approval, including any replacements thereof.

Section 5.03. Performance. The Contractor shall promptly and diligently comply with its obligations under each Subcontract and shall take no action that would impair its rights thereunder. The Contractor shall take no action, and shall take all reasonable steps to prevent its Subcontractors from taking any action, that would impair NYSERDA's rights under this Agreement. The Contractor shall not assign, cancel or terminate any Subcontract without the prior written approval of NYSERDA's Contract Administrator as long as this Agreement remains in effect. Such approval shall not be unreasonably withheld and, in the event that notice of approval or disapproval is not received by the Contractor within thirty days after receipt of request for approval by NYSERDA, the requested assignment, cancellation, or termination of the Subcontract shall be considered approved by NYSERDA. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall notify the Contractor within thirty (30) days of receipt of the request for approval that additional time is required and shall specify the additional amount of time necessary up to sixty (60) days.

Article VI

Schedule; Acceptance of Work

Section 6.01. Schedule. The Work shall be performed as expeditiously as possible in conformity with the schedule requirements contained herein and in the Statement of Work. The draft and final versions of all deliverables shall be submitted by the dates specified in the Exhibit A Schedule and Project Period noted in Item No. 1 of this Agreement. It is understood and agreed that the delivery of the draft and final versions of such deliverables by the Contractor

shall occur in a timely manner and in accordance with the requirements of the Exhibit A Schedule.

Section 6.02. Acceptance of Work. The completion of the Work shall be subject to acceptance by NYSERDA in writing of all deliverables as defined in Exhibit A, Statement of Work.

Article VII

Force Majeure

Section 7.01. Force Majeure. Neither party hereto shall be liable for any failure or delay in the performance of its respective obligations hereunder if and to the extent that such delay or failure is due to a cause or circumstance beyond the reasonable control of such party, including, without limitation, acts of God or the public enemy, expropriation or confiscation of land or facilities, compliance with any law, order or request of any Federal, State, municipal or local governmental authority, acts of war, rebellion or sabotage or damage resulting therefrom, fires, floods, storms, explosions, accidents, riots, strikes, or the delay or failure to perform by any Subcontractor by reason of any cause or circumstance beyond the reasonable control of such Subcontractor.

Article VIII

Rights in Information; Confidentiality

Section 8.01. Rights in Contract and Proprietary Information.

(a) All Contract Information shall be the property of NYSERDA. The Contractor shall not use Contract Information for any purpose other than to implement its obligations under this Agreement.

(b) All Proprietary Information shall be the property of Contractor.

(c) The use, public performance, reproduction, distribution, or modification of any materials used by Contractor in the performance of this Agreement does not and will not violate the rights of any third parties, including, but not limited to, copyrights, trademarks, service marks, publicity, or privacy. The Contractor shall be responsible for obtaining and paying for any necessary licenses to use any third-party content.

(d) The Contractor agrees that to the extent it receives or is given any information from NYSERDA or a NYSERDA contractor or subcontractor, the Contractor shall treat such data in accordance with any restrictive legend contained thereon or instructions given by NYSERDA, unless another use is specifically authorized by prior written approval of the NYSERDA Project Manager. Contractor acknowledges that in the performance of the Work under this Agreement,

Contractor may come into possession of personal information as that term is defined in Section 92 of the New York State Public Officers Law. Contractor agrees not to disclose any such information without the consent of NYSERDA.

(e) In conjunction with Contractor's performance of the Project, NYSERDA or other entities may furnish Contractor with certain information concerning the Work that is collected and stored by, or on behalf of, NYSERDA and is either non-public, confidential or proprietary in nature as classified per the policies and procedures outlined in the [New York State Information Classification Policy \(NYS-S14-002¹\)](#) and the [New York State Information Security Controls Standard²](#) (the "Information"), identified as such by the Project Manager in writing.

The Information will be kept confidential and will not, without NYSERDA's prior written consent, be disclosed by you, your agents, employees, contractors or professional advisors, in any manner whatsoever, in whole or in part, and will not be used by Contractor, Contractor's agents, employees, contractors or professional advisors other than in connection with the Work. Contractor agrees to transmit the Information only to Contractor's agents, employees, contractors and professional advisors who need to know the Information for that purpose and who are informed by Contractor of the confidential nature of the Information and who will agree in writing to be bound by the terms and conditions of this Agreement.

Contractor shall conform to requirements of the New York State Information Technology Services (ITS) Information Security Policy (NYS-P03-002³) and any amendments thereto, to maintain the security of and to prevent unauthorized access to Information that is maintained in electronic form on your systems. Such measures shall include:

- a. Access Control on Servers, Systems, Apps, Databases, i.e., role-based permissions, authentication, authorization, and password policy;
- b. Network Security, i.e., isolation of Information, secure V-LANS, Firewalls;
- c. Patch Management, i.e., formal patch cycles and maintenance process;
- d. Malware Prevention, i.e., anti-virus, anti-spyware, vulnerability assessments, penetration testing, audits;
- e. Encryption of Information in transit and Information in storage on desktops, backups, and removable media;
- f. Change Control to ensure that new and modified system software are authorized, tested, and implemented accurately;
- g. Security Event Logging/Monitoring that provides real time alerting of security events
- h. IDS, WS, Website Monitoring of websites for compromise indicators which indicates website defacements, compromises or inappropriate content (Application/Host/Network

¹ <https://its.ny.gov/document/information-classification-standard>

² <https://its.ny.gov/document/information-security-controls-standard>

³ https://its.ny.gov/sites/default/files/documents/nys-p03-002_information_security_0.pdf

IDS and IPS);

- i. Web Application scanning that is performed on code and application in compliance with Open Web Application Security project (OWASP) and SANS (SysAdmin, Audit, Network, and Security) Institute standards.

Contractor will keep a record of the location of the Information. At the conclusion of the Project Period, Contractor will return to NYSERDA all the Information and/or provide proof to NYSERDA that the Information was destroyed. Contractor also agrees to submit to an audit of its data security/destruction practices by NYSERDA or its representative during the contract term and for up to two (2) years following the expiration of the Agreement.

(f) If, in the course of performance of the Agreement, Contractor or Subcontractors (if any) encounter any information in NYSERDA's Salesforce or other database platforms that a reasonable person would identify as unrelated to the Agreement or otherwise inadvertently produced to Contractor or Subcontractors, Contractor shall notify NYSERDA immediately and neither Contractor nor Subcontractor shall use such inadvertently produced information for its own use. Any Contractor access to NYSERDA information shall be used solely for NYSERDA-related matters. This shall include, but not be limited to, access to the Salesforce CRM.

Article IX

Warranties and Guarantees

Section 9.01. Warranties and Guarantees. The Contractor warrants and guarantees that:

(a) all information provided, and all representations made by Contractor as a part of the Proposal Checklist or application, if any, submitted to NYSERDA in order to obtain this Agreement were, to the best of Contractor's knowledge, complete, true and accurate when provided or made;

(b) as of the Effective Date, it is financially and technically qualified to perform the Work, and is qualified to do business and is in good standing in all jurisdictions necessary for Contractor to perform its obligations under this Agreement;

(c) it is familiar with and will comply with all general and special Federal, State, municipal and local laws, ordinances and regulations, if any, that may in any way affect the performance of this Agreement;

(d) the design, supervision and workmanship furnished with respect to performance of the Work shall be in accordance with sound and currently accepted scientific standards and engineering practices;

(e) all materials, equipment and workmanship furnished by it and by Subcontractors in performance of the Work or any portion thereof shall be free of defects in design, material and workmanship, and all such materials and equipment shall be of first-class quality, shall conform with all

applicable codes, specifications, standards and ordinances and shall have service lives and maintenance characteristics suitable for their intended purposes in accordance with sound and currently accepted scientific standards and engineering practices;

(f) neither the Contractor nor any of its employees, agents, representatives or servants has actual knowledge of any patent issued under the laws of the United States or any other matter which could constitute a basis for any claim that the performance of the Work or any part thereof infringes any patent or otherwise interferes with any other right of any Person;

(g) to the best of Contractor's knowledge, there are no existing undisclosed or threatened legal actions, claims, or encumbrances, or liabilities that may adversely affect the Work or NYSERDA's rights hereunder;

(h) it has no actual knowledge that any information or document or statement furnished by the Contractor in connection with this Agreement contains any untrue statement of a material fact or omits to state a material fact necessary to make the statement not misleading, and that all facts have been disclosed that would materially adversely affect the Work;

(i) all information provided to NYSERDA with respect to State Finance Law Sections 139-j and 139-k is complete, true and accurate;

(j) Contractor is familiar with and will comply with NYSERDA's *Code of Conduct for Contractors, Consultants, and Vendors* with respect to the performance of this Agreement,⁴ including, but not limited to, the provisions that ensure the appropriate use of public funds by requiring Contractors, Consultants and Vendors to refrain from policy advocacy on behalf of NYSERDA unless explicitly authorized, and in the manner described, under the terms of their Agreement; and to refrain from providing advocacy positions or opinions of their own that could be construed as those of NYSERDA;

(k) its rates for the indirect costs charged herein have been determined based on the Contractor's reasonably anticipated indirect costs during the term of the Agreement and calculated consistent with generally accepted accounting principles;

(l) Contractor shall at all times during the Agreement term remain Responsible, and Contractor agrees, if requested by NYSERDA, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity; and

(m) Contractor represents that there is and shall be no actual or potential conflict of interest that could prevent the Contractor's satisfactory or ethical performance of duties required

⁴<http://www.nyserda.ny.gov/About/Board-Governance.aspx>

to be performed pursuant to the terms of this Agreement. The Contractor shall have a duty to notify NYSERDA immediately of any actual or potential conflicts of interest.

Article X

Indemnification

Section 10.01. Indemnification. The Contractor shall protect, indemnify and hold harmless NYSERDA and the State of New York from and against all liabilities, losses, claims, damages, judgments, penalties, causes of action, costs and expenses (including, without limitation, attorneys' fees and expenses) imposed upon or incurred by or asserted against NYSERDA or the State of New York resulting from, arising out of or relating to Contractor's or its Subcontractors' performance of this Agreement. The obligations of the Contractor under this Article shall survive any expiration or termination of this Agreement and shall not be limited by any enumeration herein of required insurance coverage.

Article XI

Insurance

Section 11.01. Maintenance of Insurance; Policy Provisions. The Contractor, at no additional direct cost to NYSERDA, shall maintain or cause to be maintained throughout the term of this Agreement, insurance of the types and in the amounts specified in the Section hereof entitled Types of Insurance. All such insurance shall be evidenced by insurance policies, each of which shall:

- (a) except policies in evidence of insurance required under Section 11.02(b), name or be endorsed to cover NYSERDA, the State of New York and the Contractor as additional insureds;
- (b) provide that such policy may not be cancelled or modified until at least 30 days after receipt by NYSERDA of written notice thereof; and
- (c) be reasonably satisfactory to NYSERDA in all other respects.

Section 11.02. Types of Insurance. The types and amounts of insurance required to be maintained under this Article are as follows:

- (a) Commercial general liability insurance for bodily injury liability, including death, and property damage liability, incurred in connection with the performance of this Agreement, with minimum limits of \$1,000,000 in respect of claims arising out of personal injury or sickness or death of any one person, \$1,000,000 in respect of claims arising out of personal injury, sickness or death in any one accident or disaster, and \$1,000,000 in respect of claims arising out of property damage in any one accident or disaster; and
- (b) Workers Compensation, Employers Liability, and Disability Benefits as required by New York State.

Section 11.03. Delivery of Policies; Insurance Certificates. Prior to commencing the Work, the Contractor shall deliver to NYSERDA certificates of insurance issued by the respective insurers, indicating the Agreement number thereon, evidencing the insurance required by Article XI hereof. In the event any policy furnished or carried pursuant to this Article will expire on a date prior to acceptance of the Work by NYSERDA pursuant to the section hereof entitled Acceptance of Work, the Contractor, not less than 15 days prior to such expiration date, shall deliver to NYSERDA certificates of insurance evidencing the renewal of such policies, and the Contractor shall promptly pay all premiums thereon due. In the event of threatened legal action, claims, encumbrances, or liabilities that may affect NYSERDA hereunder, or if deemed necessary by NYSERDA due to events rendering a review necessary, upon request the Contractor shall deliver to NYSERDA a certified copy of each policy.

Article XII

Stop Work Order; Termination; Non-Responsibility

Section 12.01. Stop Work Order.

(a) NYSERDA may at any time, by written Order to the Contractor, require the Contractor to stop all or any part of the Work called for by this Agreement for a period of up to ninety (90) days after the Stop Work Order is delivered to the Contractor, and for any further period to which the parties may agree. Any such order shall be specifically identified as a Stop Work Order issued pursuant to this Section. Upon receipt of such an Order, the Contractor shall forthwith comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the Work covered by the Order during the period of work stoppage consistent with public health and safety. Within a period of ninety (90) days after a Stop Work Order is delivered to the Contractor, or within any extension of that period to which the parties shall have agreed, NYSERDA shall either:

- (i) by written notice to the Contractor, cancel the Stop Work Order, which shall be effective as provided in such cancellation notice, or if not specified therein, upon receipt by the Contractor, or
- (ii) terminate the Work covered by such order as provided in the Termination Section of this Agreement.

(b) If a Stop Work Order issued under this Section is cancelled or the period of the Order or any extension thereof expires, the Contractor shall resume Work. An equitable adjustment shall be made in the delivery schedule, the estimated cost, the fee, if any, or a combination thereof, and in any other provisions of the Agreement that may be affected, and the Agreement shall be modified in writing accordingly, if:

- (i) the Stop Work Order results in an increase in the time required for, or in the Contractor's cost properly allocable to, the performance of any part of this Agreement, and
- (ii) the Contractor asserts a claim for such adjustments within 30 days after the end of the period of Work stoppage; provided that, if NYSERDA decides the facts justify such

action, NYSERDA may receive and act upon any such claim asserted at any time prior to final payment under this Agreement.

(c) If a Stop Work Order is not cancelled and the Work covered by such Order is terminated, the reasonable costs resulting from the Stop Work Order shall be allowed by equitable adjustment or otherwise.

(d) Notwithstanding the provisions of this Section 12.01, the maximum amount payable by NYSERDA to the Contractor pursuant to this Section 12.01 shall not be increased or deemed to be increased except by specific written amendment hereto.

Section 12.02. Termination.

(a) This Agreement may be terminated by NYSERDA at any time during the term of this Agreement with or without cause, upon ten (10) days prior written notice to the Contractor. In such event, payment shall be paid to the Contractor for Work performed and expenses incurred prior to the effective date of termination in accordance with the provisions of the Article hereof entitled Payment and in reimbursement of any amounts required to be paid by the Contractor pursuant to Subcontracts; provided, however, that upon receipt of any such notice of termination, the Contractor shall cease the performance of Work, shall make no further commitments with respect thereto and shall reduce insofar as possible the amount of outstanding commitments (including, to the extent requested by NYSERDA, through termination of subcontracts containing provisions therefor). Articles VIII, IX, and X shall survive any termination of this Agreement, and Article XVII shall survive until the payment obligations pursuant to Article VIII have been met.

(b) NYSERDA specifically reserves the right to terminate this agreement upon its determination of excessive project schedule lapses or delays. NYSERDA also reserves the right to deny schedule extensions for project completion beyond those to which the parties agreed upon the initial execution of the agreement.

(c) NYSERDA specifically reserves the right to terminate this agreement in the event that the certification filed by the Contractor in accordance with State Finance Law Sections 139-j and 139-k is found to have been intentionally false or intentionally incomplete, or that the certification filed by the Contractor in accordance with New York State Tax Law Section 5-a is found to have been intentionally false when made. Terminations under this subsection (b) will be effective upon Notice.

(d) Nothing in this Article shall preclude the Contractor from continuing to carry out the Work called for by the Agreement after receipt of a Stop Work Order or termination notice at its own election, provided that, if the Contractor so elects: (i) any such continuing Work after receipt of the Stop Work Order or termination notice shall be deemed not to be Work pursuant to the Agreement, and (ii) NYSERDA shall have no liability to the Contractor for any costs of the Work continuing after receipt of the Stop Work Order or termination notice.

12.03 Suspension or Termination for Non-Responsibility.

(a) Suspension. NYSERDA, in its sole discretion, reserves the right to suspend any or all activities under this Agreement, at any time, when it discovers information that calls into question the Responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as NYSERDA issues a written notice authorizing a resumption of performance under the Contract.

(b) Termination. Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate NYSERDA officials or staff, this Agreement may be terminated by NYSERDA at the Contractor's expense where the Contractor is determined by NYSERDA to be non-Responsible. In such event, NYSERDA may complete the contractual requirements in any manner it may deem advisable and pursue available legal or equitable remedies for breach.

Article XIII

Independent Contractor

Section 13.01. Independent Contractor. (a) The status of the Contractor under this Agreement shall be that of an independent contractor and not that of an agent, and in accordance with such status, the Contractor, the Subcontractors, and their respective officers, agents, employees, representatives and servants, including the Project Director, shall at all times during the term of this Agreement conduct themselves in a manner consistent with such status and by reason of this Agreement shall neither hold themselves out as, nor claim to be acting in the capacity of, officers, employees, agents, representatives or servants of NYSERDA nor make any claim, demand or application for any right or privilege applicable to NYSERDA, including, without limitation, vicarious liability, professional liability coverage or indemnification, rights or privileges derived from workers' compensation coverage, unemployment insurance benefits, social security coverage and retirement membership or credit. It is understood and agreed that the personnel furnished by Contractor to perform the Work shall be Contractor's employee(s) or agent(s), and under no circumstances are such employee(s) to be considered NYSERDA's employee(s) or agent(s), and shall remain the employees of Contractor, except to the extent required by section 414(n) of the Internal Revenue Code.

(b) Contractor expressly acknowledges NYSERDA's need to be advised, on an immediate basis, of the existence of any claim or event that might result in a claim or claims against NYSERDA, Contractor and/or Contractor's personnel by virtue of any act or omission on the part of NYSERDA or its employees. Accordingly, Contractor expressly covenants and agrees to notify NYSERDA of any such claim or event, including but not limited to, requests for accommodation and allegations of harassment and/or discrimination, immediately upon contractor's discovery of the same, and to fully and honestly cooperate with NYSERDA in its efforts to investigate and/or address such claims or events, including but not limited to, complying with any reasonable request by NYSERDA for disclosure of information concerning such claim or event even in the event that this Agreement should terminate for any reason.

Article XIV

Compliance with Certain Laws

Section 14.01. Laws of the State of New York. The Contractor shall comply with all of the requirements set forth in Exhibit C hereto.

Section 14.02. All Legal Provisions Deemed Included. It is the intent and understanding of the Contractor and NYSERDA that each and every provision of law required by the laws of the State of New York to be contained in this Agreement shall be contained herein, and if, through mistake, oversight or otherwise, any such provision is not contained herein, or is not contained herein in correct form, this Agreement shall, upon the application of either NYSERDA or the Contractor, promptly be amended so as to comply strictly with the laws of the State of New York with respect to the inclusion in this Agreement of all such provisions.

Section 14.03. Other Legal Requirements. The references to particular laws of the State of New York in this Article, in Exhibit C and elsewhere in this Agreement are not intended to be exclusive and nothing contained in such Article, Exhibit and Agreement shall be deemed to modify the obligations of the Contractor to comply with all legal requirements.

Section 14.04. Sexual Harassment Policy. The Contractor and all Subcontractors must have a written sexual harassment prevention policy addressing sexual harassment in the workplace and must provide annual sexual harassment training to all employees.

Article XV

Notices, Entire Agreement, Amendment, Counterparts

Section 15.01. Notices.

(a) All notices, requests, consents, approvals and other communications which may or are required to be given by either party to the other under this Agreement shall be in writing and shall be transmitted either:

- (i) via certified or registered United States mail, return receipt requested;
- (ii) by facsimile transmission;
- (iii) by personal delivery;
- (iv) by expedited delivery service; or
- (v) by e-mail, return receipt requested.

Such notices shall be addressed as follows, or to such different addresses as the parties may from time-to-time designate as set forth in paragraph (c) below:

NYSERDA

Name: Cheryl M. Glanton
Title: Director of Central Support Services
Address: 17 Columbia Circle, Albany, New York 12203
Facsimile Number: (518) 862-1091
E-Mail Address: Cheryl.Glanton@nyserda.ny.gov
Personal Delivery: Reception desk at the above address

[Contractor Name]

Name:
Title:
Address:
Facsimile Number:
E-Mail Address:

(b) Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.

(c) The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this Agreement by giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representatives for the purposes of receiving notices under this Agreement. Additional individuals may be designated in writing by the parties for purposes of implementation and administration/billing, resolving issues and problems and/or for dispute resolution.

Section 15.02. Entire Agreement; Amendment. This Agreement embodies the entire agreement and understanding between NYSERDA and the Contractor and supersedes all prior agreements and understandings relating to the subject matter hereof. Except for no-cost time extensions, which may be signed by NYSERDA and require no counter-signature by the Contractor, and except as otherwise expressly provided for herein, this Agreement may be changed, waived, discharged or terminated only by an instrument in writing, signed by the party against which enforcement of such change, waiver, discharge or termination is sought.

Section 15.03. Counterparts. This Agreement may be executed in counterparts each of which shall be deemed an original, but all of which taken together shall constitute one and the same instrument.

Article XVI

Publicity

Section 16.01. Publicity.

(a) The Contractor shall collaborate with NYSERDA's Director of Communications to prepare any press release and to plan for any news conference concerning the Work. In addition, the Contractor

shall notify NYSERDA's Director of Communications regarding any media interview in which the Work is referred to or discussed.

(b) It is recognized that during the course of the Work under this Agreement, the Contractor or its employees may from time to time desire to publish information regarding scientific or technical developments made or conceived in the course of or under this Agreement. In any such information, the Contractor shall credit NYSERDA's funding participation in the Project and shall state that "NYSERDA has not reviewed the information contained herein, and the opinions expressed in this report do not necessarily reflect those of NYSERDA or the State of New York." Notwithstanding anything to the contrary contained herein, the Contractor shall have the right to use and freely disseminate project results for educational purposes, if applicable, consistent with the Contractor's policies.

(c) Commercial promotional materials or advertisements produced by the Contractor shall credit NYSERDA, as stated above, and shall be submitted to NYSERDA for review and recommendations to improve their effectiveness prior to use. The wording of such credit can be approved in advance by NYSERDA, and, after initial approval, such credit may be used in subsequent promotional materials or advertisements without additional approvals for the credit, provided, however, that all such promotional materials or advertisements shall be submitted to NYSERDA prior to use for review, as stated above. Such approvals shall not be unreasonably withheld, and, in the event that notice of approval or disapproval is not received by the Contractor within thirty days after receipt of request for approval, the promotional materials or advertisement shall be considered approved. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall notify the Contractor within thirty days of receipt of the request for approval that additional time is required and shall specify the additional amount of time necessary up to 180 days. If NYSERDA and the Contractor do not agree on the wording of such credit in connection with such materials, the Contractor may use such materials, but agrees not to include such credit.

EXHIBIT C

REVISED 12/19

STANDARD TERMS AND CONDITIONS FOR ALL NYSERDA AGREEMENTS

(Based on Standard Clauses for New York State Contracts and Tax Law Section 5-a)

The parties to the Agreement agree to be bound by the following clauses which are hereby made a part of the Agreement to the extent applicable:

1. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is an Agreement for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this Agreement shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this Agreement. If this is a building service Agreement as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this Agreement and forfeiture of all moneys due hereunder for a second subsequent violation.

2. WAGE AND HOURS PROVISIONS. If this is a public work Agreement covered by Article 8 of the Labor Law or a building service Agreement covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by NYSERDA of any NYSERDA-approved sums due and owing for work done upon the project.

3. NON-COLLUSIVE BIDDING REQUIREMENT. In accordance with Section 2878 of the Public Authorities Law, if this Agreement was awarded based upon the submission of bids, Contractor warrants, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further warrants that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to NYSERDA a non-collusive bidding certification on Contractor's behalf.

4. INTERNATIONAL BOYCOTT PROHIBITION. If this Agreement exceeds \$5,000, the Contractor agrees, as a material condition of the Agreement, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the Federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the Agreement's execution, such Agreement, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify NYSERDA within five (5) business days of such conviction, determination or disposition of appeal. (See and compare Section 220-f of the Labor Law, Section 139-h of the State Finance Law, and 2 NYCRR 105.4).

5. SET-OFF RIGHTS. NYSERDA shall have all of its common law and statutory rights of set-off. These rights shall include, but not be limited to, NYSERDA's option to withhold for the purposes of set-off any moneys due to the Contractor under this Agreement up to any amounts due and owing to NYSERDA with regard to this Agreement, any other Agreement, including any Agreement for a term commencing prior to the term of this Agreement, plus any amounts due and owing to NYSERDA for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto.

6. PROPRIETARY INFORMATION. Notwithstanding any provisions to the contrary in the Agreement, Contractor and NYSERDA acknowledge and agree that all information, in any format, submitted to NYSERDA shall be subject to and treated in accordance with the NYS Freedom of Information Law ("FOIL," Public Officers Law, Article 6). Pursuant to FOIL, NYSERDA is required to make available to the public, upon request, records or portions thereof which it possesses, unless that information is statutorily exempt from disclosure. Therefore, unless the Agreement specifically requires otherwise, Contractor should submit information to NYSERDA in a non-confidential, non-proprietary format. FOIL does provide that NYSERDA may deny access to records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." [See Public Officers Law, § 87(2)(d)]. Accordingly, if the Agreement specifically requires submission of information in a format Contractor considers a proprietary and/or confidential trade secret, Contractor shall fully identify and plainly label the information "confidential" or "proprietary" at the time of disclosure. By so marking such information, Contractor represents that the information has actual or potential specific commercial or competitive value to the competitors of Contractor. Without limitation, information will not be considered confidential or proprietary if it is or has been (i) generally known or available from

other sources without obligation concerning its confidentiality; (ii) made available by the owner to others without obligation concerning its confidentiality; or (iii) already available to NYSERDA without obligation concerning its confidentiality. In the event of a FOIL request, it is NYSERDA's policy to consider records as marked above pursuant to the trade secret exemption procedure set forth in 21 New York Codes Rules & Regulations § 501.6 and any other applicable law or regulation. However, NYSERDA cannot guarantee the confidentiality of any information submitted. More information on FOIL, and the relevant statutory law and regulations, can be found at the website for the Committee on Open Government (<http://www.dos.ny.gov/about/foil2.html>) and NYSERDA's Regulations, Part 501 <http://www.nyserda.ny.gov/About/New-York-State-Regulations.aspx>.

7. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER. As a condition to NYSERDA's obligation to pay any invoices submitted by Contractor pursuant to this Agreement, Contractor shall provide to NYSERDA its Federal employer identification number or Federal social security number, or both such numbers when the Contractor has both such numbers. Where the Contractor does not have such number or numbers, the Contractor must give the reason or reasons why the payee does not have such number or numbers.

(b) PRIVACY NOTIFICATION. The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by Contractor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

8. CONFLICTING TERMS. In the event of a conflict between the terms of the Agreement (including any and all attachments thereto and amendments thereof) and the terms of this Exhibit C, the terms of this Exhibit C shall control.

9. GOVERNING LAW. This Agreement shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

10. NO ARBITRATION. Disputes involving this Agreement, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily required) without the NYSERDA's written consent, but must, instead, be heard in a court of competent jurisdiction of the State of New York.

11. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law and Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon NYSERDA's receipt of the return thereof by the United

States Postal Service as refused or undeliverable. Contractor must promptly notify NYSERDA, in writing, of each and every change of address to which service of process can be made. Service by NYSERDA to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

12. CRIMINAL ACTIVITY. If subsequent to the effectiveness of this Agreement, NYSERDA comes to know of any allegation previously unknown to it that the Contractor or any of its principals is under indictment for a felony, or has been, within five (5) years prior to submission of the Contractor's proposal to NYSERDA, convicted of a felony, under the laws of the United States or Territory of the United States, then NYSERDA may exercise its stop work right under this Agreement. If subsequent to the effectiveness of this Agreement, NYSERDA comes to know of the fact, previously unknown to it, that Contractor or any of its principals is under such indictment or has been so convicted, then NYSERDA may exercise its right to terminate this Agreement. If the Contractor knowingly withheld information about such an indictment or conviction, NYSERDA may declare the Agreement null and void and may seek legal remedies against the Contractor and its principals. The Contractor or its principals may also be subject to penalties for any violation of law which may apply in the particular circumstances. For a Contractor which is an association, partnership, corporation, or other organization, the provisions of this paragraph apply to any such indictment or conviction of the organization itself or any of its officers, partners, or directors or members of any similar governing body, as applicable.

13. PERMITS. It is the responsibility of the Contractor to acquire and maintain, at its own cost, any and all permits, licenses, easements, waivers and permissions of every nature necessary to perform the work.

14. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this Agreement will be in accordance with, but not limited to, the specifications and provisions of State Finance Law Section 165 (Use of Tropical Hardwoods), which prohibits purchase and use of tropical hardwoods, unless specifically exempted by NYSERDA.

15. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

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

NYS Department of Economic Development
Division for Small Business
625 Broadway
Albany, New York 12207
Telephone: 518-292-5200
Fax: 518-292-5884
<http://www.esd.ny.gov>

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

NYS Department of Economic Development
Division of Minority and Women's Business Development
625 Broadway
Albany, New York 12207
Telephone: 518-292-5200
Fax: 518-292-5803
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this Agreement, Contractors certify that whenever the total amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

16. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

17. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

18. PROCUREMENT LOBBYING. To the extent this Agreement is a “procurement contract” as defined by State Finance Law Sections 139-j and 139-k, by signing this Agreement the Contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, NYSERDA may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

19. COMPLIANCE WITH TAX LAW SECTION 5-a. The following provisions apply to Contractors that have entered into agreements in an amount exceeding \$100,000 for the purchase of goods and services:

- a) Before such agreement can take effect, the Contractor must have on file with the New York State Department of Taxation and Finance a Contractor Certification form (ST-220-TD).
- b) Prior to entering into such an agreement, the Contractor is required to provide NYSERDA with a completed Contractor Certification to Covered Agency form (Form ST-220-CA).
- c) Prior to any renewal period (if applicable) under the agreement, the Contractor is required to provide NYSERDA with a completed Form ST-220-CA.

Certifications referenced in paragraphs (b) and (c) above will be maintained by NYSERDA and made a part hereof and incorporated herein by reference.

NYSERDA reserves the right to terminate this agreement in the event it is found that the certification filed by the Contractor in accordance with Tax Law Section 5-a was false when made.

20. IRANIAN ENERGY SECTOR DIVESTMENT. In accordance with Section 2879-c of the Public Authorities Law, by signing this contract, each person and each person signing on behalf of any other party certifies, and in the case of a joint bid or partnership each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law (See <https://ogs.ny.gov/iran-divestment-act-2012>).

21. COMPLIANCE WITH NEW YORK STATE DIESEL EMISSION REDUCTION ACT (DERA) OF 2006. Contractor shall comply with and, if applicable to this Agreement, provide proof of compliance with the New York State Diesel Emission Reduction Act of 2006 (“DERA”), Environmental Conservation Law (ECL) Section 19-0323, and the NYS Department of Environmental Conservation (DEC) Law implementing regulations under 6 NYCRR Part 248, Use of Ultra Low Sulfur Diesel Fuel (ULSD) and Best Available Retrofit Technology (“BART”). Compliance includes, but is not limited to, the development of a heavy-duty diesel vehicle (HDDV), maintaining documentation associated with BART evaluations, submitting to and receiving DEC approval of a technology or useful-life waiver, and maintaining records where BART-applicable vehicles are primarily located or garaged. DEC regulation under 6 NYCRR Part 248, Use of Ultra Low Sulfur Diesel and Best Available Technology for Heavy Duty Vehicles can be found at: <https://www.dec.ny.gov/regs/2492.html>.

22. ADMISSIBILITY OF REPRODUCTION OF CONTRACT. Notwithstanding the best evidence rule or any other legal principle or rule of evidence to the contrary, the Contractor acknowledges and agrees that it waives any and all objections to the admissibility into evidence at any court proceeding or to the use at any examination before trial of an electronic reproduction of this contract, regardless of whether the original of said contract is in existence.

EXHIBIT D

NYSERDA PROMPT PAYMENT POLICY STATEMENT

504.1. Purpose and Applicability. (a) The purpose of this Exhibit is to provide a description of Part 504 of NYSERDA's regulations, which consists of NYSERDA's policy for making payment promptly on amounts properly due and owing by NYSERDA under this Agreement. The section numbers used in this document correspond to the section numbers appearing in Part 504 of the regulations.⁵

(b) This Exhibit applies generally to payments due and owing by the NYSERDA to the Contractor pursuant to this Agreement. However, this Exhibit does not apply to Payments due and owing when NYSERDA is exercising a Set-Off against all or part of the Payment, or if a State or Federal law, rule or regulation specifically requires otherwise.

504.2. Definitions. Capitalized terms not otherwise defined in this Exhibit shall have the same meaning as set forth earlier in this Agreement. In addition to said terms, the following terms shall have the following meanings, unless the context shall indicate another or different meaning or intent:

(a) "Date of Payment" means the date on which NYSERDA requisitions a check from its statutory fiscal agent, the Department of Taxation and Finance, to make a Payment.

(b) "Designated Payment Office" means the Office of NYSERDA's Controller, located at 17 Columbia Circle, Albany, New York 12203.

(c) "Payment" means payment properly due and owing to Contractor pursuant to Article IV, Exhibit B of this Agreement.

(d) "Prompt Payment" means a Payment within the time periods applicable pursuant to Sections 504.3 through 504.5 of this Exhibit in order for NYSERDA not to be liable for interest pursuant to Section 504.6.

(e) "Payment Due Date" means the date by which the Date of Payment must occur, in accordance with the provisions of Sections 504.3 through 504.5 of this Exhibit, in order for NYSERDA not to be liable for interest pursuant to Section 504.6.

(f) "Proper Invoice" means a written request for Payment that is submitted by a Contractor setting forth the description, price or cost, and quantity of goods, property or services delivered or rendered, in such form, and supported by such other substantiating documentation, as NYSERDA may reasonably require, including but not limited to any requirements set forth in Exhibits A or B to this Agreement; and addressed to NYSERDA's Controller, marked "Attention: Accounts Payable," at the Designated Payment Office.

⁵ This is only a summary; the full text of Part 504 can be accessed at:
<http://www.nyserda.ny.gov/About/New-York-State-Regulations.aspx>

(g)(1) “Receipt of an Invoice” means:

(i) if the Payment is one for which an invoice is required, the later of:

(a) the date on which a Proper Invoice is actually received in the Designated Payment Office during normal business hours; or

(b) the date by which, during normal business hours, NYSERDA has actually received all the purchased goods, property or services covered by a Proper Invoice previously received in the Designated Payment Office.

(ii) if the Agreement provides that a Payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice the 30th calendar day, excluding legal holidays, before the date so specified or predetermined.

(2) For purposes of this subdivision, if the Agreement requires a multifaceted, completed or working system, or delivery of no less than a specified quantity of goods, property or services and only a portion of such systems or less than the required goods, property or services are working, completed or delivered, even though the Contractor has invoiced NYSERDA for the portion working, completed or delivered, NYSERDA will not be in Receipt of an Invoice until the specified minimum amount of the systems, goods, property or services are working, completed or delivered.

(h) “Set-off” means the reduction by NYSERDA of a payment due a Contractor by an amount equal to the amount of an unpaid legally enforceable debt owed by the Contractor to NYSERDA.

504.3. Prompt Payment Schedule. Except as otherwise provided by law or regulation or in Sections 504.4 and 504.5 of this Exhibit, the Date of Payment by NYSERDA of an amount properly due and owing under this Agreement shall be no later than thirty (30) calendar days, excluding legal holidays, after Receipt of a Proper Invoice.

504.4. Payment Procedures.

(a) Unless otherwise specified in this Agreement, a Proper Invoice submitted by the Contractor to the Designated Payment Office shall be required to initiate payment for goods, property or services. As soon as any invoice is received in the Designated Payment Office during normal business hours, such invoice shall be date-stamped. The invoice shall then promptly be reviewed by NYSERDA.

(b) NYSERDA shall notify the Contractor within fifteen (15) calendar days after Receipt of an Invoice of:

- (1) any defects in the delivered goods, property or services;
- (2) any defects in the invoice; or

(3) suspected improprieties of any kind.

(c) The existence of any defects or suspected improprieties shall prevent the commencement of the time period specified in Section 504.3 until any such defects or improprieties are corrected or otherwise resolved.

(d) If NYSERDA fails to notify a Contractor of a defect or impropriety within the fifteen (15) calendar day period specified in subdivision (b) of this section, the sole effect shall be that the number of days allowed for Payment shall be reduced by the number of days between the 15th day and the day that notification was transmitted to the Contractor. If NYSERDA fails to provide reasonable grounds for its contention that a defect or impropriety exists, the sole effect shall be that the Payment Due Date shall be calculated using the original date of Receipt of an Invoice.

(e) In the absence of any defect or suspected impropriety, or upon satisfactory correction or resolution of a defect or suspected impropriety, NYSERDA shall make Payment, consistent with any such correction or resolution and the provisions of this Exhibit.

504.5. Exceptions and Extension of Payment Due Date. NYSERDA has determined that, notwithstanding the provisions of Sections 504.3 and 504.4 of this Exhibit, any of the following facts or circumstances, which may occur concurrently or consecutively, reasonably justify extension of the Payment Due Date:

(a) If this Agreement provides Payment will be made on a specific date or at a predetermined interval, without having to submit a written invoice, if any documentation, supporting data, performance verification, or notice specifically required by this Agreement or other State or Federal mandate has not been submitted to NYSERDA on a timely basis, then the Payment Due Date shall be extended by the number of calendar days from the date by which all such matter was to be submitted to NYSERDA and the date when NYSERDA has actually received such matter.

(b) If an inspection or testing period, performance verification, audit or other review or documentation independent of the Contractor is specifically required by this Agreement or by other State or Federal mandate, whether to be performed by or on behalf of NYSERDA or another entity, or is specifically permitted by this Agreement or by other State or Federal provision and NYSERDA or other entity with the right to do so elects to have such activity or documentation undertaken, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when any such activity or documentation has been completed, NYSERDA has actually received the results of such activity or documentation conducted by another entity, and any deficiencies identified or issues raised as a result of such activity or documentation have been corrected or otherwise resolved.

(c) If an invoice must be examined by a State or Federal agency, or by another party contributing to the funding of the Contract, prior to Payment, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when the State or Federal agency, or other contributing party to the Contract, has completed the inspection, advised NYSERDA of the results of the inspection, and any deficiencies identified or issues raised as a result of such inspection have been corrected or otherwise resolved.

(d) If appropriated funds from which Payment is to be made have not yet been appropriated or, if appropriated, not yet been made available to NYSERDA, then the Payment Due Date shall be extended by the number of calendar days from the date of Receipt of an Invoice to the date when such funds are made available to NYSERDA.

504.6. Interest Eligibility and Computation. If NYSERDA fails to make Prompt Payment, NYSERDA shall pay interest to the Contractor on the Payment when such interest computed as provided herein is equal to or more than ten dollars (\$10.00). Interest shall be computed and accrue at the daily rate in effect on the Date of Payment, as set by the New York State Tax Commission for corporate taxes pursuant to Section 1096(e)(1) of the Tax Law. Interest on such a Payment shall be computed for the period beginning on the day after the Payment Due Date and ending on the Date of Payment.

504.7. Sources of Funds to Pay Interest. Any interest payable by NYSERDA pursuant to Exhibit shall be paid only from the same accounts, funds, or appropriations that are lawfully available to make the related Payment.

504.8. Incorporation of Prompt Payment Policy Statement into Contracts. The provisions of this Exhibit shall apply to all Payments as they become due and owing pursuant to the terms and conditions of this Agreement, notwithstanding that NYSERDA may subsequently amend its Prompt Payment Policy by further rulemaking.

504.9. Notice of Objection. Contractor may object to any action taken by NYSERDA pursuant to this Exhibit that prevents the commencement of the time in which interest will be paid by submitting a written notice of objection to NYSERDA. Such notice shall be signed and dated and concisely and clearly set forth the basis for the objection and be addressed to the Vice President, New York State Energy Research and Development Authority, at the notice address set forth in Exhibit B to this Agreement. The Vice President of NYSERDA, or his or her designee, shall review the objection for purposes of affirming or modifying NYSERDA's action. Within fifteen (15) working days of the receipt of the objection, the Vice President, or his or her designee, shall notify the Contractor either that NYSERDA's action is affirmed or that it is modified or that, due to the complexity of the issue, additional time is needed to conduct the review; provided, however, in no event shall the extended review period exceed thirty (30) working days.

504.10. Judicial Review. Any determination made by NYSERDA pursuant to this Exhibit that prevents the commencement of the time in which interest will be paid is subject to judicial review in a proceeding pursuant to Article 78 of the Civil Practice Law and Rules. Such proceedings shall only be commenced upon completion of the review procedure specified in Section 504.9 of this Exhibit or any other review procedure that may be specified in this Agreement or by other law, rule, or regulation.

504.11. Court Action or Other Legal Processes.

(a) Notwithstanding any other law to the contrary, the liability of NYSERDA to make an interest payment to a Contractor pursuant to this Exhibit shall not extend beyond the date of a notice of intention to file a claim, the date of a notice of a claim, or the date commencing a legal action for the

payment of such interest, whichever occurs first.

(b) With respect to the court action or other legal processes referred to in subdivision (a) of this section, any interest obligation incurred by NYSERDA after the date specified therein pursuant to any provision of law other than Public Authorities Law Section 2880 shall be determined as prescribed by such separate provision of law, shall be paid as directed by the court, and shall be paid from any source of funds available for that purpose.



NYSERDA

**BPI Goldstar Contractor Accreditation Fee
Reimbursement
Program Opportunity Notice (PON) 4536
Up to \$67,500 Available**

OPEN ENROLLMENT SOLICITATION

Applications accepted through September 30, 2020 by 5:00PM Eastern Time *

(*) Applications may be accepted on a first-come, first-served basis until funds run out, and no later than 5:00 PM Eastern Time on the above due date.

NYSERDA funding is available to support reimbursement of fees paid to obtain Building Performance Institute (BPI) Goldstar Contractor accreditation. NYSERDA will provide reimbursement of up to 50% of the cost for the accreditation period of July 1, 2020 through December 31, 2020 when fees are paid to BPI no later than August 31, 2020. Funds will be capped at a maximum payment of \$300 per contractor and will be allocated on a first-come first-serve basis for all qualifying applications received within the enrollment period. All applications must be received no later than September 30, 2020.

Funds are not available for expenses associated with certification-related expenses, such as written examination fees, field exam fees, certification preparation course fees, and equipment.

Application Submission: Completed and signed application reimbursement forms and all required documentation should be submitted directly to NYSERDA at the address below. The completed application must be postmarked no later than September 30, 2020, and should be submitted directly to NYSERDA via email to Maureen Fitzgerald at Maureen.Fitzgerald@nyserda.ny.com, or faxed to (518)-862-1091, Attn: Maureen Fitzgerald, or via U.S. mail:

**Maureen Fitzgerald
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

All Program questions or general questions concerning this solicitation, should be directed to: Maureen Fitzgerald at Maureen.Fitzgerald@nyserda.ny.com, or phone (518) 862-1090, ext. 3390. If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (518) 862-1090, ext. 3232 or Elsydasolicitations@nyserda.ny.gov.

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

ELIGIBILITY REQUIREMENTS

NYSERDA funding is available to support companies located within the System Benefits Charge (SBC) service territory¹ and who serve homeowners and customers participating in NYSERDA or utility programs.

AVAILABLE FUNDING

NYSERDA allocated \$67,500 funds to be paid as incentives to applicants who meet the eligibility requirements above. NYSERDA seeks to award these funds on a first-come, first-served basis, or until funds are depleted, whichever occurs first. Information regarding the updated balance of available funds will be posted on the NYSERDA website, www.nyserda.ny.gov.

BACKGROUND

To assist contractors participating in NYSERDA's Single Family Residential Home Programs in their economic recovery during the COVID-19 pandemic, NYSERDA is offering financial assistance for contractors to maintain continuity of their BPI GoldStar credentials through December 31, 2020. The incentives available under this solicitation are intended to help defray the costs associated with the BPI GoldStar credential for those contractors who seek to maintain their GoldStar status as a mark of distinction to the marketplace.

Incentives are available to reimburse costs associated with new and renewal BPI Goldstar Contractor Accreditation. To facilitate incentive processing, eligible contractors are encouraged to submit a completed **BPI Goldstar Contractor Accreditation Reimbursement Form** to NYSERDA along with required documentation as outlined below no later than September 30, 2020. It is anticipated that BPI will continue to provide a list of BPI Goldstar Contractor accreditations directly to NYSERDA to verify eligibility. However, all applications must be submitted per the requirements below.

APPLICATION REQUIREMENTS AND DUE DATE

Companies applying for reimbursement of up to 50% of the cost associated with **BPI Goldstar Contractor Accreditation** must submit the following:

- Completed **BPI Goldstar Contractor Accreditation Reimbursement Form**
- Proof of BPI Goldstar Contractor accreditation (BPI Goldstar Accreditation award letter or email from BPI)
- Proof of payment of accreditation fees for the period beginning July 1, 2020 through December 31, 2020, where full payment is received by BPI no later than August 31, 2020 (Note: Contractors on monthly payment plan that have made payments for July, August and September 2020 may request the \$300 NYSERDA incentive is paid directly to BPI to cover accreditation through December 31, 2020)
- Provide a recent utility bill with the company name and address to verify business is located within an eligible SBC-utility service territory, or demonstration of active participation in a NYSERDA or utility program

¹ The SBC territory includes the following utility service areas: *Central Hudson, Con Edison, New York State Electric and Gas, National Grid, Orange and Rockland, and Rochester Gas and Electric.*

To receive partial reimbursement for fees associated with BPI Goldstar Contractor accreditation, eligible companies must submit the **BPI Goldstar Contractor Accreditation Reimbursement Form** and all required documentation as listed above directly to NYSERDA as directed on Page 1 of this solicitation.

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
30 South Pearl Street
Albany, NY 12245

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

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

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

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

The attached 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.state.ny.us/pdf/2006/fillin/st/st220td_606_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.state.ny.us/pdf/2006/fillin/st/st220ca_606_fill_in.pdf). The Department has developed guidance for contractors which is available at http://www.tax.state.ny.us/pdf/publications/sales/pub223_606.pdf.

Contract Award - NYSERDA will make multiple awards under this solicitation.

Limitation - This solicitation does not commit NYSERDA to award payment. NYSERDA reserves the right to accept or reject any or all applications received, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

Disclosure Requirement - The 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

BPI Goldstar Contractor Accreditation Reimbursement Form -Incentive application form for cost-shared reimbursement of fees to obtain BPI Goldstar Contractor accreditation.



**Purchase of New York Tier 1 Eligible
Renewable Energy Certificates (RECs)
Request for Proposals (RFP) No. RESRFP20-1
RFP Release Date: July 21, 2020
Revised: September 29, 2020**

**Step One Eligibility Applications Due:
August 27, 2020 by 3:00 p.m. Eastern Time (ET)
Step Two Bid Proposals Due:
October 21, 2020 by 3:00 p.m. ET**

**NYSERDA SEEKS TO ACQUIRE APPROXIMATELY 1.6 MILLION NEW YORK TIER 1 ELIGIBLE
RENEWABLE ENERGY CERTIFICATES ANNUALLY**

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure approximately 1.6 million Tier 1 eligible Renewable Energy Certificates (RECs) from Bid Facilities that meet the eligibility requirements described in this Request for Proposals.

RESRFP20-1 will be implemented through a two-step process, consisting of:

1. **Step One Eligibility Application:** A qualifying step through which the Proposer must provide evidence that the Bid Facility is Tier 1 eligible and other general information about the Proposer and the Bid Facility.
2. **Step Two Bid Proposal:** A competitive Bid Proposal step, through which NYSEDA will: (1) examine Bid Proposals to determine whether they demonstrate that the Bid Facility and Proposer meet the Project Viability Minimum Threshold Requirements; and (2) for Bid Proposals that meet those minimum requirements, a competitive evaluation based on price and non-price factors.

Only those proposers found eligible under Step One will be permitted to submit a Step Two Bid Proposal. Only those Proposals found to have met all minimum Viability Threshold Requirements will be evaluated under Step Two.

COVID-19 RESPONSE

Amid the ongoing COVID-19 global pandemic, all activities undertaken by Proposers in response to this solicitation must adhere to the requirements outlined under Governor Cuomo's phased reopening plan, "[NY Forward](#)", and all other State, Federal or local rules and guidance, including adherence to the New York State Department of Health (NYS DOH) [Interim Guidance for Construction Activities During the COVID-19 Public Health Emergency](#). The requirement to follow the NYS DOH guidance applies whether the Proposer is an essential business operating statewide or is permitted to re-open pursuant to any regional phased reopening plan.

See [NYSEDA's COVID-19 Response resources](#) for more information.

Step One Eligibility Application: Step One Eligibility Applications must be **received* by NYSERDA by 3:00 p.m. ET on Thursday, August 27, 2020 via electronic submission** NYSERDA staff will be available to support Proposer inquiries regarding Step One Eligibility Applications through the deadline at 3:00 p.m.

NYSERDA will open the solicitation website and the Step One Eligibility Application submission process on August 5, 2020 (see Section 1.3) following the Proposers' Webinar. Applications may be submitted electronically by following the link for electronic submissions found on [NYSERDA's Solicitations for Large-scale Renewables webpage](#)¹ or [NYSERDA's Current Funding Opportunities website](#),² located in the "Current Funding Opportunities" section of NYSERDA's website at that time.

NYSERDA intends to notify all prospective Proposers as to their eligibility status by Wednesday September 9, 2020. Eligible Proposers will receive a Notice of Qualification and will be provided with detailed instructions for submitting a Step Two Bid Proposal.

Step Two Bid Proposal: Step Two Bid Proposals must be **received by NYSERDA by 3:00 p.m. ET on Wednesday, October 21, 2020 via electronic submission**. Instructions for submitting electronically and the link for electronic submissions will be included in a Proposer's Notice of Qualification. Additional information regarding NYSERDA's Renewable Energy Solicitations can be found on [NYSERDA's Renewable Energy Solicitations Standard \(RES\) Tier 1 website](#).³

NYSERDA recommends that Proposers set aside ample time, well in advance of each deadline, to gather the required information and documentation and to understand the requirements to complete the above processes. NYSERDA recommends that Proposers mark any commercially sensitive materials as Confidential.

Each Proposer has sole responsibility for reviewing this RFP and all attachments hereto and for investigating and informing itself with respect to all matters pertinent to this RFP, including the [NYGATS Operating Rules](#) and NYISO's Open Access Transmission Tariff (OATT) and market rules, or those of the control area into which the Bid Facility may interconnect. Each Proposer is solely responsible for informing itself regarding all transmission wheeling and scheduling provisions set forth in the OATT of relevance in any external control area, including Canada, the NYGATS rules as they apply to Tier 1 imports,⁴ and the External Facility Electricity Delivery Requirements in the RES Standard Form Agreement.

All general questions about this RFP must be submitted via email to res@nyserda.ny.gov or via the Q&A feature of the solicitation website.⁵ Project-specific questions may be addressed to res@nyserda.ny.gov or the Messages feature on the solicitation website (preferred once registration is opened), which will be available following the Proposers' Webinar.

¹ <https://www.nyserda.ny.gov/ces/rfp>

² <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

³ <https://www.nyserda.ny.gov/ces/rfp>

⁴ See Section 12 of the [NYGATS Operating Rules](#).

⁵ The Q&A page is intended for general questions which are suitable for public review.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Questions about this solicitation should be directed to the RESRFP20-1 Designated Contacts Abbey DeRocker, Bram Peterson, Brian Newton, Jeremy Wyble, Marci Brunner, and Doreen Harris. Contacting anyone other than the Designated Contacts (either directly by the Proposer or indirectly through a consultant or lobbyist or other person acting on the Proposer's behalf) to influence the procurement: (1) may result in a Proposer being deemed a nonresponsive offeror, and (2) may result in the Proposer not receiving an award.

Proposers should rely only on information provided in this RFP and any associated written updates posted on [NYSERDA's Renewable Energy Standard website](#) and the solicitation website when preparing Proposals. Each Proposer shall be solely responsible for and shall bear all costs incurred in the preparation of its Proposal and/or participation in this RFP. Submission of Proposals including confidential information must be filed in accordance with Section 11.1 of this RFP.

Incomplete submittals will be subject to disqualification. It is the Proposer's responsibility to ensure that all required forms and attachments have been completed and submitted. Late Step One Eligibility Applications and Step Two Bid Proposals will not be accepted and those lacking a completed and signed Step Two Bid Proposal form may be returned. Faxed, mailed, or e-mailed packages will not be accepted.⁶ Packages will not be accepted by hand delivery at any NYSERDA location.

If changes are made to this solicitation, notification will be posted on [NYSERDA's Renewable Energy Standard website](#), the solicitation website under the Announcements tab, and provided to those that provide their email address to NYSERDA via the solicitation website or [NYSERDA's RES Renewable Generators and Developers Email Sign-Up Page](#).⁷

⁶ Unless otherwise agreed to by NYSERDA. Contact a Designated Agent for more information if needed.

⁷ <https://www.nysERDA.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Renewable-Generators-and-Developers-Email-List>

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APPENDICES

Appendix 1 – Resource Assessment and Energy Production Estimate Requirements

Appendix 2 – Permitting Plan Requirements and Guidelines

NEW ITEMS & IMPORTANT NOTES

1. COVID-19 Response

Amid the ongoing COVID-19 global pandemic, all activities undertaken by Proposers in response to this solicitation must adhere to the requirements outlined under Governor Cuomo's phased reopening plan, "[NY Forward](#)", and all other State, Federal or local rules and guidance, including adherence to the New York State Department of Health (NYS DOH) [Interim Guidance for Construction Activities During the COVID-19 Public Health Emergency](#). The requirement to follow the NYS DOH guidance applies whether the Proposer is an essential business operating statewide or is permitted to re-open pursuant to any regional phased reopening plan. See [NYSERDA's COVID-19 Response resources](#) for more information.

2. Commercial Operation Milestone Date

The initial Commercial Operation Milestone Date (COMD) for RESRFP20-1, the date by which Bid Facilities must enter commercial operation, is November 30, 2022, which may be extended to November 30, 2025.

3. Index REC Pricing Structure and Requirements

Pursuant to the Public Service Commission's (PSC) Order Modifying Tier 1 Renewable Procurements, NYSERDA invites Step Two Bid Proposals that specify either a Fixed REC or Index REC price structure. See Section 5 for details on the evaluation of Index REC bids and settlement under Index REC Agreements.

4. Carbon Emissions and Embodied Carbon

This solicitation introduces the concept of embodied carbon, encouraging buy-clean practices in the design, sourcing, construction, and operations and maintenance stages of project development, driving developers to analyze and understand the carbon intensity of their projects in pursuit of the deep decarbonization goals of the CLCPA. Proposers are encouraged to understand and detail their developing projects' carbon intensity and embodied carbon impacts as comprehensively as possible.

5. Economic Benefits and Disadvantaged Communities

Proposers are strongly encouraged to explore innovative ways in which economic benefits to New York state can be provided in the near-term to communities impacted by COVID-19. Economic benefits evaluation under this solicitation will include all eligible expenditures beginning from the RFP Release Date (see Section 8.3.5). Proposers are also encouraged to familiarize themselves with the updated guidance related to directing incremental economic benefits to Disadvantaged Communities. NYSERDA will more favorably evaluate economic benefits to New York State that will be realized in part or in full by Disadvantaged Communities as part of the proposed projects' development.

6. Permitting Plans and Environmental/Agricultural Impacts

All Step Two Bid Proposals for Bid Facilities that are not currently in operation will be required to provide a robust Permitting Plan. Proposers that demonstrate a full understanding of the potential environmental and agricultural impacts of the Bid Facility and provide feasible plans to mitigate such impacts will be awarded more points by the TEP. The evaluation of Proposers' Permitting Plans may be

informed in part by the analysis of the plan by other New York States agencies and authorities with subject matter expertise. Proposers are strongly encouraged to consult with the Department of Environmental Conservation (DEC) and the Department of Agriculture and Markets (AGM) prior to submitting a Step Two Bid Proposal and Permitting Plan in order to gain a full understanding of the project site impacts.

NYSERDA has adopted a new approach to addressing concerns relating to solar development and the protection of agricultural lands and practices. This new approach would follow the mitigation hierarchy of avoiding, minimizing, and mitigating potential project impacts, thus balancing the need to efficiently advance these projects while protecting farmland and farmers, in a manner that would be deemed to satisfy the requirements of AGM Law Section 305. Under this new approach, awardees may be responsible for making an agricultural mitigation payment to a designated fund based on the extent to which the solar project footprint overlaps with [Mineral Soil Groups](#) known as MSG classifications 1-4. A map of the agricultural districts, by county, is available from the [Cornell University Geospatial Information Repository](#)⁸. A listing of MSG classifications by soil and county is available from [the Department of Agricultural and Markets Agricultural Assessment program](#).⁹

Note that Projects seeking permits through the Office of Renewable Energy Siting (ORES) will be required to comply with all ORES requirements, which may include adherence with an amended set of Guidelines which would supersede the Exhibit E version should the final ORES regulations include such an amendment. Awardees who seek permits through any other process would be permitted to substitute such amended Guidelines for the document included at Exhibit E, at their option.

Should NYSERDA decide to adopt this new approach, NYSERDA will provide a description of these new requirements, including the information needed to identify the project footprint, perform the analysis of whether a mitigation payment will be required, and, if required, the data and information necessary to calculate the mitigation payment amount, to all Eligible Proposers when, if not before NYSERDA issues individual Notices of Qualification.

7. RES Standard Form Agreement

The RES Standard Form Agreement (the “Agreement”) associated with RESRFP20-1 is published as Attachment A to this solicitation. All Proposers should familiarize themselves with the structure, terms and conditions of the Agreement prior to participating.

8. Minimum Viability Threshold Requirements

The Step Two Bid Proposal minimum Viability Threshold Requirements include updated requirements for the Interconnection, Permitting, and Project Financing and Creditworthiness subcategories. See Sections 4.1 and 8 for requirement-specific details.

⁸ Cornell University Geospatial Information Repository is available by county at:
https://cugir.library.cornell.edu/?f%5Bcugir_category_sm%5D%5B%5D=agriculture

⁹ <https://agriculture.ny.gov/land-and-water/tax-credits-and-agricultural-assessments#agricultural-assessment-information>

9. Accelerated Renewable Energy Growth and Community Benefit Act

On April 2, 2020, Governor Cuomo [signed into law](#) the Accelerated Renewable Energy Growth and Community Benefit Act (Accelerated Renewables Act), which establishes major changes to the permitting processes for large-scale renewable projects. Specifically, the bill creates a new renewable siting structure under a new Section 94-c of the Executive Law (the New Siting Process), to be managed by a new [Office of Renewable Energy Siting](#) within the Department of State. The Act also:

- Replaces Article 10 as the exclusive forum for the permitting of major renewable generation facilities of 25 MW or more, and an optional forum for facilities greater than 20 MW;
- Defines Major Renewable Generation Facility to include any co-located energy storage and, if less than 10 miles, the transmission link to the point of interconnection;
- Allows for the transfer of currently active proceedings from Article 10 to the new siting forum;
- Directs the Office of Renewable Energy Siting to establish a set of uniform standards and conditions for the siting, design, construction and operation of Major Renewable Generation Facilities, including a system allowing for payment for offsite mitigation, if necessary;
- Establishes an endangered and threatened species mitigation bank fund;
- Directs the Department of Public Service to lead a comprehensive study to identify distribution and transmission upgrades necessary to the achievement of the State's renewable energy goals, and accelerates the permitting process for major utility transmission facilities (under the [Proceeding on Motion of the Commission to Implement Transmission Planning Pursuant to the Accelerated Renewable Energy Growth and Community Benefit Act](#));
- Directs the Public Service Commission to commence a proceeding to establish a program under which the owners of a renewable facility under contract with New York State will be required to provide a discount or credit on utility bills, or a compensatory or environmental benefit, to customers within a host community.

All Proposers are encouraged to familiarize themselves with the requirements of the Accelerated Renewables Act as they may apply to their Bid Facility(ies).

10. Bid Fee

Each Step Two Bid Proposal must be accompanied by a Bid Fee to be used to defray the evaluation costs of RESRFP20-1, in the form of electronic wire or certified funds, in an amount determined by the Nameplate Capacity in megawatts (MW) of the Bid Facility. See Section 1.8.

11. New York Power Authority (NYPA) and Long Island Power Authority (LIPA) Coordination

The Order Adopting a Clean Energy Standard provides for NYSERDA to conduct regularly scheduled solicitations for the procurement of Tier 1 RECs on behalf of the State's jurisdictional LSEs. NYPA has developed and issued a separate solicitation for large-scale renewables in New York State. NYPA and/or LIPA may choose to issue their own solicitations and/or contract with NYSERDA for a long-term commitment to purchase a percentage of the Tier 1 RECs that may be procured under this solicitation. See Section 1.13

NEW ITEMS – SEPTEMBER REVISION TO RESRFP20-1

- 1. Solar Development and Agricultural Mitigation Payments-** NYSERDA has adopted a new approach to addressing concerns relating to solar development and the protection of agricultural lands in Agricultural Districts. Under this new approach, awardees may be responsible for making an agricultural mitigation payment to a designated fund based on the extent to which the solar project footprint overlaps with Mineral Soil Groups (MSG) classifications 1-4. Proposers are advised to reference Section 4.1 of the RFP and the revised Appendix 2 – Permitting Plan Requirements and Guidelines to understand the new approach in full and assess the applicability of a potential Agricultural Mitigation Fund Payment to their Bid Facilities.
- 2. NYSERDA-NYPA Coordination-** NYSERDA and NYPA will coordinate following the receipt of bids to their respective solicitations, and if selected under both solicitations, will extend an award offer to a Bid Facility simultaneously. NYSERDA may notify bidders of their likelihood of an award prior to the full extension of an award/contract.
- 3. NYSERDA Clean Energy Siting Team Outreach-** Prior to and following the receipt of bids, NYSERDA’s Clean Energy Siting team will schedule and meet with local officials in the proposed host communities, in person and/or via teleconference.
- 4. Host Community Benefit Program-** Proposers are advised to understand that Bid Facilities awarded under RESRFP20-1 will be subject to any requirements and/or fees imposed by a PSC order issued under [Public Service Commission Case 20-E-0249](#), In the Matter of a Renewable Energy Facility Host Community Benefit Program. Note that the Department of Public Service [filed a proposal](#) in that regard on September 23, 2020.
- 5. Office of Renewable Energy Siting Draft Regulations and Uniform Standards and Conditions-** On September 16, 2020, the Office of Renewable Energy Siting (ORES) [issued draft regulations and draft uniform standards and conditions](#) that are subject to the State Administrative Procedure Act (SAPA). Proposers intending to advance projects through ORES should be familiar with these documents prior to submitting a Bid Proposal.
- 6. Prevailing Wage Clarification-** Section 8.3.5 of the RFP has been clarified to confirm that the Prevailing Wage requirements apply to both the Bid Facility and any Energy Storage component, wherever located, if awarded by NYSERDA.

1 INTRODUCTION

1.1 The New York Clean Energy Standard and Renewable Energy Standard

On July 6, 2015, the New York State Energy Planning Board issued the 2015 State Energy Plan (SEP)¹⁰ which stated the goal achieve 50% of the State's electricity be generated from renewable resources by 2030 (50x30 goal). In December 2015, Governor Andrew Cuomo directed the Department of Public Service (DPS) to develop a Clean Energy Standard (CES)¹¹ to help achieve the SEP goals.

The Public Service Commission's (PSC) [Order Adopting the Clean Energy Standard](#) (CES Framework Order) issued on August 1, 2016, along with additional orders and implementation plans issued under Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard (Orders), established the Renewable Energy Standard (RES) as the State's principal means of achieving the 50x30 goal. A component of the RES consists of a Tier 1 obligation on load serving entities (LSE) to procure Renewable Energy Certificates (RECs)¹² associated with new renewable energy resources. RES Tier 1 procurements were further amended on January 16, 2020 by the [Order Modifying Tier 1 Renewable Procurements](#), whereby the PSC directed NYSERDA to offer bidders an Index REC price option in future RES solicitations, beginning with RESRFP20-1.

In furtherance of the Orders and targets established in the CES, on July 18, 2019, New York State adopted the Climate Leadership and Community Protection Act (CLCPA), which includes the goal for New York State to achieve 70% renewable energy generation by 2030, incremental to reducing 100% of the electricity sector's greenhouse gas emissions by 2040, among other clean energy targets.¹³

On April 2, 2020, Governor Cuomo signed into law the Accelerated Renewables Act, which makes major changes in the forum and permitting process for large-scale renewable projects. Specifically, the bill established a new renewable siting structure to be managed by a new office within the Department of State.¹⁴

The Orders authorize NYSERDA, as central procurement administrator, to offer long-term contracts to generators for the purchase of Tier 1-eligible RECs, in the form of Tier 1 NYGATS certificates. Pursuant to the Orders, NYSERDA seeks to accomplish the RES objective by contracting with suppliers, through a series of competitive RFPs, for only the RES Tier 1 RECs created by eligible generation resources.¹⁵ For

¹⁰ 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>

¹¹ Letter from Governor Andrew M. Cuomo to Audrey Zibelman, Chair, New York State Department of Public Service, December 2, 2105 (Cuomo Letter) available at https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/Renewable_Energy_Letter.pdf

¹² While the PSC's August 1, 2016 Order references renewable energy "credits," NYGATS creates renewable energy certificates, and therefore that term is used in this RFP. The NYGATS certificates are created in one MWh denominations and are in all other ways consistent with the Order.

¹³ [New York State Senate Bill S6599](https://www.nysenate.gov/legislation/bills/2019/s6599), <https://www.nysenate.gov/legislation/bills/2019/s6599>

¹⁴ [New York State Announces Passage of Accelerated Renewable Energy Growth and Community Benefit Act as Part of 2020-2021 Enacted State Budget](#)

¹⁵ Directives pertaining to NYSERDA's RES Central Procurement role are contained in the February 22, 2017 [Order Approving the Phase 1 Implementation Plan](#) and the [Final Phase 1 Implementation Plan](#) filed by NYSERDA on March 24, 2017, the November 17, 2017 [Order Approving the Phase 2 Implementation Plan](#) and the [Final Phase 2 Implementation Plan](#) filed by NYSERDA on December 18, 2017, and the December 14, 2018 [Order Approving the](#)

the avoidance of doubt, NYSEDA seeks to acquire Tier 1-eligible RECs only, and will not have any claim to associated energy, capacity, or ancillary services associated with the RECs.¹⁶

The RECs generated from the Bid Facility offered to NYSEDA through this RFP, up to the Annual REC Cap (defined in the Agreement), may not be contractually committed to any other entity over the Contract Tenor. Awardees will retain ownership and all rights to RECs generated that exceed the Annual REC Cap.

The CES/RES Orders can be accessed from the [NYS Public Service Commission's website](#).¹⁷ All Proposers are strongly advised to review the Orders before participating in this RFP. Information regarding NYSEDA's implementation of the RES and prior solicitations under the RES, RESRFP17-1, RESRFP18-1 and RESRFP19-1, can be found on [NYSEDA's RES Solicitation website](#).¹⁸

Information on the Renewable Portfolio Standard (RPS), the precursor to the CES, and past Main Tier solicitations can be found on [NYSEDA's RPS webpage](#).¹⁹

1.2 Background on NYSEDA and NY Green Bank

NYSEDA was created in 1975 by the New York State Legislature as a public authority and public benefit corporation. As designated in the CES Framework Order, NYSEDA acts as the Central Administrator of the RES program.

Under the RES, each LSE is obligated to serve their retail customers by procuring new renewable resources, evidenced by the procurement of Tier 1 RECs from NYSEDA or other sources, or by making Alternative Compliance Payments (ACPs), in increasing quantities to satisfy the State's greenhouse gas emissions reduction goals. Through this RFP, NYSEDA will purchase RECs from the contracted Bid Facilities, on behalf of the Load Serving Entities (LSEs) in New York State, and will then sell the RECs to the LSEs for compliance with the LSEs' Tier 1 obligations.

NY Green Bank (NYGB) is a \$1 billion New York State-sponsored investment fund and division of NYSEDA. NYGB's mission is to accelerate clean energy deployment in New York by working in collaboration with the private sector to transform financing markets. NYGB seeks to alleviate financing gaps in New York's clean energy markets and mobilize greater private sector activity to increase the available capital for clean energy projects. Supporting the expansion of Large-Scale Renewables in NY State is a strategic priority for NYGB. NYGB is prepared to support project developers and investors with

[Phase 3 Implementation Plan](#) and the [Final Phase 3 Implementation Plan](#) filed by NYSEDA on January 11, 2019. The March 9, 2017 [Order on the Value of Distributed Energy Resources](#) further clarifies the treatment of certain distributed energy resources (DERs) such resources under the CES and their eligibility to participate in NYSEDA's long term procurements for RECs. The January 16, 2020 [Order Modifying Tier 1 Renewable Procurements](#) directs NYSEDA to include an additional option for bidders to offer an Index REC price. An Implementation Plan will be filed by NYSEDA in response to the January 2020 Order in April 2020.

¹⁶ RECs represent the environmental attributes, including but not limited to estimated avoided carbon dioxide emissions, associated with electricity generated by facilities that meet the Tier 1 eligibility criteria established in the CES Framework Order.

¹⁷ <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

¹⁸ <https://www.nyserda.ny.gov/ces/rfp>

¹⁹ <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Portfolio-Standard/Past-Main-Tier-Solicitations>

a range of credit products and structures through various project financing stages, including and not limited to:

- Interconnection deposit financing;
- Long lead equipment financing;
- Construction financing; and
- Term loans, including subordinated debt to increase tenor and leverage.

NYGB will evaluate contracted revenues, including NYSERDA RECs as well as wholesale power and capacity sales to support long-term financing.

1.3 Schedule

The schedule for RESRFP20-1 is as follows (all times ET):

RFP Release Date	Tuesday, July 21, 2020
Proposers' Webinar	Tuesday, August 4, 2020 at 1:00 p.m.
NYSERDA opens Step One Eligibility Application	Wednesday, August 5, 2020
Deadline to complete an application requesting a Resource Eligibility Determination in NYGATS	Thursday, August 20, 2020
Deadline for Step One Eligibility Application Submission	Thursday, August 27, 2020 by 3:00 p.m.
NYSERDA responds with Notice of Qualification Determinations	Wednesday, September 9, 2020
Deadline for Bid Fee Submission	Tuesday, October 20, 2020
Deadline for Step Two Bid Proposal Submission	Wednesday, October 21, 2020 by 3:00 p.m.
NYSERDA notifies Proposers receiving Awards	Q1 2021

Please note that the above dates are subject to change. Notification of any changes to the solicitation schedule or documents will be posted on [NYSERDA's RES website](#) and sent via email to those parties who have submitted contact information to NYSERDA's RESRFP20-1 solicitation website.

1.4 Eligibility

To be eligible, a Bid Facility must be a Tier 1 RES eligible resource technology type qualifying under [Appendix A](#) of the [Order Adopting the Clean Energy Standard](#).²⁰ Pursuant to the CES Order, to participate an eligible Bid Facility must also: (1) be located within the New York Control Area (NYCA) or in an adjacent control area and supply energy into New York State, in accordance with the RES Delivery Requirements in the Agreement, and (2) have first commenced Commercial Operation on or after

²⁰ Proposers should note that the CLCPA definition of renewable energy systems excludes certain resources currently eligible under the CES rules, including fuel cells using natural gas and anaerobic digesters, among others, and should review the RFP, Agreement, and [NYSERDA Biomass Power Guide](#) thoroughly to understand all resource eligibility requirements. See Case 15-E-0751; supra, Order Regarding Value Stack Compensation for High-Capacity-Factor-Resources, Issued and Effective December 12, 2019, p. 16-17 wherein the Commission declined to make new resources not included in the CLCPA eligible for the VDER "e" value.

January 1, 2015, or (3) must produce new, incremental energy and Tier 1 RECs from new Bid Capacity above a historical baseline.

Multiple Step One Applications and Step Two Bid Proposals for the same Bid Facility may be submitted by the Proposer. Each Bid Proposal must utilize only one price structure (Fixed REC or Index REC), however separate Bid Proposals for the same Bid Facility may utilize different price structures if the Bid Facility has material differences among the Bid Proposals, such as for a Bid Facility bid with and without Energy Storage, and/or a Bid Facility bid with two different Bid Capacities (MW).

A Proposer may not condition the acceptance of one Proposal based on the withdrawal or acceptance of other Proposals. NYSERDA will not award more than one Bid Proposal for the same Bid Facility.

Tier 1 eligible RECs or environmental attributes that are the subject of a current NYSERDA RES contract, or that were the subject of an award under NYSERDA's RESRFP19-1 solicitation are not eligible under this RFP.

Proposers whose Step One Applications are found to be complete and that demonstrate eligibility will receive a Notice of Qualification, which will provide Proposers with a description of and access to the process and forms to be used to submit a Step Two Bid Proposal.

1.5 Subsequent Tier 1 Eligibility Changes

Bid Facilities selected for an award under this RFP will not be subject to subsequent changes in RES eligibility rules; however, if the Bid Facility fails to maintain eligibility consistent with the RES requirements as they existed at the time of an award,²¹ such ineligibility will extend to the RECs associated with the Bid Facility's production throughout the entire period in which the Bid Facility fails to maintain eligibility.

Bid Facilities selected for an award under this RFP will be subject to any ongoing PSC proceedings related to Tier 1 eligibility, and awards may be made to Bid Facilities conditional upon confirmation from the PSC that the resource is Tier 1 eligible.

1.6 Conformance with NYGATS Operating Rules

If awarded under RESRFP20-1, Proposers must maintain a valid NYGATS ID, obtain a Statement of Qualification, achieve Operational Certification, and operate in conformance with the [NYGATS Operating Rules](#).²² Proposers must implement a Forward Certificate Transfer of Tier 1 RECs in NYGATS, up to the Annual REC Cap, into NYSERDA's NYGATS Account. NYSERDA will make payment for Tier 1 RECs from the Bid Facility delivered to NYSERDA's NYGATS account.

1.7 Energy Storage Eligibility

Energy Storage facilities do not need to be registered in NYGATS, regardless of whether the facility is co-located or separately located from the Bid Facility. All Energy Storage facilities must be located within the NYCA.

²¹ Refer to Section 1.3.

²² [New York Generation Attribute Tracking System \(NYGATS\)](#)

To be eligible, the Energy Storage must be constructed consistent with Section VI, “Quality Assurance” (including the [Battery Energy Storage System Guidebook](#) referenced therein), Section VII, “Measurement and Verification,” and Section IX, “Technical Requirements” of [NYSERDA’s Bulk Storage Incentive Program Manual, including any changes to the Technical Requirements, which are expected to evolve as the industry develops](#), and either:

- 1) co-located with the generation behind a single wholesale or retail meter, or
- 2) co-located with the generation behind a separate wholesale or retail meter, or
- 3) located in a separate location from the generation.²³

In addition:

- The storage equipment must consist of commercial products carrying a manufacturer’s warranty. The warranty must cover the entire energy storage system including ancillary equipment and power electronics. Experimental, beta, or prototype equipment is not eligible.
- The storage system must be certified to meet minimum safety requirements by a Nationally Recognized Testing Laboratory as evidenced by specific UL listings defined in the Program Manual. These will evolve to meet current best practices in the storage industry. These UL listings must be received by the time that the system enters commercial operation.
- Energy storage systems and components must comply with all manufacturers’ installation requirements, applicable laws, regulations, codes, licensing, and permit requirements. This includes, but is not limited to, SEQR; Article 10; the Accelerated Renewables Act, the International Building Code Series as amended by the New York State Uniform Code Supplement; the National Electric Code¹⁰; New York State’s Standard Interconnection Requirements; and all applicable State, city, town, or local ordinances or permit requirements, and any additional requirements of the local authority having jurisdiction (AHJ), and demonstrate compliance with the requirements in the [New York Battery Energy Storage System Guidebook](#).

Successful Proposers awarded a Contract Tenor in excess of 10 years must, prior to the commencement of construction, provide an executed Energy Storage operations and maintenance agreement for a term which is greater than or equal to the proposed Contract Tenor.

Note that, under the Agreement, NYSERDA will make payment only for Tier 1 RECs delivered to NYSERDA’s NYGATS Account. If the Energy Storage is charged from the co-located renewable generation, the energy discharged from the storage will generate Tier 1 RECs that will be eligible for payment. Should the Bid Facility/Energy Storage facility receive an award, the Proposer will be required, at the time of contracting, to demonstrate to NYSERDA’s satisfaction that the project will be configured and metered in a way that will ensure that Tier 1 RECs are created only based on energy generated by the Tier 1 Bid Facility generating facility.²⁴ Energy Storage facilities that are located separate from the Bid Facility may store energy from the grid but will not create Tier 1 RECs and therefore the associated stored energy will not be eligible for payment under the Agreement.

²³ Separately located energy storage facilities do not require a separate Tier 1 eligibility request.

²⁴ See Intermittent Power Resources: Frequently Asked Questions for additional resources: https://www.nyiso.com/documents/20142/2245421/IntermittentResourceFAQ_FINAL.pdf/110f029a-2864-cf0d-9f64-54d2edc12913

Awarded Proposers not including Energy Storage may add an Energy Storage facility in the future, subject to fulfilling all existing terms of the Agreement, provided that such Energy Storage component will not be used to re-price a Bid Facility that initially lacks Energy Storage. Energy Storage advanced after the time of an award may participate in the NYSEDA Bulk Storage Incentive program or New York State Investor Owned Utility competitive procurements for bulk-sited energy storage.

The following Energy Storage projects are not eligible for an award under this solicitation:

- An Energy Storage project for which either the Energy Storage or associated Bid Facility is owned by a regulated utility or the New York Power Authority;
- An Energy Storage project that has been awarded a utility Bulk Dispatch Rights Contract;
- An Energy Storage project that receives a NYSEDA Retail Storage Incentive, or a NYSEDA Bulk Storage Incentive;
- An Energy Storage project located outside of the New York Control Area (NYCA);
- An Energy Storage project subject to a previous NYSEDA award or contract;
- Pumped hydroelectric storage.

1.8 Bid Fee

Each Step Two Bid Proposal must be accompanied by a Bid Fee, in the form of electronic wire (preferred) or certified funds, in an amount determined by the Nameplate Capacity in megawatts (MWac) of the Bid Facility.

<u>Nameplate Capacity (MW)</u>	<u>Bid Fee</u>
Less than 5.00 MW	\$5,000
5.00 – 19.99 MW	\$20,000
20.00 – 49.99 MW	\$50,000
50.00 MW or more	\$100,000

See Section 8.4 for additional details and instructions for submitting the Bid Fee.

1.9 Proposers’ Webinar and Inquiries

NYSEDA will hold a webinar for Proposers on Tuesday, August 4, 2020 at 1 p.m. ET (Albany, NY time). During the webinar, NYSEDA will review the Step One Eligibility Application and Step Two Bid Proposal requirements, the Agreement, and highlight changes to the 2020 solicitation process, including the incorporation of the Index REC price structure. Questions will be taken and, to the extent possible, responses will be provided during the webinar. **Proposers who intend to participate must register prior to the webinar on NYSEDA’s RES website.**²⁵

Proposers are encouraged to submit questions prior to the webinar via email to res@nyserda.ny.gov, and during the Proposers’ Webinar using the built-in Q&A feature. Written responses will be posted to the solicitation website, and will supersede any responses given by NYSEDA during the Proposers’ Webinar. All questions regarding the RFP documents or the process must be directed as indicated.

²⁵ To sign up for the Proposers’ Webinar please register here: [RESRFP20-1 Proposers’ Webinar](https://nyserdany.webex.com/nyserdany/onstage/g.php?MTID=e4d5591f4ae93fa55e5c8606d520b); <https://nyserdany.webex.com/nyserdany/onstage/g.php?MTID=e4d5591f4ae93fa55e5c8606d520b>

NYSERDA will post submitted questions anonymously, along with NYSERDA's responses, on the solicitation website under the Q&A feature, which is accessible to all Proposers, following the webinar.

Questions may not be submitted directly to any individual at NYSERDA other than the Designated Contacts, DPS Staff, or to individuals working for or on behalf of NYSERDA.

Bid Facility-specific questions must be submitted through the Messages feature of the solicitation website following Proposers' registration. Questions that reveal a Proposers' identity and/or commercial information should be submitted through the Messages feature of the solicitation website. Proposers must register on the solicitation website to gain access to the Messages feature. The Messages feature of the solicitation website is available only to Proposers and is a secure communication between each Proposer and NYSERDA's Designated Contacts.

1.10 Modification or Cancellation of the RFP and Solicitation Process

Notification of any changes in RFP process or documents will be posted on [NYSERDA's RES Tier 1 website](#), the solicitation website under the Announcements tab, and sent via email to parties that have submitted contact information to NYSERDA's RESRFP20-1 solicitation via the solicitation website. Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news.

Any changes to the guidance and requirements outlined under the series of Governor Cuomo's New York State on PAUSE Executive Orders affecting actions under this solicitation will also be communicated via the solicitation website.

The terms and conditions of this RFP may, at any time, be changed, postponed, withdrawn, and/or canceled, including any requirement, term or condition of this RFP, without any liability to NYSERDA.

1.11 Updates to the Eligibility Application and/or Bid Proposal

Proposers will not have an opportunity to refresh or restate submissions after the corresponding submission deadline for each Step. If a Proposer wishes to modify an already submitted submission before the submission deadline for that Step, the Proposer should follow the posted instructions for editing a submission and may contact NYSERDA's Designated Contacts with questions or issues.

After the submission deadline, Proposers may provide information that was not available at the time of their submission at NYSERDA's request under Section 1.12. These requests are for informational purposes only and will not be treated by NYSERDA as a change or revision to the submission. If there are any material events that affect the validity of a submission, Proposers must promptly notify NYSERDA in writing.

1.12 Requests for Additional Information

NYSERDA may request interviews, clarifications, and additional information from Proposers at any time throughout the duration of the solicitation. Such information will be subject to protection of proprietary information as described in Section 11.1. NYSERDA recommends that Proposers mark commercially sensitive materials provided to NYSERDA as Confidential. Proposers that do not respond promptly to such information requests or do not provide adequate information may be disqualified from further

consideration or have the information in their Proposals modified by NYSERDA to allow a reasonable and appropriate evaluation.

1.13 Coordination with New York Power Authority Request for Proposals

RESRFP20-1 has been issued alongside a New York Power Authority (NYPA) Large-Scale Renewables solicitation. Proposers are encouraged to review both solicitations and refer to each solicitation for the specific products requested. Proposers participating in both solicitations are notified of the following requirements, restrictions and timelines:

1. Subject to eligibility determinations made independently by NYSERDA and NYPA, Proposers representing a Bid Facility may apply to both solicitations under the following conditions:
 - a. The same Proposer must represent the same Bid Facility under both solicitations.
 - b. If participating in both solicitations, the Proposer associated with the Bid Facility must notify NYSERDA of its intention to apply and/or bid to both solicitations in the form requested by each Authority.
 - c. NYSERDA and NYPA may share information about the proposals submitted to their respective proposals. NYSERDA and NYPA will not share pricing information (i.e. Bid Prices).
 - d. The generation associated with a single Bid Facility may not be divided between the two solicitations.
2. If a Bid Facility is selected for an award by both NYPA and NYSERDA, the Proposer will have the option to, within 3 business days, accept either award. The award not accepted will be automatically rescinded. NYSERDA and NYPA may notify bidders of their likelihood of an award prior to the full extension of an award/contract.

Proposers representing the same Bid Facility in both solicitations will be required provide information requested by NYSERDA regarding dual participation in the NYSERDA and NYPA solicitations.

2 STEP ONE & STEP TWO COMPONENTS; ELIGIBILITY & EVALUATION

RESRFP20-1 will be implemented through a two-step process. Submissions for both steps must be made via the solicitation website. The solicitation website will open for submissions on June 26, 2020. The requirements for each step are summarized in the table below, consisting of:

1. **Step One: A qualifying step** through which the Proposer submits an Eligibility Application providing evidence that the Bid Facility is Tier 1 eligible and other information regarding the Proposer and the Bid Facility. See **Section 7** for detailed instructions about how to prepare and submit a Step One Eligibility Application.
2. **Step Two: A competitive Bid Proposal step**, through which the Proposer submits a Bid Proposal. NYSERDA will: (1) examine each Bid Proposal to determine whether the Proposal demonstrates that the Bid Facility and Proposer meet the minimum Viability Threshold Requirements; and (2) for Bid Proposals that meet those minimum requirements, perform a full competitive evaluation based on price and non-price factors. See **Section 8** for detailed instructions about how to prepare and submit a Step Two Bid Proposal.

Step One Eligibility Application	Step Two Bid Proposal
Due Date: Thursday, August 27 by 3:00 p.m.	Due Date: Wednesday, October 21 by 3:00 p.m.
Requirements for Submission: <ul style="list-style-type: none"> • Tier 1 eligibility certification (PSoQ or SoQ), obtained via NYGATS • Key Proposer and Bid Facility characteristics (location, capacity, <i>etc.</i>) 	Requirements for Submission: <ul style="list-style-type: none"> • Full project characteristics and details • Binding Bid Price and Bid Quantity data • Viability Threshold Requirements documentation (Site Control, Interconnection, <i>etc.</i>) • Permitting Plan • Community Engagement Plan • Operational Flexibility and Peak Coincidence documentation (P(50) 8760, energy storage details, <i>etc.</i>) • If applicable, Incremental Economic Benefits claims • Proof of Bid Fee payment

Proposers submitting Step One Eligibility Applications that are determined to be qualified will be invited to submit a Step Two Bid Proposal. Step Two Bid Proposals that are determined to meet the minimum Viability Threshold Requirements will be evaluated and scored based on: (1) the Fixed REC Bid Price or Index REC Bid Price, weighted at 70% of the overall score, and (2) non-price factors, which have a combined weight equaling 30% of the overall score.

Please note that the minimum Viability Threshold Requirements apply only to item one non-price category, Project Viability. These are no minimum requirements for Economic Benefits or Operational Flexibility.

The 30% non-price evaluation component is divided into three equally weighted categories:

- 1) 10% Project Viability (beyond the minimum Viability Thresholds);
- 2) 10% Incremental Economic Benefits to New York State; and
- 3) 10% Operational Flexibility and Peak Coincidence

Pursuant to the February 22, 2017, PSC [Order Approving the Phase 1 Implementation Plan](#) and the subsequent Orders, a Technical Evaluation Panel (TEP), consisting of NYSERDA staff, DPS Staff, and Independent Evaluators (outside reviewers who possess proficiency in the evaluation of energy generation projects), all of whom will execute a non-disclosure agreement, will evaluate and award points for the non-price evaluation components of each Bid Proposal.²⁶ NYSERDA may also enlist other state agencies and authorities to inform the non-price evaluation conducted by the TEP. The Bid Price evaluation will be conducted by NYSERDA.

Non-Price minimum Viability Threshold Requirements and determinations, and the Non-Price evaluation are detailed in Section 4; Price evaluation is detailed in Section 5.

Instructions and requirements on how to submit a Step One Eligibility Application and Step Two Bid Proposal are detailed in Sections 7 and 8, respectively.

²⁶ The Order and subsequent Plans are available on NYSERDA's CES Orders, Reports, and Filings website: <https://www.nyserdera.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Important-OrdersReports-and-Filings>

3 ELIGIBILITY DETERMINATION

Step One Eligibility Applications must be submitted via the solicitation website and will be examined for completeness and to determine whether the Proposer and Bid Facility meet the eligibility requirements outlined in Sections 1.4 and 2. In order to meet the eligibility criteria, the Proposer must:

- Be located within the New York Control Area (NYCA) or in an adjacent control area and deliver energy into New York State in accordance with the RES Delivery Requirements in the Agreement, and have first commenced Commercial Operation on or after January 1, 2015, or must produce new, incremental energy and Tier 1 RECs from new Bid Capacity above a historical baseline;
- Provide the letter received in the Proposer's NYGATS account from NYSERDA confirming that the application for Tier 1 eligibility (SoQ or PSoQ) has been approved;
- Complete the Step One Eligibility Application electronic form on the solicitation website providing basic information about the Bid Facility.

Proposers deemed qualified to submit a Step Two Bid Proposal will be emailed a Notice of Qualification and notified via the solicitation website. Proposers whose Step One Eligibility Applications are found not to satisfy the eligibility requirements or to be deficient in some other respect will receive notification that they are not eligible to submit a Step Two Bid Proposal.

4 NON-PRICE EVALUATION & VIABILITY THRESHOLD REQUIREMENTS

Step Two Bid Proposals must be submitted via the solicitation website and will first be examined to determine whether they demonstrate that the Proposer and Bid Facility meet the minimum Viability Threshold Requirements.

In order to be eligible for evaluation under Step Two, the Bid Proposal must demonstrate that the Proposer and the proposed Bid Facility meet all of the minimum Viability Threshold Requirements detailed in this section. Proposers that submit a Step Two Bid Proposal that does not meet all of the minimum Viability Threshold Requirements will be removed from consideration and will not be eligible for an award. Proposers will also be required to provide a Bid Fee payment for each Bid Facility. See Section 8.4 for additional details and instructions for submitting the Bid Fee.

NYSDA will contact Proposers regarding any instances where it is unclear if a minimum Viability Threshold requirement has been achieved and may provide the Proposer with a one-time opportunity to cure the deficiency prior to removing the Bid Facility from consideration.

4.1 Project Viability

Bid Proposals that demonstrate progress exceeding the minimum Viability Threshold Requirements will be eligible to receive points under the 10% Project Viability category as well as for the other non-price components of the Bid Proposal (Incremental Economic Benefits to New York State and Operational Flexibility and Peak Coincidence).

As an example, for Generation Facility Site Control, the minimum Viability Threshold Requirement is demonstration of exclusivity agreement(s), letter(s) of intent, or other method(s) of site control that covers at least 50% of the proposed generator site's acreage. Project Viability points are available to the extent that the Bid Proposal demonstrates such control in excess of 50% and via firm methods of site control such as a lease agreement.

Operating Facilities will only need to demonstrate that the Viability Threshold for Resource Assessment and Energy Production Estimate has been met, and will otherwise receive full non-price evaluation points for the remaining Project Viability sub-categories.

A full description of the minimum Viability Threshold Requirements and the considerations upon which the TEP may award Project Viability evaluation points are detailed below.

Generation Facility Site Control

Minimum Threshold: The Proposer must demonstrate an executed exclusivity agreement, letter of intent, executed binding option, executed lease, and/or easement with the site owner(s) for the Bid Facility site. The exclusivity agreement(s), letter(s) of intent, or other method(s) of site control must comprise at least 50% of the site's acreage.

Exceeding the Threshold: Evaluation will be based on the extent to which the Bid Proposal demonstrates binding site control (executed binding option, executed lease, easement and/or ownership) for the generation facility in excess of 50%.

Interconnection Right of Way Control

Minimum Threshold: The Proposer must demonstrate full site control of the point of interconnection for the Bid Facility and demonstrate any necessary rights of way associated with reaching the POI. The Proposer must demonstrate the POI is accessible via an exclusivity agreement(s) and/or executed right of way agreement(s) for the necessary rights of way (if the generator lead facilities will be merchant-owned), or (iii) that the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, or (iv) that the Proposer owns, has executed lease for, easement for, or executed binding option for the Bid Facility's point of interconnection.

Exceeding the Threshold: Evaluation will be based on the extent to which the Bid Proposal demonstrates binding site control for the point of interconnection and any rights of way needed to reach the point of interconnection from the generation facility.

Energy Storage Site Control (if applicable)

Minimum Threshold: A Bid Facility paired with Energy Storage, whether co-located with the Tier 1 eligible generation or located in a separate location from the Tier 1 eligible generation, must have at least an executed exclusivity agreement or letter of intent with the site owner(s). The full site needed for the Energy Storage must be covered by the exclusivity agreement(s) and/or letter(s) of intent.

Interconnection

Minimum Threshold: The Proposer must (i) have a valid, submitted Interconnection Request with NYISO or the Bid Facility's interconnecting control area or utility and (ii) a System Reliability Impact Study or System Impact Study that is in progress, or the equivalent interconnection progress with the Bid Facility's interconnecting control area or utility. Documentation provided to NYSERDA by the Proposer of the Bid Facility's interconnection status must be consistent with the Bid Facility as proposed. Documentation that does not reflect the Bid Facility as proposed may be rejected.²⁷ For Bid Facilities interconnecting to NYISO, the NYISO Zone of the Bid Facility should align with the zone being studied by NYISO as a planned point of interconnection.

The specific minimum Viability Threshold Requirements vary by the size and location of the Bid Facility:

- All Bid Facilities under the jurisdiction of NYISO: System Reliability Impact Study or System Impact Study is in progress (Stage 5 in the NYISO Queue).
- Bid Facilities utilizing a FERC-jurisdictional interconnection process in an adjacent U.S. control area:
 - PJM Generation Interconnection: System Impact Study is in progress.
 - ISO-New England: System Impact Study is in progress.
 - Hydro-Québec: Interconnection Study is in progress.
 - Ontario Independent Electricity System Operator: System Impact Assessment (SIA) is in progress.

²⁷ The Bid Facility's Bid Capacity must be at minimum the capacity submitted with the Interconnection Request.

- Small Bid Facilities (less than or equal to 20 MW) with a Non-Federal Energy Regulatory Commission (FERC) Interconnection:²⁸ Interconnecting utility company Coordinated Electric System Interconnection Review (CESIR), or equivalent, is in progress.
- Behind-the-Meter Bid Facilities: System Impact Study or System Reliability Impact Study by interconnecting utility is in progress.²⁹

For Bid Facilities paired with Energy Storage, the Proposer must have discussed Energy Storage with the relevant interconnecting utility company and have identified the applicable requirements. Proposer has either (1) submitted a valid Interconnection Request for Energy Storage and demonstrates that all initial fees have been paid, or (2) prepared drafts of all initial Energy Storage interconnection application documents such that the Interconnection Request can be submitted within 3 months following an award from NYSERDA.

Exceeding the Threshold: Evaluation will be based on the demonstration of progress in the relevant interconnection process beyond the minimum Viability Threshold Requirements, as evidenced through documentation from NYISO, Utility or other applicable interconnection authority, such as a completed System Impact Study (or equivalent), or evidence that a Facilities Study (or equivalent) is in progress.

Proposers are strongly encouraged to demonstrate with currently available knowledge that their proposed point of delivery into the NYCA, along with their proposed interconnection and transmission and/or distribution upgrades, is sufficient to ensure full energy dispatch of the Bid Facility's expected generation output to provide the binding Bid Quantity (in Megawatt-hours) bid to NYSERDA. Please note that this includes energy and is not limited to capacity. Proposers are also strongly encouraged to submit a deliverability study or other third-party assessment of the Bid Facility's interconnection and deliverability potential as part of their Step Two Bid Proposal submission(s) to demonstrate the energy deliverability of a Bid Facility.

Proposals that can describe all interconnection and transmission upgrade costs required to ensure full energy dispatch, including transmission upgrades that may need to occur beyond the point of interconnection, will be awarded more points by the TEP based on the reasonableness of the modeled assumptions. Bid Facilities that can exhibit to NYSERDA that the project is energy-deliverable under clear and reasonable assumptions will be awarded more points by the TEP.

Permitting

Minimum Threshold: Proposers must submit a complete Permitting Plan that demonstrates awareness of all applicable permitting requirements, includes a reasonable timeline for obtaining permits and authorizations that is consistent with the development plan, and adequately addresses other expected permitting obstacles and/or input from the Bid Facility's host community. For large-scale solar Bid Facilities located in a New York State agricultural district, Proposers are also required to provide preliminary information to estimate agricultural mitigation fund payments based on the Bid Facility

²⁸ Connecting Transmission Owner Interconnection under state jurisdiction (typically, utility distribution less than 5 MW).

²⁹ Not all Behind-The-Meter facilities are eligible to create Tier 1 RECs. Please see the [RES Tier 1 Eligibility and Certification Guidelines](#) for full eligibility requirements.

impacts described in Appendix 2. A detailed description of permitting plan contents and other required narratives is included in Section 8.3.4 and Appendix 2 – Permitting Plan Requirements and Guidelines.

Exceeding the Threshold: Evaluation will be based on the completeness and credibility of the Proposer’s plan for successfully obtaining necessary permits within the proposed development schedule. Bid Facilities that have secured relatively more permits needed to construct and operate, have performed a more exhaustive amount of permitting activities and have greater knowledge of the Bid Facility site, its permitting requirements, and any planned and/or required mitigation activities will be awarded more points by the TEP.

Permitting Plans that respond more comprehensively to the considerations identified in Appendix 2 - Permitting Plan Impacts and Guidelines, and that provide greater detail into how these impacts will be avoided or mitigated, will be awarded more points by the TEP.

Project Development

Minimum Threshold: Proposers must demonstrate that they have experience in developing renewable generation facilities. Specifically, the Proposer or the principals in its development team must have developed at least one renewable generation facility of similar or larger scale to commercial operation. NYSERDA will not consider aggregated portfolios of generation facilities as a project under this criterion. For the purposes of this criterion, similar scale is defined as follows:

- A project of at least 33% of the proposed Bid Facility capacity, in MWac; or
- A project of at least 10% of the proposed Bid Facility capacity, in MWac, if the Proposer has also successfully completed the same interconnection process in the same State or Jurisdiction as the proposed Bid Facility.

For a Proposal including a Bid Facility with Energy Storage, the Proposer must also demonstrate that it has experience in developing at least one Energy Storage system of similar or larger scale using the same technology as proposed. To qualify, the previously developed Energy Storage facility does not yet need to be in commercial operation to meet this minimum Viability Threshold Requirement.

The Proposer or the principals in its development team must have the required experience successfully developing at least one renewable generation project. Experience of vendors or contractors to the Proposer or the principals in its development team do not count towards this experience requirement.

Exceeding the Threshold: Evaluation will be based on the relative level of project development experience demonstrated, particularly with respect to facilities of comparable scale³⁰ and similar technology³¹ and location.³² Bid Facilities that are similar to those projects provided and successfully brought to commercial operation by the Proposer will be awarded more points by the TEP. Aggregated portfolios of generation facilities will not be considered as a “project” under this category.

³⁰ Comparable scale is 50% or more of the proposed capacity.

³¹ Similar technology is the same resource and prime mover, *e.g.*, solar, wind. It is not meant to distinguish between different solar technologies, for example.

³² Similar location is the same interconnecting entity.

Project Financing and Creditworthiness

Minimum Threshold: Proposers must submit a detailed Financing Plan demonstrating a sufficient degree of planning and due diligence on how the Bid Facility is to be financed. Proposers must describe a plan to finance the proposed Bid Facility and if applicable, Energy Storage, including construction and term financing. A description of Financing Plan contents is included in Section 8.3.4.

Exceeding the Threshold: Evaluation will be based on the relative level of project financing experience demonstrated, particularly with respect to facilities of comparable scale³³ and similar technology³⁴ and location.³⁵ Bid Facilities that are similar to those projects provided and successfully brought to commercial operation by the Proposer will be awarded more points by the TEP. Aggregated portfolios of generation facilities will not be considered as a “project” under this category.

Community Engagement

Minimum Threshold: Proposers must demonstrate that they have been in contact with the local officials for the towns the Bid Facility is sited within regarding the Bid Facility’s development. The Proposer must identify the host Authorities Having Jurisdiction AHJ(s) regarding the Bid Facility and ensure local officials are informed of the Bid Facility’s participation in RESRFP20-1. Proposers will also be responsible for submitting a complete Community Engagement Plan as described in Section 8.3.4, to be publicly posted following the receipt of Step Two Bid Proposal packages.

All activities undertaken by Proposers related to community engagement must adhere to the requirements outlined under Governor Cuomo’s phased reopening plan, “[NY Forward](#)”, and all other State, Federal or local rules and guidance, including adherence to the New York State Department of Health (NYS DOH) [Interim Guidance for Construction Activities During the COVID-19 Public Health Emergency](#). The requirement to follow the NYS DOH guidance applies whether the Proposer is an essential business operating statewide or is permitted to re-open pursuant to any regional phased reopening plan.

Exceeding the Threshold: Evaluation will be based on the quality and effectiveness of the Proposer’s demonstrated commitment to building a working relationship with the Bid Facility’s host town(s), counties, school districts, local organizations and other AHJ(s). Proposers that submit relatively higher quality Community Engagement Plans, employ strategies that are responsive to the current needs of the host communities and outline strategies to maintain a transparent and responsive relationship throughout the Bid Facility’s development will be awarded more points by the TEP.

Resource Assessment and Energy Production Estimate

Minimum Threshold: Proposers are required to provide a Resource Assessment and an Energy Production Estimate for the Bid Facility. The Resource Assessment must approximate the renewable resource typically available on an annual basis to power the Bid Facility. The Energy Production Estimate

³³ Comparable scale is 50% or more of the proposed capacity.

³⁴ Similar technology is the same resource and prime mover, *e.g.*, solar, wind. It is not meant to distinguish between different solar technologies, for example.

³⁵ Similar location is the same interconnecting entity.

must estimate the Bid Facility's ability to convert the renewable resource to electric power at the P(50)³⁶ level. Detailed technology-specific requirements and evaluation criteria for the Resource Assessment and Energy Production Estimate are presented in [Appendix 1 - Resource Assessment and Energy Production Estimate Requirements](#).

The Resource Assessment and Energy Production Estimate must be consistent with and representative of the Bid Facility, long-term conditions at the site, and if applicable, co-located Energy Storage, as proposed to NYSERDA. The Bid Quantity may not exceed the P(50) long-term Energy Production Estimate.

For Eligible Upgrades, provision of the Resource Assessment and Energy Production Estimate submitted to obtain a PSoQ or SoQ and the associated Tier 1 certification is sufficient to meet the minimum requirements outlined in Appendix 1 based on the resource type.

Bid Facilities including co-located Energy Storage shall include a P(50) Energy Production Estimate that considers Energy Storage for the Bid Facility, including anticipated losses resulting from the addition of Energy Storage. Solar facilities including Energy Storage must specify if the Energy Storage is AC or DC coupled.

Exceeding the Threshold: Evaluation will be based on the quality of the Resource Assessment and Energy Production Estimate. Submissions that meet the criteria outlined in Appendix 1 for evaluation exceeding the Viability Threshold Requirements will be awarded more points by the TEP.

Carbon Emissions and Embodied Carbon

Minimum Threshold: Through this solicitation, NYSERDA seeks to actively support the outcomes envisioned by New York's State's nation-leading climate legislation, the CLCPA, including its target of reducing greenhouse gas emissions 80% by the year 2050. NYSERDA is interested in understanding the "embodied carbon" impact of renewable development, and requests that Proposers describe the efforts that have or can be undertaken to minimize the Bid Facility's embodied carbon intensity. To the extent discernable at the current stage of development, Proposers should describe and explain the anticipated carbon intensity in Bid Facility design, sourcing, construction, operation and maintenance.

Proposers should also describe and explain any available process by which the Proposer will be able to account for embodied carbon on an ongoing basis through development, construction and operation of the Bid Facility. This could include the sourcing and manufacturing of primary components such as modules, inverters, turbines, towers, other prime movers, cables, substations, energy storage facilities, and other electric equipment, but should also consider associated activities such as construction, Operation & Maintenance (O&M), and decommissioning. This could also include opportunities to support carbon mitigation efforts in collaboration with New York State manufacturing sources.

³⁶ P(50) represents a level of resource projection or production estimate with a 50% likelihood of being exceeded in any future year. The P(50) value shall be the expected value (*i.e.*, the mean) based on the Proposer's Resource Assessment diligence in accordance with the minimum requirements listed in the section herein for the respective renewable technology.

4.2 Incremental Economic Benefits to New York State

The TEP will evaluate and award up to 10 points to Bid Proposals based on the degree to which each Bid Proposal demonstrates that Incremental Economic Benefits will accrue to New York because of the development, construction/modification, and operation of the Bid Facility. Incremental Economic Benefits may be claimed in one of two categories:

- 1) Long-Term Economic Benefits to New York State; and
- 2) Short-Term Economic Benefits to New York State.

Proposers must demonstrate that the incremental economic benefits will (1) will accrue after the release date of this RFP, and (2) would not have accrued but for the award of a contract under this RFP. Incremental Economic Benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA contract are not eligible for evaluation.

Only those Incremental Economic Benefits meeting the eligibility criteria and falling within the defined categories in Section 8.3.5 will be considered for evaluation. The TEP will award a maximum of 10 points between the two sub-categories in proportion to the level of eligible claims, normalized across all Bid Facilities by dividing each Bid Facility's eligible claims by that Bid Facility's Bid Capacity (\$/MW).

NYSERDA will award more points to Long-Term Economic Benefits to New York State that will be realized in part or in full by Disadvantaged Communities.³⁷ It is incumbent upon Proposers to clearly identify which Economic Benefits claims will be realized by Disadvantaged Communities and how these claims meet the interim criteria. See Section 8.3.5 for a detailed description of eligibility and the scoring process for Incremental Economic Benefits.

4.3 Operational Flexibility and Peak Coincidence

The Operational Flexibility and Peak Coincidence (OpFlex) category is intended to incentivize renewable resources that provide grid services that contribute to cost minimization and/or grid reliability by addressing integration issues resulting from increased penetration of intermittent renewables, better matching generation to load, and encouraging dispatchable resources to balance the electric system, optimize generation dispatch, minimize operating reserve requirements, and address grid congestion and constraints.³⁸

³⁷ The CLCPA includes a target of delivering 40 percent of the overall benefits from New York State's climate programs to Disadvantaged Communities, a term for which rules are being actively promulgated by New York State. Disadvantaged Communities are identified in the CLCPA as communities that bear burdens of negative public health effects, environmental pollution, impacts of climate change, and possess certain socioeconomic criteria, or comprise high-concentrations of low- and moderate- income households. Acknowledging that New York State has not yet formally defined Disadvantaged Communities, this RFP will rely on already-established criteria for communities that meet the spirit of the Disadvantaged Communities objectives of the CLCPA. Bid Proposals will be awarded more points by the TEP if the Proposer can demonstrate benefits of the project's development are afforded to communities located in low-income census tracts, Potential Environmental Justice Areas, and New York Opportunity Zones.

³⁸ See the CES Final Phase 1 Implementation Plan: <https://www.nyserda.ny.gov/-/media/Files/Programs/Clean-Energy-Standard/2017-03-24-Phase-1-Implementation-Plan.pdf>

The TEP will evaluate and award up to 10 points to Bid Proposals based on:

- 1) The benefits afforded to the electric grid in light of the CES goals to expand the share of renewable energy as a portion of total energy consumed in New York State to 70 percent by the year 2030 (“70x30”), including benefits to address grid congestion and delivery constraints, and the extent to which a Proposer can demonstrate that the Bid Facility can deliver firm power to the electrical system without adversely impacting the generation output profile of both existing and planned renewable generators; and
- 2) The benefits afforded to the electric grid by the Bid Facility if proposing with Energy Storage, including the Energy Storage Capacity and relative level of Energy Storage Capacity to the Bid Facility Nameplate Capacity.

Bid Facilities located outside of the NYCA or NYISO Market Zone (External Facilities) are not eligible for Operational Flexibility and Peak Coincidence evaluation points.

Operational Flexibility and Energy Deliverability

In consultation with subject matter experts, NYSERDA and the TEP will proportionally allocate OpFlex points based on the modeled benefits to the grid and future estimated energy deliverability potential based on reasonable assumptions of a 70x30 electric grid. Bid Facilities that plan to interconnect to the electric grid where congestion and curtailment of renewable generators is more likely to occur on a 70x30 electric grid will receive fewer OpFlex evaluation points compared to Bid Facilities that will interconnect to the electric grid in areas where congestion and curtailment is less likely to occur. The TEP will also consider interconnection studies and/or deliverability studies provided by Proposers as part of their Step Two Bid Proposals, if provided by the Proposer.

NYSERDA may employ analyses to identify potential impacts that proposed Bid Facilities may create on the energy deliverability of renewable energy projects that are operating, under development, and/or under contract to deliver energy for end use in New York State, including curtailments or direction from the NYISO or Scheduling Coordinator that forces a renewable generator to reduce output. These potential impacts will be assessed in part based on current conditions and in part based on the expected grid limitations that will present themselves on a 70x30 grid.

Proposers are strongly encouraged to familiarize themselves with all ongoing work to identify areas of current and future congestion on the electric grid, including the DPS and NYSERDA [State Power Grid Study](#), inclusive of Distribution and Local Capital Plans and a Bulk Transmission Investment Plan, the NYISO [2019 CARIS 70x30 Constraint Modeling](#) study and outputs, and other similar studies conducted by the state, NYISO, and/or the transmission owners. NYSERDA and the TEP will use the most recent and pertinent modelling assumptions available for evaluation purposes to assess energy deliverability and allocate OpFlex points. Updated assumptions and outputs published by DPS, NYSERDA, NYISO, and other parties may become available during the course of this solicitation, including outputs published under

the Proceeding on Motion of the Commission to Implement Transmission Planning Pursuant to the Accelerated Renewable Energy Growth and Community Benefit Act.³⁹

The TEP will consider the quality of an energy deliverability study for firm power delivery and network upgrade costs, if provided by the Proposer, for evaluation under Interconnection and OpFlex. Full energy deliverability may be demonstrated by upgrade costs described and included in the Bid Facility's bid price and a deliverability assessment.

Energy Storage

Evaluation will be based in part on the degree to which Energy Storage is included in the Bid Proposal, and will be reflected in the Operational Flexibility and Peak Coincidence category. Bid Facilities paired with Energy Storage may be co-located with the renewable generator or separately located in the NYCA. NYSERDA and the TEP will award more points to Bid Facilities with larger Energy Storage Capacity (MWh), and with a larger relative Energy Storage Capacity (MWh) in relation to the renewable generator Nameplate Capacity (MW).

NYSERDA's evaluation will attribute more points to Step Two Bid Proposal packages that include Energy Storage. The TEP will review the price premiums associated with Alternate Bid Proposals including Energy Storage relative to the corresponding Base Bid Proposals in comparison with current energy storage capital expenditure expectations and funding available through NYSERDA's Bulk Storage Incentives. All Energy Storage Bid Proposals will be sorted in ascending order per the calculated price premium. Bid Proposals with lower Energy Storage premiums in dollars per REC will be awarded more points by the TEP than Bid Proposals with higher Energy Storage premiums.

³⁹ Matter 20-00905, Case Number 20-E-0197, Proceeding on Motion of the Commission to Implement Transmission Planning Pursuant to the Accelerated Renewable Energy Growth and Community Benefit Act; <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=20-E-0197&submit=Search>

5 PRICE EVALUATION & BID PRICE STRUCTURE

5.1 REC Products Pricing

Each Step Two Bid Proposal must conform to either the Index REC or Fixed REC pricing structure. Offer prices for each Bid Proposal are all-inclusive; that is, for all components of the Bid Facility.

For both forms of pricing, only level nominal dollar pricing will be accepted. Proposals will be accepted with Contract Tenors of a minimum of one year and a maximum of the Bid Facility's Maximum Contract Tenor, determined by the Bid Facility's technology and vintage.⁴⁰

While all Bid Proposals must employ a single pricing structure, Bid Proposals are permitted to employ different pricing structures for materially different Bid Proposals. For example, if a Proposer submits a Bid Proposal for a Bid Facility without energy storage and an Bid Proposal for the same Bid Facility with energy storage, the two Step Two Bid Proposals may employ different pricing structures, either fixed or index.

Bid Proposals should be appropriately priced to reflect all interconnection and transmission upgrade costs required to ensure energy dispatch that is consistent with the Bid Proposal's proposed generation output profile, including transmission and/or distribution network upgrades that may need to occur beyond the point of interconnection.

5.1.1 Fixed REC Pricing

Under the Fixed REC pricing, the Monthly REC Price is equal to the Fixed REC Price.

$$\text{Monthly REC Price} = P^{\text{Fixed}}$$

where:

$$P^{\text{Fixed}} = \text{Fixed REC Price (\$/MWh)}$$

Each month's Fixed REC Price shall be as offered in the Bid Proposal for the relevant Contract Year, with the same Fixed REC Price applied for all months within the Contract Year. The Fixed REC Price shall also be the same for all Contract Years.

5.1.2 Index REC Pricing

Under the Index REC pricing, the Monthly REC Price varies monthly during the Contract Delivery Term and is calculated:

$$\text{Monthly REC Price} = SP^{\text{Index}} - REP - RCP$$

where:

$$SP^{\text{Index}} = \text{Index REC Strike Price (\$/MWh)}$$

⁴⁰ See Section 8.3.3.

REP = Reference Energy Price (\$/MWh)

RCP = Reference Capacity Price (\$/MWh)

Each month's Index REC Strike Price shall be as offered in the Bid Proposal for the relevant Contract Year, with the same Index REC Strike Price applied for every month of the Contract Tenor.

For Bid Facilities in New York State, each month's Reference Energy Price shall be a simple average of the hourly NYISO Day-Ahead Market (DAM) locational based marginal pricing (LBMP) for the NYISO Zone in which the Bid Facility is physically located.⁴¹ For Bid Facilities in external control areas, each month's Reference Energy Price shall be a simple average of the hourly NYISO Day-Ahead Market (DAM) locational based marginal pricing (LBMP) for the Proposer-identified NYISO Zone which the Bid Facility will be injecting into.

Each month's Reference Capacity Price will be based on the conversion of a Reference Unforced Capacity (UCAP) Price, equal to the spot auction price in \$/kW-month for the NYISO Zone in which the Bid Facility is located as published by NYISO.⁴² For Bid Facilities in external control areas, each month's Reference Capacity Price will be based on the conversion of a Reference Unforced Capacity (UCAP) Price, equal to the spot auction price in \$/kW-month for the Proposer-identified NYISO Zone which the Bid Facility will be injecting into.

The Reference Capacity Price is converted to its \$/MWh equivalent through the following equation:

$$RCP = \frac{RUP \times UPF \times IC \times 1,000}{REC}$$

where:

RUP = Reference UCAP Price (\$/kW-month)

UPF = UCAP Production Factor (decimal fraction)

IC = Installed capacity (ICAP) of the generator (MW)

REC = Tier-1 Renewable Energy Certificates produced from the Bid Facility for such month (including any Tier-1 Renewable Energy Certificates produced in excess of the Annual REC Cap or otherwise not committed for sale to NYSERDA under this Agreement)

⁴¹ Historical daily NYISO DAM LBMPs can be downloaded from the NYISO website at <http://mis.nyiso.com/public/> or <https://www.nyiso.com/custom-reports>.

⁴² Historical monthly capacity spot auction prices can be downloaded from the NYISO website at http://icap.nyiso.com/ucap/public/auc_view_spot_detail.do or <https://www.nyiso.com/installed-capacity-market>. NYISO UCAP prices are not reported by Zone, but instead by capacity locality. Capacity localities include New York Control Area (NYCA), Southeast New York (or the G-J Locality), New York City (NYC) and Long Island (LI). Nested capacity localities, for example, New York City inside the G-J Locality, can have the same or a higher price as the capacity locality they are located within. For Zones A through F, refer to the NYCA UCAP price. For Zones G through I refer to the G-J Locality UCAP price. For Zone J, refer to the NYC UCAP price. For Zone K, refer to the LI UCAP price.

1,000 = kW to MW conversion factor

The UCAP Production Factor multiplied by the Bid Facility's installed capacity is a proxy for the Bid Facility's NYISO UCAP in MW. The UCAP Production Factor will be specified separately for a Winter Capability Period (November through April) and a Summer Capability Period (May through October). These fixed seasonal UCAP Production Factors will be utilized for the duration of the contract tenor.⁴³ The UCAP Production Factor can vary in alternative Bid Proposals for a Bid Facility, for example based on the inclusion of energy storage. Proposers are encouraged to consider current guidance from the NYISO's Installed Capacity Manual.⁴⁴ Proposers are permitted to select any UCAP Production Factor value between 0 and 1.

5.2 Settlement Mechanism

NYSERDA will calculate the Reference Energy Price and Reference Capacity Price for each month according to the calculation outlined in the Agreement. The Monthly REC Price will be calculated during a settlement period following the conclusion of each month.

To calculate the amount payable to Seller, the Monthly REC Price will be multiplied by the lessor of (i) the product of the number of RECs produced from Actual Eligible Production in the prior month and the Bid Quantity Percentage, and (ii) the number of RECs delivered into NYSERDA's NYGATS account. These payments will be calculated after the close of each calendar month during the Contract Delivery Term when NYGATS or the Qualified Independent Party (QIP) provides meter data, typically 15-20 days after month-end. During each month's settlement period, NYSERDA will only purchase RECs such that the cumulative RECs purchased in the active Contract Year do not exceed the Annual REC Cap. The Annual REC Cap may be adjusted prior to Commercial Operation, per Article V of the Agreement.

In the case of a negative Monthly REC Price, the associated payment from Seller to NYSERDA will not be cash-settled on a month-by-month basis. Instead, the amount owed from Seller to NYSERDA will accrue as a debit to be deducted from each subsequent monthly payment until fully recovered. If, due to sustained negative REC prices, any such debit goes unrecovered for twelve months, Seller shall pay the unrecovered amount to NYSERDA in cash as described in Section 4.04 of the Agreement.

5.3 Bid Price Evaluation

A quantitative method will be applied to all bids in order to screen and rank the pricing bids using a uniform cost metric. For evaluation purposes, bid prices will be converted to a Levelized Net REC Cost (LNRC) in base year \$/MWh for both the Fixed REC Price and Index REC Strike Price bids. The LNRC price measure allows for an equitable comparison among Proposals with different pricing structures, REC quantities, and Contract Tenors. Strike prices will be converted into expected annual REC values by subtracting a forecast of expected Reference Energy Prices and Reference Capacity Prices from the strike prices, based on NYSERDA's forecasts of energy and capacity prices. Neither the price forecasts nor details of the modeling procedures will be disclosed to Proposers.

⁴³ Fixed, seasonal UCAP Production Factors allow for one fixed winter and one fixed summer UCAP production factor for the duration of the contract tenor.

⁴⁴ NYISO Installed Capacity Manual, published February 2020, provides default factors for different resource types and locations https://www.nyiso.com/documents/20142/2923301/icap_mnl.pdf/234db95c-9a91-66fe-7306-2900ef905338

For evaluation purposes, regardless of the proposed Commercial Operation Date, Bid Proposals for Bid Facilities not yet under operation will be evaluated with a Contract Delivery Term commencement year of 2023 and therefore a $COMD_p$ of 2023, and Bid Proposals for Bid Facilities currently operating will be evaluated with a Contract Delivery Term commencement year of 2021, and therefore a $COMD_p$ of 2021.

The LNRC for Proposal p using pricing form f is the quotient of the cumulative present value of the annual net REC costs over the proposed Contract Tenor, divided by the cumulative present value of the projected annual number of RECs produced from Actual Eligible Production multiplied by the Bid Quantity Percentage over the same period. The annual quantities are discounted at a real discount rate. The resulting quotient is expressed in base year dollars per REC or MWh.

$$LNRC_{p,f} = PVNRC_{p,f} / PVRQ_p$$

where:

$PVNRC_{p,Fixed}$ = PV of Net REC Cost for Proposal p , pricing form Fixed (\$ PV)

$$= \sum_{y=COMD_p}^{y=COMD_p+CT_p} \left\{ \sum_{m=1}^{m=12} P_{p,m,y}^{Fixed} \times RQ_{p,m,y} \times BQP_p \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVNRC_{p,Index}$ = PV of Net REC Cost for Proposal p , pricing form Index (\$ PV)

$$= \sum_{y=COMD_p}^{y=COMD_p+CT_p} \left\{ \sum_{m=1}^{m=12} (SP_{p,m,y}^{Index} - RPE_{m,y}^{Pred} - RPC_{m,y}^{Pred}) \times RQ_{p,m,y} \times BQP_p \right\} \div (1 + NDR)^{(y-Y_b)}$$

$PVRQ_p$ = PV of REC delivery quantities for Proposal p (MWh)

$$= \sum_{y=COMD_p}^{y=COMD_p+CT_p} \left\{ \sum_{m=1}^{m=12} RQ_{p,m,y} \times BQP_p \right\} \div (1 + RDR)^{(y-Y_b)}$$

$RQ_{p,m,y}$ = REC delivery quantity for Proposal p applicable to month m of calendar year y (REC or MWh)

$RPE_{m,y}^{Pred}$ = Predicted Reference Energy Price index for month m in calendar year y (nominal \$/MWh)

$RPC_{m,y}^{Pred}$ = Predicted Reference Capacity Price index for month m in calendar year y (nominal \$/MWh)

BQP_p = Bid Quantity Percentage for Proposal p

$COMD_p$ = Calendar year associated with the expected Contract Delivery Term commencement date for Proposal p

CT_p = Contract Tenor for Proposal p

NDR = Nominal Discount Rate (decimal)

INF = Inflation Rate (decimal)

$RDR = (1 + NDR) / (1 + INF) - 1$ = Real Discount Rate

Y_b = Base year for cost and PV

A nominal discount rate of 6.14%⁴⁵ per year and a long-term inflation rate assumption of 2.0% per year will be used in the LNRC calculation procedure.

For the Index REC form of pricing, strike prices will be converted into expected annual REC values by subtracting a forecast of expected Reference Energy Prices and Reference Capacity Prices from the strike prices, based on NYSERDA's forecasts of energy and capacity prices. Neither the price forecasts nor details of the modeling procedures will be disclosed to Proposers.

5.4 Bid Price Scoring

For purposes of cost containment, Benchmark LNRCs will be derived for both the Index REC and the Fixed REC. NYSERDA retains the right to reject any and all Proposals that exceed the applicable Benchmark LNRC. Use of the Benchmark LNRCs will support a reasonable balance between encouraging investment in new renewable projects and protecting ratepayer interests from the incurrence of any deadweight costs associated with accepting a Proposal at any price.

All bids, including both Index REC bids and Fixed REC bids, will be sorted in ascending order per LNRC. The lowest bid per the LNRC will receive the maximum points available for the Bid Price component (70 points) and higher LNRCs will receive lower scores (less than 70 points). NYSERDA will implement a method that ensures that the scores of higher LNRCs are sufficiently dispersed below the maximum of 70 points such that the final score aggregating Bid Price, Project Viability, Incremental Economic Benefits, and Operational Flexibility and Peak Coincidence retains the intended scoring emphasis on the LNRC to the maximum reasonable extent.

⁴⁵ The discount rate for Bid Price evaluation (DISCo Discount Rate or DDR) was established by the New York State Department of Public Service Office of Accounting, Audits and Finance.

6 PRELIMINARY RANKING, PORTFOLIO EVALUATION, AND FINAL AWARD GROUP

6.1 Preliminary Rank Order

A preliminary final ranking of Bid Proposals will be established based on the sum of the TEP scores for the non-price categories (Project Viability, Incremental Economic Benefits, and Operational Flexibility and Peak Coincidence), and the points awarded for the Levelized Net REC Cost.

6.2 Portfolio Risk Assessment

Following the development of the preliminary rank order, NYSERDA and DPS, in consultation with the TEP members, will then consider whether to apply the following portfolio risk assessment factors as they may apply to the preliminary award group in making a final award group recommendation, using information provided by the relevant Proposers.

The following portfolio risk assessment limits center around the ability of the portfolio to be constructed at the proposed locations and within the required timeframe. If considering whether to apply any of the limits, NYSERDA and DPS will consider the potential cost impact of such decision (relative to the generation portfolio that otherwise would have been selected), only exercising such a limit should the impact on the generation-weighted average cost of the portfolio increase by less than 10 percent (10%) with the application of the portfolio limits.

Such limits will include:

- 1) Diversity of resources: NYSERDA and DPS may constrain any eligible technology to comprise no more than 80 percent (80%) of the award group on an annual generation basis.
- 2) Diversity of owners: NYSERDA and DPS may constrain any owner or affiliate of an owner to comprise no more than 80 percent (80%) of the award group on an annual generation basis.
- 3) Developer limitation: NYSERDA and DPS may limit awards to a specific Bid Facility owner to a capacity of no more than five times the renewable capacity of the largest project that the owner has successfully brought to commercial operation in the past.

6.3 Program Policy Factors

In addition to the portfolio risk assessment factors outlined in Section 6.2, NYSERDA also reserves the right to consider and balance a set of program policy factors in making a final award group recommendation, which include the composition of the portfolio of potential awardees, as well as the various non-scored aspects of each Bid Facility in relation to the objectives identified by the Commission when it established the Clean Energy Standard. Program policy factors can be considered on a portfolio and/or Bid Facility-specific basis, and include:

- 1) Grid reliability and geographic benefits and/or costs to the New York State electric grid exhibited by the Bid Facility;
- 2) Anticipated impacts (and lack thereof) to the energy deliverability of large-scale renewables projects currently under development in New York State; and
- 3) Prioritization of economic benefits to Disadvantaged Communities in furtherance of the targets outlined in the Climate Leadership and Community Protection Act (CLCPA) exhibited by a Bid Proposal.

6.4 Final Award Group

After completing, if applicable, the Portfolio Risk Assessment test(s) and/or employing any Program Policy Factors, NYSERDA and DPS will arrive at a final award group. NYSERDA and DPS may also establish a waitlist of Bid Facilities in rank order for Bid Facilities ranked below those Bid Facilities offered an initial award. The submission of a Step Two Bid Proposal will constitute a binding offer to contract under the terms of the Agreement; such offer must remain open for a period of at least sixty (60) days from the Step Two Bid Proposal deadline.

NYSERDA reserves the right to reject or accept any or all bids. NYSERDA may consider information provided by Proposer in response requests for additional information in accordance with Section 1.12 or otherwise obtained by NYSERDA as to indictments, convictions enforcement proceedings, investigations, and significant character or ethical questions in accepting or rejecting a bid. NYSERDA also reserves the right to solicit revised Bid Prices and/or to make counteroffers as it deems appropriate. Notification of a re-bid, counteroffer or selection will be made by voice communication and via the solicitation website to the Proposer's Project Sponsor(s). Proposer's Project Sponsor(s) must be authorized to respond and to commit to counteroffers on behalf of Proposer.

NYSERDA will then notify Proposers with Bid Facilities contained in the final award group both by voice and written communication to Proposers' Project Sponsor(s) and Authorized Representative(s). The date upon which NYSERDA provides such written notification shall be the Award Notification Date. Once selected for an award, Proposers must negotiate a final version of the Agreement with NYSERDA.

7 STEP ONE ELIGIBILITY APPLICATION

Step One is an initial qualifying step through which the Proposer must provide documentation confirming that the Bid Facility is registered in NYGATS as Tier 1 eligible and other key information about the Proposer and the Bid Facility.

A complete Step One Eligibility Application consists of the following components:

- 1) The letter received in the Proposer's NYGATS account from NYSERDA confirming that the application for Tier 1 eligibility (SoQ or PSoQ) has been approved.
- 2) An electronic form regarding general information about the Proposer and the Bid Facility for which the SoQ/PSoQ was granted. This will include Proposer contact information, and Bid Facility including name, nameplate capacity, expected annual generation, interconnection location (*e.g.*, NYISO Zone), host community or communities, intended pricing structure (Fixed REC or Index REC; not binding), and whether energy storage is to be included.

Instructions on how to submit a full Step One Eligibility Application are available on the solicitation website. Proposers whose Step One Eligibility Applications are found to be complete and that demonstrate eligibility will receive a Notice of Qualification, which will provide Proposers with a description of and access to the process and forms to be used to submit a Step Two Bid Proposal.

7.1 NYGATS Registration and Request for NYGATS Resource Eligibility Determination; Provisional Statement of Qualification (PSoQ) or Statement of Qualification (SoQ)

All Tier 1 eligibility applications to obtain an PSoQ/SoQ must be approved in the New York Generation Attribute Tracking System (NYGATS). Proposers can access the NYGATS system at the following links:

- New User Registration: <https://nygats.ny.gov/ng/Admin/Account>
- Existing User Sign-In: <https://nygats.ny.gov/>

Requests to obtain Tier 1 certification are completed in NYGATS. To complete a request, Proposers must create a NYGATS account, complete a project registration for the Bid Facility, and once the registration is approved, complete an application requesting a Resource Eligibility Determination, in the form of either a Statement of Qualification (SoQ), for facilities in operation at the time of request, or a Provisional Statement of Qualification (PSoQ), for facilities not yet in operation at the time of request. The SoQ/PSoQ certifies that a Bid Facility has met or will meet the eligibility requirements under Tier 1 of the RES.⁴⁶ NYSERDA will notify the Proposer of its eligibility determination by posting a letter in the Proposer's NYGATS account associated with the Bid Facility.

The Bid Facility characteristics submitted for the NYGATS project registration align as closely as possible with the characteristics intended to be submitted as part of a Step Two Bid Proposal (*e.g.*, Nameplate Capacity, NYISO Zone). Alternate Applications and Bid Proposals do not require a separate PSoQ in NYGATS (*e.g.*, Bid Facilities seeking to submit the project as different Nameplate Capacities). Step One

⁴⁶ See <https://www.nyserdera.ny.gov/All-Programs/Programs/Clean-Energy-Standard/RenewableGenerators-and-Developers/RES-Tier-One-Eligibility/Certification>

Eligibility Applications with a different Nameplate Capacity than the Bid Facility's PSoQ must be smaller than the Nameplate Capacity associated with the PSoQ.

The application requesting a Resource Eligibility Determination must be completed in NYGATS by 3:00 p.m. ET on Thursday, August 20, 2020. This will enable NYSERDA to complete the Tier 1 eligibility determination prior to the deadline for submitting the Step One Eligibility Application.

More information on the Resource Eligibility Determination process, including guidelines for documenting eligibility for certification, including the eligibility of distributed energy resources, upgrades, relocated facilities and facilities returning to service can be found on [NYSERDA's RES Tier 1 Eligibility website](#).⁴⁷ Training materials for using NYGATS to apply for an eligibility determination may be found on the [NYGATS website](#).⁴⁸

7.2 Consistency with Existing SoQ or PSoQ

For a Bid Facility with an existing SoQ or PSoQ, a Step One Eligibility Application submitted for the Bid Facility under this RESRFP20-1 must be consistent with the existing SoQ or PSoQ. Some resource changes, for example a change in the Technology Type, Nameplate Capacity, Control System Operator, New York Independent System Operator (NYISO) Zone, Electric Utility Company, Tariff Type, Vintage Type, Bid Facility address or other key project components will require Proposers to submit either (1) an SoQ or PSoQ revision, or (2) a request for a new SoQ or PSoQ. NYSERDA will work with the Proposer to rectify any discrepancies. If assistance is needed, please contact res@nyserda.ny.gov with a subject line "SoQ/PSoQ Assistance."

7.3 Deadline for Submitting a Step One Eligibility Application

Proposers must submit the full Step One Eligibility Application, including an approved PSoQ or SoQ, via the solicitation website by 3:00 p.m. ET on Thursday, August 27, 2020.

7.4 Upgrade Projects

Proposers that intend to submit bids for incremental upgrades must utilize the Tier 1 Upgrade Percentage determined in the NYGATS SoQ or PSoQ. The Tier 1 Upgrade Percentage will be used in the both the Step One Eligibility Application and Step Two Bid Proposal to ultimately determine a Bid Facility's Bid Quantity.

Upgrade projects require a PSoQ, not an SoQ, if the proposed upgrade project is not yet in operation.

⁴⁷ <https://www.nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Eligibility>

⁴⁸ <https://www.nyserda.ny.gov/All-Programs/Programs/NYGATS/Registration-Documents>

8 STEP TWO BID PROPOSAL

Proposers who receive a Notice of Qualification will be invited to submit a Step Two Bid Proposal which will require the Proposer to provide additional information including a Bid Price and more detailed information about the Bid Facility and the Proposer. All Step Two Bid Proposals must be submitted electronically via the solicitation website. Instructions on how to submit a Step Two Bid Proposal will be provided to eligible Proposers that are issued a Notice of Qualification.

Only those Proposers qualified through the Step One Eligibility Application process will be permitted to submit a Step Two Bid Proposal.

All Proposers, as a part of the State's [NY Forward](#), and pursuant to the above Executive Orders, will be required to maintain the [Interim Guidance for Construction Activities](#) during the COVID-19 Public Health Emergency put out by the Department of Health (DOH), and also adhere to the information included in the FAQ on NY Forward and Business Reopening maintained by the Empire State Development Corporation.

Under Step Two, NYSERDA will: (1) examine each Step Two Proposal to determine whether the Proposal demonstrates that the Bid Facility and Proposer meet the minimum Viability Threshold Requirements; and (2) for Proposals that meet those minimum requirements, NYSERDA and the TEP will conduct a full competitive evaluation based on price and non-price factors.

NYSERDA may permit Proposers to cure deficiencies in Step Two Bid Proposal packages, however packages that are incomplete, non-responsive to cure requests, or that failed to complete Step One may be rejected.

A Proposer may not condition the acceptance of one Step Two Bid Proposal based on the withdrawal or acceptance of other Proposals.⁴⁹ A Step Two Bid Proposal may not be contingent on the receipt of any federal tax credits or incentives.

RESRFP20-1 is a competitive procurement. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney. The CES Order, subsequent Implementation Plans and corresponding Orders, and NYS competitive procurement rules limit NYSERDA's ability to alter the terms of the Agreement issued with this RFP. However, as part of the Step Two Bid Proposal, Proposers may indicate terms of the Agreement that they wish to further discuss by providing an attachment in the form of a memorandum. The memorandum should specifically identify any terms and conditions that the Proposer wishes to clarify or negotiate prior to execution. When constructing the memorandum, please identify the Article in the Agreement and state the nature of the issue to be discussed. Should the Bid Facility receive an award, NYSERDA will contact Proposers to schedule a discussion regarding the terms identified in the memorandum.

The indication by a Proposer that it wishes to negotiate the terms of the Agreement will have no impact on the scoring or evaluation of the Bid Proposal.

⁴⁹ NYSERDA will award at most one Bid Proposal per Bid Facility.

8.1 Deadline for Submitting a Step Two Bid Proposal

The complete Step Two Bid Proposal package must be **received** by NYSERDA no later than **3:00 p.m. ET on Wednesday, October 21, 2020, via the solicitation website. NYSERDA strongly recommends that Proposers reserve ample time to address the requirements for each Bid Facility. The Step Two Bid Proposal package must be completed and submitted on-line, before the deadline.**

All electronic signatures must be provided as indicated. Failure to provide any attachments or information requested may result in the Step Two Bid Proposal package being declared non-responsive and rejected. NYSERDA may request additional information and materials at any time. Step Two Bid Proposal packages become the property of NYSERDA. NYSERDA recommends that Proposers use Google Chrome when accessing the solicitation website to complete a Step One Eligibility Application and Step Two Bid Proposal. Unnecessary attachments or lengthy responses beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

8.2 Energy Storage Submission Requirements

Should a Proposer wish to submit a Step Two Bid Proposal which includes Energy Storage, the Proposer will need to complete two separate Step Two Bid Proposals, one with and one without energy storage.

8.3 Step Two Bid Proposal Requirements

A complete Step Two Bid Proposal package consists of:

- 1) Step Two Bid Proposal Form, to be complete on the solicitation website;
- 2) Bid Quantity, Bid Price (Fixed REC or Index REC), and Contract Tenor;
- 3) Supporting documentation for the following Project Viability categories:
 - a. Site Control;
 - b. Interconnection;
 - c. Permitting;
 - d. Project Development;
 - e. Project Financing and Creditworthiness;
 - f. Community Engagement;
 - g. Resource Assessment and Energy Production Estimate;
 - h. Carbon Emissions and Embodied Carbon.
- 4) Community Engagement Plan
- 5) If applicable, supporting documentation to substantiate claims of Incremental Economic Benefits to New York State.
- 6) If applicable, supporting documentation to allow for the evaluation of the Bid Facility's Operational Flexibility and Peak Coincidence non-price component.
- 7) Payment and proof of the provision of a Bid Fee, such as a receipt of transfer confirmation.

NYSERDA recommends that Proposers mark materials provided to NYSERDA as Confidential as needed (see Section 11.1). All Proposers will be required to submit their Step Two Bid Proposals via the solicitation website, and will be required to use the forms shared by NYSERDA following eligibility determinations that will be shared via the Notice of Qualification, such as Attachment D. Bid Data Form.

8.3.1 Bid Proposal Form and Project Descriptions

The information and supporting documentation provided with the Step Two Bid Proposal will be evaluated by NYSERDA to determine whether the minimum Viability Threshold Requirements have been met and/or exceeded. A completed Step Two Bid Proposal must include, but is not limited to, the information in the following sections, and must be submitted via the solicitation website prior to the Step Two Bid Proposal deadline. All required fields must be populated, and all required documents uploaded prior to submission.

Viability Threshold Requirement Descriptions

The Proposer must provide narrative descriptions detailing how the Bid Facility, and if applicable, Energy Storage, meets or exceeds the minimum Viability Threshold Requirements in each Project Viability category. (See Section 8.3.4.)

Bid Facility, Site, and Generating Equipment Descriptions

The Proposer must provide a complete description and overview of the Bid Facility, describing the area included in and surrounding the generation site, a description of the local zoning, and other applicable ordinances and municipal laws, existing land use (*e.g.*, woodlands, brownfield, agriculture, other) and setting (*e.g.*, rural, urban, suburban, other) and describe what the site(s) has been used for in the recent past. Include and describe the status and development stage of Bid Facility (development, construction, or operation). Include information about the specific technology or equipment considered or selected, major equipment to be used, manufacturer or vendors considered or selected, equipment acquisition status, and equipment contract/equipment agreement status. Certain non-binding resource-specific details may be requested by Proposers (*e.g.*, planned module and inverter, expected production increase from bifacial/tracking modules, storage round trip efficiency losses, *etc.*).

Bid Facility Interconnection Description

The Proposer must identify the proposed interconnection point(s) and provide a complete description and overview of the preferred interconnection route of the Bid Facility from the generation site, including what rights the Proposer has to the interconnection point(s), how the Proposer has gained interconnection site control, and any rights that must be obtained by the Proposer or interconnecting utility for the interconnection. If land needed to access the interconnection point(s) is not controlled, provide a detailed plan and timeline for the acquisition of any additional rights necessary for the right-of-way to the interconnection point(s). Identify and describe the individual land parcels associated with the interconnection and any rights of way needed. If applicable, fully describe the relationship of the site to other adjacent infrastructure, including preferred or alternate point(s) of interconnection (POI). Please indicate whether there are known risks or uncertainty associated with the preferred POI. If the Proposer is planning on using an adjacent parcel or if the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, clearly explain this in the description. Specify and describe the current or new interconnection facilities (lines, transformers, switching equipment, system control protection, *etc.*) that the Proposer owns or is intending to construct or have constructed in order to deliver the proposed energy. Identify the closest Bulk Power Transmission Facility (BPTF) to the Bid Facility site.

Energy Storage Site and Equipment Description (if applicable)

The Proposer must provide a complete description and overview of the Energy Storage,⁵⁰ describing the area included in and surrounding the Energy Storage site, a description of local zoning, other applicable ordinances and municipal laws, if the Energy Storage component is not co-located with the Bid Facility, describe the existing land use (*e.g.*, woodlands, brownfield, agriculture, other) and setting (*e.g.*, rural, urban, suburban, other) and describe what the Energy Storage site has been used for in the recent past. Include and describe the status and development stage of Energy Storage (development, construction, or operation). Include information about the specific technology or equipment considered or selected, major equipment to be used, manufacturer or vendors considered or selected, equipment acquisition status, and equipment contract/agreement status.

If an award includes Energy Storage, the Proposer must agree to reasonably participate in an Energy Storage Technical Working Group (ES TWG) and its associated activities.

Energy Storage Interconnection Description (if applicable)

The Proposer must provide a complete description and overview of the planned interconnection of the Energy Storage, including how the Proposer plans to gain interconnection site control and any rights that must be obtained by the Proposer or interconnecting utility for the Energy Storage interconnection. Identify and describe the individual land parcels associated with the Energy Storage interconnection and any rights of way needed. If applicable, fully describe the relationship of the site to other adjacent infrastructure, including planned or alternate points of interconnection. If the Proposer is planning on using an adjacent parcel or if the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, clearly explain this in the narrative. Specify and describe the current or new interconnection facilities (lines, transformers, switching equipment, system control protection, *etc.*) that the Proposer owns or is intending to construct or have constructed in order to deliver the proposed energy.

Impacts of COVID-19 on Proposer and Project Development

The Proposer must describe how the COVID-19 pandemic has affected their business operations, the process of developing new projects, and the content of the Bid Proposal. For the avoidance of doubt, the content of this section of the Proposal is informational only and will not affect the Project Viability scoring of the Bid Proposal.

Bid Facility Project Schedule

If the Bid Facility, and if applicable, Energy Storage, is under development, the Step Two Bid Proposal package must populate a complete Bid Facility Project Schedule, detailing key development milestones. Proposers must provide all project schedule details on the Project Schedule page of the Step Two Bid Proposal on the solicitation website.

⁵⁰ The description must include an overview of the Energy Storage component, including the Storage Unit(s), Interconnection Facilities up to the Point of Interconnection, Prevention Equipment, and Protective Apparatus together with all materials, equipment systems, structures, features and improvements necessary to safely store, charge and discharge electric energy.

Proposers shall include a narrative that describes each segment of the process, the required permit or approval, the status of the request or application and the basis for project success by the milestone date provided. If the Bid Facility is Operational, a completed Project Schedule is not required.

Confidentiality

The Step Two Bid Proposal allows the Proposer to indicate whether Proposer wishes to have the information in the Bid Proposal package treated as proprietary or confidential trade secret information. NYSERDA is subject to and must comply with the requirements of New York's Freedom of Information Law ("FOIL" see Public Officers' Law Article 6). Information in any tangible form including any document that Proposer wishes to be protected from disclosure to third parties including any information provided as a part of a proposal must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA.

NYSERDA reserves the right to publish the Agreements executed with awardees, including relevant terms within the Agreements. Prior to such publication, NYSERDA will redact any critical electric infrastructure information contained in the Agreements, if any, including in the exhibits thereto, and will consider requests to redact confidential business information; provided, however that NYSERDA will not entertain any request to redact price information contained in this Agreement, specifically the Bid Price.

The Step Two Bid Proposal further requires that the Proposer answer a series of questions regarding the Proposer, and the directors, employees and agents of Proposer and any affiliate of Proposer with respect to: (1) current investigation(s) by any governmental agency; (2) convictions or established liability for any act prohibited by State or Federal law in any jurisdiction involving conspiracy, collusion or other impropriety with respect to offering on any contract; or (3) any debarment action (detail any exceptions), within the last 4 years.

The Step Two Bid Proposal also includes the Proposer's attestation regarding the accuracy and truthfulness of the information and documentation provided by the Proposer.

8.3.2 Bid Quantity, Price, and Contract Tenor

The Bid Quantity, Bid Price, and Contract Tenor section includes fields for the Proposer to calculate the annual number of Tier 1 RECs (Bid Quantity) to be offered to NYSERDA and the Contract Tenor, subject to the following restrictions:

- 1) Proposers may submit bids for any Contract Tenor of a minimum of one year and a maximum of the Maximum Contract Tenor.
- 2) For wind, solar, and hydroelectric resource types, the Expected Annual Eligible Production and Bid Quantity shall not exceed the P(50) long-term Energy Production Estimate provided under the Step Two Bid Proposal. The P(50) Energy Production Estimate must align with the 8760 hourly profile provided that is representative of the production at the Bid Facility over the proposed Contract Tenor.
- 3) The Bid Quantity Percentage shall be no less than thirty percent (30%) and no greater than one hundred percent (100%) of the Expected Annual Eligible Production.

Proposers will be responsible for submitting one Bid Price offer, using either the Fixed REC or Index REC structure, with each Bid Proposal.

- 1) For the Fixed REC structure, the Bid Price consists of a fixed REC price for the term of the Contract Tenor.
- 2) For the Index REC structure, the Bid Price consists of a Strike Price that will be entered into the calculation outlined in Section 5.3.

8.3.3 Maximum Contract Tenor

Information provided with the Bid Facility’s PSoQ/SoQ and Step One Eligibility Application will be used to determine the Maximum Contract Tenor available to the Bid Facility. The Contract Tenor offered in Step Two for a Bid Facility will be limited by the term of the Maximum Contract Tenor.

For all Bid Facilities not in Commercial Operation as of the RFP Release Date, the Maximum Contract Tenor will be calculated as the lesser of:

- 1) 20 years, or
- 2) the Bid Facility’s Useful Life

For all Bid Facilities in Commercial Operation as of the RFP Release Date, the Maximum Contract Tenor applicable to the Bid Facility will be calculated as the lesser of:

- 1) 20 years (240 months) minus the number of years (months) between the year (month) of Commercial Operation and the RFP Release Date (rounded to the nearest full year), or
- 2) The Bid Facility’s Useful Life minus the number of years (months) between the year (month) of Commercial Operation and the RFP Release Date (rounded to the nearest full year).

For a Return to Service Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the original date of Commercial Operation prior to the outage. For a Relocated Facility, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the first date of Commercial Operation in the original control area.

The following table lists the Useful Life by resource for use in the calculations of Maximum Contract Tenor for this RFP. The Useful Life for Energy Storage is not included in any Maximum Contract calculation but is included for reference; the Step Two Bid Proposal should be consistent with the Resource’s Useful Life both with and without Energy Storage, as applicable.

Table 1. Default Values for Useful Life used to determine Maximum Contract Tenor

Resource	Useful Life (years)
Anaerobic Digestion	20
Biomass/Liquid Biofuel	20
Fuel Cell	20
Hydroelectric (New or Upgrade)	50
Solar PV	20
Tidal/Ocean	10
Wind	20
Energy Storage	20

8.3.4 Project Viability and Viability Threshold Requirements

The supporting documentation for each minimum Viability Threshold Requirement should be uploaded as attachments as described in detail below. Attachments should be clearly marked with the Bid Facility Name and NYGATS ID.

The list below identifies the supporting documentation required to verify that the Bid Facility meets the minimum Viability Threshold Requirements for each category. **If a Bid Facility exceeds the minimum Viability Threshold Requirement in any category, documentation should be provided.**⁵¹ Bid Facilities that have exceeded the minimum Viability Threshold Requirements will be awarded more points by the TEP.

Site Control

The Proposer must demonstrate that the proposed Bid Facility meets the minimum Viability Threshold Requirements for the Generation Facility and Interconnection Right of Way Site Control by providing the following documents:

- Detailed map of site plan/layout indicating the project and parcel boundaries, to scale, with parcel designation by owner. The map should indicate the (anticipated) interconnection route and the (anticipated) interconnection point(s). If applicable, indicate the relationship of the site to other adjacent infrastructure, including planned or alternate points of interconnection and proximate generators or other existing infrastructure.
- Concept site plan including the locations of the generation unit, all major equipment and facilities, access roads, site work and other project components, along with existing physical features of the site (*e.g.*, wetlands, streams, topographical features, buildings, *etc.*).
- Fully populated Description of Control Status by Parcel with parcel designation tied to site map within Attachment D. Proposers are encouraged to carefully read all instructions contained within Attachment D.

If applicable and/or available, the Proposer should provide the following documents:

- If proposing with Energy Storage co-located with the generator, clearly identify the location of Energy Storage on the site plan. If proposing with Energy Storage not located with the generator, provide a separate map and site plan of the Energy Storage site and (anticipated) interconnection route in the same attachment as the Bid Facility map and site plan.
- If available, GIS data containing the parcel boundaries that the project will occupy (SHP file preferred, KML/KMZ files permitted).

⁵¹ For example, for the Interconnection requirements for a 20 MW Bid Facility subject to NYISO jurisdiction, the documentation required to demonstrate achievement of the minimum Viability Threshold Requirement consists of a System Reliability Impact Study/System Impact Study or equivalent in progress. If for example a Facilities Study has been executed, attach a copy and provide confirmation of associated fees paid. The study will satisfy the minimum Viability Threshold Requirement and will also be considered as a part of the Project Viability evaluation conducted by the TEP.

Interconnection

The Proposer must demonstrate that the Bid Facility meets the minimum Viability Threshold Requirements for interconnection progress by providing a summary and other evidentiary documentation from the Interconnecting entity confirming the extent of interconnection activities and confirming payment of any necessary fees. Evidentiary documentation can include:

- For large generators proceeding through the FERC-jurisdictional NYISO interconnection process or an equivalent process, evidence that a System Impact Study (SIS) or System Impact Reliability Study (SRIS), or equivalent, is in progress with fees paid or is complete; or evidence that a study beyond the SIS/SRIS phase of the NYISO interconnection process is underway and/or complete (*e.g.*, Facilities Study, Interconnection Agreement, or equivalent studies) as described in Section 4.1.
- For small generators proceeding through a Transmission Owner interconnection process, evidence that a Coordinated Electric System Interconnection Review (CESIR), or equivalent, is in progress as described in Section 4.1.

If applicable and/or available, the Proposer should provide the following documents:

- Copies of associated agreements or other evidence (required fees have been paid) supporting the claimed level of progress as listed above.
- If available, a deliverability study or other analyses performed by the Proposer to demonstrate or evidence that the output of the Bid Facility is energy deliverable. See Section 4.3.
- If available, a one-line diagram.

Permitting

The Proposer must demonstrate that the Bid Facility meets the minimum Viability Threshold Requirements for permitting progress by providing a complete Permitting Plan as described below and in Appendix 2, and by and submitting other information for the Bid Facility that includes the following components:

1) For all Bid Facilities:

- a. A complete Permitting Plan and list of required permits, to be entered in Attachment D, including all permits at the local, state and federal level required to construct and operate the Bid Facility, and if applicable, Energy Storage. Proposers must identify all governing municipalities with jurisdiction or approval authority associated with the Bid Facility, and if applicable, Energy Storage, as proposed to NYSERDA. The complete response will include any special use/conditional use permits, air permits, FERC licenses, planning board approvals, U.S. Army Corps of Engineers (USACE) letters, SPDES permits and other applicable requirements. Proposers must identify a contact for each jurisdiction (for example, hamlet, village, town, city, county, agency, authority, State, or other) associated with the permits.
 - i. Regardless of expected permitting process, Proposers should specify the local official(s) associated with the Authority Having Jurisdiction (AHJ) for the towns, counties and/or school districts in which the Bid Facility is sited, such as the town supervisor or planning/zoning board lead/chair.

- ii. If the Proposal includes Energy Storage, the Proposer will list all associated permits as provided for the Bid Facility. The permits associated with the Bid Facility and the Energy Storage should be delineated (*e.g.*, Building Permit, Electrical Permit, Fire Permit, *etc.*).
 - iii. If the Bid Facility overlaps with mineral soil groups (MSG classifications 1-4), the Proposer may be responsible for making an agricultural mitigation payment to a designated fund. Proposers must also detail how they plan to comply with the Guidelines for Solar Energy Projects - Construction Mitigation for Agricultural Lands document (Guidelines, Exhibit E to the Agreement). Bid Facilities seeking permits through the Office of Renewable Energy Siting (ORES) will be required to comply with all ORES requirements, which may include adherence with an amended set of the Guidelines should the final ORES regulations include such an amendment.
- b. A description of any local ordinances (including zoning prohibitions or moratoria) that would limit the Bid Facility's size, location, or schedule, and describe the plan to address these issues. If the Bid Facility or the Energy Storage are not currently zoned or permitted, identify present and required zoning and/or land use designations and provide a plan and timeline to secure the necessary approvals.
 - c. An initial review of (i) cultural, historic, archeological and natural heritage impacts, as may be required; and (ii) water bodies (*e.g.*, streams, wetlands), fish and wildlife, and other applicable environmental and/or agricultural impacts identified in Appendix 2 - Permitting Plan Impacts and Guidelines. Include any initial review measures that have identified strengths or weaknesses of the Bid Facility site related to long-term climate change resiliency.
 - d. If applicable, include any initial review of any physical and economic impacts that the Bid Facility's development may have on Disadvantaged Communities.⁵²
- 2) **For Bid Facilities within the NYCA that are less than 20 MW**, the Proposer must submit a Permitting Plan that describes its plans for advancing the Bid Facility through the SEQR process or, if eligible, another applicable permitting process. If the Bid Facility has not yet entered the SEQR process or other applicable process, the Proposer must include a description of the Proposer's plan to advance the Bid Facility through the process, a description of any approach regarding conditions or other expectations, and target dates for each major step of the process. For example, a Bid Facility in the SEQR process would provide timing for SEQR (Steps 2-12 as outlined by the NYS DEC on <https://www.dec.ny.gov/permits/6189.html>). If the SEQR process has commenced, the Proposer must describe the current status and planned activities for advancing the Bid Facility through the rest of the SEQR process, including target dates for major

⁵² Acknowledging that New York State has not yet formally defined Disadvantaged Communities, this RFP will rely on already-established criteria for communities that meet the spirit of the Disadvantaged Communities objectives of the CLCPA. Projects will be evaluated by the TEP if they can demonstrate benefits of the project's development are afforded to communities located in low-income census tracts, Potential Environmental Justice Areas, and New York Opportunity Zones.

milestones and a description of the Proposer's approach regarding conditions, negative declarations, special-use permits, land-scaping permits, or other expectations.

- 3) **For Bid Facilities within the NYCA greater than 20 MW**, the Proposer must submit a Permitting Plan that describes its plans for advancing the Bid Facility through the expected applicable process.

If the Bid Facility has begun its application under Article 10 and plans to continue under that process, the Proposer must include a description of the Proposer's proposed Public Involvement Program Plan (PIP), a description of any approach regarding stipulations or other expectations, and target dates for each major step of the Article 10 process (PIP, Public Scoping Statement [PSS], and Application), the current status and planned activities for advancing the Bid Facility through the remaining milestones of the Article 10 process, including target dates for major milestones and a description of the Proposer's approach regarding stipulations or other expectations.

If the Bid Facility will be subject to the newly-established NYS Department of State [Office of Renewable Energy Siting \(ORES\) permitting process](#), describe to the best of your ability the planned process and timeline for proceeding through the new process to obtain a permit to construct the Bid Facility as proposed, including the timing of any public engagement and/or planned studies to be completed prior to submitting an application. Focus on items a-d as part of the Permitting Plan as required above. On September 16, 2020, the [Office of Renewable Energy Siting](#)⁵³ issued draft regulations and draft uniform standards and conditions that are subject to the State Administrative Procedure Act (SAPA). These drafts are available here:

- [Draft Regulations Chapter XVIII Title 19 \(Subparts 900-1 – 900-5; 900-7 – 900-14\)](#)
- [Draft Regulations Chapter XVIII Title 19 \(Subparts 900-6\)](#)

- 4) For Bid Facilities not located in the NYCA, complete a New York SEQRA Short Environmental Assessment Form (SEAF) such that it could be submitted for the Bid Facility if it were located in New York State.⁵⁴

- 5) For Bid Facilities including Energy Storage, either:

- a. include any NYS Department of Environmental Conservation (DEC) EAF submissions specific to the Energy Storage facility. If applicable, provide evidence that the Lead Agency for the SEQRA process has been designated, or;
- b. complete and submit a draft New York SEQRA Short Environmental Assessment Form specific to Energy Storage.

⁵³ The New York State Office of Renewable Energy Siting website is <https://ores.ny.gov/> and the draft regulations can be found at <https://ores.ny.gov/regulations>.

⁵⁴ Short Environmental Assessment Form (SEAF) (Appendix B to 6 NYCRR 617.20) is available here: https://www.dec.ny.gov/docs/permits_ej_operations_pdf/seafpartone.pdf

The Permitting Plan should also include documentation and descriptions sufficient to demonstrate progress on each of the applicable items delineated above.

Required evidentiary documentation should include:

- A complete Permitting Plan and list of required permits as described above. If available, the Permitting Plan should include as many aspects of [Appendix 2 – Permitting Plan Requirements and Guidelines](#).

If applicable and/or available, the Proposer should provide the following documents:

- Documentation filed with or received from the local governmental authority confirming that a request for a zoning change or variance has been initiated and/or the local approval process is underway.
- For Bid Facilities i) outside of the NYCA, or ii) Bid Facilities including Energy Storage, a completed New York SEQRA Short Environmental Assessment Form (SEAF).
- If applicable, evidence that the Lead Agency for the SEQRA process has been designated or is in the process of designation.
- If available, applications for construction permit(s) that have been submitted to local authority(ies) with approval jurisdiction.
- If available, any applicable field studies (*e.g.*, Environmental Site Assessment⁵⁵ Phase 1, Archaeological Phase 1, Geotechnical) and surveys (*e.g.*, ALTA, topography, water bodies/wetlands, or other), and/or the status of unstarted or ongoing field studies and surveys.
- For hydroelectric facilities only, include the Bid Facility's FERC license expiry date or provide evidence that FERC licensing process has been initiated and notice of intent has been filed.⁵⁶

Project Development⁵⁷

The Proposer must demonstrate it meets the minimum Viability Threshold Requirements for Project Development experience by providing the following documentation:

- An organizational chart for the Bid Facility that lists the participants and identifies the corporate structure, including general and limited partners.
- A management chart that lists the key personnel dedicated to the Bid Facility.

⁵⁵ ASTM International, formerly known as American Society for Testing and Materials, published a standard for conducting Phase I Environmental Site Assessments. See ASTM E1527-13, Standard Practice for Environmental Site Assessments: Phase I Environmental Site Assessment Process, ASTM International, West Conshohocken, PA, 2013, <http://www.astm.org/cgi-bin/resolver.cgi?E1527-13>.

⁵⁶ If applicable, identify program eligibility under FERC minor environmental effects, *e.g.*, projects that involve little change to water flow and use and are unlikely to affect threatened and endangered species. If applicable, please identify the New York State Department of Environmental Conservation classification for the dam associated with the Bid Facility, available online at the New York State Dams Inventory Database. See <https://www.dec.ny.gov/lands/4991.html> for a full dataset of NYS Dams, the NYS DEC Dams Inventory.

⁵⁷ Unless the proposed Bid Facility is currently in operation (*i.e.*, proposed Bid Facility is applying with an SoQ).

- A list of specific projects successfully developed, specifying the nameplate capacity, technology,⁵⁸ commercial operation date, and location using Attachment D. Bid Data Form.

Project Financing and Proposer Creditworthiness

The Proposer must demonstrate that it meets the minimum Viability Threshold Requirements for Project Financing and Creditworthiness by providing a required Financing Plan that demonstrates the financial capability to complete construction by the proposed commercial operation date. The Financing Plan should contain if available and applicable:

- A description of the business entity, organizational structure, and legal form, with an organization chart showing the relationship among the different equity partners, and parents;
- A detailed description of the anticipated financing arrangements, including equity, pre-construction and development expenditures, Contract Security, construction debt, mezzanine / subordinated debt, and permanent debt;
- A list of all committed and potential equity partners;
- The Bid Facility development and operating responsibilities of each equity partner, and their respective funding obligations, *e.g.*, joint and several funding responsibilities, if applicable.
- Evidence that the Proposer or its equity participant(s) possess an investment grade Credit Rating. If an equity participant does not have such Credit Rating, *e.g.*, a subsidiary, it shall provide (i) written evidence of a corporate commitment, for example, a “comfort” letter or “keepwell” agreement, to support the development and financing from its parent company and (ii) evidence of an investment grade Credit Rating from that parent company;
- In addition to the Credit Ratings, any credit alerts or rating upgrade or downgrade for the equity partners, or their parent companies in the past three years;
- If available, written expressions of interest from potential debt lenders sufficient to fund the full anticipated amount of project development, construction and permanent debt capitalization;
- The anticipated construction and long-term capital structure for the Bid Facility ownership entity, including the Bid Facility’s projected balance sheet at year-end for every construction year and at COD.
- Description of the evolution of division between shareholder equity and debt from the development period through the construction period;
- Details of the expected construction loan and permanent loan, including terms of repayment, (amount, tenor, interest rate, *etc.*), the amount each lending institution is prepared to commit (subject to credit committee approval), their debt service requirements (interest, rate swaps, letters of credit, guarantees, *etc.*), with all fees indicated clearly;
- Describe all available federal, state, and local available tax credits, financial incentives, and subsidies (*e.g.*, NY Green Bank financing), and how these will be utilized in the Financing Plan. Explain why any available tax credit, financial incentive, or subsidy will not be utilized;
- Details of any events of default or other credit/financial issues associated with all projects (other than those under contract with NYSERDA) in which the Proposer (and other equity partners), its parent company, its affiliates, and directors, officers, and senior managers of those entities, participated over the past three years;
- Disclosure of any criminal and civil lawsuits, litigation, and settlements associated with the Proposer’s prior project development and commercial efforts over the last three years; and

⁵⁸ Resource and prime mover, *e.g.*, solar or wind. Not meant to distinguish between different solar technologies, for example.

- Information concerning the Proposer’s (and other equity partners) financial condition and evidence of creditworthiness.
- If available, for the most recent accounting period and prepared in accordance with GAAP or IFRS: 1) A copy of its annual report containing audited consolidated financial statements (income statement, balance sheet, statement of cash flows and statement of retained earnings and all accompanying notes) for such fiscal year, setting forth in each case in comparative form the figures for the previous year, and 2a) for SEC reporting companies, access to financial statements certified in accordance with all Applicable Laws, including applicable SEC rules and regulations, or 2b) for non-SEC reporting companies, certification from the chief financial officer, controller, treasurer or any assistant treasurer of a Proposer/Seller or any employee of a Proposer/Seller designated by any of the foregoing, as being fairly stated in all material respects (subject to normal year-end audit adjustments). If a Party’s financial statements are publicly available electronically on the website of that Party or the SEC, then the Party shall be deemed to have met the requirements of this section.

The Proposer must demonstrate that it meets the minimum Viability Threshold Requirement for Project Financing experience by providing the following documentation:

- Financing Plan as described above;
- Organizational Chart, including financial arrangements to the Proposer’s parent company or affiliate; and
- Management Chart including principal(s) to Project Development team.

If applicable and available, the Proposer should provide the following documents via PDF or summary documents with links to publicly available PDFs (**Links to all publicly available SEC filings are preferred as opposed to the submission of full SEC filings**):

- Audited financial statements for the three most recent fiscal years;
- Audited financial statements from Proposer’s parent, if Proposer does not have such financial statements and the parent is providing a corporate funding commitment; or
- Unaudited financial statements for its three most recent fiscal years if being provided for a private corporation, with an attestation from the CEO or CFO that such information is materially accurate and complete; or
- An explanation if the information above cannot be provided, and provision of alternate information to demonstrate Proposer’s financial capacity to develop and bring the proposed Bid Facility to commercial operation.

Community Engagement

The Proposer must provide documentation that it has been in contact with the host AHJ(s) regarding the proposed Bid Facility and has informed the AHJ(s) local elected officials (restricted to primary executive *e.g.*, Town Supervisor, City Mayor, Planning Board Chair, Zoning Board Chair, Code Enforcement Officer, Town Clerk) about the Bid Facility’s participation in RESRFP20-1. Documentation can include, but is not limited to,

- Correspondence between the Proposer and host AHJ(s);
- Publicly records of Town/Planning/Zoning Board meeting minutes and/or presentations;
- Communications with local elected and/or administrative officials; and/or

- Letters of Support provided by representatives of the host AHJ(s).

Documentation provided by the Proposer must be definitively demonstrate that the Proposer is communicating with the host AHJ(s) regarding the proposed Bid Facility. Proposers are encouraged to submit as much documentation as available to fulfill this eligibility requirement and are encouraged to work with all of the applicable stakeholders at the local level.

Proposers are encouraged to familiarize themselves with any utility bill credit requirements that are advanced in response to the Accelerated Renewables Act, specifically the directive to establish a program under which the owners of a renewable facility under contract with New York State will be required to provide a discount or credit on utility bills, or a compensatory or environmental benefit, to customers within a host community.

In [Public Service Commission Case 20-E-0249](#), In the Matter of a Renewable Energy Facility Host Community Benefit Program, DPS Staff published a Host Community Benefit Program Proposal. In the filed Proposal, DPS Staff proposes that residential electric utility customers residing in a renewable Host Community receive an annual bill credit for each of the first ten years that a Major Renewable Energy Facility operates in that community. Funding for the bill credits would be provided by the owners of the major solar and wind renewable energy facilities by paying an annual fee of \$500 per megawatt (MW) and \$1,000 per MW, respectively, of nameplate capacity. The fees paid by a Major Renewable Energy Facility would be distributed equally among the residential utility customers within the Host Community of the facility.

Therefore, NYSERDA directs Proposers submitting Bid Proposals to RESRFP20-1 with Bid Facilities 25 MW and larger to include at least a \$500 per megawatt (MWac) Host Community Benefit Program Fee ("Program Fee") for solar projects and \$1,000 per megawatt Program Fee for wind projects, for each of the first ten years once the Bid Facility reaches Commercial Operation. NYSERDA acknowledges that the final Host Community Benefit Program Fee will not be confirmed until a PSC Order is issued and such an Order is not expected until after the October 21st Bid Proposal deadline. Therefore, it is important for Proposers to understand that Bid Facilities awarded under RESRFP20-1 will be subject to whatever the PSC Order requires, including any changes in the requirements and/or fees proposed in the DPS Proposal. NYSERDA will not adjust any award to accommodate changes to the proposed Host Community Benefit Program Fee.

Community Engagement Plan

The public and local governments play an important role in the process of evaluating and advancing power plant siting in New York State, and in shaping developments that may be permitted in their communities. Proposers are responsible for planning and implementing a Community Engagement Plan that supports an open and inclusive public process and encourages feedback throughout the development and construction of proposed Bid Facility. An effective Community Engagement Plan reflects an understanding of local interests and concerns, provides high-quality and well-timed public education opportunities, demonstrates a commitment to partnering with the elected officials in proposed host communities, respectfully responds to opposition, and elicits input from the public and affected agencies.

Prior to and following the submission of Step Two Bid Proposals, NYSERDA's Clean Energy Siting team will schedule and meet with local officials in the proposed host communities, in person and/or via teleconference. These meetings will be conducted without Proposer participation, but NYSERDA will notify the Proposer regarding the schedule for such meetings and provide a brief synopsis of such meetings after they conclude. NYSERDA intends to share the submitted Community Engagement Plans and Attachment B. Public Release of Information Form with local officials interested in the learning more about the project's development.

All Proposers will also be required to complete and submit Attachment B. Public Release of Bid Facility Information to be published alongside the Bid Facility's Community Engagement Plan. A blank version of Attachment B is available for download from the [RES Solicitations webpage](#) and the solicitation website.

All Proposers must provide a complete Community Engagement Plan including planned engagement activities associated with the Bid Facility, and if applicable, Energy Storage, as described below.

- 1) Identify the Authority Having Jurisdiction (AHJ) and taxing School District, including local elected officials' names, contact information and tenure.
- 2) Detail outreach strategies and activities the Proposer has implemented to date and will use to engage stakeholders and interested parties, including affected agencies, and to encourage public involvement throughout the pre-award, development, construction, and operation phases (consistent with the Project Milestone Schedule), including methods of communication and specific channels the Proposer intends to use to disseminate Bid Facility information.
- 3) Applicability of the CLCPA goals regarding benefits to Disadvantaged Communities that would be realized with the development and construction of the Bid Facility.
- 4) Planned frequency of public events and the anticipated duration, in years, of the public engagement events of community outreach, and strategies to ensure that public engagement events are widely attended by a representative cross section of host community residents.
- 5) Details of the direct benefits to the community the Proposer will advance, which may include a local ownership stake in the facility, reduced energy bills for those with homes or businesses in the Bid Facility's vicinity, and/or other direct benefits.
- 6) Details on past/planned engagement regarding payments in lieu of taxes (PILOT) agreements or host community agreements (HCAs).
- 7) Describe local interests and concerns, including identifying plans to thoughtfully build support for and respectfully responding to any opposition to the Bid Facility.
- 8) Identify strategies the Proposer will use to mitigate concerns raised by the public regarding the Bid Facility, and if applicable, Energy Storage. This may include visibility and viewshed Impact mitigation efforts, accommodations to co-locate agricultural activities, or other issues of importance to the host communities.
- 9) Method for soliciting feedback and input from the public and affected agencies and the process for sharing feedback and responses publicly.

The Community Engagement Plan will be published on NYSERDA's website following receipt of the Step Two Bid Proposal.

Resource Assessment and Energy Production Estimate

The Proposer must provide a Resource Assessment and Energy Production Estimate that responds to all required information identified in Appendix 1. The Proposer must also provide a narrative description of

any assumed level of curtailment built into the resource assessment and any projected impacts on the Bid Facility's energy and/or capacity deliverability.

Detailed instructions regarding the supporting documentation required to meet the minimum Viability Threshold Requirements for a Resource Assessment and Energy Production Estimates, by technology, are provided in Appendix 1.

Carbon Emissions and Embodied Carbon

The Proposer should describe the efforts that have or can be undertaken to minimize the Bid Facility's embodied carbon intensity. To the extent discernable at the current stage of development, Proposers should describe and explain the anticipated carbon intensity in Bid Facility design, sourcing, construction, operation and maintenance.

Proposers should also describe and explain any available process by which the Proposer will be able to account for embodied carbon on an ongoing basis through development, construction and operation of the Bid Facility. This could include the sourcing and manufacturing of primary components such as modules, inverters, turbines, towers, other prime movers, cables, substations, energy storage facilities, and other electric equipment, but should also consider associated activities such as construction, Operation & Maintenance (O&M), and decommissioning. This could also include opportunities to support carbon mitigation efforts in collaboration with New York State manufacturing sources.

8.3.5 Incremental Economic Benefits to New York State

Incremental Economic Benefits expected to accrue to New York because of the development, construction/modification, and operation of the Bid Facility will be evaluated as another non-price evaluation component. Incremental Economic Benefits are those that a Proposer can demonstrate: (1) will accrue because of an award under this RFP, and (2) would not have accrued but for the award of a contract under this RFP.

Incremental Economic Benefits can be claimed as of the RFP Release Date.

Only those Incremental Economic Benefits falling within the categories defined below, as entered in Attachment D. Bid Data Form will be considered. In no instance will NYSERDA or its TEP consider any indirect benefits or those created by any "multiplier effect" or other attribution method under which the creation of peripheral spending and jobs might be credited to direct capital infused into the economy.

All proposers, as a part of the State's [NY Forward](#), and pursuant to the above Executive Orders, will be required to maintain the [Interim Guidance for Construction Activities](#) during the COVID-19 Public Health Emergency put out by the Department of Health (DOH), and also adhere to the information included in the FAQ on NY Forward and Business Reopening maintained by the Empire State Development Corporation.

Because New York State has not yet formally defined Disadvantaged Communities, this RFP will rely on already-established criteria for communities that meet the spirit of the Disadvantaged Communities objectives of the CLCPA. Bid Proposals will be awarded more points by the TEP if the Proposer can

demonstrate benefits of the project's development are afforded to communities located in low-income census tracts, Potential Environmental Justice Areas, and New York Opportunity Zones.

Incremental Economic Benefits previously claimed with respect to a Bid Facility that is subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA contract are not eligible for evaluation.

Proposers must provide complete information along with the supporting documentation or requested data in the following two categories. The types of components of the two categories are further described below:

- 1) Long-Term Economic Benefits to New York State; and
- 2) Short-Term Economic Benefits to New York State.

Note that all laborers, workmen and mechanics, within the meaning of NYS Labor Law Article 8, performing construction activities with respect to the Bid Facility and, if awarded, Energy Storage, must be paid at least the applicable Prevailing Wage applicable in the area where the Bid Facility will be situated, erected and used, as published by the [NYS Department of Labor](#) (DOL) or at least the equivalent Prevailing Wage requirements of the jurisdiction where the Bid Facility is located.

Independent audit and verification of the actual Incremental Economic Benefits of the Bid Facility and comparison to the level of claimed Incremental Economic Benefits will be required after the first three years of the Contract Delivery Term where the Proposer will submit an economic benefits report prepared by a New York State certified, independent certified public accountant, demonstrating the actual Incremental Economic Benefits that resulted from the construction and operation of the Bid Facility under the categories and within the eligibility requirements listed in the RFP. The Economic Benefits Report will be funded at the Bidder's expense. Should the Bidder fail to reasonably demonstrate that the total dollar amount of Incremental Economic Benefits divided by Installed Bid Capacity, is at least 85% of Expected Total Dollars divided by the Bid Capacity in each category, NYSERDA may at its option upon Notice to Seller, modify the Agreement by reducing the Bid Price payable for the remainder of the Contract Delivery Term.

Long-Term Economic Benefits to New York State

The Proposer should describe the degree to which the development, construction, and operation of the Bid Facility will directly create (add) long-term jobs and/or accrue long-term payments to the New York State economy, its municipalities and/or residents. Payments that will provide long-term royalties, production-based payments, land lease or land use payments or other forms of compensation are also eligible in this category. Payments for non-renewable fuels (*e.g.*, natural gas) are not eligible for consideration in this category or in any Economic Benefits category. Eligible claims can include:

- 1) Employment of workers in New York in the form of long-term jobs (jobs lasting longer than three years). These can include, but are not limited to, jobs associated with operations and maintenance, plant management, long-term project development, or similar;
- 2) Establishment of a project office in New York State, including pre-development activities, leases/purchases, and related employment not claimed as jobs associated with operations and maintenance, plant management, long-term project development, or similar;
- 3) New or increased local property tax payments to school districts, cities, towns, or other taxing jurisdictions;

- 4) Payments in Lieu of Taxes (PILOT) agreements or other alternative taxing mechanisms and forms of compensation;
- 5) Host community payments, mitigation/conservation payments, or other funds that will directly benefit the host community for more than three years, such as Proposer-funded projects that will not be linked to the Bid Facility (*e.g.*, new building or infrastructure improvements to the host town(s), other capital projects indicated as desirable by the host town, funds established in the host town to benefit local residents, *etc.*);
- 6) Land purchase payments and payments for leases of land in New York associated with securing rights to a Bid Facility site. Land purchase payments will be pro-rated for evaluation purposes to reflect the eligible time period for Economic Benefits claims.

Proposers are encouraged to work with the AHJs hosting the Bid Facility to determine if there are long-term economic benefits that could be uniquely afforded to the town/city/county/school district.

Short-Term Economic Benefits to New York State

The Proposer should describe the degree to which both local and statewide economic activity will increase as a result of in-state purchases and short-term jobs. These can include:

- 1) Employment of workers in New York in the form of short-term jobs (jobs lasting less than three years). These can include construction, rail and port workers, contractors and laborers, engineering or environmental service providers, consultants, financial service advisors, and legal service providers in New York associated with the development and construction/modification of the Bid Facility;
- 2) Employment of workers in New York for ongoing operations and maintenance expenses which are anticipated through the first three (3) years of Commercial Operation;
- 3) Employment of workers in New York in the form of short-term jobs (jobs lasting less than three years) that will support the establishment of a project office in New York state and that are not already claimed as long-term economic benefits;
- 4) Purchases and/or consumption of local goods and services, such as, but not limited to, food, lodging, vehicles, equipment, and/or fuel;
- 5) Purchases of materials sourced from within New York such as, but not limited to, gravel, steel, concrete and similar materials, purchases and use of equipment and products manufactured or assembled within New York, and/or the use of rental equipment or similar supplies sourced from within New York. Bid Facility components (*e.g.*, wind turbines, solar panels) not manufactured within New York are not eligible for consideration in this category or in any Economic Benefits category; and
- 6) Hosting of local internships and programs for students in renewable energy education in partnerships with local school systems and local NGOs/foundations.

Proposers are encouraged to work with the AHJs hosting the Bid Facility to determine if there are short-term economic benefit opportunities that could be uniquely afforded to the town/city/county/school district.

8.3.6 Operational Flexibility and Peak Coincidence

All Proposers eligible for Operational Flexibility and Peak Coincidence non-price evaluation points must submit a P(50) 8760 schedule consistent with the contract tenor proposed in the form requested by NYSERDA for Operational Flexibility and Peak Coincidence evaluation purposes.

Proposers are strongly encouraged to familiarize themselves with all ongoing work to identify areas of current and future congestion on the electric grid, including the DPS and NYSERDA [State Power Grid Study](#), inclusive of Distribution and Local Capital Plans and a Bulk Transmission Investment Plan, the NYISO [2019 CARIS 70x30 Constraint Modeling](#) study and outputs, and other similar studies conducted by the state, NYISO, and/or the transmission owners. Proposers are encouraged to discuss this topic in meetings with the NYISO and/or the Connecting Transmission Operator during their interconnection process to understand the current and expected future state of the grid and the relevant impacts on the Bid Facility's local and regional transmission infrastructure.

For Bid Facilities physically located within the NYCA that are proposing with Energy Storage, the evaluation for this category is based on the characteristics of both the Bid Facility and Energy Storage. For the intended deployment, provide an 8760 delivered energy profile with storage in use, and an 8760 profile for the system without storage. Bid Facilities co-located with Energy Storage shall include the role of the Energy Storage in reshaping the production profile in the P(50) 8760. Provide all assumptions used in preparing the energy profile and explain how the 8760 energy profile relates to the intended deployment strategy. Explain how dispatch may be managed and coordinated with NYISO, if applicable. Explain how the delivered RECs will be eligible under NYGATS rules

For each Bid Proposal that includes energy storage, the Proposer must provide the following:

- System operating parameters
 - Manufacturer and model for major components (battery and inverter units, *etc.*)
 - Maximum continuous power (MW or kW, AC)
 - Total energy (MWh or kWh, AC)
 - Duration (hr)
 - Round trip efficiency (%)
- Available specification sheets from manufacturer
- Expected system degradation over the contract term
- For paired and co-located storage, provide diagram showing arrangement of generation unit(s), storage, inverter, meter(s), and interconnection

Proposer must fully describe the intended deployment and dispatch of the storage system over the contract term. Example deployments may include:

- Dispatched to provide renewable integration and firm up a variable renewable energy resource
- Dispatched dynamically to reduce system peak demand or energy cost to load
- Available to provide ancillary services, *e.g.*, reserves, voltage control, frequency regulation
- Available to provide distribution system support

8.4 Bid Fee Instructions

Each Step Two Bid Proposal must be accompanied by a non-refundable Bid Fee, in the form of electronic wire (preferred) or certified funds, in an amount determined by the Nameplate Capacity of the Bid Facility. The Bid Fee is due by October 20, 2020 (See Section 1.3). Proposers must indicate that they have submitted a Bid Fee with their Step Two Bid Proposal and attach proof of the provision of a Bid Fee, such as a receipt or transfer confirmation.

A separate Bid Fee is not required for each Step Two Bid Proposals in instances of Alternate proposals for the same Bid Facility. If a Proposer wishes to submit one or more Alternate Step Two Bid Proposals for the same Bid Facility (for example, with energy storage, or for a different Bid Capacity), only one Bid Fee is required. A separate Bid Fee is not required for each alternate Step Two Bid Proposal.

Bid Fees will not be refunded to Proposers. Required Bid Fee amounts are as follows based on the Nameplate Capacity in megawatts (MW) of the eligible generator.⁵⁹

<u>Nameplate Capacity (MW)</u>	<u>Bid Fee</u>
Less than 5.00 MW	\$5,000
5.00 – 19.99 MW	\$20,000
20.00 – 49.99 MW	\$50,000
50.00 MW or more	\$100,000

Full Bid Fee submission instructions with account and routing information can be downloaded after registering as a Proposer on the solicitation website.

All Bid Fees must be clearly labeled with a unique identifier comprised of the Bid Facility’s NYGATS ID and the RFP Tracking Number, in the format: GENXXXXX_RESRFP20-1, or PROXXXXX_RESRFP20-1, or IMPXXXXX_RESRFP20-1. Bid Fees provided via electronic wire must have this unique identifier included within the Payment Details/Description. Bid Fees provided via cashier’s check must have this unique identifier clearly labeled within the Memo or elsewhere on the check.

⁵⁹ The Nameplate Capacity is determined by the Tier-1 eligible generation in the NYGATS PSoQ or SoQ and does not include Energy Storage. Nameplate Capacity is measured in AC capacity (MWac).

9 POST-AWARD PROCESS

9.1 Confidentiality

The Proposer shall not distribute any press release or contact the media until after the contract is executed by both parties and any New York State press releases regarding the awards have been issued. If the Proposer wishes to contact the press regarding the award, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the Director of Communications to prepare any press release and/or to plan for any announcement.

9.2 Provision of Contract for Execution

NYSERDA will prepare a conformed copy of the RES Standard Form Agreement (Attachment A) which will be delivered to the Proposer, in a manner to be agreed upon, for Proposer's execution and return.

NYSERDA may rescind awards to Proposers who fail to provide Contract Security within thirty (30) days of the Award Notification Date or who fail to execute the Agreement within a reasonable amount of time. If a Bid Facility is awarded a contract under RESRFP20-1 and the Proposer fails to execute NYSERDA's RES Standard Form Agreement within a reasonable time following notification of an award, the Bid Facility may not be eligible to participate in NYSERDA Tier 1 solicitations until 2022.

NYSERDA may publish the executed Agreements, and/or relevant terms within the Agreements, executed with awardees. Prior to such publication, NYSERDA will redact any critical electric infrastructure information contained in the Agreements, if any, including in the exhibits thereto, and will consider requests to redact confidential business information; provided, however that NYSERDA will not entertain any request to redact price information contained in this Agreement, specifically the Bid Price.

9.3 Provision of Contract Security

Unless otherwise agreed to by NYSERDA in writing, Contract Security in the amount of the product of the Bid Quantity and \$9.00 will be required within thirty (30) days of the Award Notification Date. NYSERDA accepts Contract Security in the form of cash, certified funds, or a Letter of Credit. The criteria for accepting a LOC includes:

- 1) the issuing bank is a member of the New York Clearinghouse Association,⁶⁰ or
- 2) the issuing bank must have a credit rating of A or better by Standard and Poor's, A or better by Fitch, or A2 or better by Moody's; and
- 3) the issuing bank must be a United States bank, or a United States branch of a foreign bank, with a New York branch preferred.

NYSERDA has included a standard form of letter of credit in the RES Standard Agreement. If the issuing bank seeks modification to these terms, NYSERDA recommends that a draft letter of credit should be sent to NYSERDA for review and consideration prior to issuance.

⁶⁰ Please see the owner bank membership for The Clearing House available from <https://www.theclearinghouse.org/about/owner-banks>

9.4 Documents Required for Contracting Purposes

NYSERDA requires the following documents prior to contract execution:

- 1) Post-Award Contracting Information Form, to be provided by NYSERDA to Seller, requesting information such as Legal Business Name, State of Incorporation, Tax Identification Number (EIN), and other contractual information; and
- 2) Pursuant to Tax Law Section 5-a, if not previously filed for the Seller, form Tax Law ST-220-TD is required. Please consult Publication 223, Questions and Answers Concerning Tax Law Section 5-1. If filing for the first time, please indicate the “Seller” under “Contractor name” on the form. This form is filed with the NYS Tax Department and NYSERDA does not need a copy. If previously filed for the Seller, a completed form Tax Law ST-220-CA. On this form, Sellers will indicate to NYSERDA that they have filed the ST-220-TD form or the Seller previously filed ST-220-TD with the Tax Department. As a reminder, please indicate the “Seller” under “Contractor name” on the form; and
- 3) Certificate of Incorporation; and
- 4) A certificate of an appropriate officer of the Seller, in form and substance certifying: (1) the names and signatures of the officers of the Seller authorized to sign any documents to be delivered to NYSERDA under the conformed RES Standard Form Agreement, and (2) the accuracy and completeness of resolutions of the Seller, authorizing and approving all matters in connection with the transactions contemplated in the conformed Agreement. NYSERDA does not have a preferred standard.

9.5 Department of Agriculture and Markets Section 305 Notice Information

For awarded Bid Facilities with a Nameplate Capacity less than 25 megawatts and located in a New York State agricultural district, Proposers may be required to provide to NYSERDA a report including all of the information required by Section 305(4)(b) of the Agriculture and Markets Law. NYSERDA reserves the right to expand this requirement to Bid Facilities greater than 25 megawatts and/or Bid Facilities sited outside of agricultural districts pending the applicable permitting processes in place at the time of award and contracting.

A map of the agricultural districts, by county, is available from New York State Department Agriculture and Markets (AGM).⁶¹

9.6 Public Release of Bid Facility Information

If Bid Facility characteristics change between Bid Proposal and Award, Proposers are required to submit an updated Attachment B Public Release of Bid Facility Information to NYSERDA within 10 Business Days of such change. The updated Attachment B will be made available to the public by NYSERDA. NYSERDA will not redact any information provided on the updated Attachment B, in order to ensure transparency with the public.

⁶¹ New York State Agriculture and Markets Agricultural Districts is available by county at <https://cugir.library.cornell.edu/?utf8=%E2%9C%93&q=nys+agriculture+districts>

9.7 Non-disclosure Agreement/Waiver for Interconnecting Authority

The Proposer shall waive confidentiality with the pertinent Interconnecting Authority after the RES Agreement has been executed.

10 RES STANDARD FORM AGREEMENT

NYSERDA recommends that Proposers review the Agreement (Attachment A) and all associated Exhibits prior to participating in RESRFP20-1. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney.

10.1 Conditions/Contingencies

NYSERDA may include conditions and/or contingencies to address matters concerning any issues regarding the viability or siting of a Bid Facility, or where the build environment is contingent or conditional on governmental rescission, modification or change in local law, temporary or permanent.

11 GENERAL CONDITIONS

11.1 Proprietary Information

Consideration should be given before confidential information is submitted to NYSERDA as part of any Proposal. Proposers should consider and review whether information is critical for evaluation, and whether general, non-confidential information may be adequate for review and evaluation purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. The Public Officers Law includes exceptions to disclosure, including Section 87(2)(d) which provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Additional information submitted to NYSERDA that 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. NYSERDA reserves the right to make public, after the fifth anniversary of the award date, the Agreement executed with any awarded Proposal.

11.2 State Finance Law Sections 139-j & 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>

Proposer must certify that he/she will comply with State Finance Law Sections 139-j and 139-k and a provide disclosure statement regarding whether Proposer has been found non-responsible under Section 139-j of the State Finance Law within the previous four years.

11.3 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>.

11.4 Omnibus Procurement Act of 1992

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

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

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

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

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

11.5 Disclosure Requirement

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

11.6 Press Releases and Media Contact

All Proposers shall not distribute any press release or contact the media until after the Agreement is executed by both parties and any New York State press releases regarding the awards have been issued. If Proposer wishes to contact the press regarding the award, Proposer must collaborate with NYSERDA's Designated Contacts and Director of Communications to prepare any press release and/or to plan for any announcement. NYSERDA reserves the right to make public, after the fifth anniversary of the Award Notification Date, the Agreement executed with any awarded Bid Facility.

11.7 Independent Entities/Limitation of Liability

Neither this RFP nor any other aspect of this solicitation shall create an agency, partnership, joint venture, or co-tenancy relationship among the members of the Evaluation Team or any other individuals or entities involved in the development or administration of this RFP (collectively, the "RFP Parties"), nor any other relationship or liability beyond those (if any) explicitly adopted in writing and executed by authorized representatives of the applicable RFP Parties. None of the RFP Parties shall be liable for any

act or omission of any other RFP Party. Neither this RFP nor any other aspect of this solicitation creates or is intended to create third-party beneficiaries hereunder. In no event will an RFP Party be liable to any person for special, incidental, punitive, exemplary, indirect or consequential damages or lost profits, whether by statute, in tort or contract or otherwise.



NY-Sun Commercial/Industrial Incentive Program
Program Opportunity Notice (PON) 3082
June 16, 2020

NY-Sun Commercial & Industrial Incentive Program
NY-Sun Project Applications and Contractor Applications
Accepted May 4, 2015 through December 31, 2025
By 3:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) provides performance-based incentives for the installation by Contractors of new grid-connected solar electric photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region. Incentives for residential sites in all regions, nonresidential sites 750kW or less in Upstate and PSEG Long Island regions, and nonresidential sites 7.5MW or less in Con Ed region are available through the NY-Sun Residential & Nonresidential Program (PON 2112). Funding for the NY-Sun Incentive Program (“Program”) has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorizes additional CEF funds to achieve the expanded goal of 6GW by 2025.

Incentives will be granted on a first-come, first-served basis, and PV project applications will be accepted through December 31, 2025, or until funds are fully committed, whichever comes first. Total incentives available is subject to change. NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.

Information on the MW block design, including real-time data on the current incentive levels for Upstate can be found by visiting nysesda.ny.gov/upstate-dashboard.

Additional incentives for solar PV installations are available for commercial & industrial projects located on a brownfield or landfill, and Community Distributed Generation (CDG) solar projects that did not qualify for a Market Transition Credit (MTC) under the Value Stack.

PV project application submission: Eligible Contractors must submit completed and signed Project Application package into the NYSERDA Portal, the Program database, as detailed in the Program Manual.

Contractor Eligibility Application submission: Potential Contractors may apply on-line at: https://nysesda-portal.force.com/CORE_CONAPP_Program_Page, or submit one [1] clearly labeled, completed and signed Contractor Application package to:

Contractor Application PON 2112
Attn: Program Manager
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399
Or by email to PVprocessing@nysesda.ny.gov.

Contractor Application questions may be sent to PVprocessing@nyserda.ny.gov. Please reference PON 3082 when contacting NYSERDA with questions.

All Contractual questions should be directed to Venice Forbes at (518) 862-1090, ext. 3507 or venicesolicitations@nyserda.ny.gov. All Technical questions should be directed to Commercial.IndustrialPV@nyserda.ny.gov.

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

What is the NY-Sun Commercial and Industrial Program?

The New York State Energy Research and Development Authority (NYSERDA) offers performance-based financial incentives for the installation of new grid-connected solar electric photovoltaic (PV) systems that are ranging from 750kW to 7.5MW in Upstate region. Incentives for residential sites in all regions, nonresidential sites 750kW or less in Upstate and PSEG Long Island regions, and nonresidential sites 7.5MW or less in Con Ed region are available through the NY-Sun Residential & Nonresidential Program (PON 2112).

Funding for the NY-Sun Commercial & Industrial Program has been allocated as part of the Clean Energy Fund with additional funding made available through the Regional Greenhouse Gas Initiative (RGGI) for New York State (NYS) electricity customers and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorizes additional CEF funds to achieve the expanded goal of 6GW by 2025.

Incentives will be allocated on a first-come, first-served basis and applications will be accepted on a rolling basis through December 31, 2025, or until funds are fully committed, whichever comes first.

How Does the Program Work?

The NY-Sun Commercial and Industrial Program provides incentives based upon the performance of the PV System as a function of annual energy production. A detailed description of the Program and the terms and conditions under which it operates is provided in the NY-Sun Incentive Program Manual available at <http://www.nyseda.ny.gov/solar-contractor-resources>.

In addition to performance-based incentives, the program includes additional incentives for projects located on a landfill or brownfield, and Community Distributed Generation (CDG) solar projects that did not qualify for a Market Transition Credit (MTC) under the Value Stack. Participating Contractors may invoice for project incentives in three separate increments: one invoice when the system is installed, interconnected, and commercially operational and one in each of the two subsequent consecutive years (Performance Period) based upon measured annual kilowatt hour (kWh) output of the PV system (System Actual Annual Energy Production). For details, see NY-Sun Incentive Program Manual, Metering Requirements.

Incentives are available for new customer-sited PV systems, greater than 750 kW per electric meter, that are connected to the electric distribution grid and displace utility provided electricity. Prior to submitting applications for incentives, organizations must become a Participating Contractor by registering with the NY-Sun Commercial and Industrial Program. Upon approval, the organization will be provided access to the NY-Sun Commercial and Industrial Program online applications platform.

To become a Participating Contractor in the NY-Sun Commercial and Industrial Program, interested parties must complete a Contractor Application in which they agree to abide by the terms and conditions of the NY Sun Incentive Program Participation Agreement and Program Manual. These documents are available on the NY-Sun website at nyseda.ny.gov/become-a-solar-contractor.

Applicants to the commercial and industrial program must provide three verifiable solar electric customer references (customer name, address, phone, and email) for completed, grid-connected solar electric installations that entered commercial operation in the past three years that, in aggregate, sum to at least 3MW. System size (kilowatts), interconnection date, and the applicant's role in the project must be specified. Construction photos for the projects listed as a reference are required.

Participating Contractors are responsible for preparing and submitting all required PV Project Incentive Application documentation to NYSERDA.

Financial Incentives

The incentive amounts identified on approved project applications in the NY-Sun Commercial and Industrial Program are Not-to-Exceed (NTE) values. The maximum dollar value of the NTE Incentive will be equal to the PV System Estimated Annual Energy Production for two years (Base Incentive) plus strategic location or

integration incentives, when applicable.

The Base Incentive for an eligible project is based on two years of PV System Estimated Annual Energy Production using a designated 13.4% Capacity Factor (CF) for fixed-mount systems at the incentive associated with the block in which the project application is approved by NYSERDA.

Limitation

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

Additional Information

Forms are available on the NY-Sun Website at ny-sun.ny.gov.



NY-Sun Residential/Nonresidential Incentive Program
Program Opportunity Notice (PON) 2112
June 16, 2020

**NY-Sun Residential & Nonresidential Incentive Program
NY-Sun Project Applications and Contractor Applications
Accepted August 12, 2010 through December 31, 2025
By 3:00 PM Eastern Time**

The New York State Energy Research and Development Authority (NYSERDA) provides financial incentives and financing options for the installation by Contractors and Builders of new grid-connected solar electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW. Incentives for nonresidential sites in Upstate region that are ranging from 750kW to 7.5MW are available through the Commercial/Industrial Program (PON 3082). Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorizes additional CEF funds to achieve the expanded goal of 6GW by 2025.

Incentives will be granted on a first-come, first-served basis, and PV project applications will be accepted through December 31, 2025, or until funds are fully committed, whichever comes first. Total incentives and/or financing available is subject to change. NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.

Information on the MW block design, including real-time data on the current incentive levels for Upstate can be found by visiting nyserdanyc.gov/upstate-dashboard and for Long Island at nyserdanyc.gov/LI-dashboard, and for Con Ed at nyserdanyc.gov/coned-dashboard.

Additional incentives for solar PV installations are available for residential customer households who qualify as low-to-moderate income. The additional incentive provides a standard incentive of \$0.80/W in Upstate and Long Island regions and \$0.40/W in Long Island region, if available.

Additional incentives for solar PV installations paired with an energy storage system are available for residential customer households in PSEG Long Island region. A higher incentive rate is available for residential customer households in PSEG Long Island region who qualify as low-to-moderate income.

Additional incentives for solar PV installations are available for nonresidential projects serving multifamily affordable housing properties, projects located on a brownfield or landfill, parking solar canopies, rooftop solar canopies and Community Distributed Generation (CDG) solar projects that did not qualify for a Market Transition Credit (MTC) under the Value Stack.

Funding for additional incentives is available until exhausted. If MW block standard funding is exhausted prior to additional incentives, the additional incentives will continue at the standard incentive amount in place at time the MW block incentive was exhausted, until the funding for the additional incentive is exhausted as well.

PV project application submission: Eligible Contractors and/or Builders must submit completed and signed Project Application package into the NYSERDA Portal, the Program database, as detailed in the Program Manual.

Contractor Eligibility Application submission: Potential Contractors and/or Builders may apply on-line at: https://nyserda-portal.force.com/CORE_CONAPP_Program_Page, or submit one [1] clearly labeled, completed and signed Contractor Application package to:

Contractor Application PON 2112
Attn: Program Manager
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399
Or by email to PVprocessing@nyserda.ny.gov.

Contractor Application questions may be sent to PVprocessing@nyserda.ny.gov. Please reference PON 2112 when contacting NYSERDA with questions.

All Contractual questions should be directed to Venice Forbes at (518) 862-1090, ext. 3507 or venicesolicitations@nyserda.ny.gov. All Technical questions should be directed to Frank Mace at (518) 862-1090, ext. 3433 or PVprocessing@nyserda.ny.gov.

Applications will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov .
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What is the NY-Sun Incentive Program?

The New York State Energy Research and Development Authority (NYSERDA) provides financial incentives and financing options for the installation by Contractors and Builders of new grid-connected solar electric photovoltaic (PV) systems for residential sites in any region that are 25kW or less, for nonresidential sites in Upstate and PSEG Long Island regions that are up to 750kW, and for nonresidential sites in Con Ed region that are up to 7.5MW. Incentives for nonresidential sites in Upstate region that are ranging from 750kW to 7.5MW are available through the Commercial/Industrial Program (PON 3082). Funding for the NY-Sun Incentive Program ("Program") has been allocated by the New York State Clean Energy Fund (CEF) and Regional Greenhouse Gas Initiative (RGGI) and the Order Authorizing the Clean Energy Fund Framework, dated January 21, 2016. An Order, dated May 14, 2020, authorizes additional CEF funds to achieve the expanded goal of 6GW by 2025.

Incentives will be granted on a first-come, first-served basis and applications will be accepted through December 31, 2025, or until funds are fully committed, whichever comes first.

How Does the Program Work?

Standard Incentive

Cash incentives and/or financing is available for qualified customers who wish to install PV systems through applications submitted by a Participating Contractor. A Participating Contractor has signed a Participation Agreement (with NYSERDA, agreeing to abide by Program terms and conditions). The Participating Contractor have established relationships with Builders. Contractors are responsible for the quality of the builders. Builders are responsible for the installation and quality of project. Builders are responsible for maintaining a credentialed person on-staff.

A detailed description of the Program and the terms and conditions under which it operates is provided in the NY-Sun Incentive Program Manual available at <http://www.nysesda.ny.gov/solar-contractor-resources>.

Incentives are paid directly to the Contractor and must be applied in full to the cost of the PV system, thereby reducing the out-of-pocket cost to the customer.

A Builder must have demonstrated technical competence in the PV field and the Contractor/Builder is responsible for preparing and submitting all necessary project application and incentive paperwork to NYSERDA. A Builder must employ an individual who meets one of the three paths. The current three eligibility paths for Individuals are:

- North American Board of Certified Energy Practitioners (NABCEP): installers choosing this path must be NABCEP certified Solar PV Installers within 24 months of entering the PON 2112 Program to retain their eligibility.
- IBEW-NECA: Installers who are Journeymen Electrician with IBEW-NECA PV training, and meet all other program requirements may gain and retain eligibility.
- UL (Underwriters Labs): Installers who choose to become credentialed through the UL must fulfill the following requirement as a prerequisite to participate in the Program: Be certified by UL as a PV System Installer

More information on how to become a Contractor can be found on the NY-Sun website at nysesda.ny.gov/become-a-solar-contractor. In general, incentives for a typical residential or commercial system cover approximately 25-35% of the installed cost of a PV system.

In addition to financing that may be offered through a Contractor, the Program offers financing through Green Jobs-Green New York (GJGNY). Information on financing options, terms and qualification criteria can be found on NYSERDA's web site at the following link:

<http://www.nysesda.ny.gov/All-Programs/Programs/Residential-Financing-Options>

Program Requirements

The following rules apply to the Program and the payment of incentives:

Energy Efficiency Audit.

Residential Projects: A clipboard energy efficiency assessment must be performed. A clipboard assessment consists of two components: an interview of the home owners to determine energy-use habits and age of the home, and a home inspection to identify energy-saving opportunities. Certification an assessment has been completed must be indicated on the project application at time of submission. The inspection component of the assessment should take no more than 60 minutes. After the assessment, the results will be reviewed with the homeowner. A copy of the report will be left with the homeowner along with a list of Home Performance contractors and informational brochures detailing NYSERDA's energy efficiency programs. Customers will not be required to implement energy efficiency upgrades.

Nonresidential Projects: Building owners are given information on benchmarking tools, such as ENERGY STAR's portfolio manager benchmarking tool. If requested by the building owner, the contractor or builder will help input utility bill information in the tool to calculate an energy-use index and, where applicable, an ENERGY STAR score. Customers will not be required to benchmark or implement energy efficiency upgrades as a program prerequisite. Energy assessment completion must be indicated on the project application at time of submission. Any CDG project is exempt from the energy assessment requirements.

Incentive highlights:

- Incentives are paid directly to "Contractor" but must be passed on in the full amount to the customer, unless a payment assignment has been identified for nonresidential projects. Incentives will not be provided directly to customers purchasing or installing PV systems.
- Incentives are only available for new equipment and PV systems that have not been installed (partially or completely) prior to being submitted to NYSERDA in accordance with the terms and conditions of this Program.
- Incentives for residential projects are capped based on a PV system size that does not exceed 110% of the total kWh consumption for the previous 12 months of electric usage. For residential new construction, systems must be sized not to exceed 110% of the calculated yearly projected kWh of electric usage.
- All potential PV system output losses associated with shading, system orientation, tilt angle, etc., must be analyzed and detailed for each PV System by the Contractor/Builder. If your system is shaded by trees, faces east or west, or is installed on a flat roof, the kWh output of your PV System will be less than ideal. All impacts on system output must be quantified and are considered during the review of project applications submitted by the Contractor/Builder. Incentives are reduced in proportion to output losses when losses from factors such as shading and orientation exceed 30%.
- The Program uses a MW Block incentive structure that is designed to provide certainty and transparency to the industry regarding incentive levels, accounts for regional market differences, provides a clear signal to industry that New York intends to eliminate cash incentives in a reasonable timeframe, and allows for the elimination of those incentives sooner in regions where the market conditions can support it, based on market penetration, demand, and payback. Information on the Program progress through the MW Blocks will be provided through a Dashboard. The Dashboard is an online, publicly facing tool that shows real-time progression in the current blocks, provides incentive levels and MW targets for subsequent blocks and provide details on the progress towards the overall NY-Sun Statewide PV initiative installed capacity goal of 6 GW.

Limitation

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

Additional Information

Available on the NY-Sun Website at ny-sun.ny.gov.



Affordable Solar and Storage Predevelopment and Technical Assistance
Program Opportunity Notice (PON) 3414
\$ 10,650,000 Available

Applications accepted through December 31, 2024 by 3:00 PM Eastern Time*

Program Summary: Affordable Solar and Storage Predevelopment and Technical Assistance will provide up to a total of \$10,650,000 to address barriers to solar and energy storage installations benefitting low-to-moderate income (LMI) households not served by traditional onsite residential solar and providers of regulated affordable housing to LMI households. Individual awards will be based on the scope of the proposed project up to \$200,000. Funding to proposals through this solicitation will offset costs for predevelopment and technical assistance work needed to implement solar and/or storage installations that benefit LMI households.

Application Submission: Visit www.nyserda.ny.gov/funding to review and download the program application attachments. Completed applications and supporting documentation should be submitted via the [application portal](#).

Contact Information: For all questions, please contact program staff at affordablesolar@nyserda.ny.gov.

Incomplete or inaccurate applications will not be accepted. Faxed or mailed applications will not be accepted. Applications will not be accepted at any NYSERDA email address other than affordablesolar@nyserda.ny.gov if changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov.

I. Introduction

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

NYSERDA, through the Affordable Solar and Storage Predevelopment and Technical Assistance Program, will provide up to \$10,650,000* to address these resource gaps and market barriers to solar and/or storage installations serving LMI households living in affordable housing, and other LMI households not served by conventional single-family residential solar installations. This program will provide funding for the development of solar and/or storage projects that offer meaningful benefits to LMI customers and affordable housing providers, and demonstrate viable models for equitable solar and/or storage development.

Target projects participating in the program will lead to:

- The implementation and operation of solar and/or storage installations for affordable housing; or
- The implementation and operation of community solar installations that will offer benefits to LMI households and/or affordable housing

Applications will be accepted from affordable housing providers, community organizations or entities, and technical service providers. Approved projects funded through this solicitation will receive contract awards up to \$200,000, and the award will be based upon the scope of the proposed project. Project applications will be assessed to determine if the requested award matches the project scope, and the review committee may provide recommendations to adjust the award in furtherance of this goal.

Each approved project will execute a Work Plan that may include any of the following predevelopment and technical assistance activities:

- Organizing a project business model and securing financing;
- Development of cooperative or community ownership models;
- Procuring services from solar and/or storage developers;
- Early stage project planning, project team organization, and site identification;
- Preliminary site assessments;
- LMI customer outreach and enrollment;
- Development of project models that allocate benefits to residents of affordable housing;
- Development of project models that allocate benefits to an environmental justice (EJ) community;
- Predevelopment of solar plus storage or standalone storage projects, including financial analysis; and
- Other technical assistance or services that achieve the target outcomes.

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

***\$9,937,000 of the funds for this program have been allocated from the Clean Energy Fund (CEF). Eligibility for CEF funds is limited to projects serving customers who pay the CEF surcharge as part of their electric bills. Additional funds in the amount of \$713,000 have been allocated from the Regional Greenhouse Gas Initiative (RGGI) and will be made available, subject to exhaustion, for projects serving customers who are ineligible under the CEF because they do not pay the CEF surcharge.*

Updates to program information and resources are available at www.nyserda.ny.gov/ASPTA.

II. Program Requirements

Definitions

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

- US Department of Housing and Urban Development (HUD) regulated affordable housing;
- New York State Homes and Community Renewal (HCR) regulated affordable housing;
- Low Income Housing Tax Credit financing;
- New York City Department of Housing Preservation and Development (HPD) regulated affordable housing (or other local housing agency);
- SONYMA Mortgage Insurance financing;
- Weatherization Assistance Program;
- Housing Finance Agency's (HFA) 80/20 Program;
- New York City Housing Development Corporation's (HDC) 80/20 or Mixed Income Programs;
- Office of Temporary and Disability Assistance (OTDA) Temporary and Supportive Housing Programs; and
- US Department of Agriculture (USDA) Rural Assistance Program.

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

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

Eligible Applicants

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

- Owners, providers, or managers of regulated multifamily affordable housing, community land trusts, land banks, or portfolios of single-family affordable housing;
- Local government agencies;
- Community Development Corporations (CDC), Community Development Financial Institutions (CDFI), or other community organizations providing services to LMI households and/or demonstrating an LMI constituency; and
- Prior recipients of predevelopment grants seeking to replicate and expand upon the success from a prior completed predevelopment project.

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

- The affordable housing, community-based entity or local government agency applicant does not possess in-house capacity to carry out the technical or specialized expertise required by the proposed activities; and

- Solar or storage installers or developers may be co-applicants or partners on the proposed project when providing technical assistance outside of standard business services for development of a solar and/or storage project.

Eligible Proposals

Proposed projects should promote the development of solar or storage installations that benefit LMI households and/or providers of affordable housing for LMI households. Projects may provide direct energy cost savings to LMI subscribers through a community solar or storage installation, indirect benefits to LMI residents of affordable housing receiving energy cost savings through an onsite or remote installation, energy cost savings and resiliency benefits from energy storage, or some combination of these benefits. Planned benefits must be documented in the application.

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

- Aggregated purchasing of solar and/or storage for LMI households;
- Models for the promotion of cooperatives and other community ownership structures to provide LMI community ownership opportunities of solar and/or storage projects;
- Financial analysis of solar and/or storage project viability including business analysis, savings estimate, and intended use for the project;
- Procurement, evaluation, and selection of solar and/or storage construction firm;
- Outreach including development of materials, workshops, trainings, and technical assistance;
- “Pre-predevelopment” activities, including but not limited to early stage planning, concept development, team organization, and community engagement;
- Site identification, establishment of site control, initial interconnection screening, structural analysis, and site feasibility;
- Securing of project financing or credit enhancement for project; and
- Enhancing resiliency activities for LMI households, EJ communities, or disadvantaged communities by solar and/or storage projects, which includes, but are not limited to, predevelopment and technical assistance activities related to back-up systems for critical power loads in affordable housing and/or other community facilities serving LMI households.

A project that includes resiliency benefits from energy storage, such as backup power in the event of a power outage, must provide additional details in the application. Specifically, the resulting feasibility study should include a clear description for the customer of the capacity and limitations of the storage system in the event of a power outage. Specifically, the feasibility study should include the percentage of charge the storage system will draw from a paired PV system, how many and which electrical circuits or appliances the storage system can provide backup power for and at what amperages, and any reserve levels the contractor will establish for the storage system.

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

- System design and engineering;
- Software development or the creation of proprietary tools;
- Permitting and inspections;
- Installation labor;
- Installation hardware; and

- Other activities representing the existing standard business operations for development of a solar or storage project.

Evaluation Criteria

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

Project Benefits: How significant are the potential economic benefits from the project to LMI customers as passed through directly, or indirectly by affordable housing providers? Will there be additional benefits for the target LMI audience of the project such as increased access to solar and/or storage and energy efficiency products or services, job creation, or other community/economic development? How many LMI households (or households in EJ or disadvantaged communities) will benefit from this project, and to what extent?

Market Potential: Does the proposed project address a current challenge or opportunity that could not be adequately addressed without this funding? Is the project appropriate for the current stage of the market, including regulatory and policy factors?

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

Project Value/Economics: Is the overall project cost (fund requested in the PON 3414 application) justified? Relative to the proposed predevelopment cost, how significant is the opportunity and expected benefit to LMI customers? How appropriate are the project's overall financial resources, degree of risk exposure, and viability of potential revenue? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full implementation of the project?

Program Policy Factors

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

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

- The degree to which the proposed project scope and benefits optimizes the use of available funding to achieve programmatic objectives;
- The degree to which there are technical, market or organizational risks associated with the project;
- The degree to which the proposed project duplicates, complements, or avoids duplication of projects in terms of geographic location, market barrier or market approach addressed;
- The degree to which there is diversity in topics, approaches, and methods for best achieving the overall goals and objectives of NYSERDA's programs;

- Overall number of distinct awarded contracts;
- The business viability of the project; and
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

III. Application Requirements

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

- Team
- Concept
- Benefits
- Work Plan
- Budget

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

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

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

IV. Contracting

Contract periods for approved projects will be established based on the timeline proposed by the application with a maximum contract period of eighteen (18) months. NYSERDA reserves the right to extend contracts as needed.

Payment schedules for approved projects will be based on the Final Work Plan negotiated with NYSERDA, and based on the completion of objectives identified as project milestones in the Final Work Plan. All projects should include at minimum four milestone points. The example milestones (mobilization, midpoint, substantial completion, and project deployment) described below may be used by applicants, or applicants may propose alternative/additional milestones:

- Contract Execution Milestone – Execute NYSERDA agreement with Final Work Plan including full details on project activities, the entity responsible for completing project activities, project milestones, invoice totals for each milestone, and overall project budget.
- Mobilization Milestone – Establish a detailed project management plan and operating procedures for the project; confirm project team members, partners, and stakeholders fully committed/contracted and formally assigned roles; access any additional funding resources; hold launch meeting including full project team, stakeholders and partners.
- Midpoint Milestone(s) – Make significant progress towards or reach partial completion of project outcomes. For large or complex projects, more than one Midpoint Milestone should be used to account for different

project components or stages. Upon completion of the Midpoint Milestone(s), projects should be able to demonstrate that all remaining project outcomes will be successfully completed.

- Substantial Completion Milestone – All major project outcomes have been or are close to completion. At this point, the project should be able to utilize the outcomes and initiate steps, such as the deployment of the business model and/or construction of the solar or storage system.
- Project Deployment Milestone - At the close of the contract, the project team should be ready to initiate next steps, such as the deployment of the business model and/or construction of the solar electric and/or storage system installation.

Payments by NYSERDA on approved projects will be made when each milestone is reached. The payment for each milestone shall be based upon the scope of the proposed activities and will be based upon the recommendation of the review committee. The recommended payment schedule for the total proposed NYSERDA budget, using the four example milestones, is as follows:

- Up to \$5,000 to be available upon full execution of the agreement;
- Up to 30% or \$30,000 (whichever is lower) at the completion of the Mobilization Milestone;
- Approximately 40% upon completion of the Midpoint Milestone(s);
- At least 20% at Substantial Completion; and
- At least 10% at Project Deployment

For more complex projects, or those requesting more than \$100,000, proposed Work Plans should include additional milestones and an alternate payment schedule deemed appropriate by the proposer, subject to review and approval by NYSERDA. All proposed Work Plans must set the milestone payment for Mobilization (or equivalent milestone) at no more than the lower of 30% or \$30,000, and for Project Deployment at 10% of the total NYSERDA funding proposed.

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

V. General Conditions

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

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

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

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

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

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

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

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

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

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

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 NYSEERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEERDA's best interest. NYSEERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VI. Attachments

- Attachment A – Proposal Checklist
- Attachment B – Disclosure of Prior Findings of Non-Responsibility
- Attachment C – Program Application
- Attachment D – Standard Agreement
- Attachment E – Application Project Detail
- Attachment F – Application Work Plan
- Attachment G – Application Budget



NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
Acting President and CEO

**REAL TIME ENERGY MANAGEMENT (RTEM)
Program Opportunity Notice (PON) 3689**

\$42.1 Million for Commercial RTEM

\$5.7 Million for Industrial RTEM

\$6.27 Million for Multifamily (Market Rate) RTEM

\$2.52 Million for Multifamily (LMI) RTEM

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

Applications accepted on a first-come, first-served basis dependent on funding availability until June 30, 2021 by 3:00 PM Eastern Time

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

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

Within the Industrial sector, RTEM technologies are often referred to as Energy Management Information Systems (EMIS) – software systems that store, analyze, and display energy consumption data collected from sensors, equipment feeds, and meters. EMIS for the industrial market offers entities the means to monitor energy consumption data

in real-time and to identify operational changes and capital projects that will increase efficiency. EMIS incorporate environmental and production variables for a more thorough, holistic analysis of efficiency opportunities than energy consumption data alone.

NYSERDA's RTEM Qualified Vendor list consists of RTEM System Providers, RTEM Service Providers, and RTEM Portfolio Owners and Managers. RTEM System Providers are defined as providers of the monitoring hardware and software used to extract, process, and store energy usage data. RTEM Service Providers are defined as consulting services that customers contract with to analyze the data from the RTEM system installation and provide, enable, and/or implement energy savings measures based on the data. RTEM Portfolio Owners and Managers are defined as real estate portfolio owners and managers who control energy-related decisions for multiple buildings and have demonstrated that they have the internal expertise required to be the lead on an RTEM project.

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

How to Apply:

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

Building Owners and Managers in need of an RTEM Qualified Vendor can visit the NYSERDA list at <https://www.nyserda.ny.gov/All-Programs/Programs/Real-Time-Energy-Management/Customer/Find-a-Vendor>

RTEM questions should be directed to rtem@nyserda.ny.gov or Alexander Jahn (866-NYSERDA, ext. 3133). All Contractual questions should be directed to Elsyda Sheldon ElsydaSolicitations@nyserda.ny.gov.

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

INTRODUCTION

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

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

This solicitation is divided into the following components:

Section II: Eligibility

Section III: Program Incentives

Section IV: Application Requirements & Approval Process Overview

Section V: General Conditions

Section VI: List of Attachments

Definitions:

- **RTEM systems** are the monitoring hardware and software used to extract, process, and store energy usage data.
- **RTEM services** are ongoing consulting services that customers contract with to analyze energy usage data and provide, enable, and/or implement energy savings measures, such as energy efficiency or renewable energy, based on the data.
- **Qualified RTEM Vendors:** Any RTEM system, RTEM service, RTEM Portfolio Owner and Manager, or RTEM system and service vendor who has qualified as a NYSERDA RTEM vendor through the RFQ 3691 process. Vendors qualified under the previous RFQ 3164 are considered qualified RTEM vendors.
- **Applicant** is the qualified RTEM vendor who is applying for an RTEM project cost-share incentive. Any qualified vendor may be the applicant. All project applications must include an RTEM service provider, unless the customer is granted an RTEM service waiver (Attachment B).
- **Customer** is the commercial, multifamily, or industrial facility owner or manager who is procuring the RTEM system and service.
- **Affordable housing** is housing where at least 25% of the units are, or are expected to be, occupied by households earning not more than 80% of the AMI (Area Median Income) or SMI (State Median Income), whichever is greater.

II: ELIGIBILITY

ELIGIBLE APPLICANTS

NYSERDA intends for RTEM Qualified Vendors to apply to the Program with eligible participant site(s). Sites must work with an RTEM Qualified Vendor to receive project funding. To become an RTEM

Qualified Vendor (RFQ 3691) apply on-line at http://nyserderda-site.force.com/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial_Real_Time_Energy_Management

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

If a provider is not already on NYSERDA's RTEM Qualified Vendor List, they are required to apply to

RFQ 3691: RTEM Qualified Vendor. Applications to this Program from providers that are not on the

RTEM Qualified Vendor List will not be approved until such time that the provider is accepted to the RTEM Qualified Vendor List. If the provider is rejected from the RTEM Qualified Vendor List, the project application will be rejected.

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

Building Owners and Facility Managers seeking NYSERDA funding for their sites must choose from

NYSERDA's RTEM Qualified Vendor List. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendor List may include but are not limited to: energy management system providers, Energy Service Companies (ESCOs), energy consultants, and engineering companies.

Providers that fail to qualify for the list will not be eligible to submit applications to this Program.

ELIGIBLE PARTICIPANT SITES

Participants must be New York State electricity distribution customers of a participating utility company that pays into the System Benefits Charge (SBC). These utilities include Central Hudson Gas & Electric Corporation, Consolidated Edison, New York State Electric & Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corporation.

Eligible participant sites include:

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

Higher education institutions must be REV Campus Challenge members to be eligible to apply. Any higher education institution in New York State can [become a REV Campus Challenge member](#).

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

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

ELIGIBLE PROJECTS

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

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

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

For commercial facilities, a tenant space that relies on base-building energy equipment can participate in the Program. The tenant’s building must either already have a qualified RTEM system installed or be in the process of pursuing an eligible RTEM project. In such cases, NYSERDA will cost share the additional cost of including a tenant in an RTEM project and increase total project cost-share incentive to a maximum of \$250,000 (see section III

Program Incentives for funding details). All other Program rules apply. Tenant spaces with dedicated energy equipment (e.g. chillers, air handling units, pumps, rooftop units) are eligible to apply as a standalone RTEM project and receive cost-share for both system and services.

NYSERDA offers two levels of Commercial RTEM projects, referred to as RTEM Basic and RTEM Premium. RTEM Premium projects are intended to pilot projects from RTEM's Qualified Vendors that go beyond the monitor and control of primary base building HVAC equipment. The broader goals for RTEM Premium are to (1) gain insight into more advanced projects so NYSERDA can continue to evolve the RTEM program to attract more sophisticated projects that are capable of transacting with the grid in real-time and (2) build demand from end-use customers for a market to service these projects and expand the abilities of RTEM vendors who are best positioned to offer this service. RTEM Premium seeks to drive technology deeper into commercial building systems and incentivize the development of more comprehensive systems, solutions, and services. This provides a higher level of incentive for RTEM systems that integrate multiple, interoperable systems within a building. Service must be included on all integrated systems.

RTEM Basic projects are defined as involving monitoring and control of primary base building HVAC equipment such as chillers, boilers, Dedicated Outdoor Air System (DOAS), Air Handling Unit System/Distribution, Variable Air Volume (VAVs), cooling towers, and/or pumps.

RTEM Premium projects are defined as an RTEM Basic system, as defined above with the additional requirements. RTEM Premium projects must also include the monitoring and control of:

1. All applicable building-level utility meters (electric, natural gas, steam, water)
2. Building-level, Power Quality Meter (certified for Class A measurement methods based on the current edition of IEC 61000-4-30) to monitor voltage, frequency, power factor, and apparent power (KVA)

And fully integrate two (2) secondary major systems. Examples include:

1. Lighting (interior/exterior)
2. Indoor Air Quality ventilation control (e.g. DCV., etc.)
3. Whole building/floor-level occupant detection/counting

And integrate one (1) additional ancillary system. Examples include:

1. Plug Loads (without existing control)
2. Terminal HVACs (e.g., PTAC, PTHP, Mini-Split)
3. Elevators/Escalators
4. Security / Access Control (e.g. turnstiles)
5. Building Weather Station
6. Occupant Comfort/Convenience App

Any additional data acquisition or metering devices/equipment can be proposed if fully integrated with the RTEM Premium systems and services. Vendors must provide proof of customer commitment, pending RTEM Premium application approval. RTEM Service Providers must provide a cybersecurity certificate and maintain data standards through Project Haystack for RTEM Premium projects.

Monitoring requirements:

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

devices/components/controllers that are integrated with an eligible RTEM system and installed under the same application can be included for NYSERDA cost-share.

The following are ineligible for funding:

- Whole-building monitoring or the installation of sub-meters in tenant spaces without incorporating an eligible RTEM system.
- Site-Based (local) dedicated controllers and control stations where control sequences are programmed and executed in real-time, with or without remote monitoring and remote access capabilities, are ineligible.

III: PROGRAM INCENTIVES

All projects must include cost-sharing in the form of matching cash support from the site(s).

- NYSERDA System Installation Cost-Share is 30%.

For RTEM Services (1-5 years eligible):

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

RTEM LMI Multifamily (requires affordability verification – see Attachment D):

- NYSERDA System Installation Cost-Share is 40%.

For RTEM Services (1-5 years eligible):

- NYSERDA Service Cost-Shares are 40% for years 1 – 3;
- Applicants submitting for more than three years of service length will receive a reduced cost share of 20% in years 4 – 5.

For RTEM Premium Projects (Commercial sites only), cost shares for both system and services increase from 30% to 50% of total project costs, with a cap of three (3) years of service.

There are two cost-share incentive options available. RTEM Applicants will be able to select, on project-by-project basis, either Option A or Option B, as seen below. It is important to note, system and service costs must be disclosed to NYSERDA, regardless of the payment option chosen. Additionally, for both options, payments will only be made to the RTEM Project Applicant. RTEM Project Applicants must disclose information regarding the NYSERDA RTEM cost-share amount for the participating site. RTEM Premium Projects are eligible for Option A and Option B, though NYSERDA’s Cost-Share will remain 50%.

Incentive Levels:

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

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

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

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

Additional requirements:

NYSERDA will issue a maximum of 5 years of cost-share regardless of contract length (i.e. system or service costs that extend past 5 years will not be eligible for cost-sharing).

If the RTEM system costs are embedded into the RTEM services costs, the incentive structure will provide cost sharing for the RTEM service, as well as a weighted portion of the systems costs. The system cost-sharing shall not exceed the length of the RTEM contract, nor the 5-year requirement mentioned above. The RTEM Qualified Vendor will indicate, to the extent possible, the expected costs of the RTEM systems and RTEM services payments in the contract.

FUNDING LIMITATIONS

Site Cap

Each Commercial sector qualifying project site is limited to receiving \$200,000 of program funding. RTEM Premium projects are capped at \$500,000 of program funding.

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

Each Industrial sector qualifying project site is limited to receiving \$500,000 of program funding.

Qualifying project sites are limited to one (1) SBC paying electric utility account per building address.

Commercial Tenant Cap

NYSERDA will cost share the additional cost of including commercial tenant(s) in a RTEM project and increase total site cost-share incentive to a maximum of \$250,000.

NYSERDA will cost share the additional cost of including commercial tenant(s) in a RTEM Premium project and increase total site cost-share incentive to a maximum of \$600,000.

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

Cloud-based controls/analytics

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

NYSERDA recommends qualified RTEM System Providers submit control type of functions for review and pre-approval prior to project proposal. Onsite machine and system control functionalities such as Building Automation and Building Management Systems are ineligible.

The RTEM program requires Cloud-hosted system data and analytics. For the purpose of determining participation eligibility, Cloud is an off-premise enterprise-class data center to ensure security, reliability, and scalability. Case by case exceptions may be granted for an on-premise data center at the customer's facility. NYSERDA requires certification complying with Tier-2 or higher TIA-942, Uptime Institute, or similar data center industry organization's requirements. Alternatively, the vendor or the customer may request an NYSERDA consultant to evaluate the data center for eligibility that the data center satisfies Tier-2 or higher standards.

IV: APPLICATION REQUIREMENTS AND APPROVAL PROCESS OVERVIEW

APPLICANT:

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

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

NYSERDA evaluates the project based on the above submitted information. All Applications will be reviewed on a first-come, first-served basis until funds are fully committed. It is at NYSERDA's discretion to accept projects, dependent on projects meeting requirements.

For LMI Multifamily - Affordable housing verification documentation must be submitted with the application package. There are three paths to qualify a project for affordable housing incentives:

1. Proxy
2. Rent Roll
3. Resident Income

Refer to Attachment D for details on these pathways.

After the Applicant submits the Application, NYSERDA or its contractor will review the Application in its entirety and evaluate the RTEM system specifications and RTEM services offered. NYSERDA or its contractor will conduct a pre-installation site visit on at least the first two projects for all new

Applicants. Applicants are encouraged to continuously engage with NYSERDA as they submit more projects for funding. Upon review and approval of the Application information and completion of the pre-installation site visit (if required), NYSERDA will notify the Applicant and site contact(s) that the Application is approved and issue a Purchase Order (PO) for the approved incentive amount.

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

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

PROGRAM DELIVERABLES:

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

1. RTEM System/Service Contract Addendum – as stated above, prior to receiving a PO from NYSERDA. The Applicant will provide information and supporting documentation to NYSERDA to help summarize the projects scope of work and to ensure it meets the intent of the Program.
2. RTEM Installation and Commissioning Report – prior to receiving the system cost-share from NYSERDA.

The Applicant will provide information and supporting documentation to summarize the complete installation of the RTEM system and to explain the roles and responsibilities of project participants.

3. RTEM Service Reports

The Applicant will provide semi-annual information and supporting documentation to help summarize the performance of the project on a semi-annual basis. This includes a summary of energy usage over the given reporting period, pre and post analysis of any implemented energy savings measures (both capital and operation and maintenance (O&M) projects), and an account of potential future energy saving measures under consideration. The list shall also specify the expected energy savings and installation cost from each measure.

4. Building Utility Data

The Applicant will provide all meter data for the building's utilities (e.g., Electric, Gas, Steam, etc.) with the semi-annual RTEM Service Reports that cumulatively accounts for at least 95% of the building's overall annual energy footprint. Interval meter data is required where available. Where interval meter data are not available, monthly consumption data gather from utility bills are required. For utilities consist of periodic bulk deliveries (propane, oil, etc.) without metering of consumption, data collected from delivery records are to be submitted. Where whole building 'shadow meters' exist or are installed as part of the project work scope, interval data gathered from the 'shadow meters' may be submitted in place of utility data provided the data represents the whole building consumption of the metered utility.

PROJECT PAYMENTS:

NYSERDA intends to issue progress payments based on the following:

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

COVID-19 Project Payment Changes [effective April 1,2020 to September 30, 2020]:

For all qualified RTEM vendors who do not have overdue project deliverables, NYSERDA will accept interim deliverables and make interim milestone payments for:

- System installation cost-share: 25% incentive payment [capped at \$100,000] for systems where installation work has commenced but there is not yet a full Installation and Commissioning report.
- Interim deliverables:
 - RTEM System Cover Page
 - Proof of partial system customer invoice
 - 12 months (prior to project approval) of meter data for the building's utilities (e.g., Electric, Gas, Steam, etc.)

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

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

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

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

work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VI: ATTACHMENTS

Attachment A – Terms and Conditions

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

Attachment C – RTEM Contract Addendum Guidelines

Attachment D – NYSERDA Affordability Verification for Multifamily LMI

New York State Energy Research and Development Authority

Albany

17 Columbia Circle, Albany, NY 12203-6399

(P) 1-866-NYSERDA | (F) 518-862-1091

nysesda.ny.gov | info@nysesda.ny.gov

Buffalo

726 Exchange Street

Suite 821

Buffalo, NY

14210-1484

(P) 716-842-1522

(F) 716-842-0156

New York City

1359 Broadway

19th Floor

New York, NY

10018-7842

(P) 212-971-5342

(F) 518-862-1091

West Valley Site

Management Program

9030-B Route 219

West Valley, NY

14171-9500

(P) 716-942-9960

(F) 716-942-9961



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
\$14 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.
All incentives, maximum funding amounts (i.e., caps), and COVID-19 specific provisions are
subject to change on 12/31/20.**

PROGRAM SUMMARY

The New York State Energy Research and Development Authority (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.

For the purposes of this solicitation “eligible businesses” include those providing 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; and related areas.

“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.

Additional incentives are available for potential hires from the following “priority populations”: Veterans, Native Americans, individuals with disabilities, low-income individuals at or below 60% of State median income, unemployed power plant worker, previously incarcerated individuals, 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.; and individuals residing in Potential Environmental Justice Areas as defined by the New York State Department of Environmental Conservation (NYSDEC)¹.

Applications begin with the submission of a notice of “Intent to Apply” by the eligible business via email to NYSERDA (PONOJT@nysERDA.ny.gov). Please see application details within. NYSERDA and the New York State Department of Labor (NYSDOL) will work with the eligible business on applications, training plans and program monitoring.

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 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>.

INTRODUCTION

NYSERDA's On-the-Job Training (OJT) for Energy Efficiency and Clean Technology program will provide wage subsidies to eligible businesses to help reduce the financial risk of hiring and training new workers. 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.

NYSERDA is working closely with the NYSDOL to deliver this OJT program and help develop job skills for new workers in energy efficiency and clean technology businesses. The NYSDOL will assist eligible businesses 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. For the purposes of this solicitation, OJT is defined as training provided by an eligible business 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.**

All program questions should be directed to Darina Mayfield, PONOJT@nysesda.ny.gov, (518) 862-1090, ext. 3672, or Vicki Colello, (518) 862-1090 ext. 3273, or Adele Ferranti, (518) 862-1090, ext. 3206. All contractual questions should be directed to Nancy Marucci at (518) 862-1090, ext. 3335 or NancySolicitations@nysesda.ny.gov. Program requirements contained in this PON may change at any time and notification will be sent to all businesses under contract with NYSERDA to inform them of any changes that will apply to their agreement.

FUNDING

Up to \$14 million is being made available to advance worker skills through OJT by facilitating worker recruitment, hiring and on-the-job training of 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.

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 (4 months). 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 (6 months).
- **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.
- **Seeking to hire workers related to heat pump installation**, regardless of the number of employees, are eligible for OJT incentives at 75 percent of a new employee's hourly wage for 16 weeks or 24 weeks if the employee is from a priority population.
- **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.

Businesses will be required to provide 25 to 50 percent cost share for all wage subsidies. NYSERDA's cost share is capped at a maximum of \$16 per hour for each hire. For businesses with 100 employees or less, NYSERDA funding is capped at \$150,000 per business for traditional workers. There is no maximum cap for any size firm for hiring priority populations. For example, firms with 100 employees or less can hire an unlimited number of priority populations, even after they meet the \$150,000 cap for traditional hires.

For businesses over 100 employees, incentives are only available to hire priority populations, with no cap on the number of individuals from priority populations that they can hire. Eligible businesses may apply for funding more than once to add OJT positions. However, NYSERDA retains the right to limit participation in this program, including but not limited to limiting the number of hires at any time, for any reason. All awards will be made on a first-come first-served basis and are subject to funding availability.

For the purposes of determining the total number of employees, the term “eligible business” includes all entities in which the eligible business has a 10 percent or greater interest in ownership or control. Eligible businesses with multiple branches, locations and/or related companies under separate names with unique Federal Employer Identification Numbers (FEINs) will generally be considered separate eligible businesses but may be considered a single eligible business at the sole discretion of NYSERDA. National or chain accounts are considered a single “eligible business.”

Contract payments will be made to the eligible business only and will be on a reimbursable basis (i.e., the employee must be paid full wages before the business requests an allowable reimbursement payment from NYSERDA). The eligible business must submit requests for reimbursement of wages 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>. Applications received after the suspension date will not be considered for funding.

ELIGIBILITY

Eligible businesses must:

1. Be an energy efficiency and clean technology business, training provider, start-up, or labor management organization working on behalf of energy efficiency or clean technology businesses located in New York State (NYS).
2. Provide services in one of 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; and related areas. Additional targeted areas related to energy efficiency and clean technology may be considered.
3. Have the legal authority to hire employees and conduct business in NYS.
4. Have at least one physical business location in NYS at the time of application.
5. Have met and continue to meet all requirements and deliverables under any prior or existing NYSERDA contract or NYSDOL grant.
6. Provide all information requested in the Application Process outlined in this PON and have clearly set objectives for the use of funds.
7. Attest to compliance with all applicable labor laws, and not have 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.
8. 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.
9. Eligible businesses 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).

Eligible candidates for hire must:

1. Be hired to design, manufacture, specify, sell/distribute, install, operate, maintain, repair, audit, inspect, and/or train people on energy efficiency and clean energy technologies and systems.
2. Reside in NYS.
3. Be a new hire, not a previous employee or contractor. Furloughed or laid-off employees not participating in the OJT program prior to the Covid-19 workforce reduction are not eligible to be rehired under the OJT program.

APPLICATION & 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 Business Application, which will be prepared with assistance from a NYSDOL Business Services Representative. The resulting OJT contract, which will include the Business Application and training plan will be between NYSERDA and the business.

“Intent to Apply” e-mails will be accepted on a continuous basis until all funds for this program have been committed. Unsuccessful businesses will be notified of their application status along with reasons for the decision. Businesses will be able to address deficiencies and reapply. The application and evaluation process are detailed in the following steps:

Step 1

Businesses submit an “Intent to Apply” e-mail to PONOJT@nyserda.ny.gov. Please include in the subject line “PONOJT Intent to Apply” and provide the following information in the body of the e-mail:

- Business Name
- Business Utility Service Provider
- Business 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 applicable)
- Business Contact Person:
 - Name
 - Title
 - Phone Number
 - E-mail Address
- Current number of full-time employees (do not include company owners/principals)
- Job title, job description/list of job duties, and hourly salary range for each anticipated position

Step 2

Upon receipt of the “Intent to Apply” email, businesses who meet eligibility criteria or resolve unmet eligibility criteria, will have their “Intent to Apply” information forwarded to the NYSDOL for a due diligence review. This process will include a review of the business’ Unemployment Insurance records; WARN notices²; ongoing 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 received during the past three years. Businesses will be notified if they passed the NYSDOL due diligence review or how to resolve issues found during the review.

Step 3

Businesses who pass the NYSDOL due diligence review or resolve pending issues will be contacted by a NYSDOL Business Services Representative (BSR). The NYSDOL BSR will work with the business on recruitment, skills assessment and completing the Business Application and training plan. The resulting OJT contract, which will include the Business Application and training plan, will be between NYSERDA and the business. A detailed breakdown of this step below.

- a. Identify List of Candidates – The BSR will identify a list of candidates to meet each business’ hiring needs. The BSR will share the list of candidates with the business, schedule an in-person meeting with the

² Information on WARN notices can be found here:
<http://www.labor.ny.gov/workforcenypartners/warn/warnportal.shtm>.

business 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 business through Work Opportunity Tax Credits and other available hiring benefits.

- b. Interviewing and Identification of Desired Candidates – The business will conduct interviews and determine the candidate(s) they are interested in hiring.
- c. Business Application Development – The BSR will work closely with the business to complete the Business Application for desired candidates, including designing an on-the-job training plan to teach workers the skills needed to perform clean energy/energy services work effectively. The Business Application will require original signatures on all documents (copies will be made by the BSR).
- d. Application Review and Contract Development – Once the Business Application is complete, the BSR will submit the application to NYSERDA review and approval. If approved, an award letter and accompanying contract between the business and NYSERDA will be issued. The approved Business Application will be used as the basis for the contract. If not approved, the business will receive a letter of explanation and will be referred to the BSR for additional assistance in resubmitting an application.
- e. Hiring of Desired Candidate – The new hire may begin their employment at any time after the date the award letter is issued to the business. The business must submit reimbursement requests to NYSERDA for wage reimbursements per the terms of the contract.
- f. Documentation of OJT Activity – Businesses 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 business can invoice for reimbursement four weeks after the new employee's start date.
- g. Follow-up and Monitoring – NYSERDA and NYSDOL will conduct monitoring over the term of the contract.

REQUIREMENTS & ASSURANCES

- 1. The on-the-job training must occur at a physical business location in NYS.
- 2. The business must be able to demonstrate that the on-the-job training is related to CEF goals of increasing energy efficiency and the use of clean energy technologies and decreasing greenhouse gas emissions.
- 3. The maximum duration of OJT is four or six months depending on eligibility.
- 4. The on-the-job training must be for a new full-time job (defined as 35 hours or more per week), unless otherwise approved by the NYSERDA Project Manager. Businesses investigating Shared Work options with the NYSDOL may be eligible to receive OJT reimbursement for part-time positions. The specifics of Shared Work can be found at: <https://labor.ny.gov/ui/employerinfo/shared-work-program.shtm>
- 5. Wage calculations to determine OJT reimbursement cannot include payment for holiday or overtime hours worked.
- 6. New hires must become employees of the business and not independent contractors or contract employees.
- 7. The business may not apply for positions based on the addition of commission or tips to a sub-minimum wage base salary.
- 8. The business 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 notices³; ongoing 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

³ Information on WARN notices can be found here:
<http://www.labor.ny.gov/workforcenypartners/warn/warnportal.shtm>.

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 business must be willing to assure the following:

1. The business' intention in participating is for the newly hired employee to remain employed with the business upon completion of the OJT.
2. On-the-job training 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 a business is awarded a contract, it becomes the "Contractor." The Contractor must agree to the following terms and conditions regarding OJT reporting and reimbursement:

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. 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.
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.

SPECIAL CONSIDERATIONS

On a case-by-case basis special considerations may be reviewed and approved by the NYSERDA Project Manager for Contractors impacted by COVID-19. Special considerations may include but are not limited to:

- Full-time OJT hires that transitioned to part-time status may be eligible to continue receiving OJT reimbursement.
- Contractors may be eligible to rehire OJT hires laid off to complete their OJT contract.
- Contractors may be eligible to invoice for reimbursement at any time once a person is hired.
- Contractors may be eligible to hire independent contractors as direct employees under OJT and receive reimbursement.

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.

Attachments:

Attachment A: Business Application

Attachment B: Sample Agreement



NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

**New York State Clean Energy Internship Program
Program Opportunity Notice (PON) 4000
\$7.5 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 December 30, 2024 by
3:00 PM Eastern Time
All wage subsidies, length of internships and COVID-19
specific provisions will be revised on 12/31/20.**

Program Summary

Through this program, the New York State Energy Research and Development Authority (NYSERDA) will provide funding to clean energy businesses or organizations hiring interns to perform meaningful work in the clean energy sector. With this Program Opportunity Notice (PON), both clean energy businesses and interns apply to participate in the program. NYSERDA will collect applications from both the businesses and potential interns and verify business and intern eligibility to participate in the program. Accepted businesses or organizations will select, interview, and make an offer to intern candidates. The internship program is designed to provide funding support for new intern hires to introduce eligible individuals to jobs in clean energy careers.

For the purposes of this solicitation:

“Eligible Businesses” are defined as energy efficiency and clean technology businesses, organizations, or municipalities that have dedicated energy efficiency or clean technology positions as an integrated part of their business or organizational practices, including start-up companies, or business or labor management organizations working on behalf of energy efficiency or clean technology businesses. Eligible Businesses must also be a private for-profit business (including LLPs and LLCs) or a private not-for-profit business. Local municipalities and counties are also eligible to participate. Eligible Businesses must be located in the electric System Benefits Charge (SBC)/Clean Energy Fund (CEF) service territories as defined below and

provide services related to research, manufacture, design, procurement, installation, operation, commissioning, technical sales, etc., in the following areas:

- Energy Efficiency – including lighting; heating, ventilation and air conditioning; air source heat pumps; advanced building materials; insulation and air sealing and other high efficiency product and services.
- Renewable Electric Power Generation – including solar, wind; geothermal, low-impact hydropower and, other renewable generation technologies.
- Grid Modernization and Energy Storage – including smart grid, microgrid, demand response management and, grid storage.
- Alternative Transportation – including electric, hybrid, plug-in hybrid and fuel cell/hydrogen vehicles, battery storage, as well as natural gas and other alternative fuel buses.
- Renewable Fuels – including biofuels such as wood pellets and ethanol.

Businesses and organizations whose central services are not related to clean energy are not eligible to participate, including, but not limited to, internships associated with building operations and maintenance or a sustainability position within a company where their primary business activities are not related to clean energy.

“Eligible Interns” are individuals who are currently attending or have attended a degree or certificate program at a college or university located in New York State **within the last 12 months** as of the date of the intern application and New York State residents attending or who have attended a college or university outside of New York State **within the last 12 month** as of the date of the intern application. New York State residency, with proof of residency such as rental agreement or utility bills, must have been established prior to the start of the internship.

New York State residents who are sixteen to twenty four years of age participating in a New York State work preparedness training program such as Board of Cooperative Educational Service (BOCES), technical high schools, AmeriCorps NCC, the Excelsior Conservation AmeriCorps, etc. as well as New York State resident military veterans are also eligible. In addition, New York State residents who are members of priority populations¹, are at least 16 years of age, and that do not meet college graduation and related requirements outlined in this PON can be hired by Businesses for internships and will be considered on a case-by-case basis. These special requests must be driven by the needs and demands of eligible businesses, and interns applying under the priority population category must identify the business interested in hiring them in their application.

¹ Priority populations include, but are not limited to, Native Americans, individuals with disabilities, low-income individuals at or below 60% of State median income, unemployed power plant workers, previously incarcerated individuals, and individuals residing in Potential Environmental Justice Areas as defined by the New York State Department of Environmental Conservation (See <https://www.dec.ny.gov/public/911.html>)

The Project Manager has discretion in evaluating applications to determine whether current and former educational experience meets the requirements of this solicitation. Note that internships for New York State residents attending school outside New York State must take place during the summer session unless pre-approved by the Project Manager on a case-by-case basis.

Applications from Eligible Businesses will be accepted on a continuous first-come, first-served basis each term until funds are expended. Funding limits of approximately \$1.75 million per year (2020-2025) are outlined for each term in the funding section. It is anticipated that annual funding will support approximately 450 interns per year. Funding may be adjusted depending on demand and availability of additional funds.

Eligible Businesses with 2 to 100 employees will be reimbursed 90 percent of intern wages up to the stated NYSERDA maximum in Section II - Funding. Eligible Businesses with 100 employees or more are eligible for reimbursement of 75 percent of an intern's wages, up to the stated NYSERDA maximum in Section II - Funding. Eligible businesses with 20 or fewer employees can have up to seven interns participating in the program at one time. Eligible businesses with 21 or more employees can have a number of interns up to 33% of the number of their full-time employees participating in the program at one time. There is no cap on the number of interns a business can hire and be reimbursed for over the duration of the program, but each internship shall be approved on a case-by-case basis. NYSERDA retains the right to limit participation in this program, including, but not limited to, the number of interns a business may bring into the program at any time, for any reason.

Eligible intern applicants can apply on NYSERDA's website. Intern applications stay on file for one year. Interns are only eligible for one internship during the program and cannot be hired by multiple employers under this program. They are not eligible to be hired for internships through this program if they were previously employed at the same Host Business.

This program is supported with System Benefits Charge (SBC)/Clean Energy Fund (CEF) funding. SBC/CEF service territory consists of areas with electric service provided by Central Hudson Gas and Electric Corp., Consolidated Edison Company of NY, Inc., NYS Electric and Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric. **All Eligible Businesses that participate under this PON must have offices in the SBC/CEF service territory. Any intern supported under this PON must work in SBC/CEF territory.**

All program questions should be directed to Adele Ferranti, Designated Contact, CleanEnergyInternship@nyserda.ny.gov, (518) 862-1090, ext. 3392. All contractual questions should be directed to Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov

I. Introduction

The New York State Clean Energy Internship Program is a workforce development initiative offered through NYSERDA. The program focuses on enhancing the talent pipeline for New York State businesses or organizations engaged in the clean energy industry by facilitating the placement of students and recent graduates considering career opportunities in clean energy into paid internships across the state. Consistent with NYSERDA's role as a catalyst in growing the talent needed by the clean energy industry, the internship program is designed to provide interns and businesses with the tools to connect. The program offers financial support for new internships only. Interns must be a new hire for the company. NYSERDA reimburses Eligible Businesses for a percentage of the intern's gross wages.

Prospective interns looking for an internship in the clean energy industry are required to complete an online application through NYSERDA's web portal <https://nysesda.ny.gov/All-Programs/Programs/Clean-Energy-Workforce-Development/NYS-Clean-Energy-Internships/Prospective-Interns> and include a cover letter, resume, and transcripts. Individuals applying as a priority population must submit documentation supporting their application as a priority population in place of a transcript. Students will be asked to identify their academic background, the industry subsector in which they would prefer to intern, and the geographic location where they are available to work.

Eligible Businesses looking to host interns also apply through NYSERDA. Businesses or organizations interested in hiring an intern will complete an application. The NYS Department of Labor (NYSDOL) will assist NYSERDA in screening Businesses for eligibility. Eligible Businesses select candidates with the qualifications that are most suited to their needs. Businesses may select their own intern (who must submit an intern application and be accepted into the program to be eligible) or NYSERDA can share intern applications submitted directly to the program with the Business. Eligible Businesses must provide a meaningful internship opportunity. A meaningful internship is a form of experiential learning that integrates knowledge and theory learned in the classroom with practical application and skills development in a professional setting for a fixed duration of time. Internships give students the opportunity to gain valuable applied experience and make connections in professional fields they are considering for career paths; and give employers the opportunity to guide and evaluate talent.

Internships take place on a full- or part-time basis. Full-time internships are only available for students not enrolled in classes full-time, such as during the summer session or for students that graduated within the last 12 months. Interns currently enrolled in school may work a full-time or near full-time schedule only with pre-approval by the NYSERDA Project Manager for circumstances that justify a full-time or near full-time internship during a school session. Businesses may request reimbursement from NYSERDA for the wages paid to the intern one time at the end of the internship or businesses may request progress reimbursement payments no more frequently than every 12 weeks of intern work. The minimum duration for an internship is 8 weeks and 80 hours of work. NYSERDA reserves the right to determine whether or not reimbursement can be paid for internships terminated early.

Business Eligibility

Completing the Business Application Form does not guarantee or entitle an organization to receive internship funds. To gain approval for participation, the organization must complete the following steps:

- Be an “Eligible Business” as defined on page 1.
- Be registered to do business in New York State.
- Have the legal authority to hire employees and conduct business in New York State and have a business address for a formal office within electric SBC/CEF service territory.
- Provide a meaningful internship, which is work that will introduce interns to jobs in clean energy careers.
- Not be an academic or State or Federal government entity.
- Be in good standing with NYSERDA and the NYS Department of Labor. NYS Department of Labor’s due diligence check ensures that a business or organization is in compliance with all New York State laws for worker protection. To be considered in good standing, a business or organization must: be registered with Unemployment Insurance, Worker’s Compensation and Disability Insurance, and with the New York Department of State, have no active Shared Work plans, be cleared of Labor Standards and OSHA violations, and have no active WARN notices or Trade Act cases. If you have any questions about the due diligence vetting process, they can be directed to the Department of Labor’s due diligence mailbox: OJTDueDiligence@labor.ny.gov.
- Have at least two or more full-time 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, and interns do not count toward the employee total.
- Agree to the Host Business Agreement Terms and Conditions (Attachment A)

Businesses or organizations that use outside agencies for payment of employees will be considered on a case-by-case basis. In most cases, those outside agencies will be subject to NYS Department of Labor review outlined above.

Internship Requirements

- Internships must be for a fixed, defined period of time and clearly distinct from full-time permanent positions. Intern compensation must be commensurate with the internship job description and for an engagement of a fixed duration.
- An intern would not receive a standard benefits package offered to a permanent hire, so an employment arrangement that includes benefits is not an eligible internship.
- Interns cannot be hired as 1099 Independent Contractors.
- To be eligible as an intern at a participating Business and be reimbursed through the program, individuals may not have been previously employed at the host Business, either as an intern, contractor, or full-time employee.

- Interns cannot be a relative of host Business owners/principles/hiring managers. “Relative” shall include the following relationships: relationships established by blood, marriage or legal action. Examples include: spouse, mother, father, son, daughter, sister, brother, mother-in-law, father-in-law, sister-in-law, brother-in-law, son-in law, daughter-in-law, stepparent, stepchild, aunt, uncle, nephew, niece, grandparent, grandson or cousin. The term also includes domestic partners (a person with whom the employee’s life is interdependent and who shares a common residence) and, a daughter or son of an employee’s domestic partner.
- Internships that primarily consist of business support, marketing, and/or administrative activities must demonstrate that the interns are learning and applying knowledge directly related to clean energy technologies and business practices. Businesses must clearly describe this connection in the individual internship job descriptions submitted to NYSERDA for review and approval.
- Businesses cannot have interns sign a non-compete agreement as part of their internship employment.
- Internships must be based out of a Host Business’ office location in SBC/CEF territory.
- Interns participating in the program are permitted to work remotely as necessitated by the COVID-19 pandemic. For NYSERDA to approve remote work arrangements, businesses must submit Remote Work Plans to NYSERDA for approval along with the intern’s offer letter. Remote Work Plans must detail how the interns will be equipped to collaborate with the business’ staff members, how often they will communicate with the team, and how this interaction will give them practical experience and exposure to clean energy business activities

Host Business Program Participation Steps

1. Businesses register to participate by completing the online business application form <https://nyserda.ny.gov/All-Programs/Programs/Clean-Energy-Workforce-Development/NYS-Clean-Energy-Internships/Clean-Energy-Business>. Once the application has been submitted, it will go through the NYS Department of Labor and internal NYSERDA review and approval process. All approved Eligible Businesses may participate in the program for 12 months from the date of their application. After 12 months, businesses must submit a new application to confirm current number of employees and office location(s).
2. Businesses receive participation approval from NYSERDA via email.
3. If selected, the business can request access to information on approved intern candidates who have applied to the program. Should the business select its own interns, interns will still need to submit an application on the NYSERDA website and be approved by NYSERDA to be part of the program.
4. Businesses submit written job descriptions for interns they plan to hire through the program to the Project Manager at CleanEnergyInternship@nyserda.ny.gov for approval in advance of hiring an intern. The job descriptions must outline the intern’s intended tasks and responsibilities as well as the role’s connection to clean energy. NYSERDA will approve or reject individual job descriptions via email. A job description must be

approved in order for NYSERDA to reserve funds for an individual intern. More than one intern can be hired under the same job description if the position supports multiple interns.

5. When the business is ready to hire an intern, it must prepare and send the selected intern(s) an offer letter for signature. The offer letter should be on company letterhead and, at a minimum, state the intern's name, expected date range to be worked, primary work location, and wage/hour. Businesses may send draft offer letters to NYSERDA for review prior to having them signed if they so choose.
 - a. Once the Business has an offer letter signed by both the business and the student, the Business sends it to CleanEnergyInternship@nyserda.ny.gov with a copy of the associated job description and remote work plan (if applicable). Signed offer letters must be submitted within 30 days after the intern's start date.
 - b. When NYSERDA has received the fully counter-signed offer letter for the eligible candidate, and all previous requirements in steps #1 - #4 have been met, funding will be reserved for that intern for the session providing that funding is still available. NYSERDA is not able to reserve funding before receiving the signed document.
6. Upon receipt of approvable offer letters, NYSERDA will notify businesses or organizations that funds have been set aside. NYSERDA will not provide reimbursement for interns without this confirmation.
7. At the conclusion of the internship, eligible Businesses must submit a reimbursement request package via the online reimbursement request form at <https://nyserda.seamlessdocs.com/f/InternshipReimbursementForm>. The eligible Business must submit a fully completed reimbursement package within 60 days after the end of the approved term. NYSERDA may not provide any reimbursements for packages submitted past this date. NYSERDA reserves the right to deny reimbursement funding for a Host Business' internship if a complete reimbursement package is not received by the internship's submission deadline. For internships lasting more than 12 weeks, businesses may submit reimbursement request packages for progress payments covering at least 12 weeks of intern work per progress payment. The final payment at the conclusion of the internship will be the final eligible reimbursement amount minus any progress payments.
 - a. Please send only one reimbursement package for all interns in a particular session, if possible.
 - b. In order to receive reimbursement, the following items are required to be submitted:
 1. Backup documentation in the form of paycheck stubs and/or a payroll summary showing hours worked, YTD wages, and applicable taxes paid for each intern.

II. Funding

Up to \$7.5 million is being made available through 2025 to enhance the talent pipeline through meaningful clean energy internships to students as described above. NYSERDA reserves the right to extend and/or add funding should other program funding sources become available.

Funding is allocated on a first-come first-served basis to Eligible Businesses that register, are confirmed as eligible, and submit all completed materials to NYSERDA. Funding will be allocated until it is exhausted for each session. NYSERDA reserves the right to shift funding from one session to the next. To check on the availability of funding, please contact CleanEnergyInternship@nyserdera.ny.gov. Additional interns cannot be placed once the available funding is fully reserved. If funding is exhausted for a given internship session, a waitlist will be established, and pending applications will be considered in future sessions.

Reimbursement will be on a sliding scale depending on the size of the business:

- Percent of intern wage funded by NYSERDA for businesses with 2 to 100 employees: 90%
- Percent covered for businesses with 100 or more employees: 75%

For the purposes of determining the total number of employees, the term “eligible business” includes all entities in which the eligible business has a 10 percent or greater interest in ownership or control. Eligible businesses with multiple branches, locations, and/or related companies under separate names with unique Federal Employer Identification Numbers (FEINs) will generally be considered separate eligible businesses but may be considered a single eligible business at the sole discretion of NYSERDA. National or chain accounts are considered a single “eligible business.” Interns are not included in the employee count. Company owners/principals are also not included in the employee count. Businesses must have at least two or more full-time employees or the equivalent of two full-time employees to be eligible. 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 fewer than 2 full-time employees or if the workers are independent contractors, subcontractors or contract employees, they are not eligible.

Internships will last a minimum of 8 weeks and must be for a minimum of 80 total hours. Total hours eligible for reimbursement are capped at 960 hours or the total of intern hours completed within a 12-month period, whichever is fewer. In the fall or spring, interns can work a maximum of 18 hours per week unless host businesses receive pre-approval from the NYSERDA Project Manager for additional weekly hours. If an intern is not taking classes, the maximum is 40 hours per week. Interns enrolled in school during their internship may work a full-time or near full-time schedule only with pre-approval by the NYSERDA Project Manager for circumstances that justify a full-time or near full-time internship during a school session.

Intern wages that will be reimbursed can range from the NYS minimum wage at the time of hire to up to \$17.00 per hour (gross wages). Businesses or organizations are able to pay more than \$17.00 an hour, but the NYSERDA share is capped at the reimbursement percentage applied to \$17.00. NYSERDA will not provide reimbursement on overtime wage premiums that go above

straight time wages. NYSERDA will not provide reimbursement on paid vacation time or paid holidays. NYSERDA will not provide reimbursement on fringe benefit costs. If an intern ends their employment before the minimum of 8 weeks or 80 hours are completed, due to the decision of either the business or the intern, businesses should contact CleanEnergyInternship@nyserda.ny.gov to notify NYSERDA of the early termination of the internship. NYSERDA reserves the right to determine whether or not funding reimbursement can be paid for internships terminated early.

Payments will be made to Eligible Businesses only and will be on a reimbursable basis (i.e., the intern must be paid full wages for the reimbursement period before the eligible business requests an allowable reimbursement payment from NYSERDA). The eligible business must submit requests for reimbursement of wages that have been paid in accordance with the approved internships. Final reimbursement requests must be submitted within 60 days after the end of the internship.

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 may be modified and can be suspended with notice in the New York Contract Reporter and posted on NYSERDA's web site (<http://www.nyserda.ny.gov>). Those applications that are received after the suspension date will not be considered for funding.

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 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 award(s) under this solicitation. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations. NYSERDA may request additional data or material to support 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 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.

IV. Attachment:

Attachment A: Host Business Agreement Terms and Conditions



Commercial Tenant Program

Program Opportunity Notice (PON) 4072

Revised November 2020

Applications accepted through December 31, 2025 on a first-come, first-served basis dependent on funding availability*.

The Commercial Tenant Program (Program) enables commercial tenants and building owners to create more energy efficient tenant spaces. By funding the technical assistance services associated with incorporating energy efficiency measures in leased commercial spaces (Leased Space), the Program supports commercial tenants (Tenants) who wish to improve the performance of their current or future Leased Spaces, and the commercial building owners and managers (Landlords) who lease space in their buildings.

Tenants can use energy optimization to create comfortable, healthy, and more productive workplaces. Benefits include talent attraction and retention, recognition for leadership in energy efficiency and sustainability, and significant savings over the life of the lease. Landlords can increase the overall performance of their buildings and create a healthy, energy efficient asset that appeals to high quality, long-term tenants. Energy optimization and better tenant engagement can lead to recognition, lower vacancy rates, higher asset values and better whole-building benchmarking scores for Landlords.

Application Submission: Online submission is preferable. Complete and submit your application to <https://nyserda-portal.force.com/login>. For ease of identification, all electronic files must be named using the applicant's entity name in the title of the document. For detailed instructions on how to submit an application, refer to Section V: Process, Application, Deliverables, Payments).

Questions: No communication intended to influence this procurement is permitted except by contacting Sophie Cardona (866-NYSERDA ext. 3590) or commercialprograms@nyserda.ny.gov for program questions. If you have contractual questions regarding this solicitation, email 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 offerer, and (2) may result in the applicant not being awarded a contract.

*** All applications must be received by 3pm Eastern Time on the date noted above. Late or faxed applications will not be accepted.** Incomplete or unsigned applications may be subject to disqualification. It is the Applicant's responsibility to ensure that all pages have been completed/included in the application. NYSERDA reserves the right to close or extend the Solicitation at any time and/or add funding to the Solicitation should other program funding sources become available. If changes are made to this solicitation, notification will be posted on NYSERDA's website at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

I. INTRODUCTION

This solicitation is divided into the following sections:

- Section I: Introduction
- Section II: Program Details
- Section III: Eligibility
- Section IV: Funding
- Section V: Process, Application, Deliverables, Payments
- Section VI: No-Cost Measurement and Verification
- Section VII: General Conditions
- Section VIII: Attachments

Terminology

Term	Definition
Applicant	The Applicant is the Consultant.
Consultant	Eligible engineering firms, energy consultants, architecture firms, or other third-party entities well-versed in energy efficiency-focused technical assistance, including energy analysis, energy modeling, energy efficient project design and implementation. See Section III for more information.
Customer	The Customer is the Tenant or Landlord who engages the Consultant to provide technical assistance on an energy efficiency project in leased commercial space.
Landlord	Commercial building owners, building managers and/or property management firms.
Portfolio	Two or more buildings owned by the same Landlord or two or more spaces leased by the same Tenant.
Program Specialist	A dedicated NYSERDA staff member who will work closely with Portfolio owners to support their energy efficiency goals by leveraging the Commercial Tenant Program.
Technical Assistance	A series of activities that support a Customer's decision-making process with respect to energy efficiency, at all stages during the leasing cycle.
Tenant	Tenants occupying, or that will be occupying, commercial leased space.
Tenant Project (Project)	A Tenant Project (Project) is any energy efficiency project occurring within the bounds of leased commercial space where a Consultant is providing technical assistance to support a Customer in making informed energy management and investment decisions and/or ensuring the successful completion of said Project.

Overview

Tenants typically consume more than half of a commercial office building's energy. Tenant spaces, therefore, represent a substantial opportunity to reduce the energy consumption of commercial buildings throughout the State of New York. Tenants occupying leased spaces in commercial buildings can take advantage of opportunities to improve their work environments and generate value through strategic energy efficiency upgrades and thoughtful design solutions. In turn, Landlords intent on optimizing the performance of their buildings can engage their Tenants in energy efficiency activities and deliver attractive spaces to high value Tenants.

Opportunities to save energy exist throughout the entire life of a commercial Tenant's leasing cycle. Fostering the adoption of energy efficiency measures in Tenant occupied spaces should ideally begin at the earliest stages of the leasing cycle (including pre-lease activities). Engaging a Consultant in the pre-lease and early design process is key to maximizing results.

Figure 1. Tenant Leasing Cycle



What the Program Funds

The Program provides funding to cover the professional service fees of Consultants offering technical assistance to incorporate energy efficiency in Tenant Projects. For the Commercial Tenant Program, technical assistance is defined as a series of activities that support a Customer's decision-making process with respect to energy efficiency, at all stages during the leasing cycle (see Figure 1 above). These activities include, but are not limited to:

- Providing expert advice on issues, technologies, and equipment upgrades suitable for Tenant Projects.
- Providing un-biased, vendor-neutral information to help customers plan for energy efficient upgrades.
- Performing energy studies and opportunity assessments to uncover the potential for energy efficiency in various Tenant Projects, evaluating energy savings opportunities, and determining the economic and technical viability of installing recommended measures.

- Calculating projected energy and cost savings of energy efficiency measures, and presenting findings in a compelling, user-friendly format to facilitate a Customer’s decision-making process.
- Demonstrating the value of energy efficiency in Tenant Projects beyond simple payback information, including showcasing the value of non-energy benefits (i.e. employee productivity, comfort, greenhouse gas emissions reductions, etc.).
- Providing technically sound and accurate information in a way that maximizes the benefits of deploying energy efficiency in Tenant-occupied spaces, including identifying financing options and providing technical support for financing applications.
- Advising on the overall process and technical components of implementing energy efficiency upgrades in tenant spaces.

The Program can fund eligible technical assistance services during all phases of a Tenant’s leasing cycle, as illustrated in Figure 1 above, including during the space selection or pre-lease phase, during project development, project implementation, and throughout occupancy. To be eligible, Projects must estimate quantifiable energy savings. Tenant Projects include, but are not limited to:

- Assessing and incorporating energy efficiency measures in the design of new tenant build-outs and renovations, pre-builds and test fit-outs.
- Developing tenant design guidelines.
- Reducing the energy consumption of existing tenant spaces, during occupancy or at lease renewal.

NOTE: The Program does not provide funding to offset the cost of implementing energy conservation measures (ECMs) in Tenant Projects. It solely covers the cost of technical assistance services rendered by the Consultant. For implementation incentives to help offset the cost of energy efficient equipment, Customers should consult with their local utility, or other rebate programs as applicable.

The Consultant delivering the technical assistance is responsible for ensuring Customers receive energy savings recommendations that are actionable and can inform energy management and implementation decisions to optimize performance of Leased Spaces. A Consultant may use a variety of tools to identify such energy savings opportunities, from comprehensive energy modeling to simple walk-through assessments, depending on the needs of the Customer. Funding ranges from fifty percent (50%) to one hundred percent (100%) of the Consultant’s professional services fees associated with this work, as approved by NYSERDA.

II. PROGRAM DETAILS

The Commercial Tenant Program aims to provide technical support to Landlords and Tenants interested in incorporating energy efficiency into the leased spaces they respectively own/operate or occupy. The Program will support Projects that aim to incorporate energy efficiency in tenant spaces in the four categories described below. To be eligible, a Project must focus on energy optimization, but other non-energy benefits can also be quantified, using clearly documented methodologies. All Projects culminate in the delivery of a final report to the Customer and the NYSERDA Project Manager that outlines the energy impact of the recommendations pertinent to the Project’s scope (for more information on deliverables, see section V).

1. Opportunity Assessment

The Program provides funding to support the assessment of energy efficiency opportunities throughout the leasing cycle, and generally supports activities that:

- Equip Tenants and Landlords with tailored information and resources needed to make sound energy efficient choices throughout the lifecycle of a tenancy.
- Build the business case for integrating energy efficiency in Tenant occupied spaces, including the energy and financial analysis necessary to evaluate a project from an objective and sound technical and financial perspective.

Examples of activities supported under this category include conducting energy audits and performing energy value analysis, setting energy performance targets and road-mapping, energy modeling, evaluating design options, developing design guidelines and standards for Tenants and Landlords, identifying energy conservation measures (ECMs), calculating projected financial returns, reviewing incremental energy costs and savings of ECMs, and peer review of plans and recommendations, among others.

2. Planning Assistance

Once a decision has been made to incorporate energy efficiency measures in a Project, technical support can increase the likelihood that the chosen measures are installed as intended and that they continue to deliver savings over time. During Planning Assistance, the Program can fund activities that:

- Support Tenants and Landlords as they enact their energy efficiency plans during a build-out or renovation Project, as well as throughout a Tenant's occupancy.
- Measure, track and verify the performance of energy efficiency measures.
- Educate occupants on the optimal operation of their space to minimize energy consumption.

Examples of activities supported under this category include providing detailed technical support for decisions regarding the purchase of energy-efficient equipment, preparing bid documents for the purchase and installation of equipment, leveling bids, preparing requests for proposals, providing independent verification that equipment and projects are installed as specified, integrating energy conservation measures (ECMs) into operations and maintenance (O&M) plans, identifying financing options and incentives, as well as providing technical support for financing and incentive applications, among others. Commissioning of new Tenant systems is no longer supported through the Program.

3. Portfolios

Landlords or Tenants that wish to incorporate energy efficiency measures in a portfolio of properties or Leased Spaces are highly encouraged to participate in the Program. Portfolio owners, as defined above, have the opportunity to be paired with a dedicated Program Specialist. This service is exclusively available for Landlords or Tenants that wish to incorporate energy efficiency measures in their Portfolio of properties or Leased Spaces. NYSERDA will assign a dedicated Program Specialist who will work closely with the Customer and Consultant over the duration of the Project to develop a strategy that meets the Customer's energy efficiency goals for the leased spaces, to capitalize on economies of scales, leverage industry best practices and other available resources. As needed, the Program Specialist will work with Landlords and Tenants to assist with the creation and implementation of effective tenant engagement strategies and other eligible tasks to ensure scaling of the identified energy efficiency

measures across the portfolio. The Program can support all activities listed in the Opportunity Assessment and Planning Assistance sections above as well as activities that:

- Create turnkey solutions for the identification, evaluation, prioritization, and implementation of energy efficiency measures in Leased Spaces.
- Assist Landlords in the tenant engagement process.
- Educate relevant parties (i.e. owners, property managers, tenants) on the value of energy efficient tenant spaces and related co-benefits (including improved building-wide benchmarking scores, wellness, employee productivity, comfort, greenhouse gas emissions reductions, and/or opportunities for recognition, including Energy Star for Tenants, etc.)

Please contact commercialprograms@nyserdera.ny.gov if you would like to discuss your portfolio of Tenant Spaces with a Program Specialist.

4. Other Projects

NYSERDA is interested in engaging in alternate and/or innovative approaches to integrating energy efficiency in commercial tenant spaces. These efforts should drive deeper energy savings in leased commercial tenant spaces, and aim to meet one or more of the following criteria:

- Demonstrate the value of tenant-focused ECMs or technologies.
- Support, enable and facilitate the tenant engagement process.
- Foster collaboration between Landlords and Tenants.

To be considered for funding, these projects must be grounded in technical assistance, identify energy savings opportunities, and aim to quantify projected energy savings. NYSERDA will consider a wide range of projects, which may focus on a specific technology (i.e. plug load management systems, advanced controls, etc.), high performing spaces, different approaches to customer acquisition, or tenant engagement and management strategies, for example. Please reach out to commercialprograms@nyserdera.ny.gov with questions or to discuss project ideas.

III. ELIGIBILITY

Sites

- The site must be occupied (or soon to be occupied) by a commercial tenant.
- Landlords wishing to develop a Project for vacant tenant spaces in a building are eligible, if deemed appropriate by the NYSERDA Project Manager.
- The Tenant or the building where the site is located must pay into the New York State System Benefits Charge (SBC). NYSERDA reserves the right to ask for a utility bill to verify SBC contribution.
- Tenant Projects in existing Leased Spaces must be at least 15,000 square feet.
- Tenant Projects for new space fit-outs or major renovations are not subject to a minimum square footage requirement.
- Owner-occupied spaces are not eligible for the Commercial Tenant Program, but they could be eligible for other NYSERDA technical assistance offerings. Please contact NYSERDA for information.

Customers

Eligible program participants include commercial building owners and building managers, property managers and commercial Tenants who own, manage or occupy an eligible site respectively, as defined

above. Tenants who occupy entire buildings and control base building systems are not eligible. Customers must select a Consultant to provide the technical assistance and apply to the Program on their behalf. NYSERDA reserves the right to waive this requirement at its sole direction. This Consultant must meet minimum qualification requirements (see below).

Consultants

Consultants with the following qualifications are eligible to participate in the Program:

- FlexTech Consultants approved under RFP 3628 (see list here: <https://www.nyscrda.ny.gov/Contractors/Find-a-Contractor/FlexTech-Consultants>)
- All other Consultants must meet the qualifications criteria listed below. Proof of qualifications must be submitted for review and approval prior to a Consultant engaging in its first project under the Program:
 - **Company experience:** At least five (5) years of energy efficiency experience (i.e. executed energy audits in commercial spaces or demand response projects). Company must demonstrate experience conducting energy efficiency work in commercial facilities.
 - **Staff:** Provide an organizational chart and the resumes of the personnel who will be directly involved in providing technical services under the Commercial Tenant Program.
 - At least one staff member must have a PE license, and/or a CEM or CEA designation.
 - **Work Sample:** Submit two (2) final reports for energy related work **completed within the past two years**, for an existing and occupied commercial facility. The report must include 1) an executive summary that outlines the project background, results, and recommendations, 2) detailed engineering calculations and data to support the energy savings estimates (ASHRAE Level 2 or 3 equivalent), 3) a list of personnel who completed the work and 4) the customer's contact information for reference checks. Work samples that do not include detailed engineering calculations will not be reviewed.

Subconsultants

The use of a subconsultant must be clearly justified: The subconsultant must provide a specialized service not otherwise offered by the Commercial Tenant Program qualified Consultant (such as testing and balancing, or cost estimating, for example) and/or the subconsultant must meet the qualification requirements for consultants wishing to participate in the Program as listed above.

Proof of qualification should be sent to commercialprograms@nyscrda.ny.gov. NYSERDA reserves the right to request additional information and data to confirm compliance with these qualifications criteria.

Documentation packages that do not include detailed engineering calculations are deemed not responsive and will not be reviewed.

Any approved consultant who does not submit at least one project per year will be removed from the list of active consultants and will have to resubmit qualifications documentation to continue to participate in the Program.

IV. FUNDING

NOTE: Eligible project costs are the professional services fees charged by the Consultant to provide technical assistance to support a Project.

The Consultant shall provide a proposed budget outlining expected project costs, per Attachment C. NYSERDA's cost-share covers between 50% to 100% of the Consultant's professional services fees, not to exceed the cap per project, whichever is lower, as approved by NYSERDA.

Note the following limitations:

- NYSERDA will not fund any work that has been completed prior to the receipt of an Application.
- No single portfolio owner may receive more than 15% of total program funding.
- NYSERDA reserves the right to limit the number of projects conducted by any single Consultant, Tenant, or Landlord.
- NYSERDA reserves the right to reject a Project, or reduce the cost-share of any Project, if construction at the Project site is advanced or substantially completed, and/or the opportunity to incorporate energy efficiency in a Project is limited, either because there is limited time left on a lease, or for other reasons as appropriate.
- NYSERDA reserves the right to ask for information to substantiate the potential for energy savings in the Leased Space (i.e. energy bills, annual energy spend, or average peak demand, among other items), and may prorate its cost-share if energy savings potential is limited.
- Progress payments are allowed at NYSERDA's sole discretion.

Funding levels by project category

Cost-share for Projects range between 50 to 100% of technical assistance fees, per the descriptions below:

- **Opportunity Assessment:**
Cost-share is between 50-100%* of technical assistance fees, capped at \$100,000 per project.

NOTE: The NYSERDA cost-share for Level 1 energy audits is capped at \$5,000 per project, with no exceptions.

- **Planning Assistance:**
Cost-share equals 50% of technical assistance fees, capped at \$100,000 per project.

NOTE: Commissioning of new Tenant systems are no longer eligible under the Program.

- **Other Projects:**
Cost-share equals 50% of technical assistance fees, capped at \$100,000 per project.
- **Portfolios:**
Portfolios are eligible for funding for all project types as described above, with a project cap of \$250,000 and free Program Specialist support.

* Eligibility requirements for Projects seeking 100% funding

NYSERDA will disburse 50% of the eligible costs upon receipt and approval of the final report. Receiving 100% cost-share is contingent on funding availability and on the Customer taking action based on the recommendations presented to them by the Consultant in the Project's final report. To be eligible to receive up to 100% reimbursement of the eligible technical assistance costs, the following criteria must be met:

- The Customer must install one or more recommended ECMs from the report. NYSERDA will issue payment not to exceed the ECM installation cost or the full NYSERDA cost-share, **whichever is lower.**
 - For example, if a Project's technical assistance fees equal \$20,000, the NYSERDA cost-share will equal \$10,000 (or 50%) at final report approval stage. If the Customer installs ECMs (e.g. an HVAC installation) which costs \$5,000, NYSERDA will reimburse the Customer an additional \$5,000 (NYSERDA will not pay more than the cost to install the chosen ECMs). If the HVAC installation cost were \$15,000, NYSERDA would reimburse the Customer an additional \$10,000 (NYSERDA cost share capped at 100% of the technical assistance fees, or \$20,000 in total).
- Installation of lighting only ECMs do not qualify a project for 100% reimbursement.
- Implementation of low or no-cost operations and maintenance measures (e.g: labor-only ECMs) do not qualify a project for the full 100% cost-share.
- To receive 100% funding, the Customer must demonstrate that the ECMs have been installed. This can be done via a site inspection (performed by the NYSERDA Project Manager or the Technical Reviewer assigned to the Project), and/or by submitting receipted invoices and pictures of the installation.

NOTE: A Project can qualify to receive 100% funding only within two years of purchase order issuance date, **and only if funding is available at the time of the reimbursement request.** A Project is not guaranteed 100% funding until all required paperwork is submitted and a purchase order is issued.

NOTE: NYSERDA funding covers up to 100% of the professional services fees of Consultants providing technical assistance on a Project. It does not cover the costs to install ECMs.

NOTE: If the Customer does not act on any of the energy efficiency recommendations in the report-- and is therefore not eligible for 100% cost-share--the Customer is responsible for paying the Consultant the remaining 50% of the technical assistance costs not covered by NYSERDA.

V. PROCESS: APPLICATION, DELIVERABLES, PAYMENTS

Application

- Consultants must apply to the Program on behalf of the Customer. All Applications must be submitted online at <https://nyserda-portal.force.com/login>.
- In order to access the portal, Consultants must first register here: http://nyserda-site.force.com/Core_Registration_Page?programName=Commercial_Tenant.

As part of the Application, Consultants must provide the following documentation, to be uploaded to the online application portal:

1. **Customer Approval Form** (Attachment A)
2. **Scope of work** detailing the tasks associated with the project (See Attachment B for scope of work requirements and a scope of work template)
3. **Proposed budget** showing resources allocated to each proposed task in the scope of work (Attachment C)

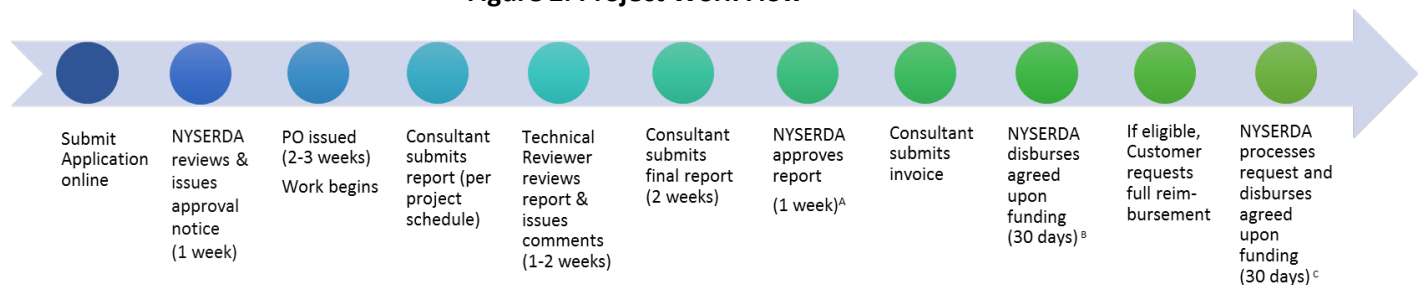
Deliverables

All Projects culminate in the delivery of a final report to the Customer and the NYSERDA Project Manager, that outlines the energy efficiency recommendations pertinent to the scope of work. All reports will be reviewed by a technical reviewer who will check the soundness of the energy savings projections and the technical viability of the recommended measures. The Consultant will be expected to address the comments and submit a revised report. For additional guidance on reporting, please consult the [Final Report Template](#) and [Project Summary Table](#), as well as other resources, located on NYSERDA’s Commercial Tenant Program webpage.

If warranted, and as agreed upon during the Project’s scope of work development, the Customer will work with NYSERDA and the Consultant to develop a case study, highlighting the intent, results and benefits of the Project.

The project deliverables as outlined in the Project scope of work must be submitted per the Project’s approved schedule and must in all cases be completed within two years of Purchase Order (PO) issuance. Failure to complete work within the two-year timeframe will result in project cancellation. Cancelled projects may reapply if funds remain available. Figure 2 below illustrates the typical project work flow for a Tenant Project.

Figure 2. Project Work Flow



Notes:

^A Project timelines will vary based on the responsiveness of responsible parties.

^B NYSERDA has a 30-day prompt pay policy and payment is made in accordance with the provisions below.

^C All projects must be completed within 2 years of PO issuance.

Payments

- Upon receipt and approval of all required deliverables by the NYSERDA Project Manager, NYSERDA will contribute up to 100% of the project cost directly to the Consultant, subject to the maximum dollar amount listed in the issued Purchase Order, and not to exceed the cap.
- As needed, payment may be sent to the Customer listed on the Application.
- In cases where the Customer is not eligible for 100% funding under Program rules, the Customer under contract with the Consultant is responsible for paying the remaining balance of the project costs, under the terms and conditions negotiated between the Consultant and the Customer. As proof that the Customer has paid their portion of the cost-share, NYSERDA may require a copy of the Customer's canceled check or a receipted invoice.
- All invoices and other reimbursement documentation must be uploaded to the online Application portal (<https://nyserda-portal.force.com/login>)
- Progress payments may be approved at the NYSERDA Project Manager's sole discretion.
- Expenses are capped at 3% of the total eligible approved Consultant's fees.
- All payments are made to the Consultant, unless otherwise agreed upon.
- If eligible for 100% funding, the Customer must submit Attachment D to request the full 100% cost share.
- Once NYSERDA has verified that the criteria for 100% funding eligibility have been met, and depending on funding availability, NYSERDA will issue the remaining 50% of the project costs to the Consultant (for a total of up to 100% of the Consultant's technical services fees), subject to the maximum dollar amount listed in the issued purchase order, and not to exceed the project cap.
- NYSERDA reserves the right to withhold payment in cases where Program deliverables are not met.

VI. NO-COST MEASUREMENT AND VERIFICATION

To enable Customers to fully identify, understand and capitalize on the benefits of the work undertaken as part of this Program, Customers who install at least one (1) of the ECMs recommended in their final reports may be selected to receive measurement and verification (M&V) services **at no cost**. The purpose of this M&V is to measure actual energy performance after the energy efficiency measures are in place and verify the energy savings predicted in the energy analysis. To comply with the M&V requirements, Customers selected to receive no cost M&V services shall allow NYSERDA and its Technical Reviewer to collect data and access the Project site. The analysis shall not be distributed or used by NYSERDA for any purpose other than the obligations under this Program without prior written approval of the Customer. Specifically:

1. The Customer shall allow NYSERDA and its Technical Reviewer to conduct up to one (1) year of reasonable tenant system-level technical review. This includes energy metering of tenant-controlled systems and other sources of data gathering.
2. The Customer shall provide NYSERDA and its Technical Reviewer reasonable access to sub-metered utility bill data (if available) for up to three (3) years to determine persistence of energy savings and energy savings above code if warranted. If available, the Customer will provide NYSERDA and its Technical Reviewer direct access to the utility bills.

3. NYSERDA will provide the Customer with a summary of the technical review and the results of the utility bill analysis and note any inconsistencies with the predicted savings from the energy analysis.
4. If warranted based on the results of the M&V, the Customer shall work with NYSERDA on the development of a case study, to be approved by the Customer, highlighting the Project's success.

VII. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. NYSEDA anticipates a contract duration of two (2) 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 application should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Attachment E, Terms and Conditions 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 Attachment E, Terms and Conditions, 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 customers in approximately three (3) weeks from the receipt of a complete project package whether the submission 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 Attachment E, Terms and Conditions. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

VIII. ATTACHMENTS

- Attachment A Customer Approval Form
- Attachment B Scope of Work Requirements, Deliverables and Template
- Attachment C Proposed Budget Template
- Attachment D Request for Disbursement of 100% Cost-Share
- Attachment E Terms and Conditions



**Electric Power Transmission and Distribution (EPTD)
Future Grid Challenge
Program Opportunity Notice (PON) 4128
Round 3 of 3**

\$15 Million Available in Total with Up to \$3 Million Available per Challenge

All, some, or none, of the available funds may be awarded

Round 3 Proposals Due: October 14, 2020 by 3:00 PM EST

The New York State Energy Research and Development Authority (NYSERDA) will issue a series of utility challenges through 2020 that have been defined in collaboration with New York State’s Investor Owned Utilities (IOU). Each challenge is aligned with the host utility to improve the performance and validate value propositions in areas of significant potential, including productivity, resiliency, reliability and quality of the electric power delivery system. The host utilities will identify attributes to drive innovation and challenge the marketplace to develop systems that deliver solutions that are pertinent to their operational goals. Those attributes help establish a pathway for products and services to gain market entry.

Each Round of this solicitation will have one or more IOU challenges with available funding up to \$3 million per Challenge. NYSEDA may host a complimentary webinar to describe the host utility’s challenge at the open of the round. Program updates can be found on NYSEDA’s Smart Grid website:

<https://www.nyserda.ny.gov/All-Programs/Programs/Smart-Grid-Program>

Submissions must demonstrate significant improvements over the current state addressed by the challenges. The primary objective of the program is to accelerate the host utility’s operational goals that promote a high performing smart grid with a diverse supply of clean energy generation resources, enhanced overall electric grid performance and enable customers to reduce their energy costs, energy consumption, and environmental impacts. Additional objectives include the development of smart grid technologies and their commercialization and deployment in New York State.

Round	Utility Challenge	Proposal Due Date¹
1	Consolidated Edison	October 9, 2019
	Orange & Rockland	
2	Central Hudson Gas & Electric	December 11, 2019
	National Grid	
3	Orange & Rockland	October 14, 2020
<small>1 - Dates are subject change. Proposers should check NYSEDA’s website for the latest updates</small>		

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.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Christopher Cheng (Designated Contact), (518) 862-1090 ext 3436, or Sumit Bose (Designated Contact) (518) 862-1090 ext 3130 or Michael Razanousky (Designated Contact) (518) 862-1090 ext 3245 or by e-mail smartgrid@nysesda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes, (518) 862-1090 ext 3507 or by email venicesolicitations@nysesda.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.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. INTRODUCTION

The future transmission and distribution system will be dramatically different from that which is in place today. Systematic improvements to grid investments and operations are possible at all levels of the grid and are an essential element of the transformation of the grid and enable market development envisioned by the Climate Leadership and Community Protection Act. In 2016, the Joint Utilities of New York filed their first Distributed System Implementation Plan (DSIP) that describes current capabilities and future goals to support REV. Each utility has since filed DSIP updates in 2018 that include their unique system challenges. This solicitation seeks to make investments that accelerate the realization of an advanced, digitally enhanced and dynamically managed high-performing electric grid for New York State. The focus of this solicitation will enable innovative solutions that directly address those unique challenges faced by each utility.

Projects that promote high performing smart grid technologies, components and/or systems within the New York regulated electric service territories (Consolidated Edison, Orange and Rockland, New York State Electric and Gas (Avangrid), Rochester Gas and Electric (Avangrid), Central Hudson Gas and Electric, and National Grid) and meet the Program Requirements are eligible for funding under this solicitation. Only those projects in Orange & Rockland service territories will be considered for funding in Round 3. The program strives to coordinate its activities with the Reforming the Energy Vision (REV) initiative being pursued in New York State. **All projects must demonstrate broad public benefits to New York State.**

Proposals will be evaluated in two distinct project categories listed below in Section III and scored on the evaluation criteria listed in Section VI of this solicitation. All the submissions will be reviewed by a scoring committee comprised of both internal NYSERDA staff and outside experts including the host utility for the challenge area. All Proposals will be evaluated according to the quality and level of detail provided within page limits. Proposals must include substantive documentation addressing all scoring criteria items. NYSERDA, at its sole discretion, may ask for an in-person presentation of a Proposal before making a funding decision.

II. UTILITY CHALLENGE AREAS

This program will have three rounds. Each round will have a challenge area from one or more utility. Over the course of the solicitation, NYSERDA expects to issue the challenges for five IOU's: Consolidated Edison, Orange & Rockland, National Grid, Central Hudson Gas & Electric and Avangrid. Interested proposers should check each round for the specific Utility Challenge Area. NYSERDA reserves the right to add, delete, or modify any of the challenges over the course of the solicitation. All Proposals must address one of the following Utilities' Challenge Area.

Round 1 - Closed

1. **Con Ed Challenge:** See Attachment I
2. **Orange & Rockland Challenge:** See Attachment J

Round 2 - Closed

1. **Central Hudson Gas & Electric Challenge:** See Attachment K.
2. **National Grid:** See Attachment L.

Round 3

1. **Orange & Rockland:** See Attachment M

Questions regarding the challenges should be directed to the Designated Contact, Christopher Cheng, 518-862-1090 ext. 3436, smartgrid@nyserda.ny.gov

Do NOT contact the host utility with questions regarding this solicitation or to discuss potential proposals under this solicitation. All contact regarding this solicitation should be directed to the NYSERDA Designated Contact listed above.

III. PROJECT CATEGORIES

This solicitation includes two project categories. **Proposers must indicate under which category they are proposing.** Proposers should give careful consideration under which category to propose, as Proposal requirements differ, so inappropriate choices could negatively affect project selection results. Proposers are encouraged to contact NYSERDA (see cover page for instructions) with technical questions to promote complete understanding of the project categories as described below. One or both project categories may be utilized in a single proposal. The total NYSERDA funding request cannot exceed \$3 million.

Cost Sharing - The proposal should show non-NYSERDA funding of at least 25% of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private

sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Funding, either direct or in-kind, from the host utility may not be counted towards the 25% cost share requirement.

Category A: Product Development

- Includes any work focused on 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. Projects under this category include the development and commercialization of technologies and products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category A projects. Product Development projects may lead to a project proposal under Category B: Demonstration Projects to prove out the potential product or technology at a New York State site. **Note: Product Development projects are subject to NYSERDA's recoupment terms described in Section VII.**

Category B: 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 in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category A. Projects in Category B should demonstrate innovative new or under-utilized products or technologies in pioneering applications. Proposers must clearly identify whether the demonstration project will support either transmission or local distribution operations.

NYSERDA reserves the right to negotiate the project category, scope of work, budget and funding levels on all awarded projects. Funding requests exceeding \$250,000 from NYSERDA shall be funded in phases separated by Go/No-Go decision points that will be evaluated by NYSERDA staff and the host utility.

Projects using both categories must also incorporate phases with Go/No-Go decision points. For example, a proposer may request consideration of a project that involves a Category A, Phase I Product Development, for product design of a new technology Go/No-Go Decision and then Category B, Demonstration, to validate performance.

- a. Projects with both categories shall briefly describe how it will complete the initial phase(s) and the following phase(s) along with significant milestones and provide an estimate of the total cost and schedule for each phase.
- b. Any contract awarded to fund projects with both categories does not in any way obligate NYSERDA to fund any more than the first phase. NYSERDA reserves the right to negotiate project Categories if it determines the project's efforts are a better fit for a different project Category.

- i. NYSERDA anticipates issuing a contract with a maximum, “not-to-exceed” amount with subsequent phases only being awarded on a contingent basis as described below.
- ii. NYSERDA reserves the right not to move forward with subsequent phases dependent on project success and availability of funding. Later phases may be funded if, in NYSERDA’s sole discretion, milestones from the previous phase have been satisfied, there is still significant potential market impact, and sufficient program funds remain.
- iii. NYSERDA expects it may award more contingent funding, due to project attrition, than is available for this program.
- iv. At the end of each phase, project outcomes will be evaluated to determine if the project will continue to be funded.

Winning proposers will be expected to conduct review meetings for all Go/No-Go Decisions and completion of phases.

NYSERDA encourages teaming arrangements that compliment core competencies to increase probability of success and commercialization of technologies that yield New York State 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 from each identified team member in the appendix to the proposal. To the extent possible, the team member responsible for commercializing the technology should be the proposer.

If teaming arrangements cannot be accommodated to fulfill the entire scope of a challenge, NYSERDA will accept proposals that address the area of expertise of the proposer.

PROPOSERS ARE PROHIBITED FROM SEEKING LETTERS OF SUPPORT FROM THE HOST UTILITY DUE TO THEIR COLLABORATION WITH THE PON. Do not seek letters of support or commitment from the utility hosting the challenge area. The host utility’s interest and support for the proposal will be incorporated through their participation in the proposal evaluation process. Proposers are reminded not to contact the host utility with questions regarding this solicitation or to discuss potential proposals under this solicitation with the host utility. Contacting the host utility may result in disqualification from eligibility. All contact regarding this solicitation should be directed to the NYSERDA Designated Contact listed in this solicitation.

IV. PROGRAM REQUIREMENTS

Projects proposed for funding must:

1. Address an innovative technology that improves the resiliency, reliability, performance, efficiency and provide new services for the electric power grid while meeting or exceeding the utility’s requirement for the challenge area.
2. Provide direct and quantifiable energy, environmental, and/or economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), job creation, product manufacturing and sales, increased resiliency and reliability, higher efficiency, and reduced electric costs.

3. Include a project budget using the Attachment E, Budget Form, showing total project cost and proposer cost share. Include a cost-sharing breakdown by project task in the Statement of Work (Sample Statement of Work included as Attachment B).
4. Satisfy recoupment obligations to NYSERDA for any new technology or product development effort requesting cumulative NYSERDA funding over \$75,000 upon product commercialization (see terms and conditions in Attachment F, Sample Agreement).
5. Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
6. Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
7. For projects that develop technologies or products, emphasize development and/or applications of marketable products for near-term commercialization, rather than basic research, and provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.
8. For demonstration projects, clearly identify how this project will increase sales or usage of a commercialized product already in the marketplace, generate objective performance information for customers or policymakers, and how such demonstration will lead to increased use of the product in New York State. **Demonstration projects must be installed within New York State. See additional requirements for Demonstration Projects below.**
9. Provide a letter of commitment from all funding sources and partners.
10. Demonstrate that the project and funding request addresses the utility challenge with technology advancements that are not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.
11. At the end of the project, perform technology transfer meetings to the stakeholders in the state, industry and other utilities without disclosing utility-specific trade-secrets and/or intellectual property.

Other Considerations

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation.
- Prior to an award being made, potential contractors may be required to demonstrate access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.
- Preference will be given to proposers that provide higher cash contributions towards project costs.
- External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.
- Proposers may be required to make an in-person presentation, at any time during the open solicitation period, to NYSERDA and host utility prior to a final decision being made.

ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY

Projects selected for funding **must**:

1. Have a **New York State demonstration site**.
2. Be installed within an appropriate timeframe that aligns with the challenge's schedule, but no longer than 24 months after contract execution.
3. Address safety issues, including public safety, that are applicable to the demonstration project.
4. Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
5. Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
6. Demonstrate the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meet project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.
7. Present an economic analysis of the proposed technology demonstration including an estimated cost/benefit ratio, and a plan to measure the actual cost/benefit ratio during the demonstration. Commercially available proof of technology and its warranty is required.

Data Acquisition Requirements

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

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

Benefits Data Tracking and Reporting

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

Reporting Requirements

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

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.

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

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

Historical Performance Data Reporting

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

V. PROPOSAL REQUIREMENTS

Prior to Submission

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

Submissions and Review

Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprising NYSERDA, the host utility and external technical experts in accordance with Section VI, Proposal Scoring Criteria. Only the most technically meritorious Proposals will be awarded an invitation from NYSERDA to enter into a contract. Proposals not meriting an award for contracting may be debriefed.

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

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

- Statement of Work (Attachment B) and Schedule
- Project Benefits
- Budget Form (Attachment E)
- Proposer Qualifications
- Letters of Support
- Attachments

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

Note: The proposer’s goal should be to concisely present the information needed to fully address the scoring criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. Proposals deemed non-responsive will not be eligible for awards. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VIII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal’s standing per the scoring criteria. Each page of the proposal should state the name of the proposer, the PON number (PON 4128), and the page number.

VI. PROPOSAL SCORING CRITERIA

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

PROPOSAL SCORING CRITERIA:

Proposed Solution –

- Does the proposed project specifically address the problem or opportunity identified in the Challenge Area and does it show potential to make significant progress in support of the host utility’s goals?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Is the solution likely to be effective in advancing the technology to market?
- How appropriate are the cost, technical, performance and commercialization goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated customer needs and significant markets?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- How much of a commitment has been made for the field demonstration, if applicable?
- Will the proposer be able to meet the contractual considerations from the utility as described in

Challenge Appendices?

Proposer / Team Qualifications –

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- To what degree does the proposer and team have the necessary technical and business background and experience?
- Has the proposer's team previously commercialized any products?
- How firm are the commitments and support from essential participants: hardware/software vendors, end users/customers, developers etc.?
- Has the proposer provided evidence of good past performance on other relevant projects and quantified benefits to end-users?
- Are the team member's roles and responsibilities defined and reasonable?

Statement of Work and Schedule –

- How appropriate are the technical, performance and commercialization goals for the proposed project?
- Does the work strategy in the Statement of Work include technical and business development tasks and is likely to achieve the technical, performance and commercialization goals?
- Does the Statement of Work include an economic analysis of the technology based on performance measurements?
- Is the Statement of Work well organized, complete, and appropriate for the technical, performance and commercialization goals identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Does the Statement of Work address the deliverables identified in the challenge?
- Are the proposed tasks reasonable and complete in details to fully understand the execution plan?
- Are Go/No-Go decision points incorporated at between logical task/phase completion and funding requests.

The following criteria apply to Category B projects only:

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

New York State Impact and Project Benefits –

- To what extent does the project support Climate Leadership and Community Protection Act and grid modernization in general for New York State?
- 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?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- How significant are the potential reductions in GHG emissions or energy use resulting from the project?

- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative technology that improves performance, quality or reliability / resiliency of the electric power system?

Project Cost and Value –

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

Business/Commercialization Plan –

- How widely deployed can the technology be, both in New York and globally if successfully demonstrated?
- Does the proposer demonstrate a clear understanding of the steps required to overcome the barriers the challenge addresses?
- Does the proposal identify competing and alternate solutions, and clearly show why the solution is superior to, price competitive with, or provides value compared to alternative solutions or the current status quo?
- Is this the first application of the proposer's solution or is it expanding upon previous experience?

Other Program Policy Factors – In addition to considering how project Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions on the basis of other Program Policy Factors, including but not limited to:

New York State Energy Mission Alignment

- The degree to which the proposed project will advance the goals of the State Energy Plan / Clean Energy Fund / REV.
 - The State Energy Plan / Clean Energy Fund / REV goals include improving resilience and reducing greenhouse gas emissions. <https://rev.ny.gov/>
 - Project continues to contribute to one or more of NYSERDA's key statutory goals. <https://www.nyserda.ny.gov/About>

Program Portfolio Value and Optimization

- The degree to which NYSERDA ongoing funding, (incl. cost shares), will make a difference in the technology impact, acceleration of transformational advances and project success.
- The degree of overlap with other state and federal programs.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- The past performance of the proposer on other technical and business endeavors, including NYSERDA and DOE, ARPA-E, NSF, (if the performance history is available).

- The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas:
 - Technological diversity
 - Organizational diversity
 - Geographic diversity
 - Technical or commercialization risk
 - Stage of technology development
 - Complimentary efforts to balance risk

Project Diversity, Leverage and Collaboration

- The consideration of the impact on, and benefits to, a diversity of communities/locations, including low-income and rural communities, partnerships with minority serving and/or owned businesses.
- The degree of ongoing leverage; attracting other funding sources: building on the NYS capabilities: linking technologies and/or companies.
- The degree to which the applicant has enabled the resources (human, financial and physical) to be able to complete the project.
- The degree to which the project enables collaboration with nongovernmental and industry entities for demonstration of technologies and research applications to successfully facilitate technology transfer, leading to robust technology development and subsequent scaling and market adoption.
- The degree to which a proposer could attract investor funding as the project progresses, including seed, Series A, high net worth individuals and beyond.

VII. RECOUPMENT AND METRICS

Recoupment - For any new projects exceeding \$75,000 in NYSERDA funding 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.

- Product Development: Includes any work focused on 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. Projects under this category include the development and commercialization of technologies and products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category A projects. Product Development projects may lead to a project proposal under Category B: Demonstration Projects to prove out the potential product or technology at a New York State site. **Note: Product Development projects are subject to NYSERDA's recoupment terms described in Section VII.**

- **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. Note: pilot deployments or other field demonstrations that will inform additional product development will be considered as a Product Development project and therefore subject to recoupment.

Projects where NYSERDA's share of funding is \$75,000 or less will generally not require recoupment. 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 H1 & H2: 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.

VIII. GENERAL CONDITIONS

Confidential and 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 up to three (3) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment F) 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 (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.

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).

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

IX. ATTACHMENTS

Attachment A – Proposal Narrative Format

Attachment B – Statement of Work Template

Attachment C – TRL-CRL Calculator Workbook

Attachment D – 3 Year Financial Projection Worksheet

Attachment E – Budget Form & Instructions

Attachment F – Sample Agreement

Attachment G – Business Model Canvas

Attachment H1 – Product Development Metrics

Attachment H2 – Demonstration Metrics

Attachment I – Consolidated Edison Challenge

Attachment J – Orange & Rockland Challenge

Attachment K – Central Hudson Gas & Electric Challenge

Attachment L – National Grid Challenge

Attachment M – Orange & Rockland Challenge

**Flexible Technical Assistance (FlexTech)
Addendum to Program Opportunity Notice (PON) 4192
Effective Date: June 15, 2020 – December 31, 2020**

For FlexTech applications submitted from **June 15, 2020** through **December 31, 2020**, the following updates to PON 4192 will apply:

Up to 100% Study Cost-Sharing with Proof of Installation

NYSERDA will reimburse FlexTech customers the remaining portion of their eligible energy efficiency or clean heating and cooling study costs upon installation of measure(s) recommended through an approved FlexTech energy study.

Reimbursement amount will be paid at the lesser of:

- Balance of eligible study costs, not to exceed 100% of the total qualifying study cost OR
- Installed measure costs

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% Study Cost Share	60% Study Cost Share	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	Reimbursement of up to 100% of eligible study cost upon measure implementation ³	Reimbursement of up to 100% of eligible study cost upon measure implementation ³	up to \$500,000 or 10% Annual Energy Expenditure, whichever is less
	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 completed in combination with any of the primary services above.</i>				
Supporting Services ²	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 \$10,000 of intern fees	
	Develop curriculum/student clean energy engagements	REV CC Only	75%	\$10,000
<small>1. Colleges and Universities must be REV Campus Challenge members to receive a cost-share of any kind. 2. Supporting Services are only eligible for a NYSERDA cost-share if completed in combination with a Primary Service. 3. For FlexTech applications submitted from June 15, 2020 through December 31, 2020; contingent on the eligibility & requirements outlined in the PON 4192 Addendum.</small>				

All other program eligibility requirements, program parameters, and limitations as outlined in PON 4192 remain the same.

Reimbursement Eligibility

To be eligible for reimbursement:

- The FlexTech application must have been submitted between June 15, 2020 and December 31, 2020.
- The installed measure(s) must be listed as recommended by the customer’s energy consultant in the NYSERDA approved final report.
- Reimbursement will be made only when the capital costs of the energy efficiency or clean heating and cooling-related measure(s) implemented meet or exceed the amount being requested for reimbursement.

- Installation of new measures reliant on fossil fuels are ineligible for reimbursement, however investments which reduce fossil fuel consumption through heat recovery or other controls are eligible for reimbursement.

How to Apply for Reimbursement

Reimbursement requests will be accepted on a first-come, first-serve basis. Customers must submit a Reimbursement Requests Form, found at www.nyserda.ny.gov/FlexTech along with sufficient proof of purchase documentation to FlexTech@nyserda.ny.gov within 2 years of the NYSERDA issued Purchase Order (PO) date. Proof of purchase for the installed measure(s) must be dated after the NYSERDA PO date for the approved energy study application. Reimbursement payments will be issued directly to the Customer upon receipt and verification of required documentation.

Additional Terms and Conditions:

By submitting an application to PON 4192 between June 15, 2020 and December 31, 2020, the FlexTech Consultant, Independent Service Provider and Customer accept these additional Terms and Conditions:

- NYSERDA will closely monitor project costs. Applications and scopes of work that include falsified information may result in reduced cost-share, reduced reimbursement, study termination or other ramifications at NYSERDA's discretion.
- Invoices submitted to NYSERDA must include additional detail to account for actual time spent by the energy study consultant on study-related efforts.
- Reimbursement requests will be accepted on a first-come, first-serve basis only for eligible applications received between June 15, 2020 and December 31, 2020.
- The Reimbursement Request Form and sufficient proof of purchase documentation must be submitted within 2 years of the NYSERDA issued Purchase Order date.
- The Reimbursement Request Form must only include installed measure(s) that were recommended by the customer's energy consultant in the NYSERDA approved final report.
- Reimbursement will be made only when the capital costs of the energy efficiency or clean heating and cooling-related measure(s) implemented meet or exceed the amount being requested for reimbursement.
- Reimbursement is not available for the installation of new fossil fuel-based measures.
- Proof of purchase for the installed measure(s) in the Reimbursement Request Form must occur after the NYSERDA Purchase Order date.
- Reimbursement payments will be provided directly to the Customer upon receipt and verification of required documentation.
- Reimbursement amounts will be paid at the lesser of remaining eligible study costs or installed measure costs.
- NYSERDA reserves the right, for any reason, to lower or cap reimbursement amounts or discontinue approving requests for reimbursement at any time
- NYSERDA reserves the right to limit the number of applications per customer and per energy consultant.



NYSERDA

ANDREW M. CUOMO
Governor

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Charge Ready NY Equipment and Network Qualification Process
Request for Qualifications (RFQL) 3902

Applications accepted through December 31, 2021 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this RFQL solicitation to establish a list of qualified Level 2 electric vehicle (EV) charging equipment and networks that will be eligible for incentives under the upcoming Charge Ready NY Program (Program). Under the Program, interested site owners will be able to receive incentives for the installation of qualified charging equipment. Charging station vendors will submit applications to qualify one or more models of charging equipment. Charging network operators will submit applications to have information about their network, and which charging equipment it is compatible with, listed as part of program materials. Information about approved equipment models and network solutions will be listed on the NYSERDA webpage for prospective charging station owners to view. Qualifying equipment must meet the program requirements described below.

Submissions will be accepted on a rolling basis until December 31, 2021 or until the Program closes. Vendors may submit applications for as many different equipment models or network solutions as they choose.

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

No communication intended to influence this procurement is permitted except by contacting David McCabe (Designated Contact) at (518) 862-1090, ext. 3281 or by e-mail cleantrans@nyserdera.ny.gov or Adam Ruder (Designated Contact) at (518) 862-1090, ext. 3411 or by e-mail transportation@nyserdera.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or 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 applications must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is

the proposer's responsibility to ensure that all pages have been completed/included in the application. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The online application system closes promptly at 3pm, files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

As part of his Charge NY 2.0 initiative, announced in January 2018, Governor Andrew M. Cuomo set a goal of having 10,000 EV charging stations operational in New York State by 2021, a five-fold increase over the current 2,000 charging stations in operation. NYSEDA seeks to accelerate charging station installations and adoption by offering incentives to entities that purchase and install charging stations at publicly accessible parking facilities, workplaces, and multifamily buildings. This incentive program, the Charge Ready NY Program (Program), will launch in 2018, and will initially focus exclusively on the purchase and installation of AC Level 2 charging stations, which supply power to EVs at 208 to 240 Volts AC, at the above types of locations. It does not cover the purchase and installation of private home-use charging stations. NYSEDA may offer future programs focused on DC fast chargers as well.

To facilitate the operation of this program and to help simplify the purchasing process for prospective station owners, NYSEDA is issuing this solicitation to establish a list of qualified Level 2 EV charging equipment and networks that will be eligible for incentives under the Program. Charging station vendors can submit applications to qualify one or more models of charging equipment. Charging network operators can submit applications to have information about their network, and which charging equipment it is compatible with, listed as part of the program materials. Information about approved equipment models and network solutions will be listed on the NYSEDA webpage for prospective charging station owners to view. Qualifying equipment must meet the program requirements described below.

NYSEDA intends to also offer an opportunity for prospective station owners to submit information about their site and express interest in being contacted by charging station vendors. Qualified vendors will be able to receive information about prospective station owners who choose to share their contact information.

Submissions will be accepted on a rolling basis until December 31, 2021 or until the Program closes. Vendors may submit as many different equipment models or network solutions as they choose.

II. Program Requirements

Eligible charging equipment must meet the following requirements:

All Charging Equipment

- The equipment must be a charging system intended to provide AC power to an electric vehicle equipped with an onboard charger unit. Wireless charging equipment may provide DC power directly to an electric vehicle.
- The equipment must be intended to be supplied by a branch circuit of up to 600 volts.
- The equipment must have a rated power of 7.2kW (30A) or higher
- The equipment must be intended for installation following the National Electric Code (ANSI/NFPA 70) and be indoor/outdoor rated.
- The equipment must be new and designed to pass inspection according to the National Electrical Code, Article 625. The equipment must be certified by a National Recognized Testing Laboratory (for example, UL category FFWA).
- Both single and dual charging stations are eligible. Single charging stations are stations that have a single charging port originating from a single pedestal, pole-mount, or wall-mount; dual

charging stations are stations that have two charging ports originating from a single pedestal, pole-mount or wall-mount. For program purposes, single charging stations will be eligible for an incentive payment for one charging port and dual charging stations will be eligible for an incentive payment for two charging ports.

- Publicly accessible stations and workplace charging stations must be networked stations. Stations for multifamily dwellings may be networked or non-networked. Charging equipment providers must list the names of any network operators they have worked with to date. Networked stations must have at least one approved charging network operator in the program to be able to receive a rebate for an installation at a public or workplace location.
- Networked equipment must be capable of collecting data including but not limited to the number of charging events from each port; duration of each charging event; total kWh provided; and percent usage and providing this information directly to NYSERDA, either through automated recurring emails or through password-protected access to station management software that allows NYSERDA limited administrative access to energy use reports. Equipment must use no more than 10 Watts of power per port when not connected to a vehicle.
- As of October 1, 2019, NYSERDA will begin requiring that all equipment be Energy Star certified or be in the process of receiving Energy Star certification. Applicants will be required to show the Partnership Agreement with Energy Star as proof of application to the Energy Star program before they can have their equipment placed on the list of approved EV charging equipment.
- Equipment to be installed in public-access sites must be able to provide charging to any driver, regardless of whether they are a network member. If payment is required, the equipment must accept payment by credit card, although it may also accept payment through other methods. These requirements do not apply to equipment to be installed in workplaces or multifamily buildings, which may restrict access to employees or residents.
- Charging equipment and all accessories must be backed with a warranty of 24 months or longer. The warranty period should start the day that the equipment is installed and ready for use.
- Applicants must complete a Charging Equipment Qualification Worksheet (**Attachment A**), listing each separate model on its own column of the workbook.

Wired Charging Equipment

- Wired equipment should include only connectors that are SAE-J1772 standard compliant
- Wired equipment should include a cable management system:
 - The charging equipment must include a holster or similar feature for the connector to protect the connector from the elements and help keep it off the ground. If connector holsters or similar features are not integrated as part of the equipment, they must be offered as accessories.
 - Either as an integrated feature of the equipment or as an accessory, charging equipment must include a cable management system that helps keep the cable off the ground, such as a cable retraction system or cable cradle.

Wireless Charging Equipment

- NYSERDA intends to include commercially available wireless power transfer (WPT) systems in the program once there is a valid Underwriters Laboratory (UL) or similar approval for these systems to be installed in public settings and at least one wireless charging equipment has been approved for public installation.

The following elements are recommended, but not currently required. NYSERDA intends to make them a requirement at a future date, as described below.

- It is recommended that networked equipment use an open standard protocol as a basic framework for purposes of network interoperability and communication with back-end network services providers. The most common open protocol is Open Charge Point Protocol (OCPP). Vendors will be asked whether their system uses an open standard protocol. As of program launch, this is not a required element, but may become a required element when NYSERDA is better able to confirm equipment compliance with open standard protocols.

Eligible charging network applicants must meet the following requirements:

- Charging networks must be able to operate on one or more models of eligible charging station equipment.
- Charging networks must allow equipment owners to set pricing for their stations, accept payment for use via credit card (accepting multiple forms of payment is encouraged), and provide data to equipment owners on station electricity dispensed and number of charging events.
- Publicly available charging stations are recommended to have a screen that can display pricing. If they do not have a pricing screen, equipment owners will be required to have signage onsite that clearly displays pricing information.
- Charging networks must be able to provide access to charging station data to NYSERDA directly, with the equipment owner/network customer's permission.
- Charging networks have until December 31, 2019 to provide either an OpenADR 2.0 Virtual End Node (VEN) for utility demand response integration, unless the equipment is not tied to the electric grid (such as some solar PV-powered charging equipment), or have the capability for utilities to provide demand response through the networks' backend.
- Charging networks must provide a customer support service number for maintenance that is readily accessible to customers during hours of operation by a toll-free telephone number that is clearly visible and posted on or near the charging equipment to assist customers with difficulties accessing or operating the Charging network.
- Applicants must complete a Charging Network Qualification Worksheet (**Attachment B**).

Any charging equipment manufacturer or charging network provider is eligible to apply for the appropriate qualification. Charging equipment manufacturers should list authorized New York State distributors and third-party vendors of their equipment for New York State, including contact information, in Attachment A. Applicants should include themselves in this list if they sell their equipment directly to end users. Potential equipment purchasers will be encouraged to contact the vendors and installers listed to obtain complete quotes. NYSERDA will list these entities on its website to help direct potential purchasers to appropriate purchasing channels.

III. Application Requirements

Applicants should submit completed applications according to NYSERDA's proposal submission procedures outlined on the cover page of the RFQL. The following documentation is required to be submitted as part of a complete application:

- Charging Equipment Applications:
 - Charging Equipment Qualification Worksheet (**Attachment A**)
 - Cut sheet for each model of charging equipment
- Charging Network Applications:
 - Charging Network Qualification Worksheet (**Attachment B**)
- Charging Equipment and Charging Network Applicants must include **Attachment C**: Equipment and/or Network Service Provider Terms and Conditions form

Vendors may include multiple models or types of equipment/networks in a single worksheet, listing each on its own column of the worksheet. Equipment applicants must also submit a cut sheet for each model of charging equipment they are applying to qualify for the Program. Applicants may also submit lists of distributors in New York State, including contact information and counties served (if applicable) for each.

Applications will be reviewed for compliance with all program requirements listed in Section II. If NYSERDA has questions about whether equipment meets a particular requirement, it will contact the applicant for more information. Equipment and networks that do not meet all requirements will not be eligible for inclusion in the Program.

Applications will be accepted and reviewed on a rolling basis. Applicants will be notified within 30 days whether their equipment or network application has been accepted, if NYSERDA requires further

information, or if the application has been denied. If it denies an application, NYSERDA will indicate the requirements that were not satisfactorily met. Applicants whose equipment or network applications are denied may resubmit applications with updated information that demonstrates that the deficient requirements have been met.

Applicants wishing to update the information about qualified equipment that has previously been accepted as qualified by NYSERDA (for instance, if a new model replaces an older version) must submit a new application indicating that it is an update to a prior accepted application and must provide all required documentation for the new equipment. Information about each model may not be updated more than once every three months.

IV. GENERAL CONDITIONS

GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

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

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

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.

V. Attachments:

Attachment A – Charging Equipment Qualification Worksheet

Attachment B – Charging Network Qualification Worksheet

Attachment C – Equipment and/or Network Service Provider Terms and Conditions

New York State Energy Research and Development Authority

Albany

17 Columbia Circle, Albany, NY 12203-6399

(P) 1-866-NYSERDA | (F) 518-862-1091

nysesda.ny.gov | info@nysesda.ny.gov

Buffalo

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Buffalo, NY

14210-1484

(P) 716-842-1522

(F) 716-842-0156

New York City

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10018-7842

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West Valley Site

Management Program

9030-B Route 219

West Valley, NY

14171-9500

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NYSERDA

**Strategic Energy Management
Program Opportunity Notice (PON) 4371**

**Applications due December 31, 2025*
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 facilities that are interested in adopting Strategic Energy Management (SEM) practices at their facilities. There are two (2) specific components to this PON. Applications will be accepted for the following:

1. **SEM On Demand:** is a remote-learning training program that features one-on-one technical support and guidance to facilitate the adoption of SEM. SEM On Demand helps facilities identify low- and no-cost ways to reduce their energy consumption in the short term with strategies for maintaining the cost-reduction business practices long term. This program focuses on flexible, practical solutions for reducing energy costs within the recognizable framework of continuous improvement.
2. **Virtual Treasure Hunts:** use a virtual energy audit approach that leverages on-site staff, supported remotely by skilled energy auditors to identify energy saving opportunities, prioritize findings, and calculate the potential savings. These virtual treasure hunts are available to 25 facilities, and applications will be accepted on a first-come, first-served basis.

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. 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.** 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. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserdera.ny.gov/sem>.

INTRODUCTION

This solicitation is divided into the following components:

Definitions

Section I: SEM On Demand Description
SEM On Demand Eligibility
SEM On Demand Application Requirements

Section II: Virtual Treasure Hunt Description
Virtual Treasure Hunt Eligibility
Virtual Treasure Hunt Application Requirements

Section III: General Considerations

Section IV: Attachments

DEFINITIONS

Participant: The entity participating in an SEM component. If desired, Participants may partner with a consultant who may participate in the cohort trainings with them and/or 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.

I. SEM ON DEMAND DESCRIPTION

SEM On Demand is a remote-learning training program that features one-on-one technical support and guidance to facilitate the adoption of SEM. SEM On Demand helps facilities identify low- and no-cost ways to reduce their energy consumption in the short term with strategies for maintaining the cost-reduction business practices long term. This program focuses on flexible, practical solutions for reducing energy costs within the recognizable framework of continuous improvement.

This program uses the United States Department of Energy's 50001 Ready Navigator platform as the backbone of the training, with additional targeted technical support and guidance, resources, and materials. Available resources and information will be kept current on the associated website at nyserda.ny.gov/sem. SEM On

Demand is particularly well suited for facilities and companies that are ISO 9001 or ISO 14001 certified as linkages are noted in each task where the guidance is relevant to these additional ISO standards. Additionally, this program provides flexibility to companies that want to pursue SEM at an individual facility level or to roll up several facilities under a “central-office” or multi-site approach.

This program is available to Industrial and Commercial facilities of all sizes and can be used and accessed by companies new to SEM or those needing to refresh or train new staff.

Facilities that participate in the SEM On Demand program can expect:

- Custom energy management assessment specific to your facility
- Treasure hunt to identify energy saving opportunities
- Access to library of resources, tools, and webinars to assist you
- Guides to help you create an Energy Policy and Energy Goals, and put a plan in place to achieve them

Additionally, a facility has the option to receive recognition for completion of activities from the US DOE, US EPA, and NYSERDA.

SEM ON DEMAND ELIGIBILITY

Projects that display a potential for energy savings or carbon savings will be considered for eligibility. Eligible participants include New York State Commercial and Industrial facilities that are New York State electricity customers who pay into the System Benefits Charge (SBC) through their electric utility company.

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

SEM ON DEMAND APPLICATION REQUIREMENTS

How to Apply:

A SEM On Demand application must be submitted to energymanagement@nyserda.ny.gov, consisting of the following documentation:

1. Current, complete electric utility bill documenting payment into SBC
2. Attachment A: SEM On Demand Application

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.

II. VIRTUAL TREASURE HUNT DESCRIPTION

NYSERDA is offering 25 virtual treasure hunts to facilities in NYS as a pilot offering, and applications will be accepted on a first-come, first-serve basis. Virtual treasure hunts use a virtual energy audit approach that leverages a facility’s on-site staff supported remotely by skilled energy auditors to identify energy saving opportunities, prioritize findings, and calculate the potential savings.

Facilities that host a virtual treasure hunt will:

- Find low to no cost energy efficiency opportunities
- Focus on quick fixes with a short payback period
- Engage employees to focus on improving day to day operations
- Motivate employees to pursue energy initiatives

- Spark employee ownership of energy management practices such as SEM
- Identify capital project opportunities worth investigation

A virtual treasure hunt builds a culture of continuous improvement for implementing energy control measures that reduce energy costs over time by focusing on four simple questions:

- Can you shut it off?
- Can you tune it up?
- Can you make it routine?
- Can you make an investment to make it better?

There are four key phases to a virtual treasure hunt that help ensure the program provides meaningful information that facilities can use to fine-tune their organization and realize electric and fossil fuel savings:

1. Prepare site information and analysis
2. Collect and brainstorming of ideas and opportunities during a virtual treasure hunt activity
3. Calculate the impact by turning identified opportunities into real savings and financial potential
4. Make Changes and follow up

VIRTUAL TREASURE HUNT ELIGIBILITY

Projects that display a potential for energy savings or carbon savings will be considered for eligibility. Eligible participants include New York State Commercial and Industrial facilities that are New York State electricity customers who pay into the System Benefits Charge (SBC) through their electric utility company. These virtual treasure hunts are available to facilities that have not participated in NYSERDA's SEM Cohort Program since this activity is covered within the scope of that Program.

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

VIRTUAL TREASURE HUNT APPLICATION REQUIREMENTS

How to Apply:

A virtual treasure hunt application must be submitted to energymanagement@nyserda.ny.gov, consisting of the following documentation:

1. Current, complete electric utility bill documenting payment into SBC
2. Attachment B: Virtual Treasure Hunt Application

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.

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

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

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

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

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

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

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

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

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

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

IV. ATTACHMENTS

Attachment A: SEM On Demand Application
Attachment B: Virtual Treasure Hunt Application

Just Transition Initiative
Request for Information (RFI) 4457

Responses Due: 8/13/2020 by 3:00 p.m. Eastern Time*

As New York State moves to adopt a clean energy economy, the State is taking proactive steps to assist communities that are transitioning away from conventional energy infrastructure they have hosted over the past several decades, including fossil-fuel power plants. It is NYSERDA's goal to support site reuse and other strategies to spur economic development to ensure that these communities will thrive in the move to a clean energy economy. The objective of this RFI is to solicit feedback and acquire information on retired or soon to be retired fossil fuel facility redevelopment opportunities to help design potential services and resources that will assist in the redevelopment of affected sites, focusing on both the economic and environmental impacts on the local community.

Response Submission: Responses in the format of the RFI Questionnaire (Attachment A to this RFI) should be emailed to rfi.just.transition@nyserda.ny.gov with the subject line RFI XXX. Respondents should provide only information that can be made public by NYSERDA. All responses to the RFI will be considered non-confidential and may be shared with others outside of NYSERDA.

If you have technical questions concerning this RFI, contact Chris Reohr at (518) 862-1090, ext. 3363 or email Chris.Reohr@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Chris Reohr at (518) 862-1090, ext. 3363 or email Chris.Reohr@nyserda.ny.gov (Designated Contact). Contacting anyone other than the Designated Contact (either directly by the respondent or indirectly through a lobbyist or other person acting on the respondent's behalf) in an attempt to influence the procurement: (1) may result in a respondent being deemed a non-responsible offerer, and (2) may result in the respondent not being awarded a contract.

***Late or faxed responses will not be accepted.** If changes are made to this RFI, notification will be posted on NYSERDA's website at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>.

I. Introduction

As New York State moves to adopt a clean energy economy, the State is taking proactive steps to assist communities that are transitioning away from conventional energy infrastructure they have hosted over the past several decades, including fossil-fuel power plants. New York State's programs include the Electric Generation Facility Cessation Mitigation Fund to ensure a more equitable transition to a clean energy economy. Building on these efforts, it is NYSERDA's goal to support site reuse and other strategies to spur economic development to ensure that these communities will thrive in the move to a clean energy economy.

In the 2020 State of the State, Governor Cuomo directed New York agencies to launch a suite of initiatives to provide a package of resources, tools, and assistance to affected communities and workers. NYSERDA's role in this initiative is to develop a Site Reuse Toolkit to aid communities in navigating site reuse, and to provide planning and technical assistance to communities to facilitate productive reuses for retiring infrastructure. Another example of reuse is supporting renewable energy development through [NYSERDA's Build Ready Program](#). The Build-Ready Program offers the potential to advance renewable energy projects which will not only benefit communities, but also that are consistent with a host community's needs and priorities, including consideration of environmental justice community impacts. NYSERDA intends to release another RFI for the Build Ready Program in 2020, in which respondents to this RFI may also be interested.

II. RFI Objectives

The objective of this RFI is to solicit feedback and information on retired or soon to be retired fossil fuel facility redevelopment opportunities. This feedback will assist NYSERDA in the design of services and resources to help communities to redevelop affected sites focusing on both the economic and environmental impacts on the local community. More specifically, NYSERDA will develop a program to provide \$5 million in turn-key consulting assistance to provide planning and technical support for communities that are navigating fossil fuel site retirement, workforce disruptions and site reuse opportunities (site reuse plan), and to develop a best-practices toolkit to assist other communities in their redevelopment efforts.

NYSERDA is seeking input from municipalities and not-for profit organizations on their experience with closing a power plant to identify important elements of a site reuse plan, the staff and financial resources required, steps to implement elements of the site reuse plan, and impacts on the community.

NYSERDA is also seeking input from planning and technical assistance consultants for examples of site reuse plans, experience with evaluating renewable and clean energy technologies at existing power plants, and identifying the tools and resources that need to be developed to assist communities closing a power plant.

Attachment A provides the questions to be addressed in a response.

III. Response Requirements

Responses must be submitted on the RFI Questionnaire attached as Attachment A. The response must be sent to the email address identified on Page 1 of this RFI and must be received no later than the due date identified on Page 1 of this RFI.

IV. GENERAL CONDITIONS

Proprietary Information – 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.

Contract Award - This solicitation for information will not result in the award of any contract for goods or services with NYSERDA. NYSERDA anticipates collecting RFI responses and analyzing the responses to inform a future RFP process.

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

V. Attachments:

Attachment A – RFI 4457 Questionnaire





NYSERDA’s Large-Scale Renewables “Build-Ready” Site Nomination Request for Information (RFI) 4464

Submissions Requested: July 21, 2020 through July 20, 2021 by 3:00 pm Eastern Time

INTRODUCTION

The purpose of this Request for Information (RFI) is for the New York State Energy Research and Development Authority (NYSERDA) to engage with local communities across New York State to consider prospective sites for large-scale renewable energy project development.

As part of the 2020-2021 enacted state budget, New York State announced the passage of the Accelerated Renewable Energy Growth and Community Benefit Act. Under this act, NYSERDA is implementing a Clean Energy Resources Development and Incentives “Build-Ready” Program. The Build-Ready Program will advance large-scale renewable energy projects by identifying sites that are consistent with the State’s standards, can be made build-ready for private renewable energy developers, minimize siting conflicts and that provide economic or societal benefits to host communities and property owners. The Build-Ready Program will focus on: the re-use of previously developed or disturbed sites; protecting environmental justice areas, high quality agricultural soils and ecologically important landscapes; leveraging existing or planned infrastructure, and; providing benefits to host communities.

The Build-Ready Program offers the potential to advance projects which will not only benefit communities, but also to identify projects that are consistent with a host community’s needs and priorities, including consideration of environmental justice community impacts. Through this program, NYSERDA will partner with communities in designing and developing projects that communities will support and also ensure that renewable energy projects deliver tangible benefits to the local communities where they are ultimately constructed. These benefits may include, but not be limited to:

- Host community benefit programs
- Payment in Lieu of Taxes (PILOT) agreements
- Utility bill discounts or credits
- Workforce development and training programs

Build-Ready aims to advance development on landscapes that present complicated development challenges for commercial developers including the re-use of previously developed and otherwise underutilized sites. In doing so, Build-Ready is seeking to augment rather than displace the work of commercial renewable energy developers.

Additional information regarding the Build-Ready Program can be accessed at:

<https://www.nysERDA.ny.gov/build-ready>

BUILD-READY SITE NOMINATIONS

By responding to this RFI, interested elected officials, community members, private companies, or other interested parties are able to nominate sites for consideration as a Build-Ready project. With the information

provided through this process, NYSERDA will then undertake an assessment of viability for the location(s) as a prospective Build-Ready site. The viability evaluation may include a review of the environmental site conditions, ability of the site to interconnect to the electrical grid, discussions with the site owner, nominating party and local officials, review of whether the site is physically suited to host a large-scale renewable project and that it aligns with Build-Ready principles.

NYSERDA looks forward to working closely with communities through a dynamic and flexible approach such that NYSERDA can help communities identify underutilized land, that when paired with a renewable energy project, can bring significant benefits to the local area.

WEBINAR AND RESPONSE DETAILS

An informational webinar will be hosted by NYSERDA on August 4th from 3:00-4:00 pm to discuss the Build-Ready Program and this RFI. To sign up for the webinar, please visit:

<https://nyserdany.webex.com/nyserdany/onstage/g.php?MTID=eb419ea64b06a71fd291d5e220c65a1b8>.

If you have questions regarding this RFI, please contact buildready@nyserda.ny.gov.

Responses to this RFI must be provided via NYSERDA's Site Recommendation Form available at the following link: https://nyserda.seamlessdocs.com/f/CERDIP_Site_Intake_Form

PREFERRED SITES FOR CONSIDERATION

NYSERDA is seeking prospective Build-Ready sites that:

1. Fall within one of the following land use types:
 - Have 65 acres upon which a project could be built (i.e., excludes area covered by buildings, existing infrastructure, ponds, etc.). Sites smaller than 65 acres will not be considered through this RFI. Larger sites will be prioritized for consideration.
 - Dormant electric generating sites.
 - Former industrial sites.
 - Existing or abandoned commercial sites.
 - Brownfields.
 - Landfills.
 - Other underutilized sites.
2. Have flat or gently sloped terrain.

REQUIRED TECHNICAL RESPONSE INFORMATION

The following information and items must be included in every formal response:

- Nominating individual contact information (name, title, address, telephone number, email)
- Site's full address
- Site's owner information (name, title, address, telephone number, email)
- Site description including current and recent past uses
- Map of area available

SITE ANALYSIS AND DEVELOPMENT PROCESS

NYSERDA will analyze all submissions for potential Build-Ready renewable site viability. Such analysis may include, but is not limited to:

- Discussions with site owner, nominating party and local officials
- Buildable acreage
- Slope
- Proximity to transmission lines or substation
- Transmission hosting capacity
- Environmental constraints
- Existing land use
- Potential of the site to support other services
- Local zoning laws

Upon receipt of a complete submission, NYSERDA will reach out to contacts and site owners regarding their submission. For sites that initially appear to be viable as a prospective “Build-Ready” project, NYSERDA may request further details or a call/meeting to discuss the proposed project. Following this initial screening, if the site appears viable NYSERDA may seek to enter into, at minimum, a site access agreement with the site owner. This agreement would allow NYSERDA to visit the site to verify desktop findings and begin performing an on-site viability analysis.

Should NYSERDA and the site owner come to terms and elect to execute a lease agreement, NYSERDA will undertake all necessary environmental and interconnection studies and approvals it deems necessary to facilitate the transfer of the site development and operations to the private sector pursuant to a publicly noticed, competitive solicitation process.

Subject to a qualified bid, award approval, and transactional close, the private sector awardee will be transferred the ownership of the project’s interest held by NYSERDA, including but not limited to, any lease or agreement with the site owner and commitments to host community benefits. Additionally, at minimum, the private sector awardee will be expected to achieve any outstanding development milestones, secure financing, construct the renewable energy facility, operate and maintain the facility in accordance with all regulatory requirements, interconnection agreements, permits, and conditional approvals issued to the facility.

HOST COMMUNITY ENGAGEMENT

Throughout the site selection, development, and subsequent construction processes, private sector awardees and NYSERDA will collaborate closely with host communities to ensure that the resulting projects complement community character and long-term vision, including existing and future development considerations, and provide a net benefit to host community members.

COORDINATION WITH COMMERCIAL DEVELOPMENT

NYSERDA’s Build-Ready Program complements the efforts of private sector developers and does not displace them. Through Build-Ready, NYSERDA seeks to work cooperatively with commercial developers. However, it is expected that particularly challenging sites may benefit from NYSERDA support or potential participation in Build-

Ready because such sites may receive only limited attention by private sector developers, or commercial development may be impractical or see substantial delays due to project risk and other factors.

DISCLAIMER

This RFI does not commit NYSERDA to agree to participate in any transaction, proceed to negotiate any terms, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. NYSERDA reserves the right to discontinue or modify the RFI process at any time, and makes no commitments, implied or otherwise, that this process will result in a business transaction or negotiation with one or more Respondents. Respondents are advised that all costs associated with responding to this RFI will be solely at their expense.

FREEDOM OF INFORMATION LAW

Proprietary Information -The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. As a general rule, NYSERDA's records and the records furnished to NYSERDA are accessible to the public, subject only to exceptions enumerated in FOIL. All information submitted in response to this RFI will be considered non-confidential/non-proprietary.



Integrated Energy Data Resource (IEDR) for NYS
Request for Information (RFI) 4501

Responses Due: August 11, 2020 by 3:00 p.m. Eastern Time*

Under the Reforming the Energy Vision (REV) comprehensive energy strategy, New York is transforming its electricity system into one that is cleaner, more resilient, and more affordable. Access to useful energy data will play a critical role in this transformation. To achieve this goal, New York State Department of Public Service staff has recommended to the New York State Public Service Commission (the Commission) that an Integrated Energy Data Resource (IEDR) be established for New York State; this Request for Information (RFI) will support NYSERDA and DPS's efforts to inform the Commission of the expected resources and expenditures necessary to build and operate the IEDR as discussed in a recent Staff whitepaper referenced below.

Response Submission: Responses should be submitted via email to smartgrid@nyserda.ny.gov with the subject line RFI 4501. **Respondents should provide only information that can be made public by NYSERDA. All responses to the RFI may be aggregated and provided to DPS and/or the Commission, and as such should be considered non-confidential. However, the identity of the respondent will not be publicly disclosed in any public submissions to DPS or the Commission.**¹

If you have technical questions concerning this RFI, contact Sumit Bose at (518) 862-1090, ext. 3130 or email smartgrid@nyserda.ny.gov or Dave Crudele at (518) 862-1090, ext. 3095.

No communication intended to influence this RFI is permitted except by contacting Sumit Bose at (518) 862-1090, ext. 3130 or email smartgrid@nyserda.ny.gov (primary Designated Contact) or Dave Crudele at (518) 862-1090, ext. 3095 (alternate Designated Contact). Contacting anyone other than the Designated Contacts (either directly by the respondent or indirectly through a lobbyist or other person acting on the respondent's behalf) in an attempt to influence the RFI: (1) may result in a respondent being deemed a non-responsible offeror; and (2) may result in the respondent not being awarded a future contract.

¹ Please see section III below regarding the Freedom of Information Act for further considerations related to public access to responses.

***Late or faxed responses will not be accepted.** If changes are made to this RFI, notification will be posted on NYSERDA's website at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities>, and on the Smart Grid Program website at: <https://www.nyserda.ny.gov/All-Programs/Programs/Smart-Grid-Program>.

I. Introduction

Under the Reforming the Energy Vision (REV) comprehensive energy strategy, New York is transforming its electricity system into one that is cleaner, more resilient, and more affordable. Access to useful energy-related data is required to enable achievement of the State's energy policy goals established in various Commission orders. The necessity of providing this access to data has become urgent with the recent adoption of the Climate Leadership and Community Protection Act. DPS staff have observed, that notwithstanding extensive efforts in recent years to facilitate data sharing, a "clear gap" in data access between what the Commission envisioned and what has been achieved to date; the IEDR aims to enable access to energy-related information acquired from the State's energy utilities (both electric and gas) and other sources in a cost efficient and expeditious manner.

The IEDR aims to collect, integrate, and make useful a large and diverse set of energy-related information on one statewide data platform. The types of information and tools made accessible through the IEDR should materially improve stakeholders' ability to understand and affect the provision and use of electricity and natural gas in New York State. The proposed IEDR is a sophisticated information system capable of: automatically and securely acquiring a large volume and wide variety of information from many sources; normalizing, managing and securing large amounts of diverse data; analyzing the acquired information to generate other useful information; applying advanced information controls to manage users' access to functions and data; timely performing extensive, user defined data analyses; timely and securely exporting data to users and other systems; and, efficiently supporting rigorous system administration, security, and operating processes.

II. Information Requested

The objective of this RFI is to solicit information on the expected resources and expenditures necessary to build and operate the IEDR. More specifically, NYSERDA is seeking information related the seven areas of professional services listed below that are deemed necessary for successful IEDR implementation.

Respondents may provide information in one, more than one, or all professional service areas (described below) based upon their area(s) of expertise. Respondents may team with other organizations to submit a response to this RFI in order to provide information across a broader range of professional service areas. However, respondents are not required to provide a response within each professional service area; if a professional

service is not applicable to an area of expertise, the section blank may be left blank or indicated “N/A”.

NYSERDA seeks the following information from all respondents:

a) **Cover Page:** List the respondent’s name, affiliation, title, and primary contact information.

b) **Executive Summary Table:**

Using a table format (see below), provide an estimated duration in number of months and an estimated cost range to complete the selected professional service. NOTE: the estimated range within the Duration and the Cost of any given professional service area should not be greater than 20% of the maximum value of the range. For example, if the estimated maximum cost of one service area is \$500,000, the estimated range of cost for that service area should be within \$400,000 and \$500,000. Likewise, if the estimated maximum duration of one service area is 10 months, the estimated duration range for that service area should be within 8 and 10 months.

Professional Service Area	Estimated Duration Range (# months)	Estimated Cost Range
Program Management		
Development of the IEDR Architecture		
Development and Integration of IEDR Detailed Designs and Specifications		
Deployment and Integration of Components and Services		
Testing and Commissioning the IEDR’s Capabilities		
System Administration		
System Operations for 5 Years After Completion of Commissioning		

c) **General Background (up to 5 pages):** Identify and provide general background information about your organization. Provide examples of previous experience that could be relevant to this RFI. For each example, do not identify the client by name but indicate the client’s sector (e.g., state entity, municipality, private sector, utility, etc.) and describe your role (e.g., prime contractor, subcontractor, whether certain tasks were subcontracted). Describe the purpose of engagement and the outcome.

d) **Schedule Description:** For each Professional Service Area (listed below) in which you provide a response, describe the approach, methodology and assumptions used to arrive at the estimated duration. Identify the biggest risk(s) that could impact the duration and recommend steps to mitigate the identified risk(s).

- e) **Budget Description:** For each Professional Service Area in which you provided a response, describe the approach, methodology and assumptions used to arrive at the estimated cost. Identify the biggest risk(s) that could impact the cost and recommend steps to mitigate the identified risk(s)

Respondents may provide information in one, more than one, or all professional service areas based upon their area(s) of expertise. Respondents may team with other organizations to submit a response to this RFI in order to provide information across a broader range of professional service areas. However, respondents are not required to provide a response within each professional service area. Respondents are encouraged to read [the Department of Public Service Staff Whitepaper Recommendation to Implement an Integrated Energy Data Resource](#) to inform their responses to the RFI.

The response must be submitted as a separate attachment to the email address noted on page one of this RFI with the subject line RFI 4501. The response should be in the format and provide the information listed above. Each page of the response should identify the name of the respondent or affiliation, the RFI number, and the page number. Respondents should understand that responses provided through this RFI will be treated as preliminary and non-binding; no submission to this RFI will affect in any way any future Request for Proposals that may be issued to achieve the objectives of the IEDR. As noted above, responses to the RFI may be aggregated and provided to DPS staff or the Commission without identifying the name of the respondent; please see Section III regarding the Freedom of Information Act for further considerations related to privacy of submissions.

Professional Service Areas

1. Program Management

The Program Manager is the entity responsible for organizing and administering IEDR implementation. Program management services under the IEDR could include the following functions: develop, implement, facilitate, and document a rigorous Advisory Group engagement and communication process to inform and guide all phases of the program lifecycle; develop and manage the program schedule; develop and manage the program budget; develop and execute the strategy for procuring and managing all professional services needed to build and operate the IEDR; timely procurement and distribution of all equipment, software, materials, facilities, network services, platform services, and other elements needed to fully implement the IEDR core; coordinate work performed by program contributors to plan, design, deploy, test, commission, and operate the IEDR elements that are not part of the core IEDR environment; manage program risks; and implement and maintain a program reporting framework. *(See Section 5.5 of the IEDR Whitepaper for more detailed information on this professional service area).*

2. Development of the IEDR Architecture

The IEDR Solution Architecture will provide the information needed to fully specify the requirements for a complete IEDR Design. To ensure realization of the IEDR's potential value, the Solution Architect would employ an approach structured around identifying, understanding, and prioritizing potential IEDR use cases. In addition, the Solution Architect must rigorously identify and comply with all applicable requirements concerning confidentiality and system security, as established in the *Data Access Framework for Strategic Use of Energy-Related Data*. [link to Data Access Framework](#) (See Section 5.6 of the IEDR Whitepaper for more detailed information on this professional service area).

3. Development and Integration of IEDR Detailed Designs and Specifications

The IEDR design will provide the information needed to fully implement the IEDR. Before developing the detailed IEDR design requirements, a Preliminary Design Plan would be prepared that describes the elements, structure, timing, deliverables, and estimated cost of the design effort. The complete IEDR design will comprise descriptive text, specifications, tables, diagrams, configuration parameters, data definitions, data schemas, computer code, operating procedures, and other work products that describe and explain all aspects of the IEDR's composition, configuration, and operation. (See Section 5.7 of the IEDR Whitepaper for more detailed information on this professional service area).

4. Deployment and Integration of Components and Services

IEDR implementation comprises full deployment, integration, and activation of all elements needed to fully implement the IEDR. Before developing the detailed IEDR implementation requirements, a Preliminary Implementation Plan would be developed that describes the elements, structure, timing, deliverables, and estimated cost of the implementation effort. Following approval of the Preliminary Implementation Plan, the detailed requirements for fully implementing the IEDR would be specified. With guidance and assistance provided as needed by management, Solution Architect, Design Contractor, and System Operator, the Implementation Contractor would acquire, deploy, test, and commission all IEDR elements as designed and in accordance with the Implementation Schedule. (See Section 5.8 of the IEDR Whitepaper for more detailed information on this professional service area).

5. Testing and Commissioning the IEDR's Capabilities

Before any IEDR capability is commissioned for use, acceptance testing would be developed, performed, and the results documented for each related IEDR operating function. (See Section 5.9 of the IEDR Whitepaper for more detailed information on this professional service area).

6. System Administration

Administration of the IEDR would commence and evolve as IEDR capabilities are released for testing, commissioning, management, and support. Once an IEDR capability is activated, the System Operator would perform all the operating functions needed to achieve the functionality and performance specified for that

capability. Operating functions performed by the System Operator would include (but not be limited to) planning, scheduling, system administration, process control, performance monitoring, system maintenance, access control, problem detection, problem resolution, change management, user support, and reporting. (See Section 5.9 of the IEDR Whitepaper for more detailed information on this professional service area).

7. System Operations for 5 Years After Completion of Commissioning

Once IEDR operations begin, the Steering Committee and Advisory Group would periodically assess the System Operator's performance for each of the operating functions and act as needed when performance falls short of expectations. (See Section 5.9 of the IEDR Whitepaper for more detailed information on this professional service area).

Respondents Conference Call

A one-hour call will be held via WebEx on **Tuesday, July 28, 2020 at 11:00 AM Eastern Time** to answer any questions you may have. The WebEx information is below.

Tuesday, July 28, 2020 11:00 AM EST | 1 hour

Meeting number: **145 832 8907**

Password: **NY-IEDR**

Link:

<https://nyserdany.webex.com/nyserdany/j.php?MTID=m5701eb398644b50760e41d5960482330>

Join by video system

Dial 1458328907@webex.com

Join by phone

+1-646-992-2010 United States Toll

Access code: 145 832 8907

An overview of the assessment vision will be presented at the beginning of the call. **If you intend to join the call, you are strongly encouraged to attend from the beginning.**

To make the most of this time, please send questions by **(time) Eastern Time on (date, typically day or two ahead of conference call)** to smartgrid@nyserda.ny.gov. Though NYSERDA will endeavor to answer all questions, those submitted in advance will be answered first. Additional questions will then be taken on the call and, to the extent possible, responses will be provided during the call. You will not be asked to identify yourself on the call. The call may end early if no additional questions are asked.

III. GENERAL CONDITIONS

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

Contract Award - This solicitation for information will not result in the award of any contract for goods or services with NYSERDA. The information gathered by NYSERDA will be advisory only and is not binding on any state agency, office, commission or public authority.

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

New York State Energy Research and Development Authority (NYSERDA)

Outreach and Technical Services to Support Clean Energy Communities
RFP 4276

\$10,600,000 Available

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

Proposals Due: June 11, 2020, by 3:00 p.m. Eastern Time*

Program Summary

The New York State Energy Research and Development Authority (NYSERDA) Communities and Local Government Team is seeking a minimum of two (2) or more qualified firms to provide outreach and technical services (herein ‘Coordinator Services’) in support of the Clean Energy Communities Program (PON 3298).

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 Chris Reohr at (518) 862-1090, ext. 3363 or by e-mail christopher.reohr@nyserda.ny.gov (for technical questions). 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 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, 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, a notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Informational webinar: NYSERDA will host an informational webinar titled “CECC Webinar” on Thursday May 7, 2020 starting at 1 pm. [Register](#) to participate in advance or join the webinar by signing in prior to 1 pm.

Introduction

The New York State Energy Research and Development Authority (NYSERDA) Communities and Local Government Team is seeking qualified firms to provide Coordinator Services, to support the Clean Energy Communities Program (PON 3298) as described in this solicitation and other departmental initiatives as necessary. (Additional support services for communities may be added throughout the contract as NYSERDA and market needs change.) More information on the program may be found at <https://www.nyserdanyc.gov/cec>. The proposer must be prepared to provide uninterrupted services for a maximum period of five and one half (5 ½) years. The proposer will provide expert support to New York State communities on a variety of clean energy projects and initiatives.

The **overall purpose** of the Coordinator Services is to maximize Clean Energy Communities program participation and high-impact action completion. This will be accomplished by Coordinators engaging with and providing guidance to city, town, village, and county governments and other eligible entities. Working closely with NYSERDA program staff, Coordinators, as directed by NYSERDA, shall target the greatest opportunities for reducing greenhouse gas emissions and seek to increase adoption rates for energy efficiency, renewable energy, clean transportation, and beneficial electrification.

The objectives of these services are to deploy a network of Clean Energy Community Coordinators who are based in the Regions they serve to provide direct outreach and support to municipalities as they consider and implement NYSERDA-selected high-impact actions and grant projects to support specific expertise areas as defined in this solicitation; act as a resource to the program on a statewide basis; and offer a set of cross-cutting services as defined in this solicitation to communities, covering peer-to-peer platforms, training, grant project support, and marketing.

Clean Energy Communities Program Summary

Launched in August 2016, NYSERDA’s Clean Energy Communities (CEC) program is for city, town, village, and county governments that want their communities to benefit from clean energy but struggle with limited budgets and limited staff. By providing grants, coordinator support, and clear guidance for implementing a range of high-impact clean energy actions, NYSERDA and its statewide coordinator network help local governments save money, grow the economy, and reduce greenhouse gas emissions.

The focus of the Coordinator Services is helping local governments complete the high-impact actions and provide support for other community initiatives as listed below. Please note that high-impact actions may be changed, retired, or added as directed by NYSERDA. These services may be expanded beyond the list below. If this is the case, NYSERDA will work with the selected Contractor to enable them to provide these services.

Unified Solar Permit - Adopt the New York State Unified Solar Permit to streamline the approvals process for local solar projects.

Energy Code Enforcement Training - Train code compliance officers in best practices in energy code enforcement through a structured training program provided by NYSERDA.

Clean Fleets - Install at least one electric vehicle (EV) charging station with two Level 2 charging ports and/or other alternative fuel infrastructure or deploy at least one alternative fuel vehicle in the municipal fleet.

Energize NY Finance - Allows property owners in participating communities to finance the cost of clean energy upgrades to their commercial or non-profit property.

Clean Energy Upgrades - Achieve a ten percent reduction in the greenhouse gas emissions from municipal buildings through energy efficiency upgrades and renewable energy.

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

Climate Smart Communities Certification - Earn Climate Smart Community (CSC) Certification through this New York State program that helps local governments take action to reduce greenhouse gas emissions and adapt to a changing climate.

Community Campaigns - Undertake a community campaign to increase the number of customers that are benefiting from clean energy in the jurisdiction.

NYStretch Energy Code - Adopt NYStretch as a municipality's local energy code, which will significantly reduce energy consumption, operating costs, utility costs and greenhouse gas emissions.

Community Choice Aggregation - Transition to a cleaner, more affordable energy supply by facilitating the aggregated purchase of a 100% renewable electric supply for eligible customers within the jurisdiction.

100% Renewable Electricity for Municipal Operations - Demonstrate that 100% of electricity for municipal operations is sourced from clean, renewable energy resources.

Clean Heating and Cooling Demo - Convert municipal buildings to clean heating and cooling technologies like air source or ground source heat pumps.

Solar, Wind, and Energy Storage Siting – Adopt policies to provide clear guidance regarding siting of solar, wind, and energy storage in their communities.

Just Transition – Provide support to the Just Transition planning and other associated efforts to those communities that are host to a conventional, power plant which are closing in the shift to clean and renewables sources.

I. General Overview

Term

The term of the contract will be for an initial 18 months with two options to renew for an additional two (2) years each. The proposer should be prepared to provide services for a period of five and one half (5 ½) years in total.

Regional Coverage

NYSERDA's goal is to select proposals to provide complete coverage of New York State excluding New York City and Long Island.

Regions are defined as Regional Economic Development Council (REDC) Regions. Each upstate Region will be served by at least one designated, full-time Coordinator who is based in that Region. It is NYSERDA’s intent to award contracts so that there is no overlap of prime contractors between the covered areas. Proposals for each Region shall ensure that at least one full time equivalent (FTE) Coordinator is physically located in the Region they are proposing to serve. **A proposer may serve one Region or multiple Regions.** If proposing to serve multiple regions, the proposer must clearly list the regions they propose to serve in the introduction of their proposal. In addition, the proposer must outline any services and strategies that are unique to the individual regions that they are proposing to serve.

Funding

Funding is available for a period of five and one half (5 and ½) years and all services will be compensated on a time and materials basis. NYSERDA reserves the right to add additional funding to selected contracts as needed and new funding may be made available in order to meet future goals and objectives within the Clean Energy Communities Program or other NYSERDA Programs where municipalities are eligible to participate. NYSERDA anticipates the bulk of the funding for these contracts will be used for Coordinator expenses such as Coordinator staff time and associated expenses (travel, etc.).

Listed in the table below is a projection of estimated funding that NYSERDA anticipates will be needed to successfully serve each of the eight upstate regions for a period of five and one half (5 and ½) years. Please note that these funding apportionments are estimates based on previous activities. The proposer should utilize these estimates in their projected resource allocations. In addition, it is expected that the resources will ramp up during the first three years of the CEC program and then taper off once Community participation has been realized. This should also be reflected in the proposer’s cost estimates provided in the Budget Form, Attachment B of this RFP.

Region	Mohawk Valley (Region 1)	Capital Region (Region 2)	Mid-Hudson (Region 3)	North Country (Region 4)	Southern Tier (Region 5)	Central NY (Region 6)	Finger Lakes (Region 7)	Western NY (Region 8)
Estimated Funding Allocation	\$1,090,000	\$1,560,000	\$1,560,000	\$1,090,000	\$1,247,000	\$1,247,000	\$1,246,000	\$1,560,000

Cost Share

Cost-sharing by the proposer or other entities within the Region is encouraged, but not required. Cost-sharing may be in the form of cash, in-kind services, facilities, resources or administrative support. The overall value of the proposal, including cost-sharing, will be a factor in proposal evaluation. The applicant cost-share and the NYSERDA share must contribute to the intent of the services requested. All proposed cost-share must be confirmed by signed commitments from contributing parties. Cost share may include private equity, private or federal grants, loans, in-kind or volunteer services documented in dollar value, or other non-NYS government funding sources. For the purposes of this solicitation, “NYS government funding” is defined as a grant or an incentive that is received from a NYS governmental entity. This funding cannot be counted as any portion of the proposer’s cost share. For the purposes of this solicitation, annual NYS funding going toward standard operating costs for an organization is not considered “NYS government funding.”

II. Program Requirements

A. General Requirements

NYSERDA requests proposals that will identify strategic municipal outreach and support services, as described in this solicitation, to be provided by a Director, Coordinator(s) and administrative and support staff (the “Team” or “Contractor”). The Proposer must have a comprehensive knowledge and understanding of relevant clean energy technologies, programs, policies, and initiatives. To ensure effective Coordinator Services, the Proposer must demonstrate that they understand the needs, issues, and challenges that municipalities face in implementing clean energy and sustainability initiatives.

1. The Proposer must have relationships with or demonstrate an ability to form relationships with external entities and influencers to accelerate participation in the Clean Energy Communities program. These entities include, but are not limited to, state agencies and authorities, elected officials, regional planning organizations, community-based organizations, nonprofits, volunteer groups, local sustainability committees, chambers of commerce, economic development agencies, New York State Association of Towns, New York State Association of Counties, and New York Conference of Mayors.
2. The Proposer must demonstrate its ability to collaborate with NYSERDA to drive continuous process improvement and cost reductions over time.
3. The Proposer shall allocate a minimum of one (1) designated, full-time equivalent (37.5 – 40 hours/week) Coordinator to each Region it serves. It is preferred that additional Coordinator(s) be allocated at no less than .6 FTE of their time unless approved by NYSERDA. NYSERDA reserves the right to change the full-time equivalent requirements as necessary throughout the contract term.
4. Upon execution of the Agreement, the Proposer shall provide a detailed quarterly plan that describes how the firm will most effectively and efficiently serve municipalities within their Region(s). A Quarterly Plan template is included in the attachments section of this solicitation.
5. Coordinators are expected to attend regularly scheduled conference calls. Teams will also attend at least one, annual, in-person two- to three-day training conference in NYS, with the location selected by NYSERDA. Directors should plan to attend monthly Director’s calls. NYSERDA plans to organize Regional awards ceremonies for municipalities on an annual basis which Team members should plan to attend. Other check-in calls, information requests, and meetings with NYSERDA program staff may be required from time to time. Additionally, Contractors will be required to respond in an appropriate timeframe to ad-hoc requests or reporting by NYSERDA.
6. The Proposer shall be proficient in training its Team in navigating reports, updating fields, and assisting municipalities with NYSERDA’s CEC software platform (Salesforce).
7. The Proposer is expected to provide cross-cutting services to support Coordinators throughout its Region(s) including training, peer-to-peer networks, marketing, events, grant project development support and other services. The Proposer is encouraged to consider other cross-cutting services aimed at improving the responsiveness, cost-effectiveness, and efficiency of the program while meeting the objectives of this solicitation. The specific services include the following:
 - a. Peer-to-Peer Platforms - Proposers should expect to develop opportunities for communities and Coordinators to collaborate with each other. The Proposer may organize inter-municipal conference calls, planning institutes, work groups, or aggregations to provide a framework for communities to complete high-impact actions in mutually supportive cohorts. Peer-to-peer networking opportunities allow communities to perform subjective

evaluations of near peer communities who have completed clean energy actions and succeeded in the program. These peer community comparisons should be integrated as appropriate into communications strategies. Teams are expected to share resources with Coordinators across New York State via Microsoft Teams or similar software. Team members should have access to and be proficient in Microsoft Office suite.

- b. Coordinator Training – Coordinators are required to attend an annual two-day Coordinator Conference, typically held each spring. NYSERDA may require additional training as necessary to ensure the success of the program and other NYSERDA goals and objectives.
- c. Program Awareness Building - Teams are expected to follow all NYSERDA rules regarding marketing and publicity. All marketing materials must be approved by NYSERDA prior to public distribution. The Proposer and its team members should not distribute press releases or speak with media regarding the Clean Energy Communities program until speaking to NYSERDA’s assigned Project Manager and NYSERDA’s Communications Office.
- d. Marketing and Social Media - The Proposer is expected to develop effective marketing materials and distribute these materials through appropriate marketing channels. NYSERDA will support Teams with guidelines and templates to maintain consistent messaging and visual identity. The Proposer will be responsible for their own marketing and communications - subject to NYSERDA approval - including content development, web, PowerPoint or other visual presentations, email, newsletters, events, webinars, and email management systems. NYSERDA reserves the right to share any approved marketing materials with some or all of the Coordinator network. Specifically, the Proposer is expected to have an effective strategy for promoting the program and sharing program successes through digital strategy and social media. The person(s) who maintain a social media presence related to the program should be identified.

B. Staffing Requirements

Proposers will identify staff that will serve the roles as identified below and explain how these individuals can effectively provide the services listed.

Director:

The role of the Director is to lead and manage the Proposer’s team, ensure professionalism and an appropriately skilled Coordinator network, and serve as primary point of contact to the NYSERDA Project Manager. The Director shall coordinate with the NYSERDA Project Manager to successfully direct services to meet the objectives described in this solicitation. The Director must ensure proper training, coordination and efficiency, troubleshoot as issues arise, and identify Expertise Areas for team members. The Director must maintain regular communications with NYSERDA and must be available to municipalities that they serve on an as needed basis. The Director will also be responsible for preparing Quarterly Plans and coordinate with the NYSERDA Project Manager on the approval of these plans.

Administrative/Support Staff:

Administrative/Support staff are considered individuals on the contract outside the Director and Coordinator role. A small staffing administrative budget will be allowed by the Proposer, however NYSERDA’s intention via this solicitation is to fund staffing for Coordinator outreach services, not support staff. Preferred firms will be those that are already working with local governments that have missions that align with the Clean Energy Communities goals, and ones that can accommodate additional

Coordinator services with little-to-no administrative (staffing) costs. Cost-sharing of Administrative/Support Staff is strongly encouraged.

Coordinators:

The role of the Coordinator is to serve municipalities within specified NYS Regions. These individuals, including new hires and/or subcontractors (if applicable), report to the Director and possess the skills needed to perform the required outreach and engagement services. Coordinators are trusted local partners to the government officials and staff in their Regions. They help communities identify, prioritize and implement high-impact actions and navigate the Clean Energy Communities program. A minimum of one (1) designated, full-time staff person providing Coordinator services is required per Region. However, proposals must provide additional Coordinators (FTEs) per Region to meet NYSERDA's programmatic needs.

Coordinators' Roles

1. Provide outreach and support services including, but not limited to, meeting with town boards and municipal staff and answering questions and providing guidance. *For example: preparing LED streetlight cost-benefit reports, aiding with software for tracking municipal energy use, or identifying grant opportunities for electric vehicles and charging infrastructure.*
2. Develop relationships with municipal representatives in their Region with face-to-face meetings (when appropriate and cost-effective) and responsive, clear communications that reflect an understanding of local needs and priorities;
3. Build awareness about the program among municipal officials, staff, and influencers throughout their Region and the state with the goal of increasing participation in the Clean Energy Communities program;
4. Have comprehensive knowledge of programs and be intimately familiar with NYSERDA's online toolkits for each high-impact action which include tools and resources like step-by-step guides, calculators, case studies, community profiles, resource guides and model language that communities can incorporate into legislation.
5. Maintain up-to-date records documenting relevant community/government assets, opportunities, communications, and the status of each community's progress through stages of completion of high-impact actions and grant projects. Furthermore, to deliver consistent quality data to ensure accurate project management, decision making, reporting and budget adherence;
6. Possess comprehensive knowledge of high-impact actions, clean energy technologies, strategies, policies, regulations, program opportunities, municipal procurement requirements, aggregated purchasing strategies, and analysis relevant to each high impact action;
7. Provide information, guidance, and differing levels of technical support and facilitation with the goal of helping municipalities to complete high-impact actions and related activities;
8. Accommodate the different needs of communities moving from inactive to consideration, consideration to execution, and execution to completion of high-impact actions;
9. Assist the municipality in compiling and submitting the required documentation to earn points for high-impact actions;
10. Identify and make referrals as appropriate to offerings that address community needs related to clean energy, climate change adaption, and resilience, including grant programs, incentives, tools and other resources. These resources may be offered by NYSERDA or other state, federal or utility initiatives;

11. Provide guidance and facilitation as needed on grant project development and implementation including help preparing estimates of energy savings metrics;
12. Assist with some non-CEC related activities as directed by the NYSERDA project manager;
13. Communicate and coordinate with NYSERDA staff and the statewide coordinator network and participate in regular calls, conferences, and trainings; collaborate with other Coordinators across New York State, through actions including but not limited to sharing best practices, train-the-trainer approaches, resources, etc.;
14. Respond promptly and professionally to reporting and ad-hoc requests by the NYSERDA project manager; and
15. Possess proficiency in Microsoft Excel, PowerPoint, Word, Salesforce, Microsoft Teams and other web-based project management and tracking systems.

Additionally, at the time of contracting, the Contractor shall identify one person from the Contractor's team to serve as the Project Manager, agreed upon by the Contractor and the NYSERDA Project Manager, to serve as the main point of contact and submit all project deliverables. Should the Project Manager become unavailable to serve in this capacity for any reason, the Contractor shall notify the NYSERDA Project Manager in writing at least two weeks in advance of such change and shall identify a replacement within two weeks. NYSERDA reserves the right to review and approve the Project Manager and Coordinators assigned to this project. NYSERDA will work with the Project Manager to address any program deficiencies and reserves the right to require the Contractor or any of its Subcontractors to add additional staff, reduce staff assignments, or entirely remove staff from this contract based on performance, misrepresentation, or other criteria determined by NYSERDA.

C. Qualifications and Services Provided Beyond Coordinator Support

Subject Matter Expertise

NYSERDA's expectation is that all Coordinators have general knowledge of all the elements of the CEC Program including all high-impact actions. However, NYSERDA recognizes that certain individuals possess a knowledge base on particular technologies or policies that goes above and beyond general knowledge and seeks to employ these individuals to share their expertise with a statewide audience on occasion. Expertise Areas relate to individual high-impact actions, but may also involve a clean energy innovation, technology, climate adaptation, policy, technical skill, or related topic.

The Proposer should identify members of its team who specialize in specific Expertise Areas. Proposals should focus on particular areas of expertise, if any, that its team members can contribute to statewide training, education, or information sharing as requested by NYSERDA. Coordinators with Expertise Area expertise serve as a dedicated resource on this topic for the statewide team who will rely on this individual to serve this role. NYSERDA may identify additional Expertise Areas throughout the contract term. NYSERDA may request team members with Expertise Area expertise to support other Regions across the State.

Not every Coordinator or team member is required to cover an Expertise Area. However, proposers who can demonstrate proficiency in multiple Expertise Areas, including through the addition of Subcontractors to the proposing team, will be preferred. Additionally, Proposers are encouraged to consider how value-

added tools and resources could be developed for other High Impact Actions. A list of Expertise Areas is included below.

The following is the list of Expertise Areas:

- **Benchmarking** – EPA portfolio manager, developing and guiding communities through benchmarking (municipal- and community-scale) legislation;
- **Clean Energy Upgrades**- Building walk-through energy assessments, return on investment (ROI) calculations, energy conservation measures (ECMs), virtual audits and tools, computer-based modeling techniques, experience with ASHRAE level 1/2/3 energy audits, energy retrofits/upgrades, or Building Performance Institute (BPI) certification;
- **Clean Heating and Cooling** - Air source heat pumps, ground-source heat pumps, solar thermal, high-efficiency low-emissions biomass, beneficial electrification, campaigns, market development strategies, or demonstration projects;
- **Renewable Electricity for Municipal Operations** - Municipal procurement, Renewable Energy Certificates (RECs), Environmental Disclosure Program (EDP), or New York Generation Attributes Tracking System (NYGATs);
- **Clean Energy Siting** - Solar, wind and energy storage siting, solar payment in lieu of taxes (PILOTs), permitting, planning and zoning, large-scale renewables, or Article 10;
- **LED Street Lighting** - Tariffs, regulatory considerations, product selection, roadway lighting design, maintenance, specifications, contracts, utility-owned versus municipal-owned implementation pathways, cost benefit assessments, or incentives;
- **Clean Fleets** - Battery electric vehicles, plug-in hybrid, charging stations, alternative fuel vehicles, heavy-duty vehicle classes, fleet inventories, or incentive programs;
- **Solarize** - Solarize, Solar-for-All, Community Distributed Generation (CDG), rooftop solar, platforms, or marketplaces;
- **Community Campaigns** - Aggregation, group purchasing models, behavioral research, surveys, canvassing, events, sales, marketing, advertising, or facilitation;
- **Energy Code** - Uniform Building Code, permitting, International Energy Conservation Code (IECC), NY Stretch, architecture, engineering, or construction;
- **Clean Energy Finance** - Cost analysis, economic analysis, project finance, public finance, Energize NY Finance, Property Assessed Clean Energy Finance (PACE), on-bill financing, or shared services strategies;
- **Community Choice Aggregation (CCA)** - Utility Energy Registry (UER) data analysis, electricity markets, retail choice, Energy Services Companies (ESCOs), Renewable Energy Certificates (RECs), Environmental Disclosure Program (EDP), New York Generation Attributes Tracking System (NYGATs), supply contracts, hedging strategies, Power Purchase Agreements (PPAs), Distributed Energy Resources (DERs), Community Distributed Generation (CDG), energy storage, demand response, peak shaving, vehicle-to-grid, PSC orders, or regulatory issues;
- **Low- to Moderate-Income (LMI) Communities** - New York State Low- to Moderate-Income Census Population Analysis Tool, LMI program delivery, Climate Leadership and Community Protection Act, potential environmental justice areas, identification of best practices, or networking opportunities;
- **Water and Wastewater** - Premium-efficiency motors, Variable Frequency Drives (VFDs), blowers and other equipment, process improvements, in-pipe turbines, or energy management;

- **Resiliency** - Vulnerability assessments, hazard mitigation, disaster planning, power failures, energy supply disruption, adaptation, or climate science;
- **Smart Growth** - Land-use planning, complete streets, smart growth, transportation planning, congestion mitigation, intelligent transportation systems, and transportation demand management, or public transit;
- **Information Technology** – Advanced Salesforce expertise, Tableau, coding, data architecture, geographic information system (GIS) or data visualization.

In addition to the Coordinator Roles described previously, Coordinators with a NYSERDA-approved Expertise Area will be responsible for:

- Serving as a resource on select Expertise Area(s) to the statewide team;
- Endeavoring to keep up with the latest technical, legislative, or regulatory advancements and best practices in New York as well as in other states and internationally;
- Being available to other Coordinators, NYSERDA, and communities throughout the State to answer questions and present in support of the program;
- Collaborating with Coordinators in other Regions as requested by NYSERDA;
- Developing and sharing tools and resources including calculators, template reports, fact sheets, training guides for Coordinators, communities, and/or NYSERDA. Tools must be approved by NYSERDA in advance and will maintain a consistent visual identity and style including the NYSERDA logo where appropriate.
- *For example, a Coordinator with an Expertise Area in Community Choice Aggregation (CCA) may be asked to develop a template report that describes all the options and information local governments need in their consideration of CCA. The report could be designed so that any Coordinator may customize and tailor the report to a community by including information from the Utility Energy Registry (UER) - i.e. estimated number of CCA-eligible accounts, load, potential GHG reductions, etc. The report would provide the municipal representative a high-quality deliverable to distribute to board members, staff, and other decision makers.*

NYSERDA must approve all staffing serving Expertise Areas prior to any work being conducted. NYSERDA may also request certain Expertise Areas be assigned, reassigned, supported, or prioritized to ensure full coverage and the success of the program.

III. Proposal Requirements

Proposals (Sections 1 – 4) must not exceed 25 pages. 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. 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.

Proposal Format

Proposals should not exceed 25 pages in total or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those needed to present a complete, comprehensive,

and effective response will not influence the evaluation of the proposal. Each page of the proposal must state the name of the Proposer, the RFP number, and the page number. The proposal must be in the following format.

RFP Proposal Checklist (The Proposal Checklist to be completed is attached to this RFP)

Section 1: Introduction and General Information

Section 2: Statement of Work

Section 3: Management Structure and Staffing Plan

Section 4: Qualifications

Section 5: Cost Proposal

Appendices:

- a) **Resumes of Key Personnel**
- b) **Summaries of Prior Work**
- c) **References, Letter(s) of Commitment**
- d) **Other Supporting Materials**

Section 1. Introduction and General Information: Proposers should summarize their understanding of the goals, objectives, and requirements of this solicitation. Proposers should briefly identify key information about their organization and any proposed subcontractors. Proposers should describe why they believe that they are qualified to perform and complete the services requested in this solicitation. If proposing to serve multiple regions, the proposer must clearly list the regions they propose to serve in the introduction of their proposal. In addition, the proposer must outline any services and strategies that are unique to the individual regions that they are proposing to serve.

Section 2. Statement of Work: The Proposer must demonstrate its ability and clearly articulate strategies consistent with the achieving the services requested as detailed in the Attachment C – Statement of Work. The Statement of Work is a detailed work plan of how the Proposer will accomplish the objectives identified in this solicitation. It is the primary contractual document that identifies the deliverables and provides a basis for payment.

The Proposal shall include an outline describing how administrative services will be deployed to meet all requirements of the contract and Statement of Work including quarterly reports, Salesforce (Project Management Software), and monthly invoicing as detailed in the Attachment C – Statement of Work and to ensure the efficient and timely provision of services.

NYSERDA requests that the Proposer demonstrates its ability to train their team in navigating reports, updating fields, and assisting municipalities with NYSERDA’s CEC software platform.

Reporting

The Proposal should address the proposing Team’s ability to participate in conference calls and meetings as outlined in the Statement of Work; prepare and submit Quarterly Plan, and Monthly Invoices as outlined in the Statement of Work; coordinate and manage all Subcontractors; provide documentation and information as requested by NYSERDA for creation of press releases or case studies to showcase the success of the Tasks completed and review all Deliverables prior to submission to the NYSERDA Project Manager.

Section 3. Staffing Plan: The Proposer must provide an organizational structure that facilitates effective leadership, quality staff services, and how they will maximize operational effectiveness/success in

achieving program goals. The Staffing Plan must identify the role of the Director. The Director must ensure coordination and efficiency within the Proposer's Region. The Proposer must identify staff's knowledge and understanding of these technologies, programs, campaigns and initiatives. The Proposer must also outline a training protocol for any staff that do not have a level one understanding of all areas required under this solicitation including how to navigate reports, update fields, and assisting municipalities with Salesforce (Project Management Software). Furthermore, the Proposer must outline how and specifically who in their team will provide Coordinator services and advanced Expertise Area services, if any, to municipalities in order to facilitate the implementation of CEC and other clean energy initiatives. Coordinators must allocate a minimum of 60% of their time to the contract, unless otherwise approved by NYSERDA. Team members that will support Expertise Areas should be identified. The proposal must also identify typical obstacles and how these can be overcome to achieve implementation. The Proposer must provide a plan outlining how the Proposer and its staff can cost effectively service the needs of all municipalities within the Region they are proposing to serve. The Proposer must identify how technologies can facilitate cost effective and effective services (e.g., Microsoft Teams, WebEx, etc.). Staff proposed to serve under this contract are subject to credentials review and interview by NYSERDA prior to approval to providing services. The staffing plan (within Attachment A) must be included with the Proposal.

Section 4. Qualifications: Describe how the Proposer's staff and other team members meet the required experience, skills and abilities listed in the first proposal evaluation category below. State the individual and combined expertise that would enable successful completion of the objectives outlined in this solicitation. List and briefly explain any relevant experience or projects that have been completed by the Proposer. Include the name and telephone number of at least three (3) references for whom your organization has completed relevant projects. Include resumes of all staff providing services and provide descriptions of staff's experience in all the technology and initiatives discussed.

Section 5. Cost Proposal: A five and one-half year total project budget, including cost elements, subcontractor costs (if applicable) must be provided using the attached Budget Form, (see Attachment B). Provide a budget that allows for Regional Coordinator services and Statewide Area Expert support services as requested by NYSERDA. 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.

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

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be evaluated based only on the information submitted. NYSERDA reserves the right to request clarification on the information submitted within the proposals. Final rankings and contract award(s) will generally be based on the following:

Execution:

- Is the proposed execution of the Statement of Work thorough and consistent with the solicitation's stated objectives? Does the proposal include a strategy for coordination and interaction with all relevant parties, including NYSERDA and participants?

- Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor and implement the tasks assigned?
- Has the Proposer demonstrated an understanding of the Expertise Areas, and demonstrated the ability to provide these services?
- Is it evident that the Proposer demonstrates appropriate understanding and expertise to fulfill the requested tasks?
- Is the Proposer's team already working with local governments? Does it have missions that align with the Clean Energy Communities goals? Can the Proposer accommodate additional Coordinator services with little-to-no administrative (staffing) costs?
- Did the Proposer adequately demonstrate recent experience conducting similar services?
- Are enough Coordinators with appropriate skills assigned to the tasks?
- Can the proposer deploy the Expertise Area expertise statewide?
- Does the proposer have Regional expertise?
- Does the proposer demonstrate the capability to expand as necessary?

Staffing:

- Is the staffing plan and schedule clear and well-defined?
- Are NYSERDA resources focused on direct Coordinator support?
- Does the staffing plan demonstrate the ability to serve a multitude of participants across the Region that is proposed to serve?
- Do key personnel have sufficient qualifications as it relates to the skills requested?
- Does the Proposal include relevant Commitment Letters from sub-contractors?
- Does the Proposal provide adequate Coordinator services?
- Does the Proposal adequately allocate resources per Region?

Cost:

- How cost effective is the proposal?
- Does the Proposal include cost-share?
- Are administrative/support staffing (non-Coordinator) expenses kept at a minimal or reasonable cost to NYSERDA?
- Is the Proposal Budget responsive, comprehensive, and clear?
- Are billing rates reasonable and appropriate?
- Are Regional allocations appropriate?
- Does the budget reflect or demonstrate the ability to deliver cost effective services across New York State?

Responsiveness:

- Has the Proposer demonstrated a clear understanding of the objectives, scope of services, and requirements of the solicitation?
- Does the proposal exhibit objectivity, responsiveness, experience, and ability to provide services cost-effectively?
- Does the Proposer demonstrate operational excellence, industry expertise, transformation capabilities, and adaptability?

NYSERDA will negotiate contracts for services in fulfillment of the needs of this solicitation based on demonstrated competence, qualifications, and rates. 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. NYSERDA will not guarantee any specific amount of work but may contain a maximum dollar amount. The amount of work assigned to the shared service provider(s) will depend on, but not be limited to expertise, current NYSERDA workload, and the ability of the Proposer to provide high quality, cost-effective, and timely services.

Because the Coordinators operate Regionally, if a Region is not bid on, NYSERDA may request that the selected Proposer(s) provide services in other Regions across the state. A selected Proposer is not obligated to provide these additional services.

Program Policy Factors

Program Policy Factors may be utilized at the NYSERDA management level to ensure that the fundable proposals in fact achieve the strategic and programmatic objectives intended by the solicitation. They are not part of the quantitative evaluation criteria employed by the Scoring Committee but are applied by the NYSERDA Team *after* the Scoring Committee recommendations. NYSERDA, in making its final determination, may consider one or more of the following additional Program Policy Factors:

- The degree to which the proposed services, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
- Consideration of the impact on, and benefits to, a diversity of communities, including Regional coverage, low-income factors, and rural communities.
- The degree to which there is diversity of technologies, approaches, methods and institutions (including the degree to which proposed technologies, approaches, and methods would be complementary to and supportive of diversity of geographic locations and of technical approaches and methods that, in conjunction with the existing portfolio of projects funded by, best achieve the overall goals and objectives of NYSERDA).
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <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 initial 18 months with two options to renew for an additional two (2) years each, 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/applicants in approximately six (6) weeks from the proposal due date/receipt of an application 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 conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed conflicts with any of the Ethics Requirements.

VI. Attachments

Attachment A - Quarterly Plan

Attachment B – Budget Form
Attachment C – Statement of Work
Attachment D – Sample Agreement

Statewide Multifamily Baseline Study

Request for Proposal (RFP) 4298

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

Proposals Due: **August 17, 2020** by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from organizations, individuals or teams interested in conducting a New York Statewide multifamily baseline study across a broad range of energy measures.

NYSERDA will procure a contractor to conduct a comprehensive, Statewide multifamily baseline study for existing multifamily buildings. The overall objective of the study is to evaluate and develop a baseline of the existing multifamily building stock and associated energy use, including the saturations of energy consuming equipment (electric, gas, and other fuels), the penetrations of energy efficient equipment, renewables, and energy management practices. The energy use in multifamily buildings is a function of the building's shell, lighting system, heating and cooling system, other energy-using equipment, and its operation and usage patterns. The study will also collect building information which will be correlated with the energy usage features. The information will be used to improve the ability of NYSERDA and New York utilities administering energy efficiency and clean energy programs in New York State to develop, implement and evaluate energy efficiency programs. Service providers and multifamily building owners can employ this data into their business and marketing strategies to more effectively target and engage the multifamily market in energy efficiency, renewables, and other distributed energy resource opportunities. More specifically, the information gained in the baseline study will be used to set more accurate baselines for incentive programs and inform energy savings calculations. The data collected during this study will feed into the multifamily potential study to be conducted separately. Study results will include the saturation and penetration of equipment, usage patterns, energy use intensity (EUI), and building characteristics.

The selected contractor will be required to collect primary data across the entire state and use secondary data, where possible, from available data sources and other recent research studies.

Substantial consideration will be given in the proposal review to cost efficiency and value.

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.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Tracey DeSimone at (518) 862-1090, ext. 3452. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or venicesolicitations@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.

*** 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 Clean Energy Fund (CEF) and NYSERDA's subsequent filings supporting the CEF are critical pillars to support the mission of REV and are designed to complement the related initiatives championed by New York State, including the New York State Public Service Commission's REV regulatory proceeding and its Clean Energy Standard proceeding.

Through the CEF, NYSERDA seeks to build on the success of its programs and momentum to meet evolving market and customer needs. 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 capital invested in clean energy and jobs in New York; and significant reductions in greenhouse gas (GHG) emissions from the State's energy sector. As market transformation and GHG emissions reductions goals are both long-term outcomes, NYSERDA was granted a 10-year program authorization of approximately \$5 billion in new strategic investment through 2025.

NYSERDA's baseline assessment of the multifamily building stock in New York State, called the Statewide Multifamily Baseline Study, will be the first multifamily baseline study conducted in New York State. The purpose of the baseline study is to understand the multifamily building stock and its associated energy use, the penetration of energy-efficient equipment, building characteristics, and energy management practices (including the use of internet connected "smart home" devices). Through self-reported interviews and on-site visits, the study collected the building characteristics, energy use, energy consuming equipment characteristics, and occupant demographic information for a diverse sample of multifamily buildings. The study will also include Market Assessments designed to determine baseline conditions for up to four different measures.

It is expected that the methodology, approaches, and instruments developed and deployed in the Multifamily Baseline Study will be leveraged and rigorous results achieved. Links to the final reports, methodology, and data sets from the Multifamily Baseline Study will be published on NYSERDA's website and Open NY and findings will be made available through public venues. As a point of reference, here is a link to the [Residential Statewide Baseline Study](#) results on the NYSERDA website.

II. Services Requested

NYSERDA will procure a contractor to conduct a comprehensive, Statewide Multifamily Baseline Study for multifamily buildings. For purposes of this RFP, the broad definition of multifamily buildings is buildings with 5 or more dwelling units, inclusive of master-metered and non-master metered, affordable and market rate buildings. The results may be further disaggregated into naturally occurring affordable housing (NOAH) and subsidized buildings.¹

This information will be used to improve the ability of the New York State Department of Public Service (DPS) and clean energy program administrators to develop, implement and evaluate energy efficiency, renewables, and other distributed energy resources, and clean energy programs. More specifically, the information gained in the baseline study will be used to set more accurate baselines for incentive programs, inform energy savings calculations, improve evaluation guidelines, and provide energy efficiency estimates. The information will also be used to establish a time series data set of market changes which will be examined as part of NYSERDA's market effects evaluation strategy. Service providers and multifamily building owners can employ this data into their business

¹ NOAH is generally understood to mean housing that is affordable to households at or below median income levels without rental assistance such as subsidies. Some definitions also include the criteria that the housing is proximate to employment centers and provides a satisfactory standard of living. Costar defines NOAH as one and two star rated buildings that are not subsidized.

and marketing strategies to more effectively target and engage the multifamily market in energy efficiency, and renewable energy opportunities. The data can help market actors better understand how the buildings they work in or own compare to existing similar stock, and how building occupants behave and make decisions related to energy use and efficiency.

All of New York State multifamily energy users will be included in the scope of the multifamily baseline study. The selected contractor will be required to collect primary data across the entire State and use secondary data, where possible, from other recent research studies.

Overview

The project is expected to include phone and web surveys and on-site visits for a representative sample of multifamily facilities throughout New York State. NYSERDA would like to get a representative sample by housing ownership type (subsidized affordable housing and unsubsidized). Tenant units that are individually metered or sub-metered will also be sampled (proportionately to their market share) as a part of this study. This study will assess multifamily facilities, including tenants, their energy-using equipment and practices, including but not necessarily limited to the following characteristics:

- Existing inventory of primary HVAC (for all heating fuels, including steam, and including ductless heat pumps and condensing and non-condensing boilers), including size, rated efficiency, equipment age, service/domestic water heater equipment type (tank, indirect, on-demand, etc.), and for central and room A/C and air source heat pump location, size, rated efficiency, duct location, presence of duct insulation, etc.²
- Steam Systems (district system temperature and pressure, steam vs. hydronic boilers, fuel, efficiency, equipment age, boiler rating/heating capacity), Distribution Systems (one-pipe steam, two-pipe steam, metro steam systems), and Control Measures (steam traps, orifice plates, thermostatic radiator valves)
- Existing inventory of water heating equipment.
- Availability, type, efficiency, and utilization of secondary heating and cooling sources.
- Controls and Energy Management Systems (EMS). This will include different categories of systems (e.g. steam).
- Lighting inventory, penetration of lamps and fixtures (e.g., incandescent, CFL, or LEDs), and occupancy sensors and timers.
- Data centers (embedded in multifamily buildings, e.g., IT closets).
- Building shell characteristics (type of construction, vintage, square footage (gross of building and average per unit), number and efficiency of windows, insulation, and panel attached to walls.
- Number of stories, number of units, number of bedrooms, number of affordable (including subsidized and unsubsidized housing) and market rate buildings, footprint dimensions, etc.
- Plug loads.
- Number of LEED certified buildings

² Other space and water heating fuels (e.g., fuel oil, propane) should be represented in any sample populations at least proportionally to their overall representation in the state. Oversamples may be required to meet the need for statistically valid data for program impact evaluation and planning purposes for various forms of energy use, building sizes, ownership/regulatory types, weather zones, etc.

- Renewable electricity generation, CHP systems, energy storage, other distributed energy resources, and metering configuration.
- Overall building energy usage calculated and represented as Energy Use Intensity (EUI) and correlated, when appropriate, with the above information. Housing ownership structures, including affordable (both subsidized and unsubsidized), co-ops, and market rate.

Qualtrics is available to be used for the web surveys if applicable. However, the Contractor should propose tools and approaches for primary data collection that are best suited for the audiences and research activities included in this RFP.

The selected Contractor will be responsible for proposing an approach to offering both monetary and non-monetary incentives to achieve sufficient and cost-effective participation in surveys and on-site inspections. This proposal should include what incentives to offer and how the incentive should be delivered to participants. Any incentive will require feedback and approval from NYSERDA before implementation to ensure compliance with organizational and State policy and precedent. Additionally, the Contractor should have the capability of issuing such payments when applicable. Proposers should include costs for recruitment incentives in their bid price, but clearly identify the incentive as a separate line item. Any incentive payments made shall come out of the identified budget for this study. **Innovative approaches are encouraged, as this is a historically hard to reach sector.** Reaching the correct person knowledgeable of the energy using equipment can be challenging, so a thoughtful plan should be proposed. Additionally, NYSERDA is currently unable to identify master-metered multifamily buildings. Other data sources, such as InfoGroup or CoStar, do not differentiate between master-metered and individually metered buildings. As a result of this lack of a clearly defined target population, master-metered buildings will need to be identified through the survey. NYSERDA can provide e-mails for ~46,000 multifamily building owners and 2,200 property managers in New York State that can be used for this study.

NYSERDA strongly prefers for all data analysis be completed using the SAS programming language.

Tasks and assistance that may be required of the selected Contractor include, but are not limited to, those tasks described below:

Task 1: Virtual Kick-off Meeting

A kick-off meeting consisting of NYSERDA program staff, NYS Department of Public Service Staff, as well as NYS utility representatives will be necessary to garner the needs of each of the market actors. This baseline study will need to be inclusive of the utilities needs to help them with their program and evaluation requirements. At the conclusion of the kick-off meeting, which will be held by virtual meeting, a finalized workplan will be required as a deliverable by the contractor.

Deliverables:

- Kick-off meeting
- PowerPoint slides
- Agenda

Task 2: Review Existing Data, Propose Data Framework, Sample Plan, and Confirm/Revise Testable Hypotheses

In order to maximize cost efficiency, prior to making any recommendations related to primary data collection, the selected contractor shall first review existing data sources available to potentially support the overall baseline study effort. Existing data sources include, but may not be limited to, program data, available data sources, prior studies (program administrator evaluations) or utility customer data. Examples include the following:

Program Data: Multifamily energy use data collected through existing programs (e.g., NYSERDA's Multifamily Performance Program and Empower and Assisted Home Performance Program privately owned housing). Some of those ownership structures will include the US Dept of Housing and Urban Development (HUD), and the US

Department of Agriculture (USDA) as these agencies provide public housing and subsidized and regulated housing. Low Income Housing Tax Credit financed properties are tax credit financed affordable housing that is privately developed is another major type of subsidized affordable (low-income, regulated) housing. Sample designs should take into consideration the different ownership structures.

NYSERDA and the other project collaborators will carefully examine the suggested sample designs and associated costs for completing the remaining tasks and will determine which sampling approach is most appropriate for the study. In developing the sampling strategy recommendations and the final sample design, the Contractor will need to understand and address the complexity of designing an representative and proportional sample across multiple electric and natural gas utility service territories, climate zones, multifamily building sizes, ownership and regulatory types, and addressing other heating fuels. NYSERDA envisions that utility customer account data will serve as a primary data source for characterizing the population and for developing the sample.

Sample plan: For purposes of proposing on this RFP, bidders should discuss possible approaches to weigh and select among several possible sampling pre- and post-hoc stratification variables, including, but not limited to:

- Age of building (>100 yrs. 20-100 yrs. <20 yrs.)
- Number of stories
- Geographic breakouts such as climate zone, county split or utility territory
- Key building ownership types such as regulated affordable, naturally occurring affordable, market rate, and co-ops
- Load sizes such as <300 KW, 300 KW through 1.5 MW, and >1.5 MW

Oversamples may be required to meet the need for statistically valid data for program impact evaluation and planning purposes for various forms of energy use, customer types, equipment type, weather zones, etc.

Deliverables:

- List of proposed survey respondents.
- Detailed sample plan including stratification and confidence/precision expectations.
- Documentation of how samples were selected and a final sample strategy.

Task 3: Develop Work Plan

The selected contractor shall organize a kick-off meeting(s) and provide a work plan detailing the process, timeline and cost for undertaking activities related to the multifamily baseline study, including, but not limited to:

- Recruitment survey for site visits
- Telephone and/or web-based surveys of building owners and property managers, as well as multifamily tenants. The contractor should be mindful about accessibility of certain approaches for vulnerable households including those for whom English is a second language, disabled (deaf, blind, etc.), and the elderly.
- Collecting field data through detailed audits of existing and newly constructed multifamily buildings
- Data analysis, report writing and presentation of results

All major deliverables (e.g., work plans, survey instruments, etc.) shall be shared with NYSERDA for review/approval before moving forward. The results of Task 2 (existing data review) and (sample design) shall be included as a part of the finalized workplan.

Deliverables:

- Finalized Workplan

Task 4: Conduct Telephone/Web-Based Surveys

Telephone/web-based surveys should be conducted for a sample of multifamily buildings. NYSERDA prefers all surveys be conducted through the Qualtrics application, which it will provide. A sample of building owners, property managers, and tenants will be surveyed in addition to the co-ops and condominium boards. Before survey instruments are finalized, they will be reviewed by all pertinent parties, including NYSERDA staff.

For all types of multifamily buildings (subsidized affordable, unsubsidized/naturally occurring affordable, market rate, co-ops, and condominiums) the data collection point will be the building. Survey themes will include (but not limited to):

- Building make-up including number of buildings, number of stories, building distribution by region and common characteristics of buildings;
- Inventory of energy-using/generating equipment and systems (quantity and sizes), including nameplate information if available for buildings, common areas, and tenant spaces;
- Count, age, end-use efficiency and hours of use of energy-using/generating equipment/systems (all fuel types);
- Penetration of energy efficient equipment/systems, renewables equipment/systems and behavior;
- Presence and use of Energy Management Systems, and general energy management strategies;
- Building shell and other characteristics;
- Number of market rate and affordable (subsidized and naturally occurring) and mixed use (affordable and market rate) multifamily buildings;
- Square footage of buildings;
- Average square footage of units and bedrooms;
- Number of bedrooms;
- Decision-making and planning strategies for installing and replacing equipment, including who makes the decisions;
- Assessment of market barriers (i.e., need for financing, lack of information, concerns about impact on bill assistance or utility allowance calculations, etc.) and options for overcoming barriers;
- Financing Options;
- Common area attributes, e.g., tennis courts, health club, exercise facility, pool areas, clubhouses, etc.;
- Common area efficiency practices, including the existence of equipment purchase policies; and
- Ownership/management structure (public housing, tax-credit financed housing, section 8 project-based housing, naturally occurring affordable) and who pays the energy bill (tenant vs. landlord).

For the purposes of responding to this RFP, bidders should assume 2,500 completed phone surveys randomly selected throughout the State (the appropriate split between phone/web will be discussed as part of Task 3). Interviews will be split between individual residents and property owners/managers. These sample sizes may be altered, if needed, once a bidder is selected and work begins. Bidders should assume the phone survey will be

approximately 20 minutes long. It is expected that a survey participation incentive will be necessary to garner customer participation in these surveys. Such survey participation incentives should be included in all proposed budgets but must still undergo NYSERDA review and approval prior to implementation and ensure protocols related to proper incentive delivery and tracking are met.

Deliverables:

- Qualtrics data and analysis files
- Survey disposition reports (compliant with industry standards).
- Methodology Reports

Task 5: Conduct On-Site Inspections

Task 5 involves on-site visits to a sub-sample of multifamily buildings that were surveyed by telephone/web. The on-site visits will be used to validate information collected over the phone using a nested sample approach, as well as collect more detailed information. The end-uses to be documented are noted below, with a listing of the minimum information that should be collected for each one. The selected contractor will be expected to propose a complete list to meet the project's requirements. On-site inspections should collect and verify any data not obtained during the phone or web interview required for calculating EUI (energy usage intensity). EUI will be calculated as the total annual energy consumption of the building (MMBTU) divided by the total gross floor area of the building (square footage). This study will not collect load shape data.

Heating & Cooling Systems, Water Heaters, and Other Appliances

(Other appliances include cooking stoves, washing machines, clothes dryers, dishwashers, refrigerator/freezers, stand-alone freezers, dehumidifiers, wine coolers, and room air conditioners)

- The manufacturer, model number, age and size of energy using equipment will be taken from the nameplate when observable or collected from the tenant/property representative. Presence of ENERGY STAR should be noted and documented (e.g., photograph) if possible, from observation.
- Fuel type, including primary and secondary, will be noted from visual inspection and usage patterns from inquiry with owner.
- Various features relating to energy efficiency will be noted such as the existence of a through the door water/ice dispenser for refrigerator freezers or insulation levels for water heaters.
- Ask about the presence of solar hot water heating system, and if appropriate, size, technology, working order, etc.
- To the extent possible, data will be gathered through the on-sites or other means regarding service classification, including monthly and daily KW rates.

Recruitment of buildings for the on-site inspections shall be conducted in a manner that minimizes bias in the sample of buildings/multifamily units selected (utilizing both phone and web). All recruiting must be done by personnel with at least one year's experience in data collection recruitment and must follow this protocol: in cases of voice mail or no answers, participants should be called back at least five times (exhausting various times of day) before moving on to the next name. Recruiters shall provide NYSERDA with weekly reports of call disposition, including the number of e-mails sent, number of kickbacks, number of calls made, refusals, ineligible customers, and participants awaiting callbacks.

All multifamily property owners or managers shall be offered the option of scheduling their on-sites on weekdays, evenings, or weekends. NYSEERDA assumes that survey participation incentives will be necessary to have tenants and property owners, or managers agree to participate in these on-site visits.

For the purposes of responding to this RFP, assume 550 on site surveys selected throughout the State. The on-sites will consist of market rate, affordable, condos, and co-ops. These sample sizes will be determined once a bidder is selected and work begins. It is expected that an on-site incentive will be necessary to garner customer participation.

Deliverables:

- Data input form
- Data and analysis files
- Survey disposition reports
- Methodology Reports
- Incentive tracking report
- Interviewer training material

Task 6: Market Assessments

The purpose of this research is to understand current practice regarding installations, maintenance and efficiency of certain types of equipment. There are four equipment areas under consideration for in depth evaluation: HVAC systems, domestic hot water (DHW) systems, envelope treatments (wall/roof insulation and windows), and renewables (solar). Bidders should assume the four equipment types identified here for purposes of developing their proposal.

This research is intended to help inform and help support future market effects evaluation studies. Market channels and specification practices for these technologies would also be characterized. This investigation should look at the market differences throughout the State for the geographic breakouts defined in the sampling design. Affordable housing market characteristics should be detailed separately given the unique challenges and opportunities of this segment of the market (and its sub-segments).

The contractor will conduct interviews with trade associations, manufacturers, distributors and contractors to determine the percentage of equipment that meets certain efficiency criteria and determine the extent of market maturity/transformation for certain levels of efficiency. Also, the contractor should factor in current and future DOE standards/code changes for relevant equipment. Where possible, the contractor shall obtain and use industry data on sales, distribution or other indicators to inform this assessment. Any cost of obtaining such data should be included in the overall bid price.

For the purposes of responding to this RFP assume 280 interviews (70 per technology area) with Equipment Contractors, Distributors, Manufacturers and Trade Association Representatives. The actual number of interviews and technology areas may change as work plans are developed.

Deliverables:

- Finalized Workplans
- Survey Instruments for each Market Assessment

Task 7: Final Report

The results and data obtained in the study should be available in an electronic Excel spreadsheet or other format negotiated by NYSEERDA and the Contractor (e.g.. sas, .csv, etc.) that can be distributed without any copyright protection. If the Contractor recommends presenting findings in an additional manipulatable format, justification

should be provided. The final formatting of data should be approved by NYSERDA before the closeout of the project.

Preliminary findings should be provided to NYSERDA as soon as they are available. The Contract should work with NYSERDA to design relevant data views and visualizations to be included in the draft and final reports. A draft report should be compiled, and a final report should be completed once NYSERDA reviews and provides feedback on the draft. The final report should be presented to NYSERDA staff in person or via a webinar.

Deliverables:

- Draft and final reports describing goals and objectives of the study, activities and methods undertaken, results and analysis of findings for all other tasks.
- Presentation of results to NYSERDA.

Task 8: Coordinate with Other Key Data Analysis Efforts

As noted earlier, the data collected from this study will feed into a separate analysis of the energy efficiency potential in the multifamily building sector. The selected contractor must coordinate with NYSERDA's potential study team and contractor(s) in order to ensure the data outputs of this multifamily baseline study seamlessly feed into the potential analysis. The contractor shall review the potential analysis approach and data requirements, shall make themselves available for meetings to discuss how data from this study will be used in the potential analysis, and shall generally maintain a level of awareness and support for the potential analysis as needed to help ensure success.

NYSERDA is aware of and interested in different technology and service offerings that are emerging in the market to analyze building data from various sources and help identify and predict where there are good opportunities for clean energy projects. If NYSERDA pursues any of these technology and service offerings, it may be requested that the contractor selected for this study provide data to feed into or validate these analyses and models. The contractor may also be asked to leverage data coming from these analyses and models.

Contractor's Responsibility

The selected contractor shall be responsible for timely completion of the requirements described in the Services Requested section of this RFP and the resulting Statement of Work.

The selected contractor must assume overall responsibility for coordinating and conducting field work and surveys (whether done by the contractor or one or more subcontractors), analysis and reporting required by this RFP (whether or not done by the contractor or one or more subcontractors); adhering to proposed project budgets; and act as liaison with study sponsors as requested and have responsibility for completing the deliverables under the contract. To inform program planning and other programmatic efforts the contractor must complete the final baseline study report within 24 months from when the contract is executed with NYSERDA.

The selected contractor shall keep NYSERDA and project collaborators informed either by telephone, in-person meetings, or email, bi-weekly, on the progress of the baseline study. The selected contractor shall participate in meetings, as needed, with NYSERDA and the other project collaborators staffs. The selected contractor may utilize sub-contractors and or teaming arrangements as needed to fulfill the requirements of this RFP. If a team is proposed, respondents to this RFP must be able to demonstrate that they have or can create a teaming arrangement that is directly applicable and consistent with the baseline and market study evaluation needs of this RFP. The primary contractor of the team shall be responsible for maintaining continuous correspondence with NYSERDA and the other project collaborators ensuring all deliverables are provided according to an approved timeline.

In any and all circumstances, study efforts shall be based on the following principles:

- The study shall ensure objectivity, fairness, and balance in terms of the types of data collected. Only those data deemed necessary for evaluation purposes shall be collected.
- The study shall be based on sound methodology, credible data and analysis, and adhere to the highest professional standards.
- Conclusions drawn from the study shall focus on establishing a baseline for the multifamily building stock and associated energy.

The selected contractor shall employ good data documentation practice procedures to ensure that NYSERDA can replicate the study in the future and conduct comparisons of results and analyze changes over time. In addition, the selected contractor shall provide all data sets and analysis from data collection activities. The structure and delivery of these data sets shall be determined upon further discussion between NYSERDA and the selected contractor.

Upon the conclusion of each task, NYSERDA will provide feedback to the contractor on performance related to the following metrics:

- Timeliness, adherence to schedule and final project deadlines
- Deliverable quality
- Budget adherence, or advance notification by contractor to NYSERDA of potential budget variances including reasons and proposed alternatives
- Engagement/responsiveness by the contractor to NYSERDA and its partners
- Meeting goals and objectives of the TWO.

NYSERDA Responsibility

The NYSERDA Project Manager will be responsible for overseeing and managing all tasks undertaken by the selected contractor, including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with the project collaborators on such reviews and decision-making; promoting coordination between the selected contractor and various project stakeholders, as needed; and approving invoices promptly. The NYSERDA Project Manager's role will include facilitating input from other project collaborators and resolving any divergent opinions or input received and providing feedback to the Contractor on Contractor performance. NYSERDA will provide feedback throughout the entirety of this project.

Project Schedule

This RFP outlines a major, comprehensive study effort that will take significant time to complete. Final study results need to be delivered and all work identified in this RFP completed no later than 24 months from when the contract is signed. More aggressive schedules will be given special consideration during proposal evaluation as long as bidders present sufficient evidence that they possess and can dedicate the resources to accomplish the work on the time line proposed, and acknowledge the complexities and possible roadblocks that can arise in conducting a study of this magnitude. Proposals should include a detailed schedule, including dates by which the following major study milestones will be completed.

- Kick-off Meeting
- Review of Existing Data
 - Data Framework
 - Hypotheses Confirmation/Revision

- Sample Design
- Develop Work Plan
- Completed Phone and Web Surveys
- On-Site Surveys
- Market Assessments
- Final Report and Data Delivery

Project Budget

Substantial consideration will be given in proposal review to cost efficiency and value. Bidders are to include all fully loaded costs associated with this RFP in their bid price.

In order to evaluate the cost component of each proposal, NYSERDA requires that a budget (in Excel format) be developed that uses the sample sizes (shown in italics) for Tasks 3-6 in this RFP. However, it is important to note that these proposed sample sizes are for bidding purposes only and may change once the final bidder is selected and planning begins. NYSERDA also encourages bidders to make sample recommendations for each task, as appropriate, including the reasons and benefits for proposing such changes. If changes are suggested, a second budget also should be included that reflects the recommended sample sizes.

Proposer Qualifications

This Study will require the selected contractor to become familiar with and fully understand the breadth and depth of the portfolio of NYSERDA and utility multifamily programs, program and portfolio interactions and relationships, utility territories and affected markets. The selected contractor should plan on reviewing secondary data sources mentioned in this RFP, as well as evaluation reports that have been conducted for NYSERDA and utility programs.

Bidders can form interdisciplinary teams to meet project goals as needed, but it is not necessary. Teams may consist of a variety of entities to program evaluation, market research and field data collection experts including, but not limited to experts in the multifamily building stock in New York State; industry associations; government organizations; universities; research organizations; or others. Teams with multi-disciplinary expertise, and experience in working with the multifamily building stock and energy use will be necessary to complete the complex project requirements.

In addition to the services described above, the following requirements must also be fulfilled by the selected contractor:

Energy Program/Fuel Type Coverage

- Must demonstrate the expertise or capability to evaluate various types of energy programs including electric, natural gas, fuel oil and propane energy efficiency projects, electric demand reduction projects, as well as on-site generation including combined heat and power and renewables.

Audience Coverage

- Must have the experience and capability to work with, and conduct analysis for, a wide variety of energy users within the multifamily sector as defined in this RFP.

Technical Support Requirements

- Must be able to demonstrate technical expertise and capability to design study and evaluation plans and carry out all associated work. Past projects relevant to supporting knowledge and experience in baseline evaluation activities and field work experience shall be included and summarized in the proposal.

- Must be able to demonstrate technical expertise in survey and interview guide design and development through an understanding and application of survey design principles related to appropriate wording of survey questions, length of survey, survey structure, etc. Past projects relevant to supporting knowledge and experience in survey design and development shall be included and summarized in the proposal.
- Preferred Statistical software expertise in SAS. Must be able to demonstrate expertise in appropriate statistical analyses and interpretation of various statistical tests associated with survey or other data.
- Prefer that the selected contractor is efficient in Qualtrics survey implementation.
- Computer software proficiency in MS Excel, MS Access, MS PowerPoint, MS Word, etc.

Reporting Requirements

- The primary contractor of the team shall be responsible for maintaining continuous correspondence with NYSERDA and the other project collaborators and ensuring all deliverables applicable to the contract are provided to NYSERDA according to an approved timeline meeting quality standards; providing weekly/bi-weekly and/or monthly reporting of all activities pertaining to the contract as determined by NYSERDA and the project collaborators. These status reports shall indicate what specific study efforts are underway, and progress made on those efforts including tracking against the schedule outlined in the detailed baseline evaluation plan and any subsequent work plans. These reports shall also detail any issues or problems that arise, and the contractor's proposed solution.
- Provide detailed and comprehensive reports on each project and major activity as it is completed. These reports shall provide supporting information that NYSERDA and project collaborators will need to conduct a detailed review of the data, analysis and conclusions.
- Provide reports on the results of each site visit conducted.
- Provide reports on the tracking and delivery of survey participation incentives.
- Provide invoices and/or expense reports via excel, tracking burn rates per task.

III. Proposal Requirements

1. Introduction and General Information (2 pages)

Proposers shall summarize their understanding of the objectives and requirements of this RFP. Proposers shall briefly identify key information about their organization and any other organizations that are part of the proposer's team. Proposers shall describe how the organization or team is qualified to perform and complete the services requested under this RFP.

2. Statement of Work/Approach (13 pages)

The Statement of Work must be consistent with the deliverables and schedule outlined in this RFP. Provide a plan of how you will assist NYSERDA in designing and implementing the baseline study evaluation activities outlined in this RFP and a timeline for completing these activities. Provide a general description of how you will assess the baseline and defined market. Describe your approach and methodology and define your rationale for both with reference to the range of methods available and how you would choose methods that are most appropriate. Describe the actions you will take to complete each task.

3. Management Structure (2 pages)

Proposers shall identify all team members, including the Principal or Lead contact, who will be responsible for ensuring that all deliverables and ultimate projects are timely and of good quality, as well as a backup lead person should this need arise. Provide a clear description of the roles and responsibilities of each key person in completing the work plan. Provide the names and addresses of subcontractors. Provide an organization chart and discuss how you would structure the team to efficiently and effectively meet the needs of NYSERDA and other project collaborators to conduct the baseline study evaluation activities covering a broad range of geographic regions, data inputs and analytical approaches. Describe how you plan to coordinate the design and implementation of the study among all team members/subcontractors and with NYSERDA. Discuss how you would manage and maintain flexibility to accommodate potentially short notification times and tight deadlines.

4. Qualifications, Experience, and References to Similar Projects (5 pages)

Describe specific experience pertaining to this type of baseline evaluation work. Discuss proposed teaming arrangements, if applicable. State the team's individual and combined expertise that would enable successful completion of the project. List and briefly describe relevant projects that have been completed by the proposer/proposing team. Include specific examples of prior work involving expert baseline evaluation design, data collection including field work, data analysis, reporting of findings as well as interpretations and recommendations related to this work. Indicate which team members were responsible for each project element described. Resumes of key personnel shall be provided in an appendix. Indicate the name and contact information for at least three references for whom your organization, or proposed teaming arrangement if appropriate, has recently completed similar, relevant projects. Summaries of related work products and other supporting materials that demonstrate your ability to complete the work requested in this RFP may be submitted as attachments to your proposal.

5. Potential Conflict of Interest (1 page)

Identify the nature of any potential conflicts of interest among team members in providing services to NYSERDA under this RFP. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with performance by team members of the proposed contract. Describe how your firm would resolve conflicts of interest.

In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of a conflict of interest, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

6. Cost Proposal

Substantial consideration will be given to cost-efficiency and competitive pricing in the proposal review and scoring.

Using Attachment B- Contract Budget Form and Instructions as a template, submit the name, title, and fully burdened hourly rate for the project for everyone proposed to perform the work outlined in this RFP. Use the Contract Budget Form to provide overhead multipliers for the duration of the project.

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

1. Describe the basis for the rates proposed (*i.e.*, based on prior period actual results; based on projections; based on federal government or other independently approved rates).
2. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.

3. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

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

Additionally, if there are any significant direct costs associated with conducting the on-site field work requested in this RFP, please provide a detailed schedule of those costs in your proposal.

7. Required Attachments

Proposals must include the following as listed in **Section VI Attachments**:

- Attachment A – Intent to Propose
- Attachment B - Contract Budget Form and Instructions
- Attachment C – Sample Agreement

8. Submittal

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

IV. Proposal Evaluation

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

1. **Responsiveness to the RFP**
 - a. Does the proposer present a sound understanding for delivering the services requested in this RFP?
 - b. Does the proposer appear to have the flexibility to accommodate potentially short notification times, tight deadlines, and tight turnaround times?
 - c. Do the proposed qualifications thoroughly address stated objectives?
2. **Relevant Experience and Qualifications**
 - a. Qualifications, experience and expertise of key personnel in relevant research and baseline study evaluations
3. **Cost**
 - a. Reasonableness and relative competitiveness of fully-burdened labor rates and escalation rates
4. **References and Other Items**
 - a. Is there information provided by references?
 - b. Is the proposal well-organized, well-written, and complete?
 - c. Does the proposal offer economic benefits in New York State (a local office, while not required, would be considered favorably), including minority- and women-owned business enterprises?
 - d. Do appendices include resumes?

Conflicts: The firm and any personnel of the firm must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all of your product, manufacturer or service-related affiliations. If any affiliations exist, you must provide a statement verifying that these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

V. GENERAL CONDITIONS

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

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

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

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

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

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

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective

contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

Contract Award - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of two years unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately two weeks from the proposal due date of June 1, 2020 as to 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.

VI. Attachments:

Attachment A – Intent to Propose

Attachment B - Contract Budget Form and Instructions

Attachment C – Sample Agreement





NYSERDA

Innovation Advisory Services Program

Request for Proposals (RFP) 4441

\$1,250,000 Available

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

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

Program Summary: Through this Request for Proposals (RFP), NYSERDA is adjusting the scope of its Innovation Advisory Services program to focus on recruiting subject matter experts with specific industry experience to actively contribute towards the achievement of New York’s energy and climate goals. As such, NYSERDA is seeking to secure the services of Innovation Advisors, which are business and technology experts with extensive experience in areas key to NYSERDA’s policy mandate and strategic plan. In this new solicitation, we are seeking experts with skills ranging from general executive and consulting experience, to climate finance and risk expertise, to applied experience commercializing growth stage climate tech ventures. These Innovation Advisors will apply their substantial technology, subject matter, and corporate experience to assist NYSERDA’s Technology and Business Innovation (TBI) department achieve its mission and goals by developing new programs with TBI leadership, offering targeted strategic advice to improve the effectiveness of existing programs, creating processes for the successful execution of programs, liaising with private sector actors affiliated with NYSERDA’s programs as needed, and ensuring that evaluation best practices are implemented swiftly and in alignment with TBI’s climate impact goals.

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 by e-mailing rfp-4441@nyserda.ny.gov✉. 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 5:00 PM Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 5:00 PM Eastern Time, files in process or attempted edits or submission after 5:00 PM Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. INTRODUCTION

Over the past decade, NYSERDA's Technology and Business Innovation (TBI) initiatives have been a key driving force in the growth of the clean energy market in New York State through their support for applied research, policy development, product development and demonstration, and business development. This support has contributed to the market entry of numerous innovative clean energy products and has helped many emerging technology companies raise follow-on investment, secure critical partnerships, and attract customers/end-users.

NYSERDA's TBI department is made up of experienced professionals across a wide variety of disciplines, including engineering, hard sciences, economics, and business. Most members of staff hold advanced or doctorate degrees, and typically have over 10 years of private sector experience. The department is organized into five groups, which represent TBI's strategic priorities: Advanced Buildings, Clean Transportation, Renewable Optimization and Energy Storage Innovation, Smart Grid Systems and Distributed Energy Integration, and Technology to Market. TBI allocates its resources primarily towards applied research and technology development, with an emphasis on business development, commercialization, and market entry for the innovations that NYSERDA invests in and supports through its various programs.

NYSERDA recently reached an inflection point in its history represented by the launch of a 10-year, \$5.3 billion commitment to the growth of the clean energy market and achievement of ambitious energy and climate goals in New York State. This commitment, known as the [Clean Energy Fund](#), will guide NYSERDA's operations and investments over the next decade. In response to the Clean Energy Fund, TBI is evolving its operations to maintain and amplify its significant contributions towards the growth of the clean energy market in the state. A key aspect of this evolution is continuing to improve the strategic approaches for identifying areas for investment and managing those investments while also maximizing the impact of the capital TBI is deploying to support clean energy technology and business development. To that end, and to assist in the development of new strategic and operational solutions, NYSERDA is seeking advisement services, on an independent contractor basis, from individuals that have substantial experience with corporate management, entrepreneurship and startups, technology development and commercialization, early-stage investing, sales and marketing, and operational transformation. Drawing from the collective experiences of such a resource will contribute directly towards the effectiveness of NYSERDA's TBI department by applying corporate and startup best practices across all operations and through leveraging unique technical expertise. By bringing in outside perspectives from those who have an "ear to market", it will strengthen NYSERDA's ability to identify and respond to emerging investment

opportunities and market needs. In addition, the reputation and deep networks of these individuals will provide external validation and more exposure for NYSERDA portfolio companies and TBI programs.

The Innovation Advisor program is itself a long-term commitment by NYSERDA and offers the opportunity for top tier management and technical talent to actively advise TBI strategy, the development of impactful program tactics, improvement of internal business processes, and the growth of NYSERDA staff and portfolio companies. Collectively, this will assist New York State in its pursuit to achieve ambitious energy, climate, and economic goals and the realization of NYSERDA's Clean Energy Fund vision. Innovation Advisors are key collaborators who will interact with NYSERDA executive management and staff, portfolio companies, program partners, and other key stakeholders throughout the state's clean energy market.

II. PROGRAM REQUIREMENTS

Eligibility and Proposer Requirements

NYSERDA Innovation Advisors will be established professionals with significant experience in corporate management, starting and scaling technology companies, and/or deep subject matter expertise. As such, Innovation Advisors must have the following qualifications:

- Demonstrated ability to develop relationships with key stakeholder groups, including private market actors and governmental agencies at the federal and state levels involved in innovation and research, as needed
- Strong project and people management skills and the ability to successfully multi-task, set priorities, and meet deadlines in a dynamic environment.
- Expertise in writing, presentation, and interpersonal skills that resonate with audiences of different backgrounds; the ability to communicate persuasively, concisely, and unambiguously in speech and in writing.
- Ability to be a self-starter and function well, both independently and in teams.
- Expertise in one or more of the Advisory Areas listed below.

Minimum educational requirements include:

- A Bachelor's degree in engineering or engineering management; physical, chemical, or biological sciences; finance, law, business, economics, or entrepreneurship; and a minimum of 15 years of relevant experience;
- or*
- An unrelated Bachelor's degree and 20 years of relevant experience as noted above.

Preference will be given to those candidates that possess:

- A proven record of experience working with highly technical entrepreneurs and early-stage companies developing disruptive innovations.
- A proven record leading large operational transformation efforts within established organizations.

NYSERDA reserves the right to independently verify any qualifications, experience, or other relevant information provided in the proposal.

Range/Scope of Services and Advisory Areas

Innovation Advisors selected through this solicitation are experts ready to provide both strategic guidance and hands on operational support to the TBI team over the course of their tenure in the program. This work will range from creating multi-year plans to drafting documents and presentations on an as needed basis. All Innovation Advisors will serve as an extension of the TBI team and will work across team functions to train, educate, instruct, support, and operationalize team decisions and goals. An applicant to this RFP will provide advisory services on a part-time basis as an independent contractor and will assist NYSERDA's Innovation team in one of the following Advisory Areas:

Advisory Areas

General Analytical Support

- Provide ongoing programmatic support for various initiatives including assistance in the design, development, launch, and management of Innovation programs
- Research and develop application best practices for Innovation team solicitations, proposal evaluations, and project selection
- Support internal business process improvements and miscellaneous tasks relevant to the Innovation team's ongoing activities and success metrics

Metrics and Measurement

- Work with the TBI team to develop optimal metrics for measuring program success across a variety of areas including greenhouse gas impact, environmental justice, impact to disadvantaged communities, commercialization and technology development metrics, etc.
- Develop best practices for the collection of metrics across relevant target areas germane to the CLCPA
- Create educational tools to support NYSERDA's portfolio in understanding and calculating its impact
- Collaborate with TBI's operations team and NYSERDA's performance and measurement team to ensure organizational best practices and standards are being applied to the TBI portfolio
- Inject expertise into TBI's metrics and measurement work and co-create plans for long term tracking and evaluation

Climate Resiliency

- Conduct market outreach to understand the best practices used by insurers, financial institutions, utilities, and environmental regulators, among others
- Support the development and implementation of a climate resiliency framework to inform NYSERDA and New York State's investments into energy and climate assets
- Develop best practices for valuing and measuring resiliency for investors and state and local governments
- Support the assessment of innovative methods for pricing resiliency within the context of regulated utility tariffs

Climate Risk & Finance

- Facilitate market outreach to determine near and long-term opportunities for NYSERDA to support market adoption of robust frameworks for pricing climate related risks
- Support the development of market interventions that will strengthen New York State's financial and insurance sectors

- Provide insight into our existing initiatives that support the inclusion of greater risk assessments of climate risk
- Determine how to bring additional capital streams into climate-resilient assets
- Assess rules, regulations, policies, and programs designed to support proper risk assessments of climate change in the financial and insurance sector(s)
- Assess methodologies to support the full risk assessment of climate and environmental concerns through the state

Circular Economy

- Support NYSERDA in its development and application of definitions and processes for quantifying and valuing circular economy solutions in the context of the state's greenhouse gas reduction goals
- Conduct market outreach to determine near and long-term opportunities and needs for NYSERDA to support market adoption of robust frameworks and standards for circularity
- Identify key barriers to circular economy solutions and opportunities for NYSERDA to offer catalytic support of innovators in this space
- Support the launch of funding opportunities and other initiatives aimed at accelerating and / or supporting circular and regenerative products, companies, or processes

Investment

- Educate the NYSERDA team on best practices and critical analyses used by investors such as:
 - Defining the relevant market or industry of interest
 - Developing hypotheses around future expected changes in the market
 - Developing financial forecasts and analyses
 - Defining a Path-to-market
 - Total addressable market assessments
 - Different types of financial products
 - Fundamentals of innovation markets
 - Best practices for company due diligence
- Support the development and use of toolkits, templates, and analyses for use in the development of investment theses such as:
 - Iterative innovation and how to measure it
 - Customer segmentation
 - Planning for an exit
- Provide advice and relevant data to team members for the creation of investment theses rooted in economic context
- Review and guide the development of private-sector style power point (or similar) presentations to appropriately communicate the Investment Plans and Business Cases used by the NYSERDA executive team to define capital deployment opportunities

Commercialization

- Support the development of programs that help NYSERDA portfolio companies get to market significantly faster than existing programmatic interventions
- Identify training and education programs to support innovators as they establish first technology and/or solution demonstrations, search for and recruit first customers, and plan expansion into the New York market
- Engage relevant public and private entities interested in demonstrating and/or adopting solutions and assist them in becoming early adopters

- Support NYSERDA staff in identifying barriers to market for innovators across all GHG emitting industries
- Develop communication tools to help NYSERDA portfolio programs prepare their startup participants for company growth and expansion

Carbontech / Negative Emissions Technology

- Provide ongoing technical expertise and assist in the evaluation of negative emissions technologies
- Liaise between key research institutions around the world and stakeholders in the New York carbontech innovation ecosystem
- Offer targeted support and guidance to innovators with carbontech solutions within the existing NYSERDA portfolio and/or companies interested in entering the New York market
- Support the development of a strong carbontech cluster that connects investors, founders, customers, and organizations in the carbon to value / negative emissions technologies space(s)
- Develop new initiatives, funding opportunities, and partnerships to support the demonstration and deployment of carbontech across New York state and develop plans for these initiatives in collaboration with the NYSERDA team
- Inform financing and project development approaches for negative emissions projects

Each contract will have an initial term not to exceed 12 months. Awarded contracts may be extended at NYSERDA's sole discretion if significant value is expected. Following the due date, submissions will be assessed by a Scoring Committee based on the evaluation criteria provided in Section IV. . NYSERDA may in exceptional circumstances and in its sole discretion, increase the award amount and adjust required hours of service per week for unique or outstanding applicants with demonstrated qualifications. NYSERDA recognizes that applicants may be seeking assignment as an Innovation Advisor on a sabbatical basis from their current employer. Therefore, consideration will be given to those potential candidates that provide cost share or employer provided sponsorship (e.g., not-for-profit supplemental stipend) that offset total costs to NYSERDA.

Available Funding and Cost Sharing

Up to \$1,250,000 of NYSERDA funding is available through this RFP. All, some, or none, of the available funds may be awarded through RFP 4441 NYSERDA anticipates making six to ten awards under this solicitation. NYSERDA reserves the right to add or reduce time and/or funding to awarded contract(s). No cost sharing is required for this solicitation.

Other Considerations

In addition, proposers should note that:

- A proposal may be considered non-responsive if it fails to comply with the requirements above, the Submission Requirements of Section III, or the General Conditions of Section V.
- Performance of awarded projects will be assessed on a continuous basis in order to ensure the Innovation Advisor is meeting their commitments and achieving the milestones laid out in the Statement of Work.

III. SUBMISSION REQUIREMENTS

Applicants are encouraged to proactively identify advisory topics (to the best extent possible) that would benefit NYSERDA, portfolio companies, program partners, and other stakeholders in New York State's clean energy market. NYSERDA will identify specific assignments and establish a customized Statement of Work with each Innovation Advisor based on individual qualifications and current organizational needs.

Submissions should concisely and clearly demonstrate the applicant's expertise and accomplishments and how they relate to the requirements of this RFP for the Innovation Advisory Services Program. Submissions should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a submission's standing per the evaluation criteria. The applicant should provide the following:

1. **Narrative Statement of Qualifications (Attachment A; 3-page limit)**

The narrative statement serves as the "cover letter" of the submission and will describe the applicant's professional history, qualifications, accomplishments, and other relevant background information. Applicants should consider TBI's investment approach and strategic priorities and describe how their expertise could be leveraged in pursuit of department goals.

 - a. Professional history and accomplishments to date;
 - b. Motivation and rationale for seeking to serve as a NYSERDA Innovation Advisor;
 - c. How past professional experience or areas of expertise could be leveraged to benefit NYSERDA TBI's strategy and operations; and
 - d. Other relevant information the applicant wishes NYSERDA to consider.
2. **Resume/Curricula Vitae (Attachment B; 2-page limit)**
3. **Cost Proposal (Attachment C; 1-page limit)**
 - a. Applicant availability and proposed hours per week. With respect to physical location, preference is to have all Innovation Advisors awarded through this RFP be physically embedded at NYSERDA's Albany office. However, while the COVID-19 pandemic continues and the offices are closed, Innovation Advisors will be expected to work from locations where they can perform the work expected of an Innovation Advisor. Additionally, after the NYSERDA offices are opened, other arrangements may be considered, including a split between Albany and other locations. Applicants should describe geographic constraints, proposed location of service, and their ability to be equally as effective if not physically embedded at NYSERDA's offices.
 - b. Cost proposal providing proposed hourly billing rate and overall contract value. Billing rates should not exceed the rates charged by the applicant to other existing current clients, and must not exceed \$175 per hour. Applicants will be required to provide justification for proposed hourly billing rates during the contract negotiation period (post award notification).
4. **References and Conflict(s) of Interest (Attachment D)**
 - a. Provide three professional references, with contact information, from current or past colleagues, customers, clients, or others who support the applicant's

submission and have direct experience working with the applicant over a sustained period of time.

- b. For potential conflicts of interest, to the best of the applicant's knowledge, identify any involvement the applicant has or has had with NYSERDA portfolio companies, both direct recipients of funding, or indirect recipients of support (e.g., incubator clients/graduates, proof-of-concept center teams/alumni, entrepreneur-in-residence program clients, 76West winners, etc.) Identify all other potential issues or conflicts of interest.

Attachment C, Project Personnel and Rate Form, is provided to applicants for the Cost Proposal. The other items required for a complete submission – Narrative Statement of Qualifications, Resume/Curricula Vitae, and References and Conflict(s) of Interest – are not provided to applicants by NYSERDA. Applicants should provide their own documentation for these attachments, mark the documents with the appropriate attachment letter (A, B, and D, respectively) for this solicitation, and include them with their submission.

Procurement Lobbying Requirements

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

IV. PROPOSAL EVALUATION

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, listed in order of importance. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or provide clarifications to information outlined in the proposals. Proposers will be notified if they are requested to attend an interview. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. A proposer receiving a favorable evaluation will be invited to enter into contract negotiations with NYSERDA. The proposer will be required to submit a detailed Statement of Work, schedule, and budget, and may also be asked to address specific questions or recommendations of the Scoring Committee prior to any contract award.

Evaluation Criteria

Experience and Qualifications

- Does the applicant's training, experience, or qualifications meet the general requirements of the Innovation Advisory Services Program in one or more of the Advisory Areas, as specified in this RFP?
- Has the applicant provided appropriate documentation showing required experience or qualifications?
- Are the applicant's qualifications relevant given the strategic and tactical approach envisioned for NYSERDA's TBI department?
- Does the applicant's qualifications and expertise address NYSERDA's needs and is it likely to help advance the growth of the clean energy market in New York State?

Cost Proposal

- Is the availability and billing rate reasonable given the applicant's qualifications and current engagements?
- Is the applicant's availability sufficient to accomplish the stated goals of the engagement?

References

- Are the references from experienced, well-established individuals who understand and are deeply familiar with clean energy innovation and technology commercialization?
- Are the references able to provide clear and compelling examples of the applicant's ability to be an effective Innovation Advisor?

General Criteria

- Does the submission include all required elements?
- Overall, is the submission professionally prepared, reasonable, and likely to positively impact NYSERDA's strategy and operations?

Other Considerations

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

- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- Duplication of other proposed or awarded projects.
- The degree to which pricing and hourly rates for services are in line with the rest of the market.
- Track record and previous performance of proposer(s).
- The degree to which the proposer's skills and background align with TBI program needs.

V. GENERAL CONDITIONS

Proprietary Information

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/>

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

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
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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

Up to \$1,250,000 of NYSERDA funding is available through this RFP. NYSERDA anticipates making two to six awards under this solicitation. All, some, or none, of the available funds may be awarded through RFP 3859. Contracts will be structured as time-and-materials. NYSERDA anticipates a contract duration of 12 months with the option to add time and/or money to contracts for high-performing Innovation Advisors that exceed expectations. Funding allocated for this RFP may also be used for support services that are directly related to the Innovation Advisory Services Program. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA may at its discretion elect to extend and/or add funds to any contract funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether their proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements

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

Limitation

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

Disclosure Requirement

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

which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VI. ATTACHMENTS

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

- Attachment A - Narrative Statement of Qualifications (template not provided)
- Attachment B - Resume/Curricula Vitae (template not provided)
- Attachment C - Project Personnel and Rate Form (template provided)
- Attachment D - References and Conflict(s) of Interest (template not provided)

The following attachment is provided as a reference document for applicants:

- Attachment E - Sample Agreement



ANDREW M. CUOMO
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

ALICIA BARTON
President and CEO

Innovation Marketing Support
Request for Proposal (RFP) 4459
\$ 500,000

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

Proposals Due: **August 10, 2020** by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this Request for Proposals (RFP) to select a marketing firm to provide a range of marketing and communications support services for NYSERDA's Innovation program.

Firms are invited to submit a proposal to provide strategic marketing support and marketing and communication services for the Innovation program. NYSERDA will select and rank proposers. Funded proposer will be expected to coordinate with other agencies under contract with NYSERDA.

The earliest expected timeframe for potential work under this solicitation is Fall 2020, and the budget for planning purposes only is \$500,000 over the course of two years.

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 Cynthia Klopfer (Designated Contact) at (518) 862-1090, ext. 3536 or by e-mail advertising@nyserda.ny.gov or Erin Schucker at (518) 862-1090, ext. 3352 or by e-mail advertising@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon (Designated Contact) at (518) 862-1090, ext. 3232 or 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 offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3:00 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) promotes energy efficiency and the use of renewable energy sources. These efforts are key to developing a less polluting and more reliable and affordable energy system for all New Yorkers. Collectively, NYSERDA’s efforts aim to reduce greenhouse gas emissions, accelerate economic growth, and reduce customer energy bills.

NYSERDA works with stakeholders throughout New York including residents, business owners, developers, community leaders, local government officials, university researchers, utility representatives, investors, and entrepreneurs. NYSERDA partners with them to develop, invest, and foster the conditions that:

- Attract the private sector capital investment needed expand New York’s clean energy economy
- Overcome barriers to using clean energy at a large-scale in New York
- Enable New York’s communities and residents to benefit from energy efficiency and renewable energy

Under Governor Andrew M. Cuomo’s Green New Deal and Climate Leadership and Community Protection Act (Climate Act), New York State has adopted a nation-leading clean energy agenda that calls for 100% clean power by 2040 and sets the State on a path to carbon neutrality across all sectors. The Climate Act sets these and other new standards into law, codifying New York’s goal of 70% renewable energy by 2030, while also cutting greenhouse gas emissions 85% by 2050. To achieve these goals, New York is undertaking one of the most aggressive clean energy agendas in the nation.

NYSERDA’s Innovation team supports technological and other innovative initiatives to meet New York State’s climate and decarbonization goals, by making strategically significant investments in market analysis, technical feasibility assessment, product development, field validation, and technology commercialization. Much of NYSERDA Innovation’s work is funded by the Clean Energy Fund (CEF), comprised of four portfolios that work collectively toward meeting ambitious energy, environmental and economic goals, and are expected to contribute significantly toward the broader New York State goals. The Innovation & Research portfolio is designed to drive innovation and cleantech business growth across five key opportunity areas represented by smart grid technology, renewables and distributed energy resources, high performance buildings, transportation, cleantech startup and innovation development. The NYSERDA Innovation team continues to assess new investment areas and methods that will catalyze independent investment to build and grow clean tech markets in New York State.

The NYSERDA Marketing team provides marketing support to the Innovation Program team, focusing on strategies that communicate the value of clean tech solutions, disruptive advancements in technology development, and the role NYSERDA plays across multiple audience sectors. The size and scope of marketing activities varies greatly depending on objective and audience, but each

is grounded in a strategic understanding of the market and business goals. Marketing and communication support play a key role in helping NYSERDA's partners and funders, cleantech investors, clean energy innovators, and the general public understand New York State's underpinning of cutting-edge technologies that will meet the increasing demand for clean energy in better and more cost-effective ways.

Program Requirements

Proposers are invited to submit, in the format described in Section III, a proposal describing their skills, expertise, qualifications, and personnel rates for NYSERDA's Innovation Program.

The Program and Marketing teams are looking to reposition Innovation at NYSERDA. This will be done through a repositioning strategy and supported by a branding exercise in partnership with the marketing firm brought on board via this PON/RFP. NYSERDA and the winning proposer will explore in detail the roles NYSERDA, New York State, clean tech innovators, green investors, and New York State related resources play in relation to the over-arching initiatives. Strategic audience targeting, targeted messaging, well-researched media plans, smart go-to-market plans, results-driven channels, and meaningful tactics are expected, and necessary as relevant efforts are promoted.

Successful proposer(s) will be expected to:

- Lead NYSERDA through a repositioning of Innovation at NYSERDA to align with evolving priorities and direction.
- Convey the benefits of New York State as an innovation hub and premier choice for smart, forward-thinking companies and investors who desire to get things done and ultimately move markets.
- Conduct market research and/or provide other services to gather stakeholder, company, investor and industry input necessary to develop and evaluate NYSERDA programs and test strategies prior to implementation.
- Design and implement integrated marketing strategies to meet organization and program objectives, including identifying campaign objectives and developing a messaging strategy (i.e. themes, graphics, creative approach, program materials, and communication tools and methods appropriate for target audiences). Back up strategic recommendations with data/facts.
- When necessary and appropriate, engage and work collaboratively with industry experts to better inform strategy development.
- Support the identification and potential partnership with key influencers in the space who can help further Innovation efforts.
- Develop and deliver consistent, coordinated messages to tell cohesive stories that are relevant to audience sectors.
- When appropriate, engage other NYSERDA marketing contractors across sectors and work collaboratively to develop and deliver coordinated, consistent messaging and materials.
- Develop strategies to communicate results of program successes to spur additional action in the market.
- Develop an integrated media strategy, including targeted publications/media and consideration for new/social media.
- Establish benchmarks for key measures such as awareness, understanding, attitudes, and participation rates and tracking progress toward such benchmarks.
- Develop exhibits, displays, and educational materials.

- Provide copywriting, photography and video services.
- Provide promotional and collateral support.
- Provide public relations support.
- Have an ability to adapt to changing timelines and short turnaround times.
- Enhance audience definitions with available research and industry expertise.

Proposal Requirements

Each proposer shall address how it will satisfy the requirements discussed within this PON/RFP. The proposer must provide adequate information to effectively demonstrate the proposer's capability to perform all the work and services required. This should include information on past campaigns developed and executed, including creative examples, that demonstrate experience in relevant industry areas, as well as campaign results.

The proposal must be in the following format:

Part I

Late proposals will be returned. Faxed or emailed copies will not be accepted.

- A. Table of Contents.** Provide a Table of Contents that outlines page number and section where each required section is found.
- B. Company Profile.** Provide company information, including:
- Year the firm was established
 - Statement of ownership: Describe the type of business entity (sole proprietorship, corporation, LLC, or other), list the majority and minority owners.
 - Subcontractors: Provide the company name, contact person, address, and telephone number, and specific intended tasks and percentage of work to be performed by any subcontractor.
 - Identify and include Minority/Women-Owned Business or Service-Disabled Veteran-Owned Business certifications for proposing firm and proposed subcontractors.
- C. Qualifications.** Proposers are required to provide a brief narrative that includes a brief description of the agency, including its founding and history; core capabilities and offerings, number of employees, service areas, and awards or other forms of recognition.
- D. Experience and ability to perform work.** Proposers must describe experience with, and understanding of, the identified sectors. Proposers should include specific relevant examples that highlight knowledge and understanding of each sector and ability to provide the identified Program Requirements. Proposers should demonstrate relevant knowledge of energy/clean energy industry and, relevant audiences, and highlight New York State experience. Include description of work process from strategy development to tactical implementation to measurement and results.
- E. Project Personnel and Rates (Attachment A).** Proposers are required to include a completed Attachment A: Project Personnel and Rates.

Part II

Marketing Approach Assignment

In addition to the components listed in Part I, all Proposers are required to submit a marketing approach assignment. Proposers must provide a high-level, integrated sample marketing approach recommendation for the NYSERDA Innovation program based on the assignment outlined below using information publicly available – NYSERDA’s website, industry data, etc., as well as the proposer’s own understanding of the market.

This is not a request for an actual campaign, just the proposer’s approach to developing one.

Proposers must complete this assignment in order to be considered for qualification.

Sample Marketing Campaign Assignment:

For the Long-duration Grid-connected Energy Storage Sector:

NYSERDA wants to communicate to technology companies, startups, investors and financing entities in the energy storage sector the idea that New York State is the best place in the world to start, grow, and invest in clean tech companies—in large part because of NYSERDA and NYSERDA Innovation’s work to de-risk the market and catalyze growth. How would you go about targeting those customers and convincing them to grow and invest here?

Additional information

<http://www.nysesda.ny.gov/Clean-Energy-Startups>

<http://www.nysesda.ny.gov/Innovation>

Proposers should become familiar with, Clean Energy Fund (CEF), Clean Energy Standard (CES), and especially the Climate Leadership and Community Protection Act (CLCPA).

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:

Sufficient textual information addressing the Marketing Approach Assignment. Graphics and images may be included, but the assignment should be no longer than ten single-sided pages.

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.

I. Proposal Evaluation

- Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Maximum Point Value 30 Points: Knowledge of the sector, market actors, audiences, and NYS energy markets

Maximum Point Value 30 Points: Strategic Approach

Maximum Point Value 15 Points: Experience and Qualifications

Maximum Point Value 15 Points: Cost Effectiveness and Competitive Rates

Maximum Point Value 10 Points: Originality of Approach and Creativity

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.

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:

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

Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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

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

Contract Award - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of two years with a two-year option 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 6 weeks from the proposal due date of August 10, 2020 at 3:00 p.m. 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. NYSEDA 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. NYSEDA 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 – NYSEDA, 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. NYSEDA may conduct due diligence on some or all proposals based on NYSEDA's current guidelines at the time of a review. NYSEDA 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 NYSEDA 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 NYSEDA 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.

III. Attachments:

Attachment A – Budget

Attachment B – Sample Agreement

Attachment C – Article 15-a MWBE Provisions for Solicitations

Attachment D – MWBE Forms

Major Renewable Energy Facility Siting Technical Assistance Request for Proposal (RFP) 4475

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

Proposals Due: July 13, 2020 by 3:00 p.m. Eastern Time*

Objective

Consistent with Section 94-c of the New York State Executive Law, the New York State Office of Renewable Energy Siting (ORES) has been created to develop and execute a streamlined permitting process for large-scale renewable energy projects in New York State. ORES seeks to engage one or more contractor(s) to assist its staff with overall permitting process for major renewable energy facilities. Selected contractor(s) will report directly to the ORES and will assist ORES Staff to review submission of application documents and data to ensure all requirements have been received and are sufficient for the purpose of preparing draft permit conditions. The selected contractor(s) will conduct various engineering and environmental studies and evaluations and assist with the finalizing of draft permits. Additionally, the contractor(s) may be asked to support ORES staff in responding to public comments, and to be involved in evidentiary hearings and appeals processes. The contractor(s) will be engaged in activities within a highly technical and emerging field.

Intent to Propose

Proposers are requested to submit an Intent to Propose using the form in Attachment A. The Intent to Propose is requested to be submitted by July 6, 2020 and no later.

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/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Houtan Maoveni (Designated Contact) by e-mail at Houtan.Moaveni@ores.ny.gov or Ann Trivison (Designated Contact) at (518) 862-1090, ext.3241. If you have contractual questions concerning this solicitation, contact VeniceSolicitations@nyserdera.ny.gov (Designated Contact) at (518) 862-1090, ext. 3507. 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>).

I. Introduction

New York State has enacted the Accelerated Renewable Energy Growth and Community Benefit Act (the Act), landmark legislation aimed at improving the siting and construction of large-scale renewable energy projects in an environmentally responsible and cost-effective manner. The Act created a first in the nation Office of Renewable Energy Siting to improve and streamline the process for environmentally responsible and cost-effective siting of large-scale renewable energy projects across New York. ORES coordinate and undertakes environmental reviews and permitting of major renewable energy facilities. ORES have the authority to issue a single permit for the construction of major renewable energy facilities from both a state and local law perspective, except for any approvals necessary under federal law, including federally delegated permits. ORES must issue a final decision on the siting permit within one year of the date on which the application is deemed complete (and within 6 months if the facility is proposed to be located on brownfield, commercial, landfill, former power plant, and “abandoned or under-utilized” sites).

ORES is expecting a large number of application submittals and permit requests during the first three years of its formation. Due to sensitive timing and the potential for application schedules to overlap, the ORES staff workload will be heavy and ORES has recognized a need for third party assistance in application review and other professional services to help meet its statutory deadlines.

II. Program Requirements

A. Overview

Under the direction of the ORES Deputy Executive Director, the successful contractor(s) will provide a range of expertise to carry out the normal functions necessary to issue a permit for major renewable energy facilities. ORES is seeking to award one or more contract(s) to “full service” contractors that can provide as many of the services listed below. Proposers are permitted, but not required, to team with partners (subcontractors) they believe would offer complementary expertise. Proposers must ensure that they or, as applicable, their collective teams include appropriate expertise in the relevant disciplines required to assist ORES to issue a permit for major renewable energy facilities.

B. Services Requested

While a comprehensive listing of all engineering/design disciplines is not provided, ORES seeks Proposers who are able to provide services associated with the following engineering/design-related service disciplines to the greatest extent possible:

- Historical and Archeological Resources
- Aesthetics
- Agricultural Resources
- Biological Resources
- Ecological Resources

- Cultural Resources
- Geology/Soils
- Hazards and Hazardous Materials
- Hydrology and Water Quality
- Noise
- Tribal Cultural Resources
- Transportation/Traffic
- Utilities interconnection and Transmission
- Design, Structural and Civil Works
- Land use, Site and Property Boundary Surveying

C. Scope of Work

The Contractor(s) will function as an extension of the ORES staff and will be tasked with providing a variety of professional services and preparing technical, engineering and environmental documents in compliance with the ORES regulations which include, but may not limited to, the following:

General Process Responsibilities

- Assist with developing rules, regulations, procedures, and a set of uniform standards and conditions for the design, construction and operation of renewable energy facilities, best practices and guidance documents, initiating and finalizing draft permits, and the timely review of applications.
- Maintain proficiency in and knowledge of applicable ORES laws, procedures, policies, and rules, perform research and apply analysis to complex technical and policy issues, and promote the ORES mission, policies, and strategic objectives.
- Participate in kickoff meetings, scoping meetings, and other meetings with affected NYS agencies or outside stakeholders.
- Application review based on a list of required exhibits pertaining to specific topic areas to determine completeness. Draft, review, and issue Completeness Review.
- Complete detailed technical review for compliance with relevant topic area (process followed, permit conditions met, modeling accuracy, etc.)
- Develop permit conditions, briefs, comments, and draft findings.
- Conduct analysis of data and document findings and prepare technical and scientific reports.
- Assist ORES staff with responses to requests for information during developer execution.
- Prepare written recommendations and provide testimony as required in support of the ORES permit process.
- Other engineering, design, or related services as requested by ORES staff. All such tasks and services shall be performed in coordination and collaboration with ORES staff, other NYS agencies, and outside stakeholders.

Representative Discipline Responsibilities

Biology

- Analyze impacts to regulated wetlands, adjacent areas, waterbodies, and streams, and other fish and wildlife habitats from proposed renewable energy projects.
- Conduct remote identification and mapping of wetlands using GIS software, field identification of freshwater wetlands, and field delineation of wetlands boundaries.

- Analysis of routing options, air photo interpretation, report writing, development of mitigation measures and permit conditions, and coordination with staff.
- Conduct and review field investigations to obtain relevant information to assess resource impacts of various projects impacting regulated wetlands, adjacent areas, waterbodies, and streams.
- Identify mitigation action plans, evaluate effectiveness of mitigation, and develop procedures, guidance, technical reports, standards, and criteria to protect regulated wetlands, adjacent areas, waterbodies, and streams.

Ecology

- Recommend and review field investigations to obtain relevant information to assess resource impacts of various projects impacting avian species.
- Identify mitigation action plans and evaluate the effectiveness of mitigation for listed avian species.
- Monitor environmental conditions for the protection of avian resources.
- Develop procedures, guidance, standards and criteria to protect fish and wildlife in their habitats, with a focus on avian species impacted by renewable energy facilities.

Civil Engineering

- Review permit applications for consistency with existing site conditions, engineering standards, zoning, and land development and constructability requirements and restrictions in municipal laws, regulations, and other provisions as applicable to the site proposed.
- Review design drawings and other engineering related material regarding feasibility verification, identification and analyses of environmental impacts associated with construction.
- Identify impracticable or unfounded proposed project details or construction methods and acceptable levels of impact based on proposed engineering designs.
- Recommend avoidance, minimization, and mitigation measures through alternative construction methods, practices, or sensible relocation to preclude significant adverse effects on natural, cultural features or public safety.
- Identify appropriateness of waiver of local provisions of zoning and development/constructability laws and regulations that could be unreasonably restrictive to siting, construction, or operation if applied.

Acoustics Engineering

- Provide expert technical advice and engineering analysis on noise and vibration control issues.
- Conduct field investigations and review related documents to evaluate design and construction methods and assess potential environmental noise impacts for renewable energy facilities and gas transmission line certifications.
- Participate on interdisciplinary project teams and serve as project team leader as assigned. Examine impacts on noise, vibration, electro-magnetic (EMF) and other epidemiological matters.
- Provide expert information on the benefits or risks of environmental impacts, particularly on acoustic, noise or vibration concerns.
- Review and develop resolutions of noise-related complaints during facility construction and operation.

Electrical Engineering

- Perform engineering analysis and services related to the regulation of the electric generation, collection, and transmission systems, including interconnected generation facilities.
- Provide power system analysis during generation and transmission facility siting cases using power system planning/analysis tools.
- Perform impact assessment and implement energy policy as it applies to the interconnected New York State electric system.
- Work with acoustics staff to conduct appropriate environmental analysis of proposed siting and operation of energy projects, and examine issues and impacts pertaining to noise, vibration, electro-magnetic fields (EMF) and other epidemiological matters related to the siting and operation of energy projects.

Geographic Information System (GIS)

- Perform data searches and retrievals, and extract and organize data for use by ORES staff for environmental and engineering analysis.
- Establish map area and develop symbology using cartographic and design principles. Overlay maps over aerial imagery to produce custom products and verify and correct geospatial data.
- Geo-reference digital maps to align with real ground locations using survey monument, GPS, and other data as controls.
- Collect field data using GPS or other equipment as needed.

Planning, Land Use and Zoning

- Review major renewable energy generating facilities project proposals for consistency with: existing land uses; land use plans, programs and initiatives at local and regional levels; land use, zoning, and land development requirements; and restrictions in municipal laws, regulations, and other provisions as applicable to the site.
- Review consistency of proposed generating facility site and facility impacts with New York State land use programs and projects proposed under programs including the New York State Open Space Plan; Statewide Comprehensive Outdoor Recreation Plan; Coastal Area Policies and Local Waterfront Revitalization; Statewide Trails Plan; Brownfields Revitalization Program; properties enrolled in the State Agricultural Districts program or under management in the State Forest Taxation Law; other resource and area management plans including NYS Regional Heritage Areas, National Recreation Corridors and Trails; State Parks; State recreational areas or lands; and municipal parks and recreational resources.
- Advise as to project consistency with such lands, programs and resources and identify acceptable levels of impacts. Recommend avoidance, minimization and mitigation measures appropriate to preclude significant adverse effects of a major renewable energy facility on such lands, programs and resources.
- Identify appropriateness of waiver of applicable local provisions of land use, zoning, and development laws and regulations that could be unreasonably restrictive to siting, construction, or operation.

Visual Resources Analysis

- Provide analysis and recommendations for appropriate visual impacts avoidance, minimization and mitigation measures. Review application for adequacy of view shed analysis of predicted areas of visibility.
- Identify resources and locations warranting specific analysis, including designated scenic resources (at the federal, state, and local level) and locations of importance to

communities in areas potentially affected by facility construction or operation.

- Review predicted effects of project operation on surrounding area, including extent of visibility; wind turbine shadow flicker exposure, extent, and duration; and solar array glare on receptor locations including residential, airport, and roadway locations. Review detailed landscape plans and specifications appropriate for establishment of screen plantings and landscape berms.
- Review exterior lighting plans for facility components for potential offsite lighting effects.
- Coordinate visual impact analysis with historic-cultural resources analysis pursuant to New York State Parks, Recreation and Historic Preservation Law requirements.

D. Schedule and Budget

It is anticipated that work will begin as soon as possible, but no later than August 2020. Work will be performed on a time and material basis in accordance with the budget contained in the resulting Agreement, with assignments and direction provided by the ORES Deputy Executive Director or her/his designee. The contractor(s) shall diligently work on each assignment and complete each task in accordance with the schedule provided and accommodate ORES needs.

E. Contractor's Responsibilities

All work shall be performed in conformance with applicable ORES regulations, policies, procedures and standards. The contractor will have responsibility for the accuracy and completeness of the work produced. All services provided by the contractor shall be performed by individuals who meet the qualifications, education, and certification/licensing for their position. The contractor shall be responsible for coordination and supervision of all work performed by its sub-consultants. The contractor shall review all work performed by its sub-consultants and the responsibility for accuracy and completeness of work performed remains solely that of the contractor. Sub-contractor(s) markup is not allowed under the contract.

The contractor(s) shall have a Quality Control Plan in effect during the entire time work is being performed under the Agreement. The Quality Control Plan shall establish a process whereby work products are independently checked, corrected and back checked. All project related correspondence and documents shall be maintained and bound in appropriate project files, and must be kept strictly confidential in accordance with direction that will be provided. Additionally, all electronic files shall conform to the ORES file naming system. The contractor's work will be subject to inspection and audit by State and Federal representatives.

Conflict of Interest: Conflict of Interest: The successful contractor(s) shall avoid situations involving an actual or potential conflict of interest, shall have a continuing obligation to inform ORES of any new engagements, and shall promptly consult with ORES before accepting or continuing any engagement that would constitute or create an actual or potential conflict of interest or could reasonably be perceived to do so. Contractors that have participated in past work associated with ORES or Article 10 are not precluded from submitting proposals. ORES will continuously review the successful contractor's engagements and will not assign work where a conflict exists or where such an assignment cannot be managed or would create an unacceptable perception of such a conflict. ORES reserve the right to terminate the Agreement in the event it is found that the

awarded contractor(s) intentionally provided false or incomplete information, or that actual or perceived conflicts arise.

F. NYSERDA/ORES Responsibilities

NYSERDA, through its Clean Energy Resources Development and Incentives (“Build Ready”) Program, is expected to submit project permit applications to ORES. While NYSERDA will oversee and manage the administration of this RFP and the initial procurement of ORES consultants, the resulting contracts will be designed to avoid the conflict of interest that would arise if NYSERDA, as a future applicant of Build Ready projects to ORES, managed consultants that review ORES permits. Accordingly, the resulting contracts will delineate that ORES will have sole responsibility to manage the selected consultants, including assigning work, approving invoices, and managing contractor performance. NYSERDA’s sole responsibility will be to pay invoices approved by ORES.

III. Proposal Requirements

Proposal Format

Proposals should not exceed 23 pages in total or be submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those needed to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal must state the name of the Proposer, the RFP number, and the page number. The proposal must be in the following format:

- A. **Summary.** Proposal summary describing overall experience, approach, and understanding of the goals and objectives of the project. (1 page)
- B. **Potential Conflicts of Interest.** Briefly describe any potential real or perceived conflicts of interest that would need to be considered in the assignment of work under this project. Disclose any current clients who may have a financial interest in the outcome of this contract or ORES or PSL Article 10 projects that will follow. In particular, disclose any financial interest or relationship with any entity that might submit a permit application with ORES. (2 pages)
- C. **Understanding of Need:** Include an outline that demonstrates the firm’s understanding of the work. Provide confirmation of your firm’s commitment to this large, complex project, and a staffing plan to accomplish the tasks. Itemize the complete list of services to be provided. Note instances where services exceed the scope or detail offered in this proposal. Note instances where services do not meet the scope offered in this proposal. Describe how continual staff development and training will be provided. Identify any assumptions and/or exclusions used in preparation of the scope of work and associated fee estimate. (up to 5 pages)
- D. **Approach.** Provide a detailed discussion of your firm’s approach to the successful implementation of this project. This outline should include anticipated approach, tasks necessary for successful completion, deliverables, and suggestions or special concerns that ORES should be made aware of. Include thorough discussions of methodologies you believe are essential to accomplishing this project. Describe your firm’s experience and approach to managing several concurrent projects for a single client, including an explanation of how your firm handles scheduling conflicts and workforce demand surges. (up to 5 pages)
- E. **Relevant Experience.** Describe your proposed team’s experience (including both direct contract work and work performed under subcontracts) with similar work for other public entities. Include

the contract dates, the nature of the work performed, the contracting agency, the contract number (if known), and the supervisor for each. (up to 2 pages)

- F. **Project Staffing.** Provide a staffing plan that lists each key member of the team (including sub consultants) you intend to assign to this engagement, and include for each listed individual: (a) area(s) of specialization; (b) title and/or position within your firm; (c) years and type(s) of relevant experience; (d) the services to be performed; and, (e) whether the team member holds a New York State professional license, along with proof of licensure (e.g., active license number) . A primary contact who will lead the effort for the Proposer must be identified; their experience relevant to the project must be described along with how they will make use of other staff to support their work. (3 pages)
- G. **Budget.** For each member identified in the Project Staffing plan, provide fully burdened hourly billing rates including anticipated expenses for staff and direct expenses, and any anticipated travel. (not included in page count – use form in Attachment B)
- H. **Timeline.** Provide an outline showing proposed overall timing and an explanation of your firm’s ability to help ORES meet its statutory deadlines. Include a proposed work schedule to accomplish all of the required tasks within the statutory deadlines. (up to 2 pages)
- I. **References:** Provide a listing of relevant projects with references for three entities for which Proposer has performed similar work within the past five (5) years. For each client, describe the project, the project’s date, the services performed, and the name, email address, and telephone number for a person at the client’s firm who is familiar with such work. (up to 3 pages)
- J. **Resumes.** Provide maximum 2-page resumes for key personnel. (not included in page count)

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

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria **listed below 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 to clarify information outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Overall Experience, Capabilities, and References

- Is there clear evidence that the Proposer possesses previous experience in the conduct and delivery of similar or related services?
- Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor and implement the tasks assigned?
- Has the Proposer demonstrated an understanding of the Expertise Areas, and demonstrated the ability to provide these services?
- Is it evident that the Proposer demonstrates appropriate understanding and expertise to fulfill the requested tasks?
- Has the Proposer demonstrated the ability to complete projects on schedule?
- Is there clear evidence of relevant previous work?
- Is the proposal responsive to NYSERDA's request as specified in this RFP, including overall clarity and

- organization of the proposal?
- Does the Proposer provide applicable references?

Personnel and Qualifications

- Is there clear evidence that the Proposer possesses the depth of corporate resources needed to provide requested services?
- Do the qualifications and expertise of the personnel/team in relevant support areas (listed in Section III) demonstrate the skills requested?
- Does the staffing plan clearly identify the staff that will be assigned to various project types?

Fee Schedule

- Are the labor rates, associated fees, and overhead rates reasonable?

NYSERDA may consider Program Policy Factors in making selection decisions to best achieve the State's overall objectives:

- The degree to which the proposed project optimizes the use of available funding
- The degree to which there are technical, market, or organizational risks associated with the project
- The degree to which the applicant has the resources (human and financial) to be able to complete the project
- Overall number of distinct awards issued to obtain the full set of expertise required.

V. GENERAL CONDITIONS

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

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

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

Empire State Development
Division for Small Business

625 Broadway
Albany, NY 12207

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

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

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

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

Contract Award - NYSERDA anticipates making one or more award(s) under this solicitation. NYSERDA anticipates an initial contract duration of three (3) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 3 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

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

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

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 – Intent to Propose

Attachment B – Budget

Attachment C – Sample Agreement including Exhibit A (template statement of work)



High Resolution LiDAR and Aerial Orthoimagery for the Western New York Nuclear Service Center and Environs

Request for Proposal (RFP) 4366

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

Proposals Due: July 16, 2020 by 3pm Eastern Time*

NYSERDA seeks proposals from firms with geospatial expertise to collect and deliver high resolution Light Detection and Ranging (LiDAR) and Aerial Orthoimagery for the Western New York Nuclear Service Center and environs near West Valley, New York. The project area encompasses approximately 173 square miles. Project planning and data collection and processing will be subject to prescriptive and stringent technical specifications and performance standards. The activities covered under this Scope of Work (SOW) include project and flight planning, ground control support/surveys, mobilization of equipment and crew, data acquisition, demobilization, data processing, and data delivery and reporting.

The entire Scope of Work will be performed for one firm, fixed price. The term of the contract will be for one year; however, it is anticipated that the scope of work would be completed in approximately 6 months. The contract is expected to start on or about September 15, 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 Lee Gordon (Designated Contact) at (716) 942-9960, ext. 4963 or by e-mail: WVSolicitations@nyserda.ny.gov or Brad Frank for technical questions (Secondary Contact) at (716) 942-9960, ext. 4378 or by e-mail: WVSolicitations@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or Venice.forbes@nyserda.ny.gov. 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 On behalf of the People of the State of New York, the New York State Energy Research and Development Authority (NYSERDA) holds title to the 3,345-acre Western New York Nuclear Service Center (Center), the site of a former commercial nuclear fuel reprocessing facility which is now a U.S. Department of Energy (DOE) environmental clean-up site (the West Valley Demonstration Project or; WVDP). Both NYSEDA and DOE, as well as a number of site contractors, manage a wide range of projects at the Center and WVDP which generally include both decommissioning and ongoing management of a number of facilities. Activities at the Center and WVDP also include ongoing scientific studies to evaluate natural processes and their implications for future conditions of the site. High resolution topography (LiDAR) and aerial orthophotography, collected at the site in 2010 and 2015, have been instrumental in the ongoing projects and studies. NYSEDA currently seeks to both update the 2015 dataset with a new LiDAR and orthophotography survey to be conducted in the fall of 2020.

II. Program Requirements NYSEDA is seeking proposals for the acquisition of Light Detection and Ranging (LiDAR) data and aerial orthophotography of the WNYNSC and environs. The area will include the watersheds of both Buttermilk and Connoisarauley Creeks and the Cattaraugus Creek corridor from the WNYNSC downstream (west) to Lake Erie. The project will include the development of several LiDAR data derivative products. The LiDAR data and orthophotography will need to be of high resolution and quality to yield the functional Digital Elevation Models (DEMs) and imagery that are the goals of this project. Significant post-processing of the LiDAR data and aerial photography will be required to develop the specified deliverable products.

NYSERDA has convened a Scoring Committee with representation by NYSEDA, and individuals external to NYSEDA. This Scope of Work is being circulated to solicit bids from firms with geospatial and remote sensing expertise interested in performing this work. Work for this task is expected to begin by September 15, 2020. Initial work will be a required ground control survey to support the LiDAR and orthoimagery data collection to be conducted during leaf-off conditions in the fall of 2020 (roughly between October 20 and November 20, weather permitting).

The success of this task will be, in part, dependent on securing the services of a highly qualified, professional geospatial/remote sensing company with experience collecting and processing high resolution LiDAR data and orthoimagery.

Proposal Requirements Proposals should be limited to approximately 50 pages. Proposals shall address all elements of the RFP Scope of Work, including (but not limited to) organization and personnel qualifications and experience, schedule, budget, geodetic and GPS control, flight planning, LiDAR equipment and performance standards, orthophotography equipment and performance standards, QA/QC, data processing, data products and delivery means, and final reporting. NYSEDA recognizes that technological advances in the field of remote sensing and geospatial technology continue to occur at a rapid pace. We encourage all respondents to clearly identify and explain in their proposal any cutting-edge data acquisition, data processing, data delivery, and data use technologies they would seek to employ in this project to exceed expectations and/or performance standards set forth in this RFP.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. It is preferred that the proposal be submitted in searchable PDF format. Any electronic datasets (e.g. example LiDAR data) should be submitted either in hardcopy CD/DVD or through a file sharing system designated by NYSEDA.

III. Proposal Evaluation

- Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. Evaluations will be based upon a point scoring system on a range of 0 to 100. Each of the criteria below will be assigned a percentage of the possible 100-point total. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.
- NYSERDA may consider the following program policy factors in making award selection decisions:
 - (a) The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
 - (b) Whether the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty.
 - (c) Promotion of job creation and/or preservation (Or the degree to which the proposed project is likely to lead to increased employment and manufacturing in New York State).
 - (d) The degree to which there are technical, market, organizational and/or environmental risks associated with the projects.
 - (e) The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
 - (f) The degree to which the applicant has the resources (human and financial) to be able to complete the project
 - (g) NYSERDA's past experience with the proposer's organization on NYSERDA projects.

NYSERDA will use the following criteria to evaluate the RFP proposals. The arrangement of this list does not imply order of importance.

- **Quality of the Organization**

- The degree to which project management and field teams possess the requisite expertise and qualifications to manage and execute the project.
- The degree to which all team members possess prior experience with LiDAR/orthoimagery projects of similar magnitude and scope.
- The organizational structure of the proposed project team. Subcontracting or teaming arrangements should be kept to a minimum to ensure an interrupted workflow. To the extent that subcontracting or teaming arrangements are proposed, the proposal should illustrate how the proposed working relationship(s) have been tested and proven to execute quality projects. Subcontracting or teaming arrangements to meet diversity practice goals will not negatively affect the proposal's review.

- **Approach to the Work**

- The degree to which all RFP instructions have been followed, all work elements acknowledged, and the degree to which the proposal commits to adherence (or exceedance) of all specifications and standards detailed in the RFP.
- The quality of the proposed technical approach to provide the required services and deliverables, including the quality of technical specifications of equipment and software.
- The degree to which the proposal details the technical approach to all aspects of the work, from the initial project planning and surveys, to the final deliverables.
- The degree to which proposed equipment, software, and workflows are current and at the forefront of proven state-of-the-industry technologies.

- **Cost**
 - The degree to which the proposed firm/fixed price is reasonable with respect to all other evaluation criteria (i.e. the proposal appears to give NYSERDA value for its cost).
 - The relative comparison of the proposed firm/fixed price of proposals of similar quality

- **Diversity Practices**
 - NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practices of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in RFP Attachment C, Diversity Practices Questionnaire. Diversity practices will account for 5% (5pts.) out of the total possible 100 points when the scoring committee evaluates proposals.

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.

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

New York Executive Law Article 15-A - NYSEDA 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 NYSEDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

Diversity Practices - NYSEDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, **Attachment C**, Diversity Practices Questionnaire.

New York State Executive Law Article 17-B, NYSEDA 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 NYSEDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSEDA 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 - NYSEDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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

Contract Award - NYSEDA anticipates making one award under this solicitation. NYSEDA anticipates a contract duration of one year, unless NYSEDA 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 10 weeks from the proposal due date whether their 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 [NYSERDA's Accessibility Requirements](#).

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

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

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 NYSEERDA, 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 NYSEERDA 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 NYSEERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSEERDA may neither appear nor practice before NYSEERDA, nor receive compensation for services rendered on a matter before NYSEERDA, for a period of two years following their separation from NYSEERDA service. In addition, former NYSEERDA 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 NYSEERDA.

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. NYSEERDA 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. NYSEERDA 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

Attachments:

- Attachment A – Statement of Work (Scope of Work)
- Attachment B – Sample Agreement (MWBE/SDVOB language)
- Attachment C – Diversity Practices Questionnaire
- Attachment D – MWBE (Article 15) Provisions
- Attachment E – SDVOB (Article 17) SDVOB Provisions
- Attachment F – Evaluation Criteria





Proposals Due: November 4, 2020 no later than 3:00 PM Eastern Time
Late proposals will not be accepted.

The New York State Energy Research and Development Authority (NYSERDA) seeks creative proposals from energy and utility benchmarking software vendors 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. The benchmarking software tool will capture and report on building information and utility data shared to NYSERDA’s ENERGY STAR Portfolio Manager® (ESPM) account.

The benchmarking software tool will be used to manage building data for various facilities participating in community scale Battle of the Buildings () campaigns happening across New York State. The proposal seeks pricing assuming up to 1,000 buildings per year with an average of 4 meters per building will be warehoused in the tool. The tool will be required to pull building data from ESPM via a web service, daily. The tool will be required to have rules which identify data anomalies in utility data, and provide a series of summarized reporting to help NYSERDA measure, track, and analyze utility, greenhouse gas (GHG) and cost performance metrics of participating buildings.

NYSERDA hopes to demonstrate the value of comprehensive and continuous benchmarking and how it can be used to identify inefficiencies and maximize energy performance. Should a statewide mandate for benchmarking be passed in the future, NYSERDA may wish to extend the contract awarded through this RFP and expand the services to support enhanced statewide benchmarking compliance services. Respondents should articulate their ability to perform additional services should a mandate be in place in the future.

The objective of this RFP is to select a Benchmarking Software Tool and utilize it across commercial buildings in NYS, gaining a deeper understanding of the following:

- Role and impact of benchmarking buildings of buildings across NYS.
- Barriers and solutions to benchmarking buildings across NYS.
- Energy, sustainability, and budgetary performance of buildings across NYS.
- Potential improvements to energy efficiency and operational and maintenance practices of buildings across NYS.
- Impact of the potential public transparency and verification of the energy and sustainability performance of buildings across NYS.



*Clean Energy Communities Voluntary Benchmarking Software Tool
Request for Proposal (RFP) 4478*

Proposals Due: November 4, 2020 no later than 3:00 PM Eastern Time

Informational Webinar: NYSERDA will hold an informational session to provide an overview of the RFP and address any questions on October 14, 2020 at 2:00 pm (EST). It is encouraged that questions be submitted in advance to Ryan.Moore@nyserdera.ny.gov. Following the webinar, NYSERDA will post questions and responses on NYSERDA's Current Funding Opportunities page, under RFP 4478 at www.nyserdera.ny.gov/currentfundingopportunities. NYSERDA will post all questions anonymously, and NYSERDA's written responses will supersede any responses given during the Informational Webinar.

Contacting NYSERDA About a Proposal: No communication intended to influence this procurement is permitted.

If you have technical questions or other questions about this solicitation, the designated contact is Ryan Moore, Project Manager at (518) 862-1090, ext. 3267 or by email at Ryan.Moore@nyserdera.ny.gov.

If you have contractual questions or questions about NYSERDA's processes and policies regarding this solicitation, the designated contact is Elsyda Sheldon, Assistant Contract Manager at (518) 862-1090, ext. 3232 or by email at elsyda.sheldon@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 may result in a proposer being deemed a non-responsible offeror and may result in the proposer not being awarded a contract.

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I. INTRODUCTION

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals from energy and utility benchmarking software vendors to configure and maintain a Benchmarking Software Tool for an upcoming Clean Energy Communities voluntary benchmarking program and possibly other future program uses. This RFP seeks a customizable, cost-effective software package as a method for commercial buildings within communities to measure, track, assess and share their utility, greenhouse gas (GHG) and cost performance metrics across New York State (NYS). NYSERDA hopes to demonstrate the value of comprehensive and continuous benchmarking and how it can be used to identify inefficiencies and maximize energy performance.

The selected tool will be used to provide data analysis utilizing energy and sustainability data provided by participating buildings. NYSERDA will provide tools and resources to assist building owners in adding utility information to ESPM. The data in ENERGY STAR Portfolio Manager® (ESPM) will be brought into the selected Benchmarking Software Tool using Web Services. Vendors must demonstrate that they are an established Web Service Provider with ESPM and can utilize U.S. EPA's REST protocols to manage data. For more information of Web Services REST protocols, visit :

https://portfoliomanager.energystar.gov/webservices/pdf/Introduction_to_Exchangeing_Data_en_US.pdf.

NYSERDA reserves the right to extend and/or add available funding to support the use of the selected Benchmarking Software Tool beyond the timeframe of this RFP.

The Clean Energy Communities (CEC) Program encourages municipalities to achieve High Impact Actions (HIA) to compete for grant funding to do energy projects. The CEC Program will launch a new Battle of the Buildings HIA that municipalities will facilitate with technical and outreach support from a separately procured Implementation Contractor.

The Battle of the Buildings HIA will be a series of competitions across the state that engage public and private buildings for quarterly campaigns. Campaigns capture building information and utility data in ESPM. Participating buildings identify actions they can take to conserve energy during campaigns and compete against each other for the greatest energy use intensity (EUI) reduction and recognition from top ranking officials of the municipality.

The separately procured Implementation Contractor will manage the Battle of the Buildings campaigns using the benchmarking tool to pull participating buildings data from NYSERDA's ESPM account.

The selected Benchmarking Software Tool will:

- Be the only subsidized benchmarking tool supported through the upcoming Clean Energy Communities voluntary benchmarking program (anticipated launch Q2 2021).
- Receive publicity through NYSERDA's website, case studies and other materials, as available.

II. PROGRAM INFORMATION

With the New York State Legislatures passage of the Climate Leadership and Community Protection Act (CLCPA) in 2019, the State has set a course to target and reduce greenhouse gas (GHG) emissions to net zero by 2050 with an interim target of 40% reduction by 2030. Creating a statewide energy benchmarking platform will be a critical tool to support this goal. By creating the impetus for documenting energy consumption across public and private buildings, energy benchmarking campaigns and engagement can influence awareness and action among building owners and operators. The results of New York City's benchmarking mandate have found that after four years of the program, benchmarked buildings have seen a cumulative reduction in building EUI of 14 percent. As a result, NYSERDA is providing incentives for a voluntary benchmarking program and will need a comprehensive platform to manage ENERGY STAR Portfolio Manager® (ESPM) data requests, data sharing, synthesize key information, and provide other analytics and assistance that can be used to engage building owners/managers.

The objective of this RFP is to select a vendor to develop and maintain a Benchmarking Software Tool (Tool) that can collect, manage (add/update), store, and analyze building data from ESPM and other data sources. The preferred Tool will utilize an already established mechanism to automatically download and import ESPM data on a continuous basis into the Tool for a growing portfolio of New York State (NYS) buildings.

NYSERDA plans to provide a "Building Report Card" for buildings participating in Clean Energy Communities voluntary benchmarking programs that will include quarterly benchmarking and potential operations and maintenance (O&M) or improvement opportunities using data collected and analyzed in the benchmarking software tool. The Contractor shall assist NYSERDA with the development of the Building Report Card. Direct support for owners to benchmark, along with the development and deployment of O&M insights will be conducted by separately procured and pre-selected NYSERDA Consultants. Proposers to this RFP are not being asked to provide these deployment services, but the selected proposer will train the NYSERDA staff and Consultants in use of the Tool, any data insights that would inform NYSERDA Consultant activities, and provide on-going support. For the purposes of this RFP, any included tools or resources included in the proposed benchmarking software tool that can automatically provide Operations and Maintenance analysis and recommendations will receive additional consideration during review by NYSERDA.

The vendor shall offer a utility benchmarking software package including, but not limited to hosting, maintenance and support of the software and providing training to NYSERDA and its Consultants, as approved by the NYSERDA Project Manager. The software must have a protocol for retrieving building data from ESPM. NYSERDA must have the ability to administratively manage which buildings have reported data and identify what data is still needed to confirm building participation for the program. NYSERDA must have the ability to track the performance of buildings that are participating in multiple campaigns and voluntary programs happening across New York State. Vendors should demonstrate the platform's ability to report on anomalies in the usage, cost, and other ESPM data points collected. Proposers should demonstrate their means for communicating errors in benchmarking submissions to building contacts and NYSERDA consultants to remedy issues in the data for program compliance.

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The utility benchmarking software should include a method for importing data in a defined file type including extended historical data (1-3 years historical data) sourced from a building owner's agent, utility company or other means outside ESPM. Vendors will be asked to show how their tool would be able to be extended to collect additional data about buildings outside of **Attachment A – Minimum Benchmarking Tool Input Requirements**, at a future point and time. NYSERDA envisions each building to have a building profile or record which would show all information collected as outlined in **Attachment A – Minimum Benchmarking Tool Input Requirements**, with the ability to further add tags to meters, or notes to a building about important efficiency projects or other details. NYSERDA prefers functionality to bring in information from other data sets that would show up on a building record or profile such as, but not limited to, equipment information, energy audit data results, if they've participated in other previous CEC Battle of the Buildings competitions, and other building asset and energy information. Providers should demonstrate the ability to create a public-facing dashboard view to convey aggregated benchmarking campaign progress and results for various statewide voluntary campaigns by region and NYS jurisdiction. The public facing dashboard should be accessible via a web link which can be embedded on other websites.

Definitions

- Vendor – The benchmarking software tool company
- Proposer – The benchmarking software tool vendor or company applying to this solicitation
- Awardee – The benchmarking software tool vendor or company selected for an award under this solicitation

Benchmarking Software Tool Eligibility Requirements

The tool must meet all the eligibility requirements herein. Any additional configurations to existing eligibility requirements as requested and approved by NYSERDA will need to be completed within 6 weeks of contract execution. At minimum, the proposer's benchmarking software tool must meet the following requirements:

- Must be able to meet the Minimum Benchmarking Tool Input Requirements (see **Attachment A – Minimum Benchmarking Tool Input Requirements**).
- Must be able to meet the data error and reporting requirements (See Attachment B - Class I and II Data Error and Program Compliance Checks)
- Must be able to meet the reporting and visualization requirements (see Attachment C – Reporting and Visualization Requirements).
- Must already possess the ability to push and pull data to and from ESPM as a Web Services Provider.
- Must be able to create building records or profiles in the tool once a new building has shared data with NYSERDA's ESPM account.
- Must be able to pull data from ESPM daily for all building records or profiles.
- Must be able to capture building metrics, Portfolio Manager alerts, and track utility, greenhouse gas emissions (GHG) and cost performance within a single building and across a portfolio of buildings (e.g., all

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buildings within an owner's portfolio or participating in the voluntary benchmarking program and subsequent campaigns) through December 31, 2025.

- Must be able to account for energy use intensity (EUI) measured in Kbtu/ft²/yr utilizing the ESPM methodology.
- Must be able to calculate site and source EUI, but site EUI must be the basis for the benchmarking tool.
- Must be able to account for weather normalization based on heating and cooling degree days
- Must be able to calculate and analyze performance metrics (e.g., EUI, greenhouse gas emissions, cost).
- Must be able to, at a minimum, use monthly meter data at the whole-building level to provide analysis, including, but not limited to:
 - Graphics showing the energy metrics as a function of time for one or more periods.
 - Total energy/fuel type purchased and/or consumed.
 - Benchmarking groups of building type or category type (e.g. buildings within a municipal jurisdiction).
 - Conversion of all energy types and use into British Thermal Units (BTUs) based reports.
- Must be able to track energy generation data from on-site renewable energy systems.
- Must be able to account for weather normalization based on heating and cooling degree days.
- Must be able to generate and provide a visual dashboard of building performance and energy insight metrics in a format that is clear and accessible.
- Dashboard must be able to display information at both building-level and portfolio level, where applicable. Dashboard must show the energy use intensity (EUI) metrics as a function of time for one or more periods.
- An outward-facing dashboard view that can be embedded on other websites to display performance of regionally specific voluntary campaigns OR integration with Tableau© (preferred) or similar software to populate a dashboard display of campaign data for public view.
- Must support upload of utility data in XML or CSV file format into the tool.
- Must be able to generate user-friendly reports that summarize benchmarking results for each building and compares the building to others of a similar type and size using the ESPM methodology.
- Must be able to generate summary reports and dashboards that illustrate how buildings within a community benchmarking campaign compare to themselves and each other for NYSERDA use.
- NYSERDA and its designee(s) must be able to access and export detailed and summary benchmarking data for buildings program-wide and in specific jurisdictions of New York State.

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- Must identify if submissions are complete, whether the data is provided in actual versus default values, and if data significantly deviates from the baseline data as outlined in **Attachment B - Class I and II Data Error and Program Compliance Checks**
- Must have a means for communicating errors in benchmarking submissions to building contacts and NYSERDA Contractors to remedy issues in the data. Please refer to **Attachment B - Class I and II Data Error and Program Compliance Checks**.

Benchmarking Software Proposer Requirements

The proposer shall be required to provide the following:

- Licensing and contracting service options with NYSERDA.
- Ability to configure the tool if needed, to the needs of the Clean Energy Communities voluntary benchmarking program.
- Coordinating the initial setup project requirements with NYSERDA and/or NYSERDA's Consultants.
- Hosting, maintaining, and updating of the database and Web applications.
- Providing training to selected NYSERDA Consultants and staff specific to tool capabilities and data entry where required in the initial launch of the benchmarking program.
- Providing ongoing customer support to NYSERDA staff and Consultants, as directed by the NYSERDA Project Manager.
- Archiving the data collected from the benchmarking tool for up to 10 years and transferring the data to NYSERDA. NYSERDA **must** have the ability to download or access the raw data on demand and at the end of the program. The data must be in XML or CSV format.
- Ability and expertise in providing alternatives for populating reports, visuals and dashboards such as compatibility and experience with Tableau® software or comparable visualization software using data from the tool

In addition, please describe how your system addresses the following future program management needs when a statewide mandate for benchmarking is in place:

- Providing a two-way customer relationship management (CRM) functionality to communicate compliance of buildings participating in mandatory benchmarking programs to NYSERDA and NYSERDA consultants.
 - Note: NYSERDA currently uses Salesforce to manage CRM needs across programs, and if the selected system does not include full 2-way CRM capabilities, the proposal must address whether it has a means of integrating with Salesforce to support program management.
- Providing reminder/notification system to encourage data updates, auto populate targeted messaging, including template letters and emails, particularly for non-compliant buildings

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- Additional building and portfolio level energy and carbon analysis beyond what is offered by ESPM, including advice and guidance for building owners/managers on O&M and prioritization of energy conservation measures, as well as cost and savings data to better inform owners/managers
- Tools and resources in the system to more deeply engage and educate owners/managers on the value of energy efficiency

III. PROPOSAL REQUIREMENTS

The proposer's goal is to concisely present the information needed to fully address the evaluation criteria (see Section IV: Proposal Evaluation). **Proposals written portions, minus attachments provided by NYSERDA, supportive visuals and project examples, and resumes should not exceed 17 pages.** Proposals that grossly exceed 17 pages or fail to follow format guidelines may be rejected as non-responsive.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria.

Each page of the proposal should state the name of the proposer, the RFP number (RFP 4478), and the page number. **Proposals MUST be in the following format, with items in the sequence shown.**

Late proposals and proposals lacking the following content in the sequence described may be rejected. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

Please include the following information as outlined in the **Proposal Outline (Attachment D)**:

- Cover Letter
- Qualifications
 - Proposer Checklist (Attachment I)
 - Statement of Work and Project Schedule Template (Attachment E)
- Benchmarking Tool Additional Functionality and Benefits
- Team and Experience
- Budget and Fee Proposal (Attachment F)
 - Fee Proposal Tab
 - Budget Form Tab
- List of References

Proposers must carefully review the Proposal Outline to ensure that all required sections are completed, adhere to established page limitations, and follow the order set in Attachment D: Proposal Outline.

IV. PROPOSAL EVALUATION

Proposals that submit the information outlined in the **Proposal Outline (Attachment D)** will be reviewed by a Scoring Committee.

NYSERDA reserves the right to request that proposers present a webinar or conduct a meeting to provide a demonstration of the proposed benchmarking software tool after proposals are reviewed by the Scoring Committee.

Step 1. Proposal Review

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the following evaluation criteria *in order of importance*:

Benchmarking Software

Does the proposal:

- Meet all requirements in Section II – Program Information specific to the Benchmarking Software Tool Eligibility Requirements and the Benchmarking Software Proposer Requirements?
- Describe any additional services, functionality or benefits provided by the benchmarking tool? These additional services or benefits may include, but not be limited to:
 - Ability to automatically provide Operations and Maintenance analyses and recommendations.
 - Ability to upload and store copies of PDF utility bills with cybersecurity protection to protect customer utility account numbers and customer-specific usage information.
 - Ability to utilize automatic utility data transfer from energy metering systems, building management systems or energy service companies.
 - Ability to embed the building performance dashboard on other websites.
 - Ability to track capital facility projects.
 - Ability to upload capital facility reports or documents (e.g., previous benchmarking reports, energy audits or operation and maintenance manuals).
 - Ability to highlight sustainability projects.
 - Ability to track refuse and recycling.
 - Ability to integrate and link to other energy management software's available in the market (e.g., US Department of Energy eProject Builder).
 - Ability to track renewable energy credits (RECs) and zero-emission credits (ZECs) purchases.
 - Reminder/notification system to encourage data updates.

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- Ability to offer an off-the-shelf customer relationship management experience for building owners on reminders to comply and information on issues with their submissions once submissions are received by NYSERDA's ESPM account
- Ability to customize platform to NYSERDA's needs.
- Ability to support a mandatory benchmarking program or experience doing this for other states or local governments
- Other abilities that would be of value to the commercial sector.

Case Studies and Dashboard

Does the proposal:

- Demonstrate experience and provide at least two case studies where the benchmarking software tool was implemented for a portfolio of buildings or a benchmarking program
- Demonstrate two customer-facing reports or scorecards that are included with the system and have been used successfully in other programs or portfolios.

Do the case studies include information on:

- Services and product offered
- Participating facility (type, size)
- Impacts (energy and cost savings)
- Visuals (e.g., benchmarking dashboards, building level report cards)
- Ease of use or accessibility of utilizing platform (testimonial)
- Example deliverables/reports/screenshots from the benchmarking project
- Examples of the complementary activities or services provided, if any

Cost-Effectiveness

Proposals will be evaluated based on cost-effectiveness and measured against other submitted proposals, specifically:

- How competitive is the cost relative to other submitted proposals?
- Is the proposed budget reasonable given: (1) the abilities of the tool (2) ease of use of the tool, and (3) answers to the **Attachment F - Budget and Fee Proposal**?

Experience and Team Qualifications

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Does the proposal:

- Include a description of how long the benchmarking software tool has been available in the market?
- Include a summary of key information about the company and all other companies that are part of the team?
- Include adequate qualifications for team members and all collaborating entities?
- Provide resumes for the key personnel and justify the roles of the proposing team and any partner team members involved?
- Identify the point person for the contract agreement

Project SOW, Schedule, and Timeline

Does the proposal:

- Provide a schedule which addresses all tasks and meets NYSERDA's launch deadline?
- Describe how the data would be transferred at the end of the agreement?

Contracting

Does the proposal:

- Provide all licensing and contracting approaches possible and their associated costs and recommend a preferred approach based on the goals of the solicitation? NYSERDA's **preferred option** is to license the software.

References

Does the proposal:

- Provide three customer references that NYSERDA can contact directly?
 - The references must be customers the proposer has worked with in the past five years. For each reference, include a description of how the reference can speak to the proposer (e.g. describe relationship of reference to the proposer).

Optional Step 2: Demonstration

NYSERDA reserves the right to invite proposers, following Step 1, to provide a demonstration of the Benchmarking Software Tool either via a webinar or other remote means. It is estimated that NYSERDA will reach out to schedule demonstration(s), if any, within 2 weeks of receiving proposals if this step will be needed.

The proposer must be prepared to provide demonstration of the capabilities requested in this solicitation.

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The Scoring Committee may ask questions and clarifications related to the demonstration and written proposal to complete their evaluation. NYSERDA's evaluation will be focused on cost effectiveness, the ease of use of the platform and the visual graphics of the benchmarking tool dashboard. The proposer must be prepared to address any questions or provide clarification regarding information outlined in the proposal. NYSERDA may request the proposer provide a URL and guest credential for the benchmarking platform, to test and evaluate the tool during the demonstration.

NYSERDA may request additional data or material to support applications/proposals.

NYSERDA reserves the right to accept or reject proposals based on the following Program Policy Factor(s):

- 1) The degree to which pricing and hourly rates are in line with the rest of the market
- 2) The degree to which the applicant has the resources (human and financial) to be able to complete the project
- 3) The degree to which the proposed project optimizes the use of funding to achieve programmatic objectives
- 4) The degree to which the proposed project can deliver immediate and long-term solutions
- 5) The degree to which the proposed project creates or preserves jobs in New York State
- 6) The degree to which the proposed project will accelerate transformational technology advances in areas that industry by itself is not likely to undertake because of technical and financial uncertainty
- 7) The degree to which the project demonstrates flexibility to respond to NYSERDA's evolving needs
- 8) The degree to which there is industry involvement and demonstrated ability to commercialize energy or related technologies
- 9) The degree to which the tool and processes can be configured with the expectation that New York State will transition to managing a statewide benchmarking mandate

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

V. SUBMISSION PROCESS AND REQUIREMENTS

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

Complete and submit your proposal online on the [\[Insert Link for this solicitation here—link is provided in Salesforce\]](#). When submitting online, proposers will have to answer questions as part of this process, in addition to uploading documents. Therefore, proposers should allot at least 60 minutes to complete and submit its application/proposal. The online proposal system closes promptly at 3:00 PM on the date above. Files in process, attempted edits, or submissions after the due date will not be accepted. It is the proposer's responsibility to ensure that all pages have been included in the proposal. If changes are made to this solicitation, notification will be posted on [\[Insert Link for this solicitation here—link is provided in Salesforce\]](#).

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

- .doc, .docx

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

File names must include the proposer's entity name.

The text response of proposals should be in word format, so they are searchable. Images and example work can be in .pdf, .ppt and spreadsheet formats. For sections requiring infill of a spreadsheet, please retain the file format provided by NYSERDA. For your submissions, do not convert hardcopies into PDFs or any other type of file using a scanner or by taking a photo of the hardcopy. Individual files should be 100MB or less in file size. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

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

A. Compliance with State Finance Law

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

VI. AWARDEE CONDITIONS

Please read this section carefully as it contains the requirements and conditions for awardees. The selected proposer will be issued an agreement with NYSERDA outlining the program requirements in Section II and the tasks needed to complete them. The RFP seeks to select a single proposer to enter into a four-year standard agreement with two, two-year options to renew through December 31, 2025. If the benchmarking effort is approved beyond 2025, NYSERDA will evaluate options to ensure continuity in the creation and maintenance of this benchmarking data. The contract will cover training, software updates and other items NYSERDA is willing to pay the software vendor to perform. It will be determined if those services are required or if use of the tool as-is will suffice.

A. Contract Award

NYSERDA anticipates making one award under this solicitation. Any awardee of this solicitation will be considered a NYSERDA contractor. A contract may be awarded based on the initial proposal without discussion, or following

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limited discussion or negotiations pertaining to the statement of work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA will use the Sample Agreement (Attachment G) to contract successful proposals.

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

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

B. Accessibility Requirements

NYSERDA requires contractors producing content intended to be posted online to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).¹

C. Website Design and Security

The web tool will need to be developed in accordance with the guidelines in **Attachment H – Web Related Addendum**.

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-S15-002 Enterprise Vulnerability Scanning", found at: <https://www.its.ny.gov/document/vulnerability-scanning-standard>.

The website will be scanned for vulnerabilities by NYSERDA Information Security Officer (ISO) prior to publishing. The website will not be published until the vulnerability scan has been approved by NYSERDA ISO.

The Contractor will be responsible for applying security patches as they become available. The Contractor will notify the NYSERDA Project Manager in the event new software features/functionality have been added to the website so that it may be scanned for vulnerabilities. The Contractor will be responsible for remediating any vulnerabilities.

VII. GENERAL CONDITIONS

If changes are made to this solicitation, notification will be posted on [\[Insert Link for this solicitation here—link is provided in Salesforce\]](#).

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

A. Confidential and Proprietary Information

Proposers should give careful consideration before submitting confidential information to NYSERDA as part of their proposals. Consider and review whether confidential information is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information, should be identified and labeled “Confidential” or “Proprietary” on each page at the time of disclosure. This information should include a written request an exception from disclosure, including a written statement of the reasons why the information should be excepted. See [Public Officers Law, Section 89\(5\) and the procedures set forth in 21 NYCRR Part 501](#).² However, NYSERDA is bound by the New York State Freedom of Information Law and cannot guarantee the confidentiality of any information submitted.

B. Freedom of Information Law

[The New York State Freedom of Information Law, Public Officers law, Article 6](#),³ provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that “are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise.”

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

C. Omnibus Procurement Act of 1992

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

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

Empire State Development
Division for Small Business
625 Broadway
Albany, NY 12207
<https://esd.ny.gov/>

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

Empire State Development
Minority and Women's Business Development Division
625 Broadway

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

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

Albany, NY 12207

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

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

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

E. Tax Law Section 5-a

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

The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA: see [ST-220-CA](#).⁶ The Department has also developed [guidance](#)⁷ for contractors.

F. Limitation

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

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

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

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

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

G. Disclosure Requirement

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

VIII. LIST OF ATTACHMENTS

- Attachment A – Minimum Benchmarking Tool Input Requirements
- Attachment B – Class I and II Data Error and Program Compliance Checks
- Attachment C – Reporting and Visualization Requirements
- Attachment D – Proposal Outline
- Attachment E – Statement of Work and Project Schedule Template
- Attachment F – Budget and Fee Proposal
- Attachment G – Sample Agreement
- Attachment H – Web Related Addendum
- Attachment I – Proposer Checklist

**Environmental Monitoring Support Services
for the West Valley Site Management Program**
Request for Proposal (RFP) 4190

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

Proposals Due: June 11, 2020 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from firms to perform Environmental Monitoring Support Services for NYSERDA's West Valley Site Management Program at the Western New York Nuclear Service Center near West Valley, New York. The objectives of this solicitation are to secure the services of a highly qualified firm experienced in handling hazardous and/or radioactive material to provide the services, expertise, and equipment needed to implement and support the West Valley Site Management Program's (WVSMP) Environmental Monitoring Program. The scope of work which include the following activities:

- groundwater and radioactive leachate monitoring
- groundwater and radioactive trench leachate elevation measurements
- surface water monitoring
- storm water monitoring
- environmental radiation dosimetry monitoring
- low level radioactive waste disposal services
- support services for health and safety and emergency response
- rapid response and minor effort work activities
- GIS/Database support

The initial term of the contract will be a one-year period, with the option to renew annually for up to four additional years at NYSERDA's discretion. The contract is expected to start on or about July 30, 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 Andrea Mellon, Program Manager and primary contact at (716) 942-9960, ext.4054 or by e-mail AndreaRFP4190@nyserda.ny.gov or Douglas Coble, Project Manager at (716) 942-9960, ext. 4027 or by e-mail DougRFP4190@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 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>).

I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from firms to perform Environmental Monitoring Support Services for NYSERDA's West Valley Site Management Program (WVSMP) at the Western New York Nuclear Service Center (Center), located near West Valley, New York, including the State-Licensed Disposal Area (SDA), and the balance of the Center property (referred to as the Retained Premises [RP]). The objectives of this solicitation are to provide the services, expertise, and materials needed to implement and support the West Valley Site Management Program's (WVSMP) Environmental Monitoring Program. Services will include routine monitoring for radiological and chemical contaminants in environmental media, rapid-response support for emergency recovery and minor-effort operations and maintenance activities, and programming support to upgrade and/or maintain the WVSMP environmental monitoring database (NYSIMS) and Geographic Information System (GIS).

The success of this RFP will be dependent on securing the services of a highly qualified, professional company with experience in performing a variety of environmental monitoring tasks in a highly regulated environment. NYSERDA will convene a Scoring Committee to assist in the selection of the contractor.

II. Program Requirements

A. Services Requested

The attached detailed Statement of Work is being circulated to solicit bids from firms with environmental monitoring expertise interested in performing the tasks defined by this RFP. The initial term of the contract will be a one-year period, with the option to renew annually for up to four additional years at NYSERDA's discretion. The contract is expected to start on or about September 1, 2020.

B. Range/Scope of Services to be Provided

The specifics of the Environmental Monitoring services required under this solicitation are described in the attached Statement of Work. The activities covered under the Statement of Work shall be performed in accordance with all applicable plans, procedures, permits and licenses listed in Appendix A of the Statement of Work. The scope of work includes, but is not limited to, the following activities:

- groundwater and radioactive leachate monitoring
- groundwater and radioactive trench leachate elevation measurements
- surface water monitoring
- storm water monitoring
- environmental radiation dosimetry monitoring
- low level radioactive waste disposal services
- support services for health and safety and emergency response
- rapid response and minor effort work activities
- GIS/Database support

The contractor shall place and manage subcontracts as needed to complete the activities included in each task of the Statement of Work in accordance with NYSERDA's subcontracting procedures found in the Sample Agreement (Attachment B). 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 WWSMP (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 environmental monitoring expertise who have:

- Relevant education and experience in environmental monitoring.
- Experience with similar environmental monitoring activities.
- The resources necessary to provide the full breadth of services required.

Relevant education and training would include relevant degrees, training certificates, and other accredited education focused on, but not limited to, sampling/measuring environmental media for chemical and radiological constituents, proper management and transport of samples for analyses and statistical analyses of results.

Experience with similar environmental monitoring activities would include past environmental monitoring activities in mixed-waste environments, activities involving sampling of radiological and chemical contaminants in environmental media, ground surface and elevation surveys and programming experience with ESRI ARCGIS software, Microsoft Office 2007, compliant programming languages (e.g., Visual Basic, SQL, Python, etc.) and other spatial analysis software for GIS/database support.

Resources necessary to provide the full breadth of services would include sufficient organizational resources to provide the services described in the Statement of Work.

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:

- Hazardous Waste Operations and Emergency Response trained personnel for all on-site field work
- Task-Specific Safety Documentation meeting the requirements of the WWSMP safety program for each on-site task not covered by an existing procedure or work instruction
- Equipment needed to perform tasks outlined in the Statement of Work
- Experienced supervisory and field staff

III. Proposal Requirements

A. Proposal Content

The Proposer will be required to prepare a proposal, schedule, and firm cost estimate for environmental monitoring services described in this solicitation. The proposal must identify how the contractor will provide all the required services in accordance with the subtask specifications provided below. As part of the proposal, describe any additional subcontracts and procedures that need to be put in place to establish a defensible and compliant environmental monitoring program.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or

graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. The proposal must be in the following format:

Part I - Technical and Management

- Background/Objectives (one-page maximum).
- Services to be provided (three-page maximum).
- Approach for providing environmental monitoring program services (six-page maximum).
- Current Qualifications Statement that clearly presents the experience of the firm or individual(s).
- Current Qualifications Statement that clearly presents the education, training and experience of key personnel proposed to be used relevant to the Statement of Work.
- Letters of commitment from all participating firms or individuals (if applicable).
- Work Plan including key personnel and schedule for tasks or services that are anticipated to require lead time in order to implement (five-page maximum).

Part II - Cost and Disclosures

- Disclosure Statement Form (if applicable).
- Cost proposal including hourly rates and any other applicable costs or rates
- Names and contact information for client references (maximum of three).
- Any Indictment/Conviction of Felony (if applicable).
- Any NYSERDA Contracts awarded (if applicable).
- Prior and/or Competing Proposals (if applicable).
- Cost Estimate for performing the services described in this solicitation.
- Exceptions to Terms and Conditions (if applicable).

In compliance with §139-j and §139-k of the State Finance Law (see Section V, 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.

IV. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee. 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.

Proposals that meet proposal requirements will be reviewed by a Scoring Committee using the following Evaluation Criteria, listed in order of importance:

Evaluation Criteria

Organization, Staffing and Management Plan: Proposal shows high quality of project organization and management plan. Tentative plan and schedule are presented that exhibit a well thought out plan to complete the tasks listed in the SOW.

Experience: prior experience in providing services similar to those identified in the SOW

Approach and scope of services: quality of approach and methodology for performing the stated work clearly demonstrates an understanding of the culture which supports performing work at a radioactive and hazardous waste facility.

Content: Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.

Cost: Fully burdened labor rates and laboratory fees are clearly defined, and all necessary budget information is presented in an easily understandable format.

Diversity Practices: ability to meet NYSERDA goals service-disabled veteran-owned business enterprises (SDVOB)

References: references that exhibit strong similarities with the needs of this RFP.

Program Policy Factors

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

- degree to which pricing and hourly rates are in line with the rest of the market.
- geographic location of the resources identified or potentially involved with the work
- previous experience at the Western New York Nuclear Service Center

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

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

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

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

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

Accessibility Requirements - 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.

VI. Attachments:

Attachment A – Budget

Attachment B – Sample Agreement

Attachment C – EMSS Statement of Work

Attachment D – SDVOB (Article 17) SDVOB Solicitation Documents



NYSERDA
Public Authority Law Report
April 1, 2020 to September 30, 2020

Section Break

Projects Selected for Funding by Region

Period 4/1/2020 through 9/30/2020

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	Albany	Central Hudson Gas and Electric	7,371
		National Grid	296,866,656
	Columbia	Central Hudson Gas and Electric	30,000
		National Grid	106,417
		NYS Electric and Gas	804,860
	Greene	Central Hudson Gas and Electric	2,179,153
	Rensselaer	National Grid	9,547,140
	Saratoga	National Grid	3,027,504
		NYS Electric and Gas	354,150
	Schenectady	National Grid	2,230,870
	Warren	National Grid	166,530
	Washington	National Grid	7,452,147
	Total		322,772,798
Central New York	Cayuga	NYS Electric and Gas	20,407,495
		Rochester Gas and Electric	6,440
	Cortland	National Grid	890,124
	Madison	National Grid	843,235
		NYS Electric and Gas	9,295
	Onondaga	National Grid	19,442,943
		NYS Electric and Gas	1,732,428
	Oswego	National Grid	6,012,820
	Wayne	Rochester Gas and Electric	16,200
	Total		49,360,979
Finger Lakes	Genesee	National Grid	126,976
	Livingston	National Grid	1,106,828
		NYS Electric and Gas	8,624
		Rochester Gas and Electric	1,280,452
	Monroe	Municipal Utilities	27,180
		National Grid	4,484,903
		Rochester Gas and Electric	4,533,548
	Ontario	NYS Electric and Gas	17,700,057
		Rochester Gas and Electric	421,688
	Orleans	National Grid	3,305,449
	Seneca	NYS Electric and Gas	2,416,319
	Wayne	NYS Electric and Gas	350,743
		Rochester Gas and Electric	1,714,972
	Wyoming	National Grid	168,417
		NYS Electric and Gas	19,261,687
	Yates	Municipal Utilities	2,282,938
		NYS Electric and Gas	17,083
Total		59,207,863	
Long Island	Nassau	Long Island Power Authority	1,103,740
	Suffolk	Long Island Power Authority	2,377,399
	Total		3,481,139

Projects Selected for Funding by Region

Period 4/1/2020 through 9/30/2020

REDC Region	County	Electric Utility	Total Funded Amount
Mid-Hudson	Dutchess	Central Hudson Gas and Electric	10,774,738
		NYS Electric and Gas	848,640
	Orange	Central Hudson Gas and Electric	6,799,272
		NYS Electric and Gas	3,129,042
		Orange and Rockland Utilities	30,690,813
	Putnam	NYS Electric and Gas	912,899
	Rockland	Orange and Rockland Utilities	1,043,503
	Sullivan	NYS Electric and Gas	630,818
		Orange and Rockland Utilities	23,230
	Ulster	Central Hudson Gas and Electric	5,141,839
	Westchester	Consolidated Edison	15,844,361
		NYS Electric and Gas	85,653
Total		75,924,808	
Mohawk Valley	Fulton	National Grid	15,173
	Herkimer	National Grid	15,464,523
	Montgomery	National Grid	4,613,860
	Oneida	National Grid	25,230,048
		NYS Electric and Gas	997,331
	Otsego	NYS Electric and Gas	170,142
	Schoharie	National Grid	16,423
	Total		46,507,499
New York City	Bronx	Consolidated Edison	11,176,160
	Kings	Consolidated Edison	19,717,533
	New York	Consolidated Edison	24,101,998
	Queens	Consolidated Edison	20,121,321
	Richmond	Consolidated Edison	24,136,968
	Total		99,253,981
North Country	Clinton	NYS Electric and Gas	4,233,571
	Essex	National Grid	70,214
		NYS Electric and Gas	7,366
	Franklin	National Grid	45,229
	Jefferson	National Grid	10,431,707
	Lewis	National Grid	4,354,444
	St. Lawrence	National Grid	13,953,072
	Total		33,095,603
Southern Tier	Broome	NYS Electric and Gas	371,995
	Chemung	NYS Electric and Gas	368,501
	Chenango	NYS Electric and Gas	11,536
	Delaware	NYS Electric and Gas	1,672,465
	Schuyler	Municipal Utilities	1,521,816
	Steuben	NYS Electric and Gas	1,602,183
	Tompkins	NYS Electric and Gas	3,472,800
	Total		9,021,296
Statewide	STATEWIDE	Statewide	295,156,279

Projects Selected for Funding by Region

Period 4/1/2020 through 9/30/2020

REDC Region	County	Electric Utility	Total Funded Amount
Statewide	Total		295,156,279
Western New York	Allegany	National Grid	115,335
		Rochester Gas and Electric	2,407,677
	Cattaraugus	National Grid	472,867,962
	Chautauqua	National Grid	172,210,076
	Erie	Municipal Utilities	78,840
		National Grid	5,620,709
		NYS Electric and Gas	343,487
	Niagara	National Grid	3,653,626
		Total	
Grand Total			1,651,079,956

Projects Selected for Funding by Region
Period 4/1/2020 through 9/30/2020

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Active Solar Development, LLC	Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	304,200	
	AES DE RS VI, LLC	Saratoga	National Grid	>200KW PV, NY-Sun C&I	1,309,770	
	Affordable Housing Partnership	Albany	National Grid	OTHER PROGRAM AREA, CEEP Capital Regio..	100,000	
	Albany County Dept. of Gener..	Albany	National Grid	Albany County	30,000	
	Albany Solar Solutions L.L.C.	Albany	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	5,418
			Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	5,467
			Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	7,394
	AlienVault, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, USM Support - A..	10,852	
	Allard Communications	Albany	National Grid	NYSERDA ADMINISTRATION, Communication ..	195,000	
	Allegis Group Holdings Inc	Albany	National Grid	ENERGY ANALYSIS, Staff Augmentation Servic..	180,785	
				Informat. Products & Brokering, Staff Augmentati..	211,468	
				NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	102,709	
	Allen Power, Inc.	Albany	National Grid	Fuel Cells, Fuel Cell Incentive - FC-042	862,500	
			Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	159,169
				National Grid	NY-SUN, PON 2112 NY SUN	60,885
	AMERESCO, Inc.	Greene	Central Hudson Gas a..	>200KW PV, NY Sun	1,174,173	
	American Energy Care, Inc.	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	5,023	
			Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	6,636
			Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	7,643
			Warren	National Grid	<200KW PV, NY-Sun	6,802
				<200KW PV, PON 2112 NY SUN	5,150	
	AmTrust North America Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 2020 Paid Famil..	69,000	
	Apex Solar Power LLC	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	45,045	
			Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	88
			Washington	National Grid	<200KW PV, PON 2112 NY SUN	5,040
	APPEXTREMES, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Conga Compose..	14,400	
	Arcadis of New York, Inc.	Albany	National Grid	Commercial New Construc, Staff Augmentation S..	117,098	
				Low Rise New Construction, Staff Augmentation ..	335,680	
				Multifam New Construction, Staff Augmentation ..	132,711	
				New Construction LMI, Staff Augmentation Servi..	78,065	
				New Construction- Commercial, Staff Augmentati..	117,098	
				Technical Services, FT13067 - 1 Canal Road - F..	24,500	
	Atlantic Data Security, LLC	Albany	National Grid	Checkpoint for 1333 Broadway	39,321	
				NYSERDA ADMINISTRATION, Checkpoint for 1..	49,910	
	Autonomous Energies LLC	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	31,680	
			Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	16,920
	Aztech Geothermal, LLC	Saratoga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	8,640	
	Belmonte Builders	Saratoga	National Grid	New Construction LMI, 2019 LRNCP	19,950	
	Bergmann Associates	Albany	National Grid	Commercial Real Estate Ten, Bergmann - multisi..	39,862	
	Black Mountain Architecture, ..	Schenectady	National Grid	Buildings of Excellence, BoE R1 - Designer Incen..	112,500	
	Bond, Schoeneck & King, PLL..	Albany	National Grid	ESTOR:Consumer Education, Distributed Solar I..	8,000	
	Borrego Solar Systems, Inc.	Albany	National Grid	>200KW PV, NY Sun	1,124,603	
				NY-SUN, NY Sun	1,349,526	
		Saratoga	National Grid	>200KW PV, NY Sun	1,274,816	
	Bruns Associates, LLC	Schenectady	National Grid	Buildings of Excellence, Buildings of Excellence ..	637,500	
	Buzzard's Ridge Group LLC	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	6,405	
C&S Engineers, Inc.	Warren	National Grid	Technical Services, FT13148 - Glens Falls - FTC	19,140		
Capital District Records Mana..	Albany	National Grid	NYSERDA ADMINISTRATION, Tape/ Disk Stora..	1,972		
Carahsoft Technology Corporation	Albany	National Grid	EVALUATION, 2021 Qualtrics Software	60,695		
			REC:CES REC System Dev Costs, Salesforce C..	6,768		
			ZEC:CES ZEC System Dev Costs, Salesforce C..	6,768		
Cedar Hill Solar, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	1,124,045		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Cedar Hill Solar, LLC	Rensselaer	National Grid	NY-SUN, NY Sun	1,648,602	
	Center for Internet Security Inc	Albany	National Grid	NYSERDA ADMINISTRATION, CIS SM Monitori..	22,320	
	CHA Consulting Inc.	Albany	National Grid	CI Carbon Challenge, CICC1906 - SABIC	40,200	
	Cheryl Earley	Albany	National Grid	NYSERDA ADMINISTRATION, Technical Writing..	44,200	
	City of Glens Falls Housing Authority	Warren	National Grid	Multifam Performance Pgm, Multifamily	126,700	
		Washington	National Grid	Multifam Performance Pgm, Multifamily	52,500	
	Coleman Wallace Communica..	Albany	National Grid	NYSERDA ADMINISTRATION, Communication ..	109,824	
	Columbia Memorial	Columbia	National Grid	Technical Services, FT13087 - 71 Prospect Ave -..	10,000	
	Complete Cabling Solutions L..	Albany	National Grid	Complete Cabling NYGB 1333	25,896	
	Concur Technologies, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Concur Services ..	40,000	
	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Azure Cloud Ser..	48,600	
				NYSERDA ADMINISTRATION, DELL - Wyse 10..	34,733	
				NYSERDA ADMINISTRATION, Wyse Thin Client..	17,378	
	Efficiency Forward, Inc.	Albany	National Grid	Prof & Expert Engagement, 2020 DesignLights S..	25,000	
	Eiger 3970 Consultants Inc.	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	26,334	
	ELP Ghent Solar LLC	Columbia	NYS Electric and Gas	>200KW PV, NY Sun	730,728	
	ELP Ticonderoga Solar LLC - ..	Albany	National Grid	REC:CES REC Contracts, ELP Ticonderoga - R..	15,821,608	
	EME Consulting Engineering Group, LLC	Albany	National Grid	New Construction LMI, SA.038A_TWO #7 - New ..	254,874	
				New Construction- Commercial, SA.038A_TWO ..	6,231	
				Real Time Enrgy Management, SA.056_TWO #1..	146,463	
				Technical Services, Staff Augmentation Services	728,186	
	Employee Leasing of Greater ..	Albany	National Grid	NYSERDA ADMINISTRATION, Temp TWO	33,000	
	Energy & Resource Solutions,..	Saratoga	National Grid	Technical Services, AEAP	2,500	
	Environment & Energy Publis..	Albany	National Grid	NYSERDA ADMINISTRATION, Annual Subscript..	14,120	
	ESRI, Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, ArcGIS Desktop ..	22,200	
	First Columbia Property Servi..	Albany	National Grid	NYSERDA ADMINISTRATION, Property Manage..	234,712	
	Frontier Energy, Inc.	Albany	National Grid	Geothermal Incentive Program, 3695 TWO Umbr..	200,000	
	Fusco Personnel, Inc.	Albany	National Grid	Multifam Performance Pgm, TS.002_Multifamily ..	25,000	
				NYSERDA ADMINISTRATION, TS.015 Contract ..	66,495	
				Retrofit NY, TS.002_Multifamily Coordinator	25,000	
	Gartner Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Gartner - Membe..	39,164	
	GCOM Software LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Salesforce	1,440,000	
	Genscape, Inc.	Albany	National Grid	ENERGY ANALYSIS, Data & Markets	9,445	
	Harris Wiltshire & Grannis LLP	Albany	National Grid	Code to Zero, Codes to Zero Outside Counsel	50,000	
	Herrington Solar LLC	Rensselaer	National Grid	>200KW PV, NY Sun	1,124,045	
				NY-SUN, NY Sun	1,648,602	
	Hewlett-Packard Enterprise C..	Albany	National Grid	NYSERDA ADMINISTRATION, HPE Renewal M..	5,319	
	Hollingsworth & Vose Company	Washington	National Grid	On-Site Energy Manager, OsEM49-I Hollingswor..	184,076	
	Hudson River Renewables	Columbia	National Grid	<200KW PV, NY-Sun	6,248	
	Hudson Valley Clean Energy Inc.	Albany	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,371	
			Columbia	NYS Electric and Gas	<200KW PV, NY-Sun	10,800
				<200KW PV, PON 2112 NY SUN	39,798	
	ICE Data, LP	Albany	National Grid	ENERGY ANALYSIS, Data & Markets	480	
	Impact Infrastructure, Inc.	Albany	National Grid	Code to Zero, Building-Level Value Analysis	15,000	
				New Construction- Commercial, Building-Level V..	15,000	
				Technical Services, Building-Level Value Analysis	20,000	
	Insight Public Sector, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Chromebooks - 3..	16,440	
Johnson Controls Inc.	Albany	National Grid	Real Time Enrgy Management, JohnsonControls..	121,501		
			Saratoga	National Grid	Real Time Enrgy Management, JC - 211 Church ..	63,000
				Real Time Enrgy Management, JohnsonControls..	20,807	
JouleSmart Solutions, Inc.	Saratoga	National Grid	Real Time Enrgy Management, Joule Smart-Multi..	65,920		
			Real Time Enrgy Management, JouleSmart- 97 L..	24,791		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Kasselmann Solar LLC	Albany	National Grid	<200KW PV, NY-Sun	5,560
				<200KW PV, PON 2112 NY SUN	11,008
	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	22,966	
	Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	36,720	
	Rensselaer	National Grid	<200KW PV, NY-Sun	6,944	
			<200KW PV, PON 2112 NY SUN	38,889	
	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	11,550	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,310
	Washington	National Grid	<200KW PV, NY-Sun	5,472	
	Kearns & West, Inc.	Albany	National Grid	Consumer Ed and Market Support, TWO 1 - RM..	75,000
	Level 3 Communications, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Information Tech..	144,000
	Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, 2020 Long Term ..	92,000
	Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Property Liability ..	4,513
	Matrix Development, LLC.	Washington	National Grid	>200KW PV, NY Sun	2,917,704
				NY-SUN, NY Sun	4,279,307
	McCloskey Community Servic..	Albany	National Grid	New Construction LMI, 2020 LRNCP	75,200
	Michaels Group Homes, LLC	Albany	National Grid	New Construction LMI, 2019 LRNCP	7,600
	Miles Farmer	Albany	National Grid	ENERGY ANALYSIS, PSC Resource Adequacy ..	80,000
	Milliman, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 2020 GASB74 Li..	11,800
	mindSHIFT Technologies, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 3919-Siteco..	500,000
	NASEO	Albany	National Grid	Prof & Expert Engagement, Office of the Preside..	15,675
	New Flyer of America, Inc.	Albany	National Grid	CLEAN TRANSPORTATION, NYT-VIP	1,108,258
	New York State Forum for IRM	Albany	National Grid	NYSERDA ADMINISTRATION, NYS Forum Me..	5,000
	New York State Solar Farm Inc.	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	11,198
	NexRev, LLC	Rensselaer	National Grid	Real Time Enrgy Management, NexRev - Multisit..	14,400
	Nixon Peabody LLP	Albany	National Grid	NYSERDA ADMINISTRATION, Loan Loss Reser..	7,016
	Northco Products, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Printer/Copier Ko..	29,680
NRP Holdings LLC	Albany	National Grid	New Construction LMI, 2019 LRNCP	63,200	
NY 5422 CAUTERSKILL, LLC	Greene	Central Hudson Gas and Electric	>200KW PV, NY Sun	319,433	
			NY-SUN, NY Sun	563,706	
NYS Office of Information Technology Ser	Albany	National Grid	NYSERDA ADMINISTRATION, Office 365 2020 -..	178,776	
			NYSERDA ADMINISTRATION, Office 365 - Outs..	79,929	
NYS Office of Parks, Recreati..	Albany	National Grid	Technical Services, OsEM52-C - NYS OPRHP	213,380	
Orange EV LLC	Schenectady	National Grid	CLEAN TRANSPORTATION, NYT-VIP	140,080	
Pioneer Valley Photovoltaics ..	Columbia	Null	<200KW PV, PON 2112 NY SUN	6,048	
Plugin Stations Online, LLC	Albany	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	10,240	
PlugPV, LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	11,204	
			Talent Pipeline:CE and OJT, OJT HIRE	19,382	
	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	10,773	
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,486
	Rensselaer	National Grid	<200KW PV, NY-Sun	5,376	
	Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	92,430	
	Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	5,376	
	Washington	National Grid	<200KW PV, PON 2112 NY SUN	8,048	
Provantage, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Lenovo Laptops ..	5,075	
Randstad North America, Inc.	Albany	National Grid	Air Source Heat Pumps, Payroll Services_CHC_..	16,000	
			Clean Energy Communities, Temp Services	143,000	
			ENERGY ANALYSIS, Payroll Services_Policy Dev	164,600	
			Healthy Homes VB Payment Pilot, Payroll Servic..	97,500	
			NYSERDA ADMINISTRATION, Payroll Services	50,651	
			NYSERDA ADMINISTRATION, Payroll Services..	21,600	
NYSERDA ADMINISTRATION, Payroll Services..	21,600				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Randstad North America, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Payroll Services..	48,165
				ORES Support, Staff Aug - ORES Support	120,000
	Regional Economic Models, Inc	Albany	National Grid	ENERGY ANALYSIS, Energy Analysis	44,000
	Rensselaer Polytechnic Institu..	Rensselaer	National Grid	Industrial Process Effic, Industrial Process Efficie..	1,000,000
	Rosenblum Property Services,..	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	24,890
	Seed Renewables Inc.	Schenectady	National Grid	<200KW PV, NY-Sun	6,264
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Monitors.for NY..	22,282
				NYSERDA ADMINISTRATION, SHI - Chromebo..	4,128
	Site Capture LLC	Albany	National Grid	Air Source Heat Pumps, SQA license for cloud s..	5,400
				Combined Heat and Power, SQA license for clou..	5,400
				ESTOR: Implementation Support, SQA license fo..	3,400
				Geothermal Incentive Program, SQA license for c..	5,400
				NYCH: Comfort Home, SQA license for cloud ser..	5,400
	Sitecore USA, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Sitecore Subscri..	49,500
	Siteimprove, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Site Improve - 3 ..	17,916
	Sive Paget & Riesel PC	Albany	National Grid	Innovation, NY Climate Forward Loan Prog	10,000
				NYSERDA ADMINISTRATION, FOIL related Ser..	11,891
				NYSERDA ADMINISTRATION, Internal SEQRA ..	10,000
	SmartWatt Energy, Inc.	Saratoga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	348,840
	Stillwater Renewables, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	549,548
				NY-SUN, NY Sun	806,006
	SunRun, Inc	Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,201
	Systems Management Planning, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, ManageEngine ..	10,419
				NYSERDA ADMINISTRATION, VMware - Works..	6,685
				NYSERDA ADMINISTRATION, VMware Support..	35,617
				NYSERDA ADMINISTRATION, vROPS for Horiz..	30,095
	T-REX Group, inc.	Albany	National Grid	NYSERDA ADMINISTRATION, T-Rex Analytics ..	40,000
	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, RFP3143 Umbre..	372,450
				NYSERDA ADMINISTRATION, TWO QA Analyst..	204,750
				NYSERDA ADMINISTRATION, TWO Salesforce ..	146,640
				NYSERDA ADMINISTRATION, TWO Senior Soft..	187,200
				NYSERDA ADMINISTRATION, TWO Software D..	263,250
	NYSERDA ADMINISTRATION, TWO SR. Softwa..	173,550			
	Terra-Gen Power Holdings II ..	Albany	National Grid	REC:CES REC Contracts, Prattsburgh - RESRF..	260,941,372
	Tesla Energy Operations Inc	Warren	National Grid	<200KW PV, PON 2112 NY SUN	8,738
	The Cadmus Group, LLC	Albany	National Grid	Air Source Heat Pumps, Stocking/Shelving Survey	152,000
	The Community Builders, Inc.	Rensselaer	National Grid	New Construction LMI, 2019 LRNCP	68,600
	ThunderCat Technology LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Test Manageme..	5,600
	TJA-NY-Paul Rd Castleton, L..	Rensselaer	National Grid	>200KW PV, NY Sun	1,081,080
	Towers on the Hudson LLC	Rensselaer	National Grid	Multifam Performance Pgm, Multifamily	93,800
	Town of Gallatin	Columbia	Central Hudson Gas a..	Clean Energy Communities, CEC400159 - Town ..	30,000
	Town of Greenville	Greene	Central Hudson Gas a..	CEC400161-Town of Greenville	30,000
	Town of Kinderhook	Albany	National Grid	CEC400049-Vlg of Kinderhook	30,000
	Trane	Albany	National Grid	Real Time Enrgy Management, Trane Us Inc-Mul..	58,182
		Columbia	National Grid	Real Time Enrgy Management, Hudson City Sch..	14,260
	Transitional Services Associat..	Saratoga	National Grid	New Construction LMI, 2019 LRNCP	56,000
	TRC Energy Services	Albany	National Grid	CI Enrgy Siting & Soft Cost Red, Staff Augmentati..	120,000
Cleantech ICC Engage, SA.063_TWO #22 - T2M				53,074	
Commercial New Construc, Staff Augmentation S..				34,965	
Energy Storage Tech/Prod Dev, SA.063_TWO #..				53,074	
High Performing Grid, SA.063_TWO #22 - T2M				53,074	
Low Carbon Tech Demos, Staff Augmentation Se..				63,248	

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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 ..	126,233			
				Multifam New Construction, Staff Augmentation ..	43,627			
				Multifam Performance Pgm, Staff Augmentation ..	584,449			
				New Construction LMI, Staff Augmentation Servi..	33,310			
				New Construction- Commercial, Staff Augmentati..	44,965			
				NYCH: Innovation, SA.063_TWO #22 - T2M	53,074			
				NYCH: Technical Assistance, SA.061_TWO#23 -..	120,041			
				Pub Transit & Elect Rail, SA.063_TWO #22 - T2M	53,074			
				Real Time Enrgy Management, Staff Augmentati..	209,000			
				Technical Services, SA.061_TWO#23 - Multifamily	169,214			
				Technical Services, Staff Augmentation Services	1,323,119			
				Triad Technology Partners LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Tableau Desktop..	70,320
				Troy Rehabilitation and Impro..	Rensselaer	National Grid	New Construction LMI, 2019 LRNCP	57,600
	True Building Performance LLC	Albany	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	5,120			
	TS Media Consulting, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Communications..	166,725			
	TurnKey Internet, Inc.	Albany	National Grid	Industrial Process Effic, Industrial Process Effic..	1,094,981			
	Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP3143 Umbre..	421,572			
				NYSERDA ADMINISTRATION, TWO BA - Shrey..	148,200			
				REC:CES REC System Dev Costs, TWO Salesfo..	243,880			
	Village of Athens	Greene	Central Hudson Gas a..	CEC400117 - Village of Athens	30,000			
	Washington Avenue Solar LLC	Schenectady	National Grid	>200KW PV, NY Sun	1,017,219			
	WB Engineering & Consulting ..	Albany	National Grid	Commercial Real Estate Ten, WBE&C - 20 Madi..	7,468			
	Willdan Energy Solutions	Albany	National Grid	Multifam Performance Pgm, Staff Augmentation ..	215,596			
	Wiltshire Renewable Energy S..	Rensselaer	National Grid	<200KW PV, NY-Sun	8,976			
	Yorkson Legal Inc	Albany	National Grid	NYSERDA ADMINISTRATION, TS_Legal	24,638			
	Zones LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Webex Licenses ..	48,380			
	Total				322,772,798			
Central New York	Abundant Solar Power Inc.	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	175,275			
				>200KW PV, NY Sun	2,099,196			
				NY-SUN, NY Sun	1,539,411			
		Madison	National Grid	<200KW PV, PON 2112 NY SUN	123,188			
		Onondaga	NYS Electric and Gas	>200KW PV, NY Sun	951,782			
		Onondaga	National Grid	NY-SUN, NY Sun	775,526			
				>200KW PV, NYSun CI Full/Payee assignment	252,288			
	Abundant Solar Power Sk1 LL..	Onondaga	National Grid	>200KW PV, NY SUN	14,070			
	Alternative Power Solutions of NY, LLC	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	14,880			
				Oswego	National Grid	<200KW PV, PON 2112 NY SUN	12,014	
	Apex Solar Power LLC	Oswego	National Grid	<200KW PV, NY-Sun	16,896			
	Borrego Solar Systems, Inc.	Onondaga	National Grid	>200KW PV, NY Sun	1,974,373			
				NY-SUN, NY Sun	2,895,752			
	Breathe Easy of CNY Inc.	Oswego	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	27,120			
	Cayuga Developments, Inc	Cayuga	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	19,200			
	CHA Consulting Inc.	Onondaga	National Grid	Technical Services, FT13124 - 2 Tech Place - FT..	7,200			
	Classic American Vintage, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	91,000			
	Cortland-Virgil Road Solar, LLC	Cortland	National Grid	>200KW PV, NY-Sun C&I	883,593			
	DEMCO New York Corp.	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	7,200			
	DePaul Properties, Inc.	Cayuga	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	5,400			
	DG New York CS, LLC	Onondaga	National Grid	>200KW PV, NY Sun	2,647,955			
				NY-SUN, NY Sun	2,233,671			
	Earth Sensitive Solutions, LLC	Wayne	Rochester Gas and El..	Large-Scale GSHP Rebate	16,200			
	Extraterrestrial Materials Inc.	Cortland	National Grid	<200KW PV, PON 2112 NY SUN	6,531			
	GSPP 1616 County Route 12,	Oswego	National Grid	>200KW PV, NY Sun	826,098			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	OSPP 1010 County Route 12, LLC	Oswego	National Grid	NY-SUN, NY Sun	1,069,068
	GSPS Sentinel Heights Road, LLC	Onondaga	National Grid	>200KW PV, NY Sun	767,024
				NY-SUN, NY Sun	1,124,971
	Johnson Controls, Inc. (Syrac..	Onondaga	National Grid	K-12 SCHOOLS, FT13135 - 110 Elwood - FTC	51,920
	Kasselman Solar LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	5,390
	L&S Energy Services, Inc.	Onondaga	National Grid	Technical Services, FT13133 - 401 S. Salina - FT..	11,517
	LaBella Associates, P.C.	Cayuga	NYS Electric and Gas	Geothermal Incentive Program, Large Scale GS..	103,812
	M/E Engineering, P.C.	Onondaga	National Grid	New Construction- Commercial, Commercial Ne..	59,725
	Manlius Acad LLC	Onondaga	National Grid	Multifam Performance Pgm, Manlius Academy A..	121,100
	New York Homeowners Const..	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	Nexamp Capital, LLC	Madison	National Grid	>200KW PV, NY Sun	711,311
	Next Generation Solar, LLC	Onondaga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,119
	Nickels Energy Solutions LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	8,736
			National Grid	<200KW PV, PON 2112 NY SUN	14,002
	North Syracuse Central Schoo..	Onondaga	National Grid	K-12 SCHOOLS, FT13128 - N. Syracuse - PON	117,534
	Orchard Estates Vintage, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	210,000
	OYA Church Road A LLC	Onondaga	National Grid	>200KW PV, NY Sun	1,124,759
				NY-SUN, NY Sun	1,649,649
	OYA Church Road B LLC	Onondaga	National Grid	>200KW PV, NY Sun	224,640
				NY-SUN, NY Sun	269,568
	Pathfinder Engineers & Archit..	Onondaga	National Grid	New Construction- Commercial, Commercial Ne..	33,831
	Pine Tree Vintage, LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	45,500
				Technical Services, FT13130 - Pine Tree - PON	5,250
	Residences at Covered Bridg..	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	138,600
	SED NY Holdings	Cayuga	NYS Electric and Gas	REC:CES REC Contracts, SED Dog Corners Sol..	15,913,702
	Solar Liberty Energy Systems,..	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	115,810
	SSC Lysander LLC	Onondaga	National Grid	>200KW PV, NY Sun	917,941
				NY-SUN, NY Sun	1,187,923
	SSC Oswego LLC	Oswego	National Grid	>200KW PV, NY Sun	562,046
				NY-SUN, NY Sun	727,353
	SSC Scriba LLC	Oswego	National Grid	>200KW PV, NY Sun	1,123,874
				NY-SUN, NY Sun	1,648,351
	Sunnyside Farms, Inc.	Cayuga	NYS Electric and Gas	Anaerobic Digesters, PON 3739 CAT C	551,500
Sunvestment Energy Group N..	Onondaga	National Grid	>200KW PV, NY-Sun C&I	932,432	
SUNY Morrisville	Madison	NYS Electric and Gas	Commercial New Construc, New Construction	9,295	
Sustainable Comfort, Inc	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	23,232	
Ultra Dairy, LLC	Onondaga	National Grid	Industrial Process Effic, Industrial Process Efficie..	60,816	
Upstate Alternative Energy	Cayuga	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	6,440	
Wellington Manor LLC	Onondaga	National Grid	Multifam Performance Pgm, Multifamily	79,100	
Zerodraft Residential Inc.	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	7,200	
Total				49,360,979	
Finger Lakes	70 West MM LLC	Monroe	National Grid	Multifam Performance Pgm, Multifamily	76,300
	AES DE RS X, LLC	Orleans	National Grid	>200KW PV, NY-Sun CI	3,151,845
	Bergmann Associates	Monroe	Rochester Gas and El..	Technical Services, FT13089 - 16 W Main - FTC	7,500
	Bishop Sheen Ecumenical Ho..	Monroe	Rochester Gas and El..	New Construction LMI, 2019 LRNCP	63,200
	Brockport Villager LLC	Monroe	National Grid	Multifam Performance Pgm, Multifamily	81,200
	Buffalo Solar Solutions Inc	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	5,600
			National Grid	<200KW PV, PON 2112 NY SUN	7,826
	C.J. Brown Energy, P.C.	Wyoming	National Grid	Technical Services, AEAP	5,997
			NYS Electric and Gas	Technical Services, AEAP	3,497
	CDS Monarch Inc	Monroe	Rochester Gas and El..	New Construction LMI, 2019 LRNCP	88,400
	Clarkson Renewables LLC	Monroe	National Grid	>200KW PV, NY Sun	1,069,068

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	Dailey Electric Inc	Yates	Municipal Utilities	Talent Pipeline:CE and OJT, OJT HIRE	7,680
	Delaware River Solar, LLC	Livingston	Rochester Gas and El..	>200KW PV, NY Sun	1,029,990
		Monroe	Rochester Gas and El..	>200KW PV, NY Sun	1,186,056
		Ontario	Rochester Gas and El..	>200KW PV, NY Sun	246,240
		Yates	Municipal Utilities	>200KW PV, NY Sun	1,034,207
				NY-SUN, NY Sun	1,241,051
	DePaul Properties, Inc.	Ontario	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	68,000
	Donati Solar, LLC	Seneca	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,109,185
	Eco Heating & Cooling Inc	Monroe	Municipal Utilities	Talent Pipeline:CE and OJT, OJT HIRE	22,000
	Ecovis, Inc.	Livingston	Rochester Gas and El..	<200KW PV, NY-Sun	7,392
		Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,255
	Ellicott Station LLC	Genesee	National Grid	New Construction LMI, 2019 LRNCP	53,000
	EMCOR Services Betlem	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	15,672
	Fusion Energy Services LLC	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	33,957
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,624
		Ontario	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,709
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	15,092
		Wyoming	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,390
	Geotherm Inc.	Monroe	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	37,120
	Halcyon, Inc.	Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,355
		Ontario	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	23,040
	Hawn Heating & Energy Servi..	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	20,400
	Helios Energy New York 3, LLC	Monroe	National Grid	>200KW PV, NY Sun	1,000,046
	Helios Energy New York 10, L..	Monroe	National Grid	>200KW PV, NY Sun	1,005,210
	Home Leasing, LLC	Seneca	NYS Electric and Gas	New Construction LMI, 2019 MF NCP	53,000
	Ibero-American Development ..	Monroe	Rochester Gas and El..	New Construction LMI, 2019 LRNCP	18,000
	Ithaca Neighborhood Housing Services, In	Seneca	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	55,400
				New Construction LMI, 2020 LRNCP	13,600
	Jordan Energy and Food Ente..	Orleans	National Grid	<200KW PV, PON 2112 NY SUN	8,073
	M/E Engineering, P.C.	Monroe	Rochester Gas and El..	New Construction- Commercial, Commercial Ne..	66,650
	Mendon Renewables, LLC	Monroe	National Grid	>200KW PV, NY Sun	1,169,068
	New Flyer of America, Inc.	Monroe	Rochester Gas and El..	CLEAN TRANSPORTATION, NYTVIP	1,847,097
	NY MACEDON I LLC	Wayne	Rochester Gas and El..	>200KW PV, NY-Sun C&I	476,064
	NY MACEDON II LLC	Wayne	Rochester Gas and El..	>200KW PV, NY-Sun C&I	393,984
	NY ONTARIO I LLC	Wayne	Rochester Gas and El..	>200KW PV, NY-Sun C&I	799,200
	O'Brien & Gere Engineers, Inc.	Genesee	National Grid	Real Time Enrgy Management, OBrien -	63,192
	Orange EV LLC	Monroe	Rochester Gas and El..	CLEAN TRANSPORTATION, NYT-VIP	140,080
	Paradise Energy Solutions, LL..	Ontario	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	93,555
	Pathfinder Engineers & Archit..	Ontario	NYS Electric and Gas	Commercial New Construc, Commercial New Co..	18,162
	Providence Housing Develop..	Monroe	Rochester Gas and El..	New Construction LMI, 2019 LRNCP	77,600
	QwikSolar, LLC	Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	8,547
			Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
		Yates	NYS Electric and Gas	<200KW PV, NY-Sun	10,363
				<200KW PV, PON 2112 NY SUN	6,720
RED Rochester	Monroe	Rochester Gas and El..	Technical Services, FT13142 - 1200 Ridgeway - ..	19,845	
Renovus Energy, Inc.	Seneca	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,750	
Rochester Housing Authority	Monroe	Rochester Gas and El..	New Construction LMI, 2019 LRNCP	27,200	
Ryan Homes (Virginia)	Monroe	Rochester Gas and El..	New Construction LMI, 2019 LRNCP	6,650	
	Ontario	Rochester Gas and Electric	New Construction LMI, 2019 LRNCP	57,000	
			New Construction LMI, 2020 LRNCP	32,300	
Sangolqui Solar, LLC	Seneca	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,109,185	
Siemens Industry, Inc.	Monroe	Rochester Gas and	Real Time Enrgy Management, Siemens-100 Me..	69,083	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	Siemens Industry, Inc.	Monroe	Rochester Gas and Electric	Real Time Enrgy Management, Siemens-260 Co..	48,437
		Ontario	Rochester Gas and El..	Real Time Enrgy Management, Siemens-3325 M..	42,959
		Wyoming	National Grid	Real Time Enrgy Management, Siemens-3338 E ..	162,420
	Silver Lake Solar LLC	Wyoming	NYS Electric and Gas	REC:CES REC Contracts, Silver Lake Solar	19,252,800
	Simply Installs LLC	Ontario	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	10,800
	Solar and Wind FX, Inc. (Chris..	Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	8,750
	Solar Liberty Energy Systems, Inc	Livingston	National Grid	<200KW PV, NY-Sun	7,800
				>200KW PV, NY Sun	295,229
		Monroe	National Grid	<200KW PV, PON 2112 NY SUN	5,036
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	6,804
		Ontario	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,006
		Orleans	National Grid	<200KW PV, PON 2112 NY SUN	137,705
		Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	336,434
	Solar Village Company LLC	Ontario	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	96,600
				New Construction LMI, LR NCP - 212 Carter Rd.	243,200
	State University of New York ..	Livingston	Rochester Gas and El..	Technical Services, OsEM36-C - SUNY Geneseo	214,000
	SunEast Renewables LLC	Ontario	NYS Electric and Gas	REC:CES REC Contracts, Manchester Solar	17,134,785
	Sunvestment Energy Group N..	Livingston	National Grid	>200KW PV, NY Sun	699,399
	SUNY Brockport	Monroe	National Grid	REV Campus Challenge, RM9 - SUNY Brockport..	16,672
	Sustainable Energy Developments Inc.	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	38,991
		Monroe	National Grid	<200KW PV, PON 2112 NY SUN	10,973
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,429
		Wayne	Rochester Gas and Electric	<200KW PV, NY-Sun	9,960
				<200KW PV, PON 2112 NY SUN	6,484
				Talent Pipeline:CE and OJT, OJT HIRE	14,400
	Town of Mount Morris	Livingston	Rochester Gas and El..	CI Enrgy Siting & Soft Cost Red, Town of Mount ..	29,070
	True Energy Solutions	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	20,320
	Two Plus Four Construction C..	Seneca	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	35,000
	University of Rochester	Monroe	Rochester Gas and El..	Real Time Enrgy Management, UoR - 390 Elmw..	201,488
	Urban League of Rochester, ..	Monroe	Rochester Gas and El..	New Construction LMI, 2019 LRNCP	69,700
	Van Hee Mechanical	Wayne	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	14,880
	Verona Village LLC	Seneca	NYS Electric and Gas	Multifam Performance Pgm, Multifamily	32,200
	Viola Homes Inc.	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	5,184
Livingston		National Grid	<200KW PV, PON 2112 NY SUN	31,452	
Monroe		Municipal Utilities	<200KW PV, PON 2112 NY SUN	5,180	
		National Grid	<200KW PV, PON 2112 NY SUN	14,210	
		Rochester Gas and El..	<200KW PV, NY-Sun	17,386	
Wayne County Action Program	Wayne	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	7,589	
Wedgewood West LLC	Monroe	Rochester Gas and El..	Multifam Performance Pgm, Multifamily	111,300	
Wendel Energy Services, LLC	Monroe	Rochester Gas and Electric	K-12 SCHOOLS, P12GC_13E - Rochester - FTC	230,000	
			REV Campus Challenge, RM34 - University of R..	150,000	
Wise Home Energy, LLC	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	8,640	
Total				59,207,863	
Long Island	Agilitas Energy, LLC	Suffolk	Long Island Power Au..	ENERGY STORAGE, Retail Storage	2,062,500
	Bonded Energy Solutions Corp.	Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT hire	25,600
	Cold Spring Harbor Laboratory	Nassau	Long Island Power Au..	RM41 - Cold Spring Harbor Lab	154,000
	Empower CES, LLC	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	37,500
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	18,750
	Green Team USA, LLC	Suffolk	Long Island Power Authority	WORKFORCE DEVELOPMENT, OJT HIRE	60,480
				WORKFORCE DEVELOPMENT, OJT HIRE DAV..	7,680
	GreenLogic, LLC	Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	25,000
	Hytech Solar Inc	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	6,250

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Long Island	J Synergy Green Inc	Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	29,760	
	NuWorld Lighting Solutions Inc	Suffolk	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	23,360	
	NYS Energy Solutions	Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	26,880	
	SuNation Solar Systems, Inc.	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	25,000	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	6,364	
				ENERGY STORAGE, PON 2112 NY SUN	25,000	
	SUNRISE ELECTRICAL SER..	Suffolk	Long Island Power Au..	<200KW PV, PON 2112 NY SUN	79,515	
	SunRun, Inc	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	6,250	
	Tesla Energy Operations Inc	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	62,500	
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	68,750	
	Willet Dairy, LLC	Nassau	Long Island Power Au..	Anaerobic Digesters, Willet-Belltown Refurbishm..	730,000	
	Total				3,481,139	
	Mid-Hudson	174 Power Global NorthEast, LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	547,938
>200KW PV, PON 2112 NY SUN					295,800	
Accord Power, Inc.		Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	15,210	
Adam C. Boese		Rockland	Orange and Rockland..	Commercial Real Estate Ten, Daylight Saving-16..	8,374	
Advanced Radiant Design, Inc.		Ulster	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	9,600	
AES DE RS VIII, LLC		Orange	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,445,344	
AES DE RS XI, LLC.		Orange	Orange and Rockland Utilities	>200KW PV, NY-Sun C&I	1,751,750	
				NY-SUN, NY-Sun C&I	1,751,750	
				Solar Plus Energy Storage, NY-Sun C&I	1,536,500	
All Care Energy Inc.		Rockland	Orange and Rockland..	LMI Community Solar, All Care Energy Solar for ..	10,500	
All-State Air Control Sales & S..		Westchester	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	10,800	
AMERESCO, Inc.		Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	898,380	
				>200KW PV, NY Sun	1,166,880	
				NY-SUN, NY Sun	2,059,200	
				NYS Electric and Gas	>200KW PV, NY Sun	848,640
			Orange	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	233,325
				Orange and Rockland..	<200KW PV, PON 2112 NY SUN	245,412
		Ulster	Central Hudson Gas a..	>200KW PV, NY Sun	1,174,173	
American Energy Care, Inc.		Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	14,587	
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	13,080	
<200KW PV, PON 2112 NY SUN				5,379		
Arcadis of New York, Inc.		Ulster	Central Hudson Gas a..	Technical Services, AEAP	5,978	
Astrum Solar, Inc.		Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	599,610	
				ESTOR:Retail Storage Incentive, Retail Storage	371,000	
Bacon Triangle LLC		Dutchess	Central Hudson Gas a..	>200KW PV, NY-Sun C&I	58,307	
Bourne & Kenney Redvelop..		Orange	Central Hudson Gas a..	Multifam Performance Pgm, Multifamily	84,000	
BQE Services Inc		Dutchess	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	8,307	
Bright Power, Inc.		Westchester	Consolidated Edison	<200KW PV, NY-Sun	125,000	
				>200KW PV, NY-Sun	230,040	
				Real Time Enrgy Management, BP - 7 Ludlow St ..	53,100	
				Real Time Enrgy Management, BP - 188 Warburt..	46,160	
				Real Time Enrgy Management, BP - Multisite - R..	69,480	
				Real Time Enrgy Management, Bright Power - M..	61,480	
				Real Time Enrgy Management, Bright-86Dekalb-..	77,640	
BVD Solar, LLC		Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	1,143,162	
				NY-SUN, NY Sun	1,008,672	
Catalyze Holdings, LLC		Westchester	Consolidated Edison	>200KW PV, NY-Sun	110,600	
CON EDISON SOLUTIONS, I..	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	119,556		
Cornell Cooperative Ext. Dutc..	Dutchess	Central Hudson Gas a..	OTHER PROGRAM AREA, CEEP Mid-Hudson R..	185,712		
Dandelion Energy Inc	Westchester	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	18,240		

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Mid-Hudson	Dimension Energy LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	378,000	
	Distributed Solar Operations, LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	322,704	
				>200KW PV, PON 2112 NY SUN	611,793	
	Dual Fuel Corp	Westchester	Consolidated Edison	Real Time Enrgy Management, DF - 19 E 4th Str..	6,180	
				Real Time Enrgy Management, Dual Fuel-51Cro..	8,460	
				Real Time Enrgy Management, Dual Fuel-531ELi..	16,140	
				Real Time Enrgy Management, Dual Fuel-Multisit..	6,675	
	Dubois Solar, LLC	Orange	NYS Electric and Gas	>200KW PV, NY-Sun CI Assignment	1,445,109	
	Ecogy Croton Community Sol..	Westchester	Consolidated Edison	>200KW PV, NY-Sun	151,088	
	Ecogy New York I LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	257,500	
	Ecogy New York II LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	721,280	
	Ecogy New York VI LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	198,860	
	Ecogy New York VII LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	64,800	
	Ecogy New York VIII LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	132,720	
	Eiger 3970 Consultants Inc.	Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	133,038	
				<200KW PV, PON 2112 NY SUN	363,269	
				NY-SUN, NY-Sun	88,692	
	ELP Myer Solar LLC	Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun	509,847	
				NY-SUN, NY Sun	899,730	
	ELP Stanford Solar LLC	Dutchess	Central Hudson Gas and Electric	>200KW PV, NY Sun	1,274,184	
				NY-SUN, NY Sun	2,248,560	
	ELP Union Vale Solar	Dutchess	Central Hudson Gas and Electric	>200KW PV, NY Sun	564,799	
				NY-SUN, NY Sun	955,733	
	Empire Solar Solutions LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	10,855	
				Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN
		Putnam	NYS Electric and Gas	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	34,097
				Putnam	<200KW PV, PON 2112 NY SUN	5,005
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	36,741	
		Sullivan	NYS Electric and Gas	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	20,080
				Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN
	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	17,653		
	Empower CES, LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	22,440	
	Energy & Resource Solutions, Inc.	Dutchess	Central Hudson Gas a..	Industrial Process Effic, IPE16248	7,160	
		Westchester	Consolidated Edison	CI Carbon Challenge, CICC1904 - IBM Corporati..	64,675	
	ESNY-FU-400WESTCHESTE..	Westchester	Consolidated Edison	>200KW PV, NY-Sun	550,050	
	ESNY-IBM-Yorktown LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	4,376,680	
	ESNY-MED-MONTGOMERY LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	1,256,884	
				NY-SUN, NY Sun	2,218,032	
	FCON 953 Main, LLC	Dutchess	Central Hudson Gas a..	New Construction LMI, 2019 LRNCP	46,600	
	FFP NY Goshen Project1, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	778,050	
				NY-SUN, NY Sun	778,050	
	Florenton River LLC	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000	
				>200KW PV, PON 2112 NY SUN	26,386	
	Fogarty Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun C&I	1,109,185	
	Fran Corp	Orange	Orange and Rockland..	>200KW PV, NY-Sun C&I	734,786	
	G&S Operations LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	1,226,316	
	Green Eagle Solar VI, LLC	Ulster	Central Hudson Gas a..	>200KW PV, NY-Sun CI Payee Assignment	413,317	
Green Hybrid Energy Solutions Inc.	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,012		
			Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,945
	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,750		
Group-S LLC	Westchester	Consolidated Edison	Real Time Enrgy Management, SGRp-280 Collin..	27,990		
Harvest Power, LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	82,800		

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Mid-Hudson	Harvest Power, LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	55,200
	Hudson River Renewables	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	13,104
		Ulster	Central Hudson Gas a..	<200KW PV, NY-Sun	6,336
	Hudson River Trading	Westchester	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	581,079
	Hudson Valley Clean Energy Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, NY-Sun	97,767
				<200KW PV, PON 2112 NY SUN	140,627
		Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,750
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	301,928
				<200KW PV, PON 2112 NY SUN	57,919
	NY-SUN, NY-Sun	201,285			
	Infinity Solar Systems, LLC	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	10,903
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,346
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,595
	Integral Building & Design, Inc.	Ulster	Central Hudson Gas a..	Buildings of Excellence, BoE Rnd 1 - Design Tea..	112,500
	International Business Machin..	Westchester	Consolidated Edison	CI Carbon Challenge, C&I Carbon Challenge	1,000,500
	IPPsolar LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	1,125,000
				NY-SUN, NY Sun	1,125,000
	JouleSmart Solutions, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, JouleSmar-500 Y..	77,548
				Real Time Enrgy Management, JouleSmart - Mul..	133,516
				Real Time Enrgy Management, YonkersHonda-2..	36,379
			NYS Electric and Gas	Real Time Enrgy Management, JouleSmart - Mul..	44,193
	JPMorgan Chase Bank Nation..	Rockland	Orange and Rockland..	Industrial Process Effic, Industrial Process Efficie..	756,614
	Kasselman Solar LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,439
		Ulster	Central Hudson Gas a..	<200KW PV, NY-Sun	2,025
		Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,105
	Kawi Energy Group Corp.	Westchester	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	54,275
	Long Island Power Solutions	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,276
				<200KW PV, PON 2112 NY SUN	5,000
		Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	8,225
	Malcarne Contracting, Inc.	Dutchess	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	19,360
	Matrix Solar OC Newburgh Route 17K, LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	993,606
				NY-SUN, NY Sun	1,753,424
	Michael Robinson	Orange	Central Hudson Gas a..	Buildings of Excellence, Buildings of Excellence ..	33,762
	Montebello Realty Partners, L..	Rockland	Orange and Rockland..	Commercial New Construc, SF106896 - 250 Lafa..	42,466
	Mount Hope Community Deve..	Westchester	Consolidated Edison	New Construction LMI, 2019 LRNCP	53,600
	Net-Zero Development LLC	Ulster	Central Hudson Gas and Electric	Buildings of Excellence, Buildings of Excellence ..	637,500
				Low Rise New Construction, 2019 LRNCP	82,000
				New Construction LMI, 2019 LRNCP	19,500
	New Ecology, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, New Ecology-16..	7,749
	New York State Foam & Ener..	Orange	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	6,160
	New York State Solar Farm Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	13,837
		Orange	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,264
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,750
	Newburgh Housing Authority	Orange	Central Hudson Gas a..	Multifam Performance Pgm, Multifamily	52,000
	NexRev, LLC	Orange	Central Hudson Gas a..	Real Time Enrgy Management, NexRev - Multisit..	14,400
		Rockland	Orange and Rockland..	Real Time Enrgy Management, NexRev-Multisite..	27,364
		Westchester	Consolidated Edison	Real Time Enrgy Management, NexRev-Multisite..	109,457
Northeast Projects LLC	Orange	Central Hudson Gas a..	Buildings of Excellence, BoE Rnd 1 - Design Tea..	5,958	
Novel Approaches Solar Applications, LLC	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	10,800	
		Orange and Rockland..	<200KW PV, PON 2112 NY SUN	27,256	
	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	14,400	
		Orange and Rockland..	<200KW PV, PON 2112 NY SUN	10,800	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	Novel Approaches Solar Applications, LLC	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	10,800	
	NY CDG 004 LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	133,240	
				>200KW PV, NY-Sun	133,660	
	Omni-Navitas - MAP-ES NY L..	Dutchess	Central Hudson Gas a..	>200KW PV, NY Sun	582,369	
	PFNY LLC	Westchester	Consolidated Edison	Technical Services, OsEM48-C-Planet Fitness of..	204,571	
	PlugPV, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	13,216	
			Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	10,752
			Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,280
			Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,272
	Powerlutions, LLC	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	7,394	
	Regeneron Pharmaceuticals I..	Westchester	Consolidated Edison	Technical Services, FT13110 - 777 Old Saw Mill..	45,135	
	Regional Economic Communit..	Orange	Orange and Rockland..	Technical Services, FT13131 - Focus Apts. - PON	5,000	
	Rising Solar, LLC	Orange	Orange and Rockland..	REC:CES REC Contracts, Large-Scale Renewab..	17,378,550	
	Rockland Housing Action Coal..	Rockland	Orange and Rockland..	New Construction LMI, 2019 LRNCP	60,200	
	Rural Ulster Preservation Co..	Orange	Central Hudson Gas a..	New Construction LMI, 2019 LRNCP	71,800	
	SEA Electric LLC	Westchester	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP	109,250	
	Solar Liberty Energy Systems, Inc	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	79,799	
			Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	42,924
	Solar One, Inc.	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	95,900	
	Stephen Taya Property Devel..	Orange	Central Hudson Gas a..	Buildings of Excellence, Buildings of Excellence ..	33,762	
	Sun Source Technologies	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,040	
			Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	9,315
	Sunnova Energy Corp	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,264	
	SunPower Capital, LLC	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,180	
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	18,463	
			Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	28,436
			Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	27,574
	SUNRISE ELECTRICAL SERVICES	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	233,341	
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	842,230	
	Sunrise Solar Solutions, LLC	Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	65,664	
		Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	255,002	
	SunRun, Inc	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	32,627	
			Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,574
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	28,369	
			Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	33,259
	Tern Construction & Develop..	Dutchess	Central Hudson Gas a..	New Construction LMI, 2019 LRNCP	65,000	
	The Culinary Institute of Ameri..	Dutchess	Central Hudson Gas a..	Technical Services, OsEM47-C - Culinary Institute	141,088	
	The Lion Electric Co USA Inc	Westchester	Consolidated Edison	CLEAN TRANSPORTATION, NYT-VIP	185,000	
	Thermodynamix LLC	Westchester	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	51,680	
	Trane	Dutchess	Central Hudson Gas a..	K-12 SCHOOLS, P12GC-22_E - Poughkeepsie -..	146,000	
			Orange	Orange and Rockland..	Real Time Enrgy Management, Trane-2320 US ..	4,952
			Sullivan	NYS Electric and Gas	K-12 SCHOOLS, P12GC-14_E - Monticello - PON	50,000
	Trinity Heating & Air, Inc.	Sullivan	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	6,174	
	Vidaris, Inc.	Westchester	Consolidated Edison	Technical Services, FT13104 - 2000 Purchase - ..	35,990	
	Village of New Paltz	Ulster	Central Hudson Gas a..	Commercial New Construc, Commercial New Co..	8,839	
	Vivint Solar	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,355	
			Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	21,533
			Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,395
	Westhab, Inc.	Westchester	Consolidated Edison	New Construction LMI, 2019 MFCNP	434,500	
	Xzerta Energy Group LLC	Sullivan	NYS Electric and Gas	>200KW PV, NY Sun	529,046	
	Total				75,924,808	
	Mohawk	AES DE RS VII, LLC.	Montgomery	National Grid	>200KW PV, NY-Sun C&I	155,438

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mohawk Valley	Alternative Power Solutions of..	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	299
	AMERESCO, Inc.	Oneida	National Grid	>200KW PV, NY Sun	848,640
	American Energy Care, Inc.	Fulton	National Grid	<200KW PV, NY-Sun	15,173
		Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	7,783
	CDS Monarch Inc	Oneida	National Grid	New Construction LMI, 2019 LRNCP	47,000
	DePaul Properties, Inc.	Montgomery	National Grid	New Construction LMI, 2019 LRNCP	105,200
	DG New York CS, LLC	Oneida	NYS Electric and Gas	>200KW PV, NY Sun	976,931
	Doherty Electric, LLC	Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,190
		Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	8,640
	Eden Renewables, LLC	Montgomery	National Grid	>200KW PV, NY Sun	2,547,838
				NY-SUN, NY Sun	1,648,601
	Fred F. Collis & Sons, Inc.	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	67,680
	GSPP 4575 State Route 69, LLC	Oneida	National Grid	>200KW PV, NY Sun	1,071,143
				NY-SUN, NY Sun	1,386,185
	GSPP Hillsboro & Dunbar, LLC	Oneida	National Grid	>200KW PV, NY Sun	1,182,527
				NY-SUN, NY Sun	1,530,329
	J&A Electrical Construction LLC	Herkimer	National Grid	<200KW PV, PON 2112 NY SUN	6,801
		Oneida	National Grid	<200KW PV, NY-Sun	6,968
	Kasselman Solar LLC	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	6,783
	Mohawk Garden Apartments, LLC	Oneida	National Grid	Multifam Performance Pgm, Multifamily	145,600
				Technical Services, FT13105 - 105 Ringdahl - P..	10,000
	Montgomery County Treasurer	Montgomery	National Grid	Clean Energy Communities, CEC610859-Montgo..	150,000
	NP Environmental LLC	Oneida	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	20,400
	O'Brien & Gere Engineers, Inc.	Otsego	NYS Electric and Gas	New Construction- Commercial, Commercial Ne..	97,000
				REV Campus Challenge, FT13029 - 108 Ravine ..	24,576
	Omni Navitas Holdings LLC	Oneida	National Grid	>200KW PV, NY Sun	1,249,357
				NY-SUN, NY Sun	1,616,815
	PlugPV, LLC	Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,064
	Potentia Management Group ..	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	31,230
	SED NY Holdings	Herkimer	National Grid	REC:CES REC Contracts, SED Watkins Road S..	15,457,722
Oneida		National Grid	REC:CES REC Contracts, SED Skyline Solar - R..	15,759,750	
Standard Insulating Company	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	63,840	
SUNY Oneonta	Otsego	NYS Electric and Gas	Commercial New Construc, SF203494 - SUNY O..	7,736	
			REV Campus Challenge, FT13029 - 108 Ravine ..	24,576	
Tesla Energy Operations Inc	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	1,323	
Trane	Oneida	National Grid	K-12 SCHOOLS, P12GC-20_E - Camden CSD - ..	103,362	
			Real Time Enrgy Management, Trane - 9733 Mai..	108,000	
Total				46,507,499	
New York City	174 Power Global NorthEast, LLC	Bronx	Consolidated Edison	>200KW PV, NY-Sun	454,896
				>200KW PV, PON 2112 NY SUN	1,193,600
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	504,000
	223 East 25th Street LLC	New York	Consolidated Edison	New Construction LMI, 2019 MFCNP	6,400
	299 3rd Development LLC	New York	Consolidated Edison	New Construction LMI, 2019 MFCNP	217,900
	330 Madison Holdings, LLC	New York	Consolidated Edison	Technical Services, FT13116 - 330 Madison - PO..	33,800
	369 Manhattan LLC	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	75,871
	750 Seventh Avenue NY LLC	New York	Consolidated Edison	Technical Services, FT13137 - 750 7th - PON	10,000
	770 Electric Corp.	Kings	Consolidated Edison	<200KW PV, NY-Sun	46,977
				>200KW PV, NY-Sun	39,293
	Accord Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	39,780
				>200KW PV, NY-Sun	26,520
		Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	7,072
		Richmond	Consolidated Edison	<200KW PV, NY-Sun	6,240

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Adam C. Boese	New York	Consolidated Edison	Commercial Real Estate Ten, DaylightSavings-1..	5,000
				Technical Services, FT13047 - 400 8th Ave - FTC	7,984
	Advent Software Luxembourg ..	New York	Consolidated Edison	NEW YORK GREEN BANK, Fund Administration..	1,718,254
	Agilitas Energy, LLC	Queens	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	4,500,000
	AKF-engineers	New York	Consolidated Edison	NYCH: Technical Assistance, FT12285 - 1 Libert..	52,795
				Technical Services, FT13007 - Related - FTC	37,000
				Technical Services, FT13040 - 200 Park - FTC	18,065
				Technical Services, FT13101 - 333 W 34th - FTC	22,050
	Albireo Energy, LLC	New York	Consolidated Edison	Real Time Enrgy Management, Albireo - 5 Penn ..	82,882
				Real Time Enrgy Management, Albireo Energy-M..	198,206
	Altanova LLC	Kings	Consolidated Edison	Commercial Real Estate Ten, Altanova LLC - 2 H..	5,000
				New York	Consolidated Edison
		Queens	Consolidated Edison	Commercial Real Estate Ten, Altanova-295 Fifth	5,000
				Commercial Real Estate Ten, Altanova-Multisite	35,000
				Technical Services, FT13051 - 564 Park - FTC	16,000
				Technical Services, FT13053 - 564 Park - FTC	33,401
				Commercial Real Estate Ten, Altanova-110 W 44..	5,000
	AltPOWER, Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	920,880
		Kings	Consolidated Edison	<200KW PV, NY-Sun	1,547,520
	Amergy Solar Inc.	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	123,690
	Annadale Community Clean E..	Richmond	Consolidated Edison	Fuel Cells, Fuel Cell Incentive - FC-027	1,000,000
	Antares Group, Inc.	New York	Consolidated Edison	NYCH: Technical Assistance, FT13111 - 515 E 7..	65,095
	Applied Design Initiative LLC	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Installation of se..	45,110
	Arquitectonica New York P.C.	New York	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	75,000
		Queens	Consolidated Edison	New Construction LMI, 2019 MFCNP	185,000
	Atash Energy, LLC	Kings	Consolidated Edison	Commercial Real Estate Ten, Atash Energy - Mul..	10,000
		New York	Consolidated Edison	Commercial Real Estate Ten, Atash Energy - Mul..	90,000
		Queens	Consolidated Edison	Commercial Real Estate Ten, Atash Energy - Mul..	29,999
	Atelier Ten	New York	Consolidated Edison	Commercial New Construc, Commercial New Co..	25,360
	Belmont Daniel LP	Richmond	Consolidated Edison	Multifam Performance Pgm, Multifamily	78,400
	Best Energy Power	Bronx	Consolidated Edison	<200KW PV, NY-Sun	25,000
				>200KW PV, NY-Sun	44,450
				>200KW PV, PON 2112 NY SUN	146,175
		Kings	Consolidated Edison	>200KW PV, NY-Sun	6,125
				>200KW PV, PON 2112 NY SUN	120,098
		New York	Consolidated Edison	<200KW PV, NY-Sun	17,200
				>200KW PV, NY-Sun	17,200
				>200KW PV, PON 2112 NY SUN	264,845
	BJF Development LLC	Kings	Consolidated Edison	New Construction LMI, 2020 LR NCP	32,700
	BlocPower LLC	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	7,680
	BOP SE, LLC	Kings	Consolidated Edison	Commercial New Construc, SF106901 2 Manhatt..	219,348
	Borrego Solar Systems, Inc.	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	3,600,000
BPP MFNY Employer LLC	New York	Consolidated Edison	Real Time Enrgy Management, BPP - multisite - ..	496,051	
			Real Time Enrgy Management, BPPMFNYEmpL..	441,138	
			Real Time Enrgy Management, BPPMFNYEmpL..	440,935	
			Real Time Enrgy Management, BPPMFNYEmpL..	465,000	
	Queens	Consolidated Edison	Real Time Enrgy Management, BPPMFNYEmpL..	82,472	
Bright Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	164,700	
			>200KW PV, NY-Sun	117,900	
			Buildings of Excellence, BoE Rnd 1 - Design Tea..	112,500	
			Real Time Enrgy Management, Bright Power-655..	56,000	
			Real Time Enrgy Management, Bright Power-298..	76,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Bright Power, Inc.	Bronx	Consolidated Edison	REV Campus Challenge, FT13118 - 3260 Henry ..	10,800	
		Kings	Consolidated Edison	<200KW PV, NY-Sun	255,229	
				>200KW PV, NY-Sun	122,160	
				>200KW PV, PON 2112 NY SUN	18,864	
				NY-Sun	121,005	
				Real Time Enrgy Management, TwoTrees-300 A..	40,900	
				Technical Services, FT13025 - 20 Jay - FTC	15,525	
				Technical Services, FT13026 - 55 Washington - ..	13,950	
		New York	Consolidated Edison	<200KW PV, NY-Sun	39,528	
				>200KW PV, NY-Sun	26,352	
				NYCH: Technical Assistance, RM35 - NYU - Alu..	6,470	
				Real Time Enrgy Management, BP-1755 York-R..	55,960	
				Real Time Enrgy Management, Bright Power-60 ..	50,451	
				Real Time Enrgy Management, Bright Power-Mul..	136,990	
				Real Time Enrgy Management, BrightPower-201 ..	46,140	
				REV Campus Challenge, RM36-NYU-Stern Busi..	94,698	
				Technical Services, FT13037 - 10 Monroe - FTC	10,000	
				Technical Services, FT13126 - 40 W 25th - FTC	9,990	
				Technical Services, FT13127 - 114 W. 26th - FTC	8,550	
				Technical Services, FT13140 - 165 E 56th - FTC	9,000	
		Queens	Consolidated Edison	<200KW PV, NY-Sun	650,247	
				>200KW PV, NY-Sun	127,872	
				NY-Sun	663,297	
		Broadway Times Square, Inc.	New York	Consolidated Edison	Technical Services, FT13108 - 1372 Broadway - ..	18,661
		Bronx Lebanon Hospital Center	Bronx	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	137,181
		Brookfield Properties USA II L..	Queens	Consolidated Edison	Real Time Enrgy Management, BP LLC - Multisit..	1,162,110
		Brooklyn Bakery Inc.	Kings	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	78,380
		Brooklyn SolarWorks LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	5,119
			Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,355
		Buro Happold Consulting Engi..	Queens	Consolidated Edison	Commercial Real Estate Ten, Buro Happold - 20 ..	1,005,536
		Cameron Engineering & Asso..	New York	Consolidated Edison	Technical Services, FT13160 - 83 Maiden - FTC	33,368
		Carbon Lighthouse	New York	Consolidated Edison	Real Time Enrgy Management, CL - 3 Columbus ..	205,246
		Carrera RS, LLC	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	425,000
		CEC Stuyvesant Cove, Inc.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 6	180,477
		Charan Electrical Enterprises I..	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	71,208
		Charter Communications, Inc.	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	12,226
		City Of New York	New York	Consolidated Edison	Clean Energy Communities, CEC811010 - City of..	250,000
		Clarus Glassboards, LLC	New York	Consolidated Edison	Purchase of Furniture	5,801
		Climate Change & Environme..	Kings	Consolidated Edison	Commercial Real Estate Ten, CCES - Multisite	9,400
		Co-op Power, Incorporated	New York	Consolidated Edison	<200KW PV, NY-Sun	592,785
					>200KW PV, NY-Sun	592,800
		Code Green Solutions, Inc.	Kings	Consolidated Edison	Commercial Real Estate Ten, CodeGreen - 695 6..	13,750
Technical Services, FT13093 - Kestrel - FTC	27,250					
New York	Consolidated Edison		Commercial Real Estate Ten, CGS-1221 Ave of t..	8,500		
			Commercial Real Estate Ten, Code Green - 2 Pe..	31,500		
			Commercial Real Estate Ten, CodeGreen-599 Le..	57,500		
			NYCH: Technical Assistance, FT13091 - 470 Par..	13,500		
			REV Campus Challenge, FT13058 - 7 East 12th ..	39,537		
			Technical Services, FT13050 - 145 E 57th - FTC	15,250		
			Technical Services, FT13056 - 1140 AOA - FTC	29,650		
			Technical Services, FT13057 - 200 W 41st - FTC	22,950		
Technical Services, FT13062 - 175 Varick - FTC	17,500					

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
New York City	Code Green Solutions, Inc.	New York	Consolidated Edison	Technical Services, FT13064 - 275 7th - FTC	27,375			
				Technical Services, FT13069 - 381 Park - FTC	19,595			
				Technical Services, FT13078 - 145 W 57th - FTC	18,475			
				Technical Services, FT13079 - 101 W. End - FTC	34,750			
				Technical Services, FT13081 - 21 West End - FTC	33,500			
				Technical Services, FT13092 - 119 W. 57th - FTC	16,375			
				Technical Services, FT13107 - 51 Astor Place - F..	32,120			
		Queens	Consolidated Edison	Technical Services, FT13090 - 158-15 Liberty - F..	23,750			
		Richmond	Consolidated Edison	K-12 SCHOOLS, P12GC-10 - Mons. Farrell - FTC	21,375			
		Commercial Cleaning NY Sun..	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Janitorial Cleaning	75,600		
		Concern Pitkin LLC	Kings	Consolidated Edison	New Construction LMI, 2019 MFCNP	54,800		
		Control Solutions Group, Inc.	Kings	Consolidated Edison	NYSERDA ADMINISTRATION, HVAC Maintena..	11,000		
		Cortex Building Intelligence, Inc.	Kings	Consolidated Edison	Real Time Enrgy Management, Cortex-1 Grand ..	97,656		
					New York	Consolidated Edison	Real Time Enrgy Management, Cortex - 110 W 3..	57,970
							Real Time Enrgy Management, Cortex - 1400 Br..	331,283
			Queens	Consolidated Edison	Real Time Enrgy Management, Cortex-1301 6th ..	110,500		
			Queens	Consolidated Edison	Real Time Enrgy Management, CBI - 1 Court Sq..	600,000		
		Curtis + Ginsberg Architects L..	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	150,000		
		Cutone & Company Consultants, LLC	New York	Consolidated Edison	Commercial Real Estate Ten, Cutone (LCA) - Mu..	20,290		
					Commercial Real Estate Ten, LC Associates - 12..	11,665		
					Commercial Real Estate Ten, LCA - 40 Wall Stre..	10,468		
Commercial Real Estate Ten, LCA - 151 W 26th ..	9,828							
Commercial Real Estate Ten, LCA - 200 Lexingto..	12,093							
Commercial Real Estate Ten, LCA-315 Park Ave..	10,468							
DALY 180 Housing Fund Dev..	Bronx	Consolidated Edison	Multifam Performance Pgm, Multifamily	58,800				
Datagryd Data Centers, LLC	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	715,933				
Dattner Architects D.P.C	Bronx	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	112,500				
Delta Connects, Inc.	Kings	Consolidated Edison	Real Time Enrgy Management, Delta - 322 Third ..	233,790				
Deutsche Bank	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	31,685				
Digital Realty Trust	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	457,177				
			Industrial Process Effic, Industrial Process Effien..	1,000,000				
District Council 37 Education ..	New York	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 3	247,000				
Do-It-With Inc.	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	707,943				
			Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	185,939		
	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	12,480				
			<200KW PV, NY-Sun	166,050				
			>200KW PV, NY-Sun	162,305				
			>200KW PV, PON 2112 NY SUN	420,640				
Dori Doors & Security, Inc	New York	Consolidated Edison	Doors for NYC office	23,165				
Dual Fuel Corp	Bronx	Consolidated Edison	Real Time Enrgy Management, DF - 1010 Sherm..	42,840				
			Real Time Enrgy Management, Dual Fuel-660 N..	47,340				
	New York	Consolidated Edison	Real Time Enrgy Management, DF - 250 West 1..	42,390				
			Real Time Enrgy Management, DF - 798 9th Ave..	28,740				
			Real Time Enrgy Management, DF - 1855 7th Av..	42,240				
			Real Time Enrgy Management, Dual Fuel- 311 E ..	33,090				
			Real Time Enrgy Management, Dual Fuel-404 W ..	58,740				
			Real Time Enrgy Management, Dual Fuel-Multisit..	6,075				
			Real Time Enrgy Management, Dual Fuel-Multisit..	49,830				
			E-J Electric Installation Co.	Kings	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	7,200,000	
Queens	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	3,600,000					
E-Mobility Market Services, Inc.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	20,480				
Ecorithm, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Ecorithm - 11 Pe..	57,200				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Ecorithm, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Ecorithm - 888 7t..	49,800
				Real Time Enrgy Management, Ecorithm-350 Par..	33,800
	Ecosave, Inc.	Bronx	Consolidated Edison	Real Time Enrgy Management, Ecosave-5901 P..	99,999
		New York	Consolidated Edison	Real Time Enrgy Management, Ecosave-334 Am..	300,000
	Edison Energy, LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13141 - 55 John..	10,245
				Real Time Enrgy Management, EnerActive-300 E..	29,160
	EME Consulting Engineering ..	New York	Consolidated Edison	Technical Services, FT13061 - NYU Langone - F..	500,000
	Empower CES, LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	42,336
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	487,578
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	121,000
	Encompass Energy LLC	New York	Consolidated Edison	New Construction- Commercial, Commercial Ne..	17,733
	Enel X North America Inc	Kings	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	750,000
	Energy Conservation & Suppl..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	8,000
	Energy Spectrum, Inc.	New York	Consolidated Edison	Technical Services, FT13088 - 233 Broadway - F..	23,787
	Energy Technology Savings, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, ETS - 21 West E..	4,950
				Real Time Enrgy Management, ETS - 101 West ..	4,950
	Enica Engineering, PLLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13147 - NYPH ..	87,946
	Environmental Systems Desig..	New York	Consolidated Edison	Real Time Enrgy Management, ESD - 40 West 2..	42,405
	ESNY-KF-BRONX, LLC	Bronx	Consolidated Edison	>200KW PV, NY-Sun	1,361,675
	FFP Origination, LLC	Queens	Consolidated Edison	<200KW PV, NY-Sun	590,976
	Fifth Street Properties, LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13065 - 787 7th ..	37,500
	First Jamaica Community & U..	Queens	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	425,000
	Fordham University	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	79,697
	Fresenius KabiUSA, LLC	Bronx	Consolidated Edison	On-Site Energy Manager, OsEM44-I Fresenius K..	208,955
	Geatain Engineering PLLC	New York	Consolidated Edison	Commercial Real Estate Ten, GE - 1916 Park Av..	5,000
				Commercial Real Estate Ten, Geatain - 68 E 131..	5,000
				Commercial Real Estate Ten, Geatain - 400 Fifth ..	5,000
				Commercial Real Estate Ten, Geatain-400 Fifth ..	5,000
	Generate Capital Inc.	Kings	Consolidated Edison	<200KW PV, NY-Sun	2,121,998
		New York	Consolidated Edison	<200KW PV, NY-Sun	994,650
	GF55 Architects LLP	Queens	Consolidated Edison	Buildings of Excellence, BoE Rnd 1 - Design Tea..	75,000
	Goldman Copeland Associates, P.C.	Kings	Consolidated Edison	Technical Services, FT13049 - 271 Garfield - FTC	8,976
				Technical Services, FT13077 - 435 7th - FTC	5,496
		New York	Consolidated Edison	Commercial Real Estate Ten, GCA - 1 Penn Plaza	39
				Commercial Real Estate Ten, GCA - 485 Lexingt..	5,000
				Commercial Real Estate Ten, GCA - 485 Lexingt..	10,000
				Commercial Real Estate Ten, GCA-100 Church ..	20,000
				Commercial Real Estate Ten, Goldman Copelan..	10,969
				Commercial Real Estate Ten, Goldman Copelan..	10,969
				Commercial Real Estate Ten, Goldman&Copelan..	11,965
				Commercial Real Estate Ten, GoldmanCopel- 43..	10,969
				Technical Services, FT13006 - 1290 AoA - FTC	9,993
				Technical Services, FT13012 - 280 Park - FTC	23,984
				Technical Services, FT13015 - 4 Union - FTC	13,994
				Technical Services, FT13016 - 50 West 57th - FT..	10,991
				Technical Services, FT13017 - 510 5th Avenue - ..	13,994
				Technical Services, FT13041 - 1071 5th - FTC	17,492
				Technical Services, FT13043 - 245 Park - FTC	19,995
				Technical Services, FT13044 - 304 Park - FTC	17,988
Technical Services, FT13045 - 595 Madison - FTC	11,978				
Technical Services, FT13046 - 630 Second - FTC	9,990				
Technical Services, FT13052 - 395 Hudson - FTC	12,486				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Goldman Copeland Associates, P.C.	New York	Consolidated Edison	Technical Services, FT13070 - 11 Penn Plaza - F..	5,496		
				Technical Services, FT13071 - 100 West 33rd - F..	5,496		
				Technical Services, FT13072 - 731 Lexington - F..	5,496		
				Technical Services, FT13073 - 888 7th Ave - FTC	5,496		
				Technical Services, FT13074 - 909 3rd Ave - FTC	5,496		
				Technical Services, FT13075 - 595 Madison Ave ..	5,496		
				Technical Services, FT13076 - 770 Broadway - F..	5,496		
				Technical Services, FT13080 - 1400 Broadway - ..	11,991		
				Technical Services, FT13086 - 520 8th Ave - FTC	10,994		
				Technical Services, FT13112 - 1 Dag - FTC	7,980		
				Technical Services, FT13113 - 1700 Broadway - ..	9,482		
				Queens	Consolidated Edison	K-12 SCHOOLS, P12GC-12_E - Grace Church -..	14,984
				Queens	Consolidated Edison	Technical Services, FT13068 - 1 Park Ave - FTC	5,496
				Green City Force	New York	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 6
Green Light New York, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Market Engagem..	41,198			
Green Street Power Partners ..	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	18,760			
Grid City Electric Corp	New York	Consolidated Edison	<200KW PV, NY-Sun	29,256			
			>200KW PV, NY-Sun	19,504			
Group-S LLC	Kings	Consolidated Edison	Technical Services, FT13136 - 43 E 53rd St - FTC	8,950			
			New York	Consolidated Edison	Real Time Enrgy Management, GRPS-405W23rd..	130,800	
	Queens	Consolidated Edison	Technical Services, FT13098 - 57 Reade - FTC	11,500			
			Technical Services, FT13100 - 2 East 55th - FTC	29,500			
			Technical Services, FT13102 - 333 E 69th - FTC	20,175			
Queens	Consolidated Edison	Real Time Enrgy Management, Group S- 18-15 2..	20,970				
H.E.L.P Development Corp.	Bronx	Consolidated Edison	New Construction LMI, 2019 MFCNP	63,200			
	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	850,000			
Harvest Power, LLC	Bronx	Consolidated Edison	<200KW PV, NY-Sun	15,494			
			>200KW PV, NY-Sun	23,241			
	Kings	Consolidated Edison	<200KW PV, NY-Sun	29,737			
			>200KW PV, NY-Sun	29,088			
HFZ 344 West 72nd Street O..	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	31,500			
Housing and Services, Inc.	Bronx	Consolidated Edison	New Construction LMI, 2019 MF NCP	84,800			
INF Associates LLC	Kings	Consolidated Edison	Commercial Real Estate Ten, INF-177 Livingston..	19,773			
			New York	Consolidated Edison	Commercial Real Estate Ten, INF Associates LL..	54,530	
	Richmond	Consolidated Edison	Commercial Real Estate Ten, INF-299 Park Ave-..	69,815			
			Commercial Real Estate Ten, INF-299 Park Ave-..	5,000			
Integrated Energy Service Corp	New York	Consolidated Edison	Real Time Enrgy Management, IEA - 1330 AoA - ..	87,480			
			Real Time Enrgy Management, IES - 61 Broadw..	94,730			
			Real Time Enrgy Management, IES- 825 8th - RT..	162,650			
			Real Time Enrgy Management, IES-32 Old Slip-..	140,690			
			Real Time Enrgy Management, IES-75 Rockefell..	96,760			
			Real Time Enrgy Management, IES-230 Park-RT..	171,570			
			Real Time Enrgy Management, IES-450Lexingto..	123,300			
			Real Time Enrgy Management, IES-530 5th-RTE..	87,480			
			Real Time Enrgy Management, IES-620 AoA-RT..	93,120			
			Real Time Enrgy Management, Integrated- 5 Tim..	132,840			
			Real Time Enrgy Management, Integrated- 375 P..	107,090			
			Real Time Enrgy Management, Integrated- 810 7..	78,110			
Integrated HVAC Systems an..	Kings	Consolidated Edison	Real Time Enrgy Management, Integrated-11629..	75,300			
J Synergy Solar LLC	Queens	Consolidated Edison	<200KW PV, NY-Sun	6,160			
Jaros, Baum & Bolles	Bronx	Consolidated Edison	Technical Services, FT13008 - 2501 Grand - FTC	26,474			
	Kings	Consolidated Edison	Commercial Real Estate Ten, JB&B - 1 Pennsylv..	84,570			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Jaros, Baum & Bolles	New York	Consolidated Edison	NYCH: Technical Assistance, FT13024 - NYU - F..	41,265
				Technical Services, FT13005 - Grand Concourse..	27,594
				Technical Services, FT13054 - 1425 Madison - F..	74,250
	Jones Lang LaSalle Americas, Inc.	New York	Consolidated Edison	Commercial Real Estate Ten, JLL - Multisite	5,000
				NYCH: Technical Assistance, FT13055 - 140 Bro..	43,818
	Kamtech Restoration Corp	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	52,900
	Kawi Energy Group Corp.	New York	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy - Mult..	45,905
				Talent Pipeline:CE and OJT, OJT HIRE	15,360
		Richmond	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy-2381 ..	8,659
				Commercial Real Estate Ten, Kawi-25 Victory Bl..	9,657
	Knoll, Inc.	New York	Consolidated Edison	Furniture for Green Bank Offii	184,938
				Furniture Purchase	47,685
	L&M Builders Group LLC	Kings	Consolidated Edison	New Construction LMI, 2019 MFCNP	124,400
	Legend Energy Advisors	New York	Consolidated Edison	Real Time Enrgy Management, LEA-1414 AoA-R..	40,996
				Real Time Enrgy Management, Legend-30 W 31..	44,860
	Linden Terrace II Developer LLC	Kings	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	850,000
				New Construction LMI, 2019 MF NCP	300,000
	Loring Consulting Engineers, I..	New York	Consolidated Edison	Technical Services, FT13063 - 333 East 38th - F..	45,308
	Magnusson Architecture and ..	Bronx	Consolidated Edison	Buildings of Excellence, BoE R1 - Design Team I..	112,500
	Matrix Solar SI 526 Gulf, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	3,960,785
	Matrix Solar SI 566 Gulf, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	2,169,000
	Matrix Solar SI 586 Gulf, LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	4,193,520
	MGX Associates Phase 1 LLC	Kings	Consolidated Edison	New Construction LMI, 2019 MFCNP	144,400
	Milea Truck Sales Inc	Bronx	Consolidated Edison	CLEAN TRANSPORTATION, NYT_VIP	118,330
				CLEAN TRANSPORTATION, NYT-VIP	1,505,899
				CLEAN TRANSPORTATION, NYTVIP	109,091
	Morgan Stanley	New York	Consolidated Edison	Technical Services, OsEM43-C - Morgan Stanley	211,454
	Mount Sinai St. Lukes	New York	Consolidated Edison	Flexible Tech Assistance, FT12292 - 1000 10th - ..	73,763
	Netgains Engineering P.C.	Bronx	Consolidated Edison	Commercial Real Estate Ten, Netgains-2500 Thir..	5,000
	New Savoy Park Porfolio LLC	New York	Consolidated Edison	Multifam Performance Pgm, Multifamily	1,455,000
	New Water Street Corporation	Kings	Consolidated Edison	Technical Services, OsEM56-C-New Water Stree..	214,000
	New York City Housing Autho..	New York	Consolidated Edison	Clean Energy Communities, CEC811010 - City of..	250,000
	New York Presbyterian Hospit..	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	144,504
	New York University	Kings	Consolidated Edison	Technical Services, OsEM55-C - NYU - 370 Jay	110,000
	NexRev, LLC	Bronx	Consolidated Edison	Real Time Enrgy Management, NexRev-Multisite..	191,551
		Kings	Consolidated Edison	Real Time Enrgy Management, NexRev-Multisite..	273,639
		New York	Consolidated Edison	Real Time Enrgy Management, NexRev-Multisite..	191,550
		Queens	Consolidated Edison	Real Time Enrgy Management, NexRev-Multisite..	164,186
		Richmond	Consolidated Edison	Real Time Enrgy Management, NexRev-Multisite..	54,728
	NJP Consulting Inc.	Richmond	Consolidated Edison	<200KW PV, NY-Sun	14,204
	Nontraditional Employment for..	New York	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 6	148,653
	Noresco LLC	Kings	Consolidated Edison	REV Campus Challenge, FT13109 - NYU Dentist..	55,032
		New York	Consolidated Edison	Technical Services, FT13144 - IAQ Multiple - FTC	66,648
		Queens	Consolidated Edison	Technical Services, FT13099 - 8000 Cooper - FTC	27,898
				Technical Services, FT13103 - 90-15 Queens - F..	37,046
	NY CDG 006 LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	136,120
	Offshore Electric Corp.	New York	Consolidated Edison	Security Doors for the NYC Off	12,000
	OLA Consulting Engineers, P...	New York	Consolidated Edison	Technical Services, FT13014 - GSMT - FTC	8,376
	Patriot Energy Solutions Corp	Queens	Consolidated Edison	<200KW PV, NY-Sun	6,656
				>200KW PV, PON 2112 NY SUN	7,722
	Peninsula Building 2A LLC	Bronx	Consolidated Edison	New Construction LMI, 2019 MFCNP	258,400
	Pratt Area Community Council	Kings	Consolidated Edison	New Construction LMI, 2019 MF NCP	56,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Premier Solar Solutions LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	94,572
	Prescriptive Data	Kings	Consolidated Edison	Real Time Enrgy Management, Prescriptive-55 E..	58,384
		New York	Consolidated Edison	Real Time Enrgy Management, PD - 4 NY Plaza ..	150,001
	Principal Life Insurance Comp..	New York	Consolidated Edison	Technical Services, FT13035 - 1370 AoA - PON	26,456
	Proterra	Queens	Consolidated Edison	CLEAN TRANSPORTATION, NYT-VIP.	4,170,000
	Pvillion Technologies, LLC	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	10,240
				Quixotic Systems, Inc.	Kings
				>200KW PV, NY-Sun	70,920
	R3 Energy Management Audit & Review, LLC	Bronx	Consolidated Edison	Real Time Enrgy Management, CardinalHS-650 ..	19,833
		New York	Consolidated Edison	Real Time Enrgy Management, SteinbergPokoik..	18,000
	RAHF IV Shore Hill, LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	391,300
	Randstad North America, Inc.	Kings	Consolidated Edison	Payroll Services	59,000
				NEW YORK GREEN BANK, PS.026_NYGB	99,550
				NEW YORK GREEN BANK, PS.027_NYGB	245,000
				NYSERDA ADMINISTRATION, TS.010 - Payroll ..	22,815
				Payroll Services	10,140
	RGBS Enterprises, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, RGBS - 299 Park..	800,000
	Riseboro Community Partnership, Inc.	Kings	Consolidated Edison	New Construction LMI, 2019 LRNCP	28,000
				New Construction LMI, 2019 MFCNP	70,000
	Savanna Services, LLC	New York	Consolidated Edison	Flexible Tech Assistance, FT12293 - Savanna - ..	107,625
		Queens	Consolidated Edison	NYCH: Technical Assistance, FT13106 -Savanna..	127,925
	Schneider Electric Buildings Americas, I	Kings	Consolidated Edison	Real Time Enrgy Management, Schneider-140 5..	13,741
		New York	Consolidated Edison	Real Time Enrgy Management, SEBA Inc - 445 E..	137,091
	Siemens Industry, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Siemens- 2830 ..	200,000
				Real Time Enrgy Management, Siemens-277Par..	244,982
				Real Time Enrgy Management, Siemens-745 7th..	272,681
				Real Time Enrgy Management, Siemens-1425 M..	152,803
	Skadden, Arps, Slate, Meagh..	Kings	Consolidated Edison	Commercial Real Estate Ten, GC&A - 401 9th Av..	14,498
	Smith Engineering PLLC	New York	Consolidated Edison	Technical Services, FT13121 - 825 Eighth Ave - ..	45,830
	Solar Liberty Energy Systems, Inc	Kings	Consolidated Edison	>200KW PV, NY-Sun	320
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	55,200
	Stas Zakrzewski Architect PC	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd1 - Design Tea..	13,389
	Steven Winter Associates, Inc.	Bronx	Consolidated Edison	Real Time Enrgy Management, SWA - 2051 Ryer..	58,981
		New York	Consolidated Edison	REV Campus Challenge, FT13094 - 130 Mac Do..	13,187
				Technical Services, FT13018 - Victoria Owners- ..	22,599
	Queens	Consolidated Edison	REV Campus Challenge, FT13095 - Washington ..	12,527	
	Summit Ridge Energy, LLC	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	8,894,400
	Sunlight General Capital LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	349,670
	Switch Automation Inc.	New York	Consolidated Edison	Real Time Enrgy Management, SA - 435 W 31 St..	45,000
				Real Time Enrgy Management, SwitchAuto- 174..	200,000
	Syska Hennessy Group	Kings	Consolidated Edison	Commercial New Construc, Commercial New Co..	131,605
		New York	Consolidated Edison	Technical Services, FT13066 - Crothall - FTC	108,588
	T.M. Bier & Associates	Kings	Consolidated Edison	Real Time Enrgy Management, T.M. Bier - Multisi..	459,304
	Techsign LTD	New York	Consolidated Edison	Install of new Office signage	10,855
	Tecogen	New York	Consolidated Edison	Combined Heat and Power, CHPA - LeFrak - We..	28,140
				Combined Heat and Power, CHPA - Savoy Park I..	14,280
		Queens	Consolidated Edison	Combined Heat and Power, CHPA - LeFrak - Le..	28,140
				Combined Heat and Power, LeFrak - London Lea..	28,140
	The City College of New York	New York	Consolidated Edison	Workforce Industry Partnership, PON 3715 Workf..	232,875
	The Community Builders, Inc.	Bronx	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	637,500
	The Hudson Companies Incor..	Kings	Consolidated Edison	New Construction LMI, 2019 MFCNP	300,000
	The Levy Partnership, Inc.	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	10,800

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Thornton Tomasetti, Inc.	New York	Consolidated Edison	Commercial New Construc, Commercial New Co..	50,936
				Commercial Real Estate Ten, TTI - 100 6th Aven..	480,329
	Trane	New York	Consolidated Edison	Real Time Enrgy Management, Commonwealth-..	7,368
				Real Time Enrgy Management, Kaplan School-1..	243,060
				Real Time Enrgy Management, Trane - 22 Cortla..	285,931
				Real Time Enrgy Management, Trane - 48 E 84 ..	60,966
				Real Time Enrgy Management, Trane-180 Amste..	11,262
	Trees New York	Bronx	Consolidated Edison	GREENING THE BRONX, Efficiency Planning & ..	156,976
	Trinity Financial, Inc.	Bronx	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	637,500
	Unique Electric Solutions of N..	New York	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP	125,600
	Unique People Services, Inc	Bronx	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	637,500
	Vidaris, Inc.	Kings	Consolidated Edison	Commercial New Construc, Commercial New Co..	199,880
				Commercial Real Estate Ten, Vidaris - 50 Hudso..	55,956
		New York	Consolidated Edison	New Construction- Commercial, Commercail Ne..	50,323
				Technical Services, FT13059-Circle Realty-445 P..	15,783
	Volunteers of America- Greate..	Bronx	Consolidated Edison	New Construction LMI, 2019 MFCNP	300,000
	WB Engineering & Consulting ..	New York	Consolidated Edison	Commercial Real Estate Ten, WBE-233 Spring S..	9,270
	Willdan Energy Solutions	Kings	Consolidated Edison	Industrial Process Effic, IPE16247	49,393
		New York	Consolidated Edison	Commercial Real Estate Ten, Willdan-1345 AoA ..	7,460
	Total				99,253,981
	North Country	ADK Solar	Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
Franklin			National Grid	<200KW PV, PON 2112 NY SUN	5,229
Albany Solar Solutions L.L.C.		Essex	National Grid	<200KW PV, PON 2112 NY SUN	8,694
Alternative Power Solutions of NY, LLC		Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	13,961
		St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	5,040
Citizen Advocates, Inc.		Franklin	National Grid	New Construction LMI, 2019 LRNCP	40,000
Crest Solar LLC		Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,750
Day Automation Systems, Inc.		Jefferson	National Grid	Real Time Enrgy Management, DA - Multisite - R..	348,298
		Lewis	National Grid	Real Time Enrgy Management, DA - Multisite - R..	179,501
Green Volt Solutions LLC		Lewis	National Grid	<200KW PV, PON 2112 NY SUN	19,170
GSPP 24658 County Route 47 North, LLC		Jefferson	National Grid	>200KW PV, NY Sun	445,536
				NY-SUN, NY Sun	576,576
GSPP 24658 County Route 47 South, LLC		Jefferson	National Grid	>200KW PV, NY-Sun C&I	222,768
				NY-SUN, NY-Sun C&I	288,288
GSPP County Route 31, LLC		St. Lawrence	National Grid	>200KW PV, NY Sun	556,919
				NY-SUN, NY Sun	816,817
Hamilsun Community Solar LLC		Clinton	NYS Electric and Gas	>200KW PV, NY Sun	403,866
				NY-SUN, NY Sun	592,337
Heat Keepers, Inc.		Essex	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	11,520
Hudson Valley Clean Energy I..		Essex	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,366
Kasselman Solar LLC		Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	12,312
		St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	5,159
Lawrence Avenue Community..		St. Lawrence	National Grid	Multifam Performance Pgm, Multifamily	95,900
LeRay Jackson Solar, LLC		Jefferson	National Grid	>200KW PV, NY Sun	1,012,010
				NY-SUN, NY Sun	1,214,414
Madrid Solar 1, LLC		St. Lawrence	National Grid	>200KW PV, NY Sun	1,119,719
Madrid Solar 2, LLC		St. Lawrence	National Grid	>200KW PV, NY Sun	416,917
	NY-SUN, NY Sun			539,539	
Max Solar Inc	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	12,960	
Morristown Solar II, LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	1,182,384	
			NY-SUN, NY Sun	1,530,144	
NSF Chaumont Site 1, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,121,973	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
North Country	NSF Chaumont Site 2, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,121,973
	NSF Chaumont Site 3, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,121,973
	NSF Chaumont Site 4, LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,121,973
	NSF Chaumont Site 5, LLC	Jefferson	National Grid	>200KW PV, NY Sun	675,716
	NY MOOERS V LLC	Clinton	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,108,080
	NY PLATTSBURGH I LLC	Clinton	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,006,020
	Omni Navitas Holdings LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	1,742,893
				NY-SUN, NY Sun	2,556,248
	OYA WAYSIDE DRIVE LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,120,977
	Solitude Solar LLC	Lewis	National Grid	>200KW PV, NY Sun	2,136,888
				NY-SUN, NY Sun	519,293
	Standard Solar, Inc	Lewis	National Grid	>200KW PV, NY-Sun C&I	1,447,200
	Tadcon Electric LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	960,157
				NY-SUN, NY Sun	1,242,556
	Town of St Armand	Essex	National Grid	Clean Energy Communities, CEC701206-Town o..	50,000
	Trane	Lewis	National Grid	K-12 SCHOOLS, P12GC-21 - Lowville CSD - PON	52,392
	Waddington Solar, LLC	St. Lawrence	National Grid	>200KW PV, NY Sun	1,182,682
	Whiteface Mountain Solar 1, L..	Clinton	NYS Electric and Gas	>200KW PV, NY-Sun CI Payee Assignment	1,109,289
	Total				33,095,603
	Southern Tier	4 Minden Realty LLC	Broome	NYS Electric and Gas	Multifam Performance Pgm, Multifamily
Aircuity, Inc.		Broome	NYS Electric and Gas	Real Time Enrgy Management, Aircuity-85 Murra..	55,208
Arnot Ithaca 2, LLC		Tompkins	NYS Electric and Gas	New Construction LMI, 2019 MFCNP	192,000
Atelier Ten		Tompkins	NYS Electric and Gas	New Construction- Commercial, Commercial Ne..	85,642
Bashing Panels LLC		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,376
BEP Analytics LLC		Tompkins	NYS Electric and Gas	Real Time Enrgy Management, BEP-150 Energy-..	102,028
C.J. Brown Energy, P.C.		Broome	NYS Electric and Gas	K-12 SCHOOLS, FT13120 - Windsor CSD - FTC	57,988
		Tompkins	NYS Electric and Gas	Commercial Real Estate Ten, CJ Brown-131 Wo..	5,000
CDS Monarch Inc		Broome	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	87,200
City of Ithaca		Tompkins	NYS Electric and Gas	Clean Energy Communities, City of Ithaca	100,000
Cornell Cooperative Extension..		Tompkins	NYS Electric and Gas	Community Energy Engagement, CEEP Central ..	175,000
Day Automation Systems, Inc.		Chemung	NYS Electric and Gas	NYCH: Technical Assistance, P12GC-11_E - Elm..	147,795
		Steuben	NYS Electric and Gas	Real Time Enrgy Management, DA - Multisite - R..	205,079
Delaware River Solar, LLC		Steuben	NYS Electric and Gas	>200KW PV, NY Sun	1,175,040
Extraterrestrial Materials Inc.		Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	38,080
		Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,160
Foam It Insulation, LLC		Broome	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	13,440
Front Street Residences LLC		Broome	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	90,200
George E Denmark II		Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,272
Hesse Homes, LLC		Tompkins	NYS Electric and Gas	Commercial New Construc, SF219685 - CNCP In..	7,167
Ithaca Neighborhood Housing Services, In		Tompkins	NYS Electric and Gas	Buildings of Excellence, Buildings of Excellence ..	792,438
				New Construction LMI, 2019 LRNCP	70,600
				Technical Services, OsEM45-M - INHS	110,000
Kasselmann Solar LLC		Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,511
Lodestar Energy		Delaware	NYS Electric and Gas	>200KW PV, NY Sun	675,791
				NY-SUN, NY Sun	991,162
Micatu, Inc.		Chemung	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	34,160
				Talent Pipeline:CE and OJT, Workforce Dev & Tr..	5,120
NexRev, LLC		Steuben	NYS Electric and Gas	Real Time Enrgy Management, NexRev - Multisit..	14,400
NY DIX I LLC		Schuyler	Municipal Utilities	>200KW PV, NY-Sun C&I	1,023,840
NY ORANGE I LLC		Schuyler	Municipal Utilities	>200KW PV, NY-Sun C&I	488,376
Park Grove Development, LLC		Steuben	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	44,000
Park Grove Realty LLC		Tompkins	NYS Electric and Gas	New Construction LMI, 2019 LRNCP	42,000

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Southern Tier	Perdita Flats Development, LL..	Tompkins	NYS Electric and Gas	Buildings of Excellence, Buildings of Excellence ..	59,976
	PlugPV, LLC	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,376
	Proterra	Tompkins	NYS Electric and Gas	CLEAN TRANSPORTATION, NYT-VIP	1,540,000
	Renovus Energy, Inc.	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	85,075
				NY-SUN, PON 2112 NY SUN	90,079
	Siemens Industry, Inc.	Steuben	NYS Electric and Gas	Real Time Enrgy Management, Siemens-84 Gre..	163,664
	Snug Planet, LLC	Schuyler	Municipal Utilities	Talent Pipeline:CE and OJT, OJT HIRE	9,600
		Tompkins	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	15,360
	Solar Liberty Energy Systems, Inc	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,280
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,829
	STREAM Collaborative Archit..	Tompkins	NYS Electric and Gas	Buildings of Excellence, BoE Rnd 1 - Design Tea..	10,584
	Vecino Group New York, LLC	Tompkins	NYS Electric and Gas	New Construction LMI, 2019 MFCNP	150,800
	Total				9,021,296
	Statewide	Abakama LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Innovation Advisory ..
Abt Associates Inc.		STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 2 formerly 30191 TW..	100,000
				ENVIRONMENTAL RESEARCH, TWO 2 formerl..	29,763
ADL Ventures LLC		STATEWIDE	Statewide	OTHER PROGRAM AREA, ADL Ventures Consu..	50,000
Adviser Compliance Associate..		STATEWIDE	Statewide	NEW YORK GREEN BANK, ACA - PPP Complia..	50,000
AECOM Technical Services In..		STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, E..	23,067
AKF-engineers		STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - AKF	200,000
Alliance for Sustainable Energy, LLC		STATEWIDE	Statewide	CLEAN TRANSPORTATION, TWO 2 - NREL T..	180,000
				Electric Vehicles - Innovation, TWO 3 - NYS Cha..	425,000
				ENERGY ANALYSIS, TWO 4 - NREL Review of ..	49,995
American Society of Adaptatio..		STATEWIDE	Statewide	Environmental Research, Climate Change Resea..	49,500
American Society of Heating,..		STATEWIDE	Statewide	Talent Pipeline:CE and OJT, TWO Umbrella Agr..	32,328
American Solar Grazing Asso..		STATEWIDE	Statewide	Environmental Research, PON 4270 PV Site Des..	198,000
Andrew Seiden		STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	140,400
				NEW YORK GREEN BANK, NYGB Investment S..	50,000
Aon Risk Consultants, Inc.		STATEWIDE	Statewide	Green Bank	10,000
Appliance Recycling, Inc.		STATEWIDE	Statewide	Home Perf w Energy Star, 2020 NYC Cooling Pr..	25,050
Apprise, Incorporated		STATEWIDE	Statewide	TWO 1 LMI Commun. Solar survey	49,974
Arcadis of New York, Inc.		STATEWIDE	Statewide	ORES Support, ORES Technical Assistance	1,000,000
				Technical Services, WRRF On-call Energy Expert	22,600
Atlas Public Policy		STATEWIDE	Statewide	Electric Vehicles - Innovation, Clean Transportati..	34,716
BDO USA LLP		STATEWIDE	Statewide	Background Investigation Servi	25,000
Bergmann Associates		STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - Ber..	200,000
Binghamton Regional		STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	300,000
				NYCH: LMI, CH&C Communities Round 3	100,000
Blank Rome LLP		STATEWIDE	Statewide	NYGB Legal	50,000
BlocPower LLC		STATEWIDE	Statewide	Novel Bus Models & Offers, Novel Business Mod..	500,000
				Remote Energy Management, Screening Support..	250,000
Bloomberg Finance LP		STATEWIDE	Statewide	NEW YORK GREEN BANK, Bloomberg Datafee..	840
				Subscription/Data Access, Bloomberg Datafeed ..	23,640
BME Yellowjacket LLC		STATEWIDE	Statewide	Anaerobic Digesters, PON 3739 CAT C	362,500
Boice Dunham Group Inc		STATEWIDE	Statewide	OTHER PROGRAM AREA, Product Development	46,000
Bond, Schoeneck & King, PLL..		STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, BR-Outside Legal	100,000
Brattle Group Inc.		STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, Build Ready	150,000
				CI Engy Siting & Soft Cost Red, TWO 5 LSR sitin..	228,569
				High Performing Grid, Clean Energy Deliverability	450,000
				Mkt Char: Tech Assist, TWO #1 Resource Adequ..	138,589
Bright Power, Inc.		STATEWIDE	Statewide	ORES Support, TWO 5 LSR siting analysis	121,431
				Multifam Performance Pgm, Notice to Proceed	199,675

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Statewide	Bright Power, Inc.	STATEWIDE	Statewide	NYCH: Technical Assistance, Electrification Feas..	45,000
	Brookhaven National Lab	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, AQHE PON 39..	540,000
	Brooklyn Greenway Initiative, I..	STATEWIDE	Statewide	Pub Transit & Elect Rail, Tech-based bike-transit ..	424,155
	BTMI Engineering, PC	STATEWIDE	Statewide	OREC: Technical Support, Large-Scale Renewa..	20,000
	Build Edison LLC	STATEWIDE	Statewide	SMART GRID SYSTEMS, Innovation Advisors	48,000
	Building Performance Institute..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, COVID Energy Audi..	115,000
	Business Network for Marylan..	STATEWIDE	Statewide	Prof & Expert Engagement, 2020 Business Netw..	5,050
	BVG Associates LLC	STATEWIDE	Statewide	OREC: Technical Support, IE ORECRFP20-1	65,000
	BW Research Partnership	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO# 1 CE Industry Report	119,205
				Home Perf w Energy Star, TWO# 1 CE Industry ..	30,000
				Talent Pipeline:CE and OJT, TWO# 1 CE Industr..	210,000
	Bynder LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, WebDAM Photo ..	26,925
	Calstart	STATEWIDE	Statewide	Electric Vehicles - Innovation, PON 3578 Round 2	299,942
	Caroprese & Company	STATEWIDE	Statewide	PPP Customer Acquisition	50,000
	CEC Stuyvesant Cove, Inc.	STATEWIDE	Statewide	NY-SUN, HPD Technical Assistance	926,740
	Center for Carbon Removal	STATEWIDE	Statewide	OTHER PROGRAM AREA, Carbon180 Consultin..	50,000
	Center for Energy Efficiency a..	STATEWIDE	Statewide	Prof & Expert Engagement, CEERT Membership	5,000
	Central New York Regional Pl..	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	200,000
	CH4 Biogas, LLC	STATEWIDE	Statewide	Anaerobic Digesters, PON 3739 CAT C	944,065
	CHA Consulting Inc.	STATEWIDE	Statewide	Industrial Process Effic, Outreach Support	128,560
	City of Rome	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, Net Zero Economi..	1,000,000
	Civic Consulting NYC Inc	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Clean Transportati..	50,000
	Clarkson University	STATEWIDE	Statewide	OTHER PROGRAM AREA, PON 3249	250,000
	Clean Energy States Alliance	STATEWIDE	Statewide	Prof & Expert Engagement, CESA Membership 2..	68,500
	CleanFiber LLC	STATEWIDE	Statewide	Cleantech ICC Engage, Co-Investment Fund Prg..	500,000
				Cleantech Ignition, PON 3871 Ignition Grants	100,000
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	Commercial Real Estate Ten, Centralized Servic..	35,000
				Geothermal Incentive Program, Centralized Servi..	16,031
				LMI Community Solar, Centralized Services & Su..	72,075
				NYSERDA ADMINISTRATION, Phone Email & ..	75,198
				Real Time Enrgy Management, Centralized Servi..	35,000
	Cohen Ventures Inc	STATEWIDE	Statewide	Air Source Heat Pumps, Product and Appliance ..	75,000
	Columbia University	STATEWIDE	Statewide	Environmental Research, TWO#1 Updating CLIM..	99,552
	Combined Energies LLC	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	89,040
	Consensus Building Institute, I..	STATEWIDE	Statewide	Environmental Research, TWO #1 -Facilitator	43,330
	Consortium for Energy Efficie..	STATEWIDE	Statewide	Prof & Expert Engagement, Industrial Process Eff..	48,000
	Cornell Cooperative Extension..	STATEWIDE	Statewide	Technical Services, Agricultural Best Practices	535,000
	Cornell Cooperative Extension..	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	197,534
	Cornell University	STATEWIDE	Statewide	Anaerobic Digesters, PON 3739 CAT B	249,964
				Environmental Research, PON 4270 PV Site Des..	199,999
				Nat'l OffShWind R&D Consortium, Reducing LCo..	149,999
				OTHER PROGRAM AREA, 70333 TWO 33	268,865
				Reducing LCoE from OSW	149,999
	Cornerstone Energy Services	STATEWIDE	Statewide	Renewable Heat NY, RHNY	23,150
	CoStar Realty Information, Inc.	STATEWIDE	Statewide	Eval MCDC Cross Cutting, Data Subscription Sv..	22,062
	Daniel J Jacob	STATEWIDE	Statewide	Environmental Research, Science Advisor	48,000
	DealCloud Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, DealCloud Licensing	216,360
	Dimensional Energy	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000
	Distributed Sun	STATEWIDE	Statewide	NY Green Bank, Distributed Sun -SUNX	3,780,000
	DNV GL Energy Insights USA Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO#1 OSW Resource Pl..	247,888
				Real Time Enrgy Management, TWO 8 CEF Co..	9,820
	DNV GL Energy Services US..	STATEWIDE	Statewide	Green Bank	13,920

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Statewide	Dollaride, Inc.	STATEWIDE	Statewide	Pub Transit & Elect Rail, Tech-enabled dollar vans	450,000
	Dr. Richard Schlesinger	STATEWIDE	Statewide	Environmental Research, Science Advisors	48,000
	Ducted Wind Turbines, Inc	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	89,600
	E&S Environmental Chemistry..	STATEWIDE	Statewide	ENERGY ANALYSIS, CL Assessment for lakes s..	21,000
	EagleHawk One, Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000
	Earth Advantage Inc.	STATEWIDE	Statewide	Home Energy Ratings, Add appraisal addend to ..	10,000
	Eastern Research Group, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #1 CLCPA GHG	190,855
				Environmental Research, TWO #2 Coordinator A..	25,427
	Eastlight Partners	STATEWIDE	Statewide	NY Green Bank, East Light Partners	3,000,000
	Ecology & Environment, Inc.	STATEWIDE	Statewide	Environmental Research, Owner's Engineering	791,245
	Ecology and Environment Engineering	STATEWIDE	Statewide	Clean Energy Communities, TA Community Sup..	763,636
				Environmental Research, TWO #20 G&G Survey	84,700
	Ecosave Contract Assets, LLC	STATEWIDE	Statewide	NY Green Bank, Ecosave ReFi/Upsize	15,000,000
	Eden Devco Borrower, LLC	STATEWIDE	Statewide	NY Green Bank, EdenDevco Upsize 2	2,000,000
	Edison Energy, LLC	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO -Edis..	200,000
	Ekostinger, Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, Co-Investment Fund Prg..	500,000
	Electric Power Research Institute	STATEWIDE	Statewide	DER Integration(Intrcnect), PON4094 DER Inter..	1,000,000
				High Performing Grid, 3265_EPRI	48,500
				High Performing Grid, PON4128 Future Grid Cha..	543,157
				High Performing Grid, PON4128 Smart Grid JU ..	2,172,527
				High Performing Grid, RFP3265 Umbrella Contra..	20,000
	Electrical Distribution Design, ..	STATEWIDE	Statewide	High Performing Grid, Solar, Load, Outage Forec..	1,184,156
	Elisa Miller-Out	STATEWIDE	Statewide	Innovation Advisors, RFP 3859	150,000
	Ellen Lutz Consulting, LLC	STATEWIDE	Statewide	NYCH: Consumer Awareness, ClnHeatStatewide..	200,000
	EMCOR Services Betlem	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - Em..	200,000
	Energy & Resource Solutions, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, TWO 6 - Performance M..	16,473
				Combined Heat and Power, RFP 3643 Tech To ..	350,000
				Combined Heat and Power, TWO 1 On Site Res ..	180,000
				EVALUATION, TWO 6 - Performance Monitoring	16,473
				Geothermal Incentive Program, TWO 6 - Perform..	157,099
				Green Bank	49,706
				Pay for Performance, TWO 4 - P4P Event Evalua..	53,716
				Real Time Enrgy Management, TWO 5 CEF Co..	79,920
				CEF Review BC Analysis, TWO#25 BCA Technic..	50,000
				Electric Vehicles - Innovation, TWO#24 REV for ..	124,852
	Energy and Environmental Economics Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO#23 CLCPA Techno..	652,131
				New Construction LMI, TWO 20 NZE Road Map -..	10,000
				New Construction- Commercial, TWO 20 NZE R..	10,000
				NYCH: Roadmap, TWO#22 Bldg. Elec. Roadmap	200,000
	Energiv Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, Co-Investment Fund Prg..	500,000
	Ensava, Inc.	STATEWIDE	Statewide	Technical Services, CEA Db&Benchmark Tool Cr..	49,956
	Enterprise Community Partner..	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB LMI Consulta..	50,000
	Erdman Anthony & Associates..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Building 17 Flex..	25,849
	Eric Thomas Roberts	STATEWIDE	Statewide	Innovation, Consultant	75,000
	Faraday, Inc.	STATEWIDE	Statewide	Community RH&C, RFP3761 Customer Targetin..	42,000
	Fleet Maintenance Specialists Inc	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYTVIP Buy Ameri..	8,600
NYTVIP Buy American Inspection				10,000	
Frontier Energy, Inc.	STATEWIDE	Statewide	Campus/Technical Assistance, Technical Review..	25,050	
			ESTOR: Implementation Support, TWO 1 Cat 2 ..	400,000	
Gaia Sharbel Energy Contract..	STATEWIDE	Statewide	Renewable Heat NY, Gaia Sharbel Energy Contr..	7,000	
Gardline Marine Sciences Inc	STATEWIDE	Statewide	Environmental Research, G&G Investigation for ..	6,142,402	
General Electric Company	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	539,380	

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Statewide	General Electric Company	STATEWIDE	Statewide	Natl Offshore Wind R&D	539,380
	Generate Buffalo Digester LLC	STATEWIDE	Statewide	REC:CES REC Contracts, 8th RPS Main Tier Sol..	1,157,530
	Generate NY CS Lessor II Ow..	STATEWIDE	Statewide	NY Green Bank, Generate CDG (Borrower 1)	5,600,000
	Generate PPL SPV I LLC	STATEWIDE	Statewide	NY Green Bank, Generate (Plug) Upsize	29,800,000
	Generate PPL SPV I, LLC	STATEWIDE	Statewide	NY Green Bank, Generate CDG (Borrower 2)	21,310,000
	George Hidy	STATEWIDE	Statewide	Environmental Research, Science Advisor	48,000
	Getty Images (US), Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Getty Images Su..	12,564
	Global Market Insights Inc.	STATEWIDE	Statewide	Subscription/Data Access, Global Heat Pump Ma..	5,720
	Goldman Copeland Associate..	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - Gol..	200,000
	Graphenix Development Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, Co-Investment Fund Prg..	500,000
				Cleantech Ignition, PON 3871 Ignition Grants	100,000
	Green Light New York, Inc.	STATEWIDE	Statewide	Code to Zero, 2020 BEEEx Sponsorship	25,000
				Commercial Real Estate Ten, Energy Efficiency ..	429,822
				Prof & Expert Engagement, 2020 BEEEx Member..	50,000
	Group-S LLC	STATEWIDE	Statewide	Technical Services, Natural Gas Constrained Are..	500,000
	Guidehouse Inc.	STATEWIDE	Statewide	Advancing Ag Enrgy Technologie, RFQ3183 Um..	167,739
				Energy Storage Tech/Prod Dev, RFQ3183 Umbr..	238,946
				ENVIRONMENTAL RESEARCH, TWO 1 - Asses..	20,977
				Environmental Research, TWO #2 Equitable Coo..	261,887
				ENVIRONMENTAL RESEARCH, TWO #3 HFC ..	300,000
				Green Bank	12,046
				Greenhouse Light & Systems Eng, RFQ3183 Um..	167,739
				Healthy Homes VB Payment Pilot, TWO 3 NYS ..	200,000
				Mkt Char: Tech Assist, Tech Assist, REV Pool	394,750
				REV Connect, REV Connect	36,529
				REV Connect, REV Connect Initiative	1,930,000
				Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbr..	230,311
				Technical Services, RFQ3183 Umbrella Agreeme..	167,739
				TWO #3 - Natural Gas Price For	7,667
	Guth Deconzo Consulting Eng..	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - Guth	200,000
	Holland & Knight LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	47,821
	Honeywell International Inc.	STATEWIDE	Statewide	3695 TWO Umbrella Agreement	149,732
				Air Source Heat Pumps, 3695 TWO Umbrella Ag..	71,400
				Home Perf w Energy Star, 3695 TWO Umbrella ..	430,268
	HUB Controls USA Inc	STATEWIDE	Statewide	NYCH: Innovation, NextGen HVAC Innovation	500,000
	ICF Resources, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, Tech Assist, REV Pool	100,000
				ENERGY ANALYSIS, TWO #4 - Statewide NG S..	166,000
				Environmental Research, TWO #6 Climate Tech..	200,000
				OREC: Technical Support, TWO 7, OSW Resilie..	49,993
	IHS Global Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, IHS.CERA Subscription	34,390
	Industrial Economics, Incorporated	STATEWIDE	Statewide	Code to Zero, TWO 1 StretchtoZero	151,869
				Community Energy Engagement, TWO1 - CEEP ..	683,267
				ENERGY ANALYSIS, TWO 1 EE Supply Curve ..	30,000
				Eval MDCDC LMI, TWO 3 QA Benchmarking Proje..	50,000
	Infinite Invention	STATEWIDE	Statewide	Cleantech ICC Engage, Co-Investment Fund Prg..	500,000
				High Performing Grid, ConnectDER Monitor & Co..	2,413,500
	Infogroup Government Division	STATEWIDE	Statewide	Subscription/Data Access, Infogroup	12,500
	Innovative Natural Resource ..	STATEWIDE	Statewide	Renewable Heat NY, Wood Chip Assessment	49,500
	Institute for Building Technology and Sa	STATEWIDE	Statewide	>200KW PV, TWO 1 Cat 2 NY-SUN	50,000
				>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	331,800
				ESTOR: Implementation Support, TWO 2 Cat 1 ..	900,000
				NY-SUN, TWO 1 Cat 2 NY-SUN	50,000

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Statewide	institute for Building Technology and Sa	STATEWIDE	Statewide	NY-SUN, TWO 4 NYSUN Res NonRes	1,014,000
	Integral Group LLC	STATEWIDE	Statewide	Remote Energy Management, Technical Support..	50,000
	International District Energy A..	STATEWIDE	Statewide	District Heating Systems, International District En..	50,000
	Interplay Learning Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, On-Line Training Su..	100,000
	Jared Rodriguez	STATEWIDE	Statewide	CI Carbon Challenge, Support for EBC_MF Low ..	250,000
	Jaros, Baum & Bolles	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - JB..	200,000
	JEM ENGINEERING SERVIC..	STATEWIDE	Statewide	High Performing Grid, Voltage Remediation for D..	120,000
	Joel Bates	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, New Construction	1,000,000
	John Hans Lee	STATEWIDE	Statewide	Code to Zero, Support-Bldg Decarbonization	500,000
	Karp Strategies, LLC	STATEWIDE	Statewide	OREC: Technical Support, Karp Strategies, Offsh..	255,000
	Karpman Consulting, LLC	STATEWIDE	Statewide	Code to Zero, KARPMAN TWO#1 Training	414,702
	Kearns & West, Inc.	STATEWIDE	Statewide	OREC: Technical Support, Facilitation for OREC..	100,000
	Kelliher Samets Volk	STATEWIDE	Statewide	ESTOR:Consumer Education, KSV TWO 31 Ene..	38,150
				NYCH: Consumer Awareness, KSV TWO 34 NY..	9,500,000
				NYSERDA ADMINISTRATION, KSV TWO 36 W..	16,830
				NYSERDA ADMINISTRATION, TWO 33: Social ..	100,000
	Khawaja Ali Zubair	STATEWIDE	Statewide	OTHER PROGRAM AREA, Consulting agreement	25,000
	KISCO RIVER SOLAR LLC	STATEWIDE	Statewide	NY Green Bank, BQ Energy - Mt. Kisco	2,270,000
	L&S Energy Services, Inc.	STATEWIDE	Statewide	Flexible Tech Assistance, L&S GJGNY Energy A..	1,100,001
				Geothermal Incentive Program, 3695 TWO Umbr..	50,000
				GJGNY REVOLVING LOAN FUND, L&S GJGNY..	200,000
	LaBella Associates, P.C.	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO-Labe..	200,000
	Levitan & Associates, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Large-Scale ..	750,000
				REC:CES REC System Dev Costs, Technical Ad..	49,500
	Light Green Machines LLC	STATEWIDE	Statewide	Pub Transit & Elect Rail, Lightweight bus chassis..	248,950
	Long Island Power Authority	STATEWIDE	Statewide	NY-SUN, LIPA MOU RGGI Compliance Progr	25,000,000
	Luminate, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Outside Technical a..	32,520
				Outside Technical and Eng. Srv	5,920
	Mark Worthington	STATEWIDE	Statewide	District Heating Systems, Mark Worthington	50,000
	Mendelsohn Consulting, Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB Strategy and ..	2,245
	Michael Lightman	STATEWIDE	Statewide	OTHER PROGRAM AREA, Michael Consulting ..	49,999
	MICROrganic Technologies In..	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	99,547
	Mobileware Inc	STATEWIDE	Statewide	Pub Transit & Elect Rail, On-demand commuter c..	425,000
	National Wind Technology Consortium, Inc	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, National OSW..	225,000
				National OSW R&D Consortium.	225,000
	NECEC Institute	STATEWIDE	Statewide	Cleantech ICC Engage, Cleantech Open Northea..	200,000
	NESCAUM	STATEWIDE	Statewide	Prof & Expert Engagement, 2020 ZEV MOU/Tas..	50,000
	NESEA	STATEWIDE	Statewide	Geothermal Incentive Program, 2020 BuildingEn..	8,333
				Multifam Performance Pgm, 2020 BuildingEnergy..	8,333
				Prof & Expert Engagement, 2020 BuildingEnergy..	1,000
				Retrofit NY, 2020 BuildingEnergy NYC Conf	8,333
	New Buildings Institute, Inc.	STATEWIDE	Statewide	New Construction LMI, CNB Roadmap Writing	179,529
				New Construction- Commercial, CNB Roadmap ..	179,529
	New York Battery and Energy ..	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, NYSERDA cost ..	40,000
	New York Community Clean E..	STATEWIDE	Statewide	NY Green Bank, CertainSolar Bridge Loan	19,900,000
	New York Solar Energy Indust..	STATEWIDE	Statewide	NYSEIA COVID Support	120,000
	New York University	STATEWIDE	Statewide	Cleantech Incubator, PON3413 Clean Energy Inc..	1,500,000
	Nexant, Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, TWO #1	293,750
	NextCorps Inc	STATEWIDE	Statewide	M-Corps, ACT Prototypes to Mass Prod NY	2,700,000
	NIC Holding Corp	STATEWIDE	Statewide	FUEL NY, NYS Strategic Gasoline Reserve	515,000
Noresco LLC	STATEWIDE	Statewide	Code to Zero, TWO1-ENERGY STAR NYSTRET..	12,000	
			Technical Services, IAQ - Tech Review - NORES..	71,400	

Projects Selected for Funding by Region
Period 4/1/2020 through 9/30/2020

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	Air Source Heat Pumps, 2020 NEEP Sponsorship	25,000
				Clean Energy Communities, 2020 NEEP Sponso..	10,000
				Code to Zero, 2020 NEEP Sponsorship	20,000
				Home Energy Ratings, 2020 NEEP Sponsorship	25,000
				NYSERDA ADMINISTRATION, 2020 NEEP Spo..	15,000
				Product Standards, 2020 NEEP Sponsorship	20,000
				Prof & Expert Engagement, 2020 NEEP Sponso..	50,000
				Strategic Energy Manager, 2020 NEEP Sponso..	10,000
	Northeast Organic Farming As..	STATEWIDE	Statewide	Prof & Expert Engagement, NOFA - NY Member..	25,000
	NYS Association of School Bu..	STATEWIDE	Statewide	K-12 SCHOOLS, P-12 ASBONY Outreach	25,285
	NYS Department of Health	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, R..	5,500
	NYS Office of General Services	STATEWIDE	Statewide	POLICY DEVELOPMENT, NYS DPS Printing Se..	50,000
	O3 Development, LLC	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, Large-Scale Ren..	49,999
	Optimus Technologies Inc	STATEWIDE	Statewide	76 West, 76 West Bus.Energy Comp.	1,000,000
	Owahgena Consulting, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, Heat Pump Technical A..	50,000
				NYCH: Roadmap, BEEM Technical Analysis	50,000
	Oya Solar CDG2 LLC; Oya So..	STATEWIDE	Statewide	NY Green Bank, OYA Solar	35,000,000
	Passive House Accelerator LLC	STATEWIDE	Statewide	New Construction LMI, General marketing and o..	40,000
				New Construction- Commercial, General marketi..	10,000
	Pathstone Corporation	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	200,000
	Performance Systems Develop..	STATEWIDE	Statewide	Retrofit NY, Multifamily Parametric Modelin	49,910
	Pivot US Energy Services, Inc.	STATEWIDE	Statewide	NY Green Bank, PPP007	10,000
	PLB Oil & Gas Consult LLC	STATEWIDE	Statewide	NYGB Covid-19 PPP Consulting	50,000
				NYGB Investment Support	50,000
	Politico LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, PO to cover Polit..	5,000
	Power Advisory LLC	STATEWIDE	Statewide	OREC: Technical Support, IE ORECRFP20-1	65,000
	PowerGEM, LLC	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, TWO - Build Rea..	300,000
	Praveen Amar	STATEWIDE	Statewide	Environmental Research, Science Advisors	48,000
	Pricewaterhouse Coopers, LLC	STATEWIDE	Statewide	Daroga Tax Consulting Services	10,000
	Proenergy Consulting LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, CTR Market Supp..	49,995
	Quidnet Energy Inc	STATEWIDE	Statewide	High Performing Grid, EPTD High Performance	2,500,000
	RE-Nuble, Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	29,052
	Research Foundation of CUNY	STATEWIDE	Statewide	Rmve Barriers Dist Engy Storg, RFP 3407 TWO 3	273,770
	Research Foundation of SUNY	STATEWIDE	Statewide	Computational control codesign	542,561
				Energy Storage Tech/Prod Dev, m2M at Stony Br..	250,000
				Nat'l OffShWind R&D Consortium, Computational..	542,561
	Research Foundation of The ..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, TWO Umbrella Agr..	182,157
	Resource Refocus LLC	STATEWIDE	Statewide	Code to Zero, TWO 2 NYStretch Res CE	19,803
				Environmental Research, FTMV Literature Review	49,780
	Robert K. Harmon & Compan..	STATEWIDE	Statewide	Pay for Performance, P4P - MEETS TWO	50,000
	Rochester People's Climate C..	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3.	150,000
	Rocky Mountain Institute	STATEWIDE	Statewide	Empire Building Challenge, Empire Bldg. Challen..	179,007
New Construction LMI, 140390 TWO#1				64,584	
New Construction LMI, TWO 3 CNB Roadmap S..				33,334	
New Construction- Commercial, 140390 TWO#1				32,291	
New Construction- Commercial, TWO 3 CNB Ro..				16,666	
SABIC Innovative Plastics	STATEWIDE	Statewide	Cl Carbon Challenge, SABIC C&I Carbon Challe..	500,000	
Saranac Lake Resort Owner L..	STATEWIDE	Statewide	NY Green Bank, Saranac Lake: Amendment	2,000,000	
SecondMuse LLC	STATEWIDE	Statewide	M-Corps, Technology to Market	2,700,000	
Shared Mobility, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Informing Electric ..	199,465	
Siemens Industry, Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, Meter Integrated E..	226,372	
			ENERGY ANALYSIS, TWO #1: 100x40 Study	100,000	

Projects Selected for Funding by Region
Period 4/1/2020 through 9/30/2020

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Sive Paget & Riesel PC	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12: NYGB Leg..	61,328
				OREC: Technical Support, RFP 3300 & RFP 377..	100,000
	Skyven Technologies, Inc	STATEWIDE	Statewide	Cleantech ICC Engage, Co-Investment Fund Prg..	462,500
	Smarter Grid Solutions, Inc.	STATEWIDE	Statewide	High Performing Grid, PON4128 Smart Grid JU ..	1,530,939
	Solar Energy Industries Assoc..	STATEWIDE	Statewide	SEIA COVID Support	120,000
	Stance Renewable Risk Partn..	STATEWIDE	Statewide	Green Bank	6,500
	State University of New York	STATEWIDE	Statewide	OTHER PROGRAM AREA, PON 3249	346,000
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, TWO 3 - Heat Pump Pat..	133,333
				Consumer Ed and Market Support, TWO 3 - Heat..	133,334
				Market Tests, TWO 3 - Heat Pump Pattern Book	133,333
				Talent Pipeline:CE and OJT, Steven Winter Asso..	799,999
	Stone Environmental, Inc.	STATEWIDE	Statewide	Informat. Products & Brokering, Data Asset Matc..	46,764
	Sunrun Mars Portfolio 2020-A ..	STATEWIDE	Statewide	NY Green Bank, Sunrun Mars	19,000,000
	Sustainable Endowment Instit..	STATEWIDE	Statewide	REV Campus Challenge, GRITS Goals Develop..	50,000
	Sustainable Energy Advantag..	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Large Scales..	40,050
	Sustainable Westchester	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	600,000
	Syracuse University	STATEWIDE	Statewide	ENERGY ANALYSIS, CL Assessment for lakes s..	12,739
				Environmental Research, CL Assessment for lak..	3,261
				NYCH: Innovation, Advanced Buildings	250,000
				NYCH: Innovation, On-Site Power	300,000
	Syska Hennessy Group	STATEWIDE	Statewide	Technical Services, Indoor Air Quality TWO - Sys..	200,000
	Taitem Engineering, P.C.	STATEWIDE	Statewide	Air Source Heat Pumps, 3695 TWO Umbrella Ag..	33,600
				Multifam Performance Pgm, 3695 TWO Umbrella..	145,000
				NYCH: Critical Tools, Heat Pump Conversion M&..	49,944
	Terri Hartwell Easter Consulti..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Human Resourc..	77,000
	Tetra Tech, Inc.	STATEWIDE	Statewide	ORES Support, ORES Technical Assistance	1,000,000
	The Architectural League of New York	STATEWIDE	Statewide	New Construction LMI, Industry Partner Engage..	40,000
				New Construction- Commercial, Industry Partner ..	10,000
	The Business Council of NYS,..	STATEWIDE	Statewide	Prof & Expert Engagement, BCNYS-NYSERDA ..	5,000
	The Cadmus Group, LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, TWO 5 Clean Tran..	1,300,000
				Electric Vehicles - Innovation, TWO 5 Clean Tran..	93,592
				Eval MCDC: MF Potential Study, TWO #8 EE Pot..	270,000
				Home Perf w Energy Star, EnergyAffordability an..	56,804
				Home Perf w Energy Star, TWO No. 6 COVID Co..	120,000
				OREC: Technical Support, RFP 3462 Umbrella A..	300,140
				OREC: Technical Support, TWO 4 - RegionalFun..	34,950
				REV Campus Challenge, REV Campus Challeng..	693,083
				Talent Pipeline:CE and OJT, TWO No. 6 COVID ..	40,000
	The Coalition for Green Capital	STATEWIDE	Statewide	NEW YORK GREEN BANK, GBN 2020 Member..	7,000
	The Garrick Co., LLC	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, Pr..	25,000
	The Lightman Company, LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Michael Consulting ..	30,499
	The Nature Conservancy	STATEWIDE	Statewide	Environmental Research, PV Site Design (PON 4..	198,000
	The Radiant Store	STATEWIDE	Statewide	Renewable Heat NY, Radiant Store - McIntyre	12,000
				Renewable Heat NY, Radiant Store - Reed	12,000
				Renewable Heat NY, Radiant Store - Vanhorn	18,000
	The Renewables Consulting Group, LLC	STATEWIDE	Statewide	OREC: Technical Support, IE ORECRFP20-1	70,000
				OREC: Technical Support, TWO#3- OSW-Marine..	130,000
	The Trustees of Columbia Uni..	STATEWIDE	Statewide	Environmental Research, Upstate building footpri..	49,843
	Town of Dannemora	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, New Construction	245,000
	TPR Enterprises LLC	STATEWIDE	Statewide	Green Bank	18,500
	TRC Energy Services	STATEWIDE	Statewide	K-12 SCHOOLS, RFP3628FlexTechConsultUmb..	270,000
				Low Rise New Construction, Staff Augmentation ..	20,833

Projects Selected for Funding by Region
Period 4/1/2020 through 9/30/2020

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Statewide	TRC Energy Services	STATEWIDE	Statewide	Low-Income Forum on Energy, LIFE Implementat..	34,964	
				New Construction LMI, Staff Augmentation Servi..	20,833	
				New Construction- Commercial, Staff Augmentati..	8,333	
				Talent Pipeline:CE and OJT, Technical Review a..	750,000	
				Workforce Industry Partnership, Technical Revie..	350,000	
	TRC Engineers, Inc.	STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, Cat 3: Feasibilit..	300,000	
				CI Engy Siting & Soft Cost Red, Large-Scale Ren..	49,999	
				CI Engy Siting & Soft Cost Red, TWO- Cat 2_BR ..	300,000	
				Technical Services, Virtual Audit & Assessment	30,000	
	U.S. Green Building Council, NY Chapter	STATEWIDE	Statewide	Code to Zero, Urban Green TWO#1 Training	31,000	
				New Construction LMI, General marketing and o..	40,000	
				New Construction- Commercial, General marketi..	10,000	
	University at Albany	STATEWIDE	Statewide	Community RH&C, CH&C Fellow	23,500	
	University of Rochester	STATEWIDE	Statewide	OTHER PROGRAM AREA, Annual Support for L..	825,000	
	Uplight, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	15,000	
				EMPOWER NY, Residential Program MgtRFP35..	15,000	
				Home Perf w Energy Star, Residential Program ..	1,541,145	
				Residential Program MgtRFP3545	4,999	
	Upstate Capital Association of..	STATEWIDE	Statewide	Prof & Expert Engagement, Sponsorship of Upst..	40,000	
	Upstate Venture Connect	STATEWIDE	Statewide	Prof & Expert Engagement, Sponsorship of Upst..	25,000	
	Urban Cycling Solutions, inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Training Course D..	24,300	
	Urban Homesteading Assistance Inc	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	394,000	
				NYCH: LMI, CH&C Communities Round 3	100,000	
	USGS National Center MS270	STATEWIDE	Statewide	ENERGY ANALYSIS, Regional Network -Soil Ca..	11,000	
				Environmental Research, Biological Recovery	49,600	
				Environmental Research, Regional Network -Soil..	24,000	
	Utilidata, Inc.	STATEWIDE	Statewide	High Performing Grid, PON4128 NationalGrid Ch..	2,847,161	
	Valcour Wind Energy, LLC	STATEWIDE	Statewide	NY Green Bank, Valcour OpCo Upsize	7,250,000	
	Vidaris, Inc.	STATEWIDE	Statewide	Code to Zero, RFQL3711 Vidaris RES/COMcheck	33,500	
				Technical Services, Indoor Air Quality TWO-Vida..	200,000	
	Vistex Composites, LLC	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	85,850	
	Walden Environmental Engine..	STATEWIDE	Statewide	Environmental Research, PON 4270 PV Site Des..	200,000	
	Wayside Energy Storage New..	STATEWIDE	Statewide	Pub Transit & Elect Rail, Beacon Flywheel WES..	1,000,000	
	Wendel Energy Services, LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NY Truck Voucher ..	10,000	
				K-12 SCHOOLS, RFP3628FlexTechConsultUmb..	130,000	
				NY Truck Voucher Prg. - Wendel	10,000	
				Technical Services, Indoor Air Quality TWO -We..	200,000	
	WexEnergy LLC	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000	
	Willdan Energy Solutions	STATEWIDE	Statewide	Technical Services, Natural Gas Constrained Are..	500,000	
	Wood Mackenzie Power & Renewables, Inc.	STATEWIDE	Statewide	OREC: Technical Support, NaM Power & Renew..	25,000	
				REC:CES REC System Dev Costs, NaM Power ..	25,000	
	Yue Chen	STATEWIDE	Statewide	OTHER PROGRAM AREA, Innovation Strategies	49,000	
	Zero Energy Solutions LTD	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000	
	Total					295,156,279
	Western New York	3M Company	Erie	National Grid	On-Site Energy Manager, OsEM46-I - 3M Tonaw..	201,200
		4455 Genesee St. LLC	Erie	NYS Electric and Gas	On-Site Energy Manager, OsEM54-I Calspan Co..	214,000
		Abundant Solar Power Inc.	Chautauqua	National Grid	>200KW PV, NY Sun	471,393
NY-SUN, NY Sun					565,672	
Algonquin Power Fund Americ..		Cattaraugus	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	1,109,125	
AMP US HoldCo Inc.		Erie	National Grid	>200KW PV, NY-Sun C&I	838,706	
Arcadis of New York, Inc.		Niagara	National Grid	Technical Services, FT13114 - 830 River - FTC	21,500	
Belmont Housing Resources f..		Niagara	National Grid	New Construction LMI, 2019 LRNCP	39,000	

Projects Selected for Funding by Region
Period 4/1/2020 through 9/30/2020

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Bergmann Associates	Niagara	National Grid	CI Carbon Challenge, CICC1902	95,280
	Buffalo Geothermal Heating	Erie	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	7,200
		Niagara	National Grid	Large-Scale GSHP Rebate	32,748
	Buffalo Neighborhood Stabiliz..	Erie	National Grid	New Construction LMI, 2019 LRNCP	105,000
	Buffalo Solar Solutions Inc	Erie	Municipal Utilities	<200KW PV, PON 2112 NY SUN	78,840
			National Grid	<200KW PV, PON 2112 NY SUN	6,083
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,040
		Niagara	National Grid	<200KW PV, NY-Sun	6,912
				<200KW PV, PON 2112 NY SUN	20,226
	C.J. Brown Energy, P.C.	Chautauqua	National Grid	Technical Services, AEAP	5,997
	CER NY W1 LLC	Niagara	National Grid	LARGE SCALE RENEWABLES, 11th Main Tier ..	58,080
	CIR ELECTRICAL CONSTRUCTION CORP.	Allegany	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	8,750
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	5,192
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	10,440
	Community Hope Builders CD..	Erie	National Grid	New Construction LMI, 2019 LRNCP	55,400
	ConnectGen Chautauqua Cou..	Chautauqua	National Grid	REC:CES REC Contracts, South Ripley - RESRF..	170,838,976
	Delta Development of WNY, I..	Erie	National Grid	New Construction LMI, 2019 LRNCP	60,200
	Dimension Energy LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	1,794,895
				NY-SUN, NY Sun	2,153,878
	Ford Motor Company	Erie	National Grid	Industrial Process Effic, Industrial Process Efficie..	30,872
	Greenpac Holding LLC	Niagara	National Grid	CI Carbon Challenge, C&I Carbon Challenge	2,650,000
	Hispanics United of Buffalo	Erie	National Grid	New Construction LMI, 2019 LRNCP	46,000
	Hunter Buffalo Peterbilt	Niagara	National Grid	CLEAN TRANSPORTATION, NYT-VIP	624,423
	Invenergy Wind, LLC	Cattaraugus	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	466,841,264
	Jill Joseph Tower, LLC	Erie	National Grid	Multifam Performance Pgm, Multifamily	88,900
	Johnson Controls Inc.	Allegany	National Grid	Real Time Enrgy Management, JohnsonControls..	98,532
	Johnson Controls, Inc. (Syrac..	Erie	National Grid	K-12 SCHOOLS, P12GC - 1 - Buffalo CSD_E	250,000
	Jordan Energy and Food Ente..	Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,863
	Joseph R Chimera	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, O..	700,000
	M/E Engineering, P.C.	Niagara	National Grid	New Construction- Commercial, Commercial Ne..	89,350
	McMahon and Mann Consulting Engineers	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, E..	250,000
				WEST VALLEY DEVELOPMENT PROGRAM, T..	2,000
	NSF Angelica Site 4, LLC	Allegany	Rochester Gas and El..	>200KW PV, NY Sun	1,274,728
	NY RUSHFORD I LLC	Allegany	Rochester Gas and El..	>200KW PV, NY-Sun C&I	1,116,288
	Orange EV LLC	Erie	National Grid	CLEAN TRANSPORTATION, NYT-VIP	140,080
	Pathfinder Engineers & Archit..	Erie	National Grid	New Construction- Commercial, Commercial Ne..	69,472
	People United for Sustainable ..	Erie	National Grid	New Construction LMI, 2019 LRNCP	70,000
	SANFILIPPO SOLUTIONS IN..	Chautauqua	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	16,000
	Solar Liberty Energy Systems, Inc	Allegany	National Grid	<200KW PV, NY-Sun	9,768
				<200KW PV, PON 2112 NY SUN	7,035
				Rochester Gas and El..	<200KW PV, PON 2112 NY SUN
		Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	69,822
				>200KW PV, NY Sun	242,216
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	14,256
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	459	
	Solcius, LLC	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	5,208
SSA Solar of NY 3 LLC	Erie	National Grid	>200KW PV, NY Sun	1,630,255	
Standard Solar, Inc	Erie	National Grid	>200KW PV, NY-Sun	1,309,646	
SUNY Buffalo	Erie	National Grid	Industrial Process Effic, Industrial Process Efficie..	373,719	
Timothy Marlett	Allegany	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	7,680	
TM Montante Solar Development, LLC	Erie	National Grid	<200KW PV, PON 2112 NY SUN	325,728	

Projects Selected for Funding by Region

Period 4/1/2020 through 9/30/2020

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Tim Montante Solar Developments, LLC	Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	97,686
	WNY Rural Preservation, LP	Cattaraugus	National Grid	Multifam Performance Pgm, Multifamily	16,800
Total					657,297,711
Grand Total					1,651,079,956

NYSERDA
Public Authority Law Report
April 1, 2020 to September 30, 2020

Section Break

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Expended Amount
3Gi CNYIP, Inc.	CLEANER GREENER COMMUNITIES, CGC26840 - 3Gi CNYIP	8,727
10th Ave Petroleum LLC	FUEL NY, PGI00296 - 10th Avenue Petrole	68,703
	OTHER PROGRAM AREA, PGI00296 - 10th Avenue Petrole	-68,703
15 William Street Condominium	Multifam Performance Pgm, Multifamily	1,920
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	62,080
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	49,637
64 Solar LLC	<200KW PV, PON 2112 NY SUN	45,900
211 Sea Foam Properties LLC	Multifam New Construction, MFNCP PHI T3-211 Passive H	54,075
301/69 Condominium	Multifam Performance Pgm, Multifamily	58,800
323T LLC	Low Rise New Construction, 2019 LRNCP	25,600
575 Fuel Inc	FUEL NY, PGI00299 - 575 Fuel Inc.	79,228
	OTHER PROGRAM AREA, PGI00299 - 575 Fuel Inc.	-79,228
680 St. Nicholas Owner LLC	Multifam Performance Pgm, Multifamily	22,400
770 Electric Corp.	<200KW PV, NY Sun	29,754
	<200KW PV, NY-Sun	52,547
	>200KW PV, NY-Sun	89,528
1406RB PV LLC	>200KW PV, C/I MW Block Assignment	132,221
	>200KW PV, Olean Gateway PV Project 1	458,272
	>200KW PV, Olean Gateway PV Project 2	462,195
2015 ESA Project Company, LLC	FUEL CELLS, RPS FC - Home Depot #1215	105,000
	FUEL CELLS, RPS FC - Home Depot #1249	105,000
	FUEL CELLS, RPS FC - Home Depot #1251	92,591
	FUEL CELLS, RPS FC - Home Depot #1281	105,000
	FUEL CELLS, RPS FC - Home Depot #6152	93,675
	FUEL CELLS, RPS FC - Home Depot #8456	154,922
2050 G.C. Housing Development Fund..	New Construction LMI, New Construction	19,400
Abakama LLC	OTHER PROGRAM AREA, Innovation Advisory Services	24,681
Abt Associates Inc.	ENERGY ANALYSIS, TWO 2 formerly 30191 TWO #5	20,329
	ENVIRONMENTAL RESEARCH, TWO#1 Pathways Health	55,589
Accelerate Solar LLC	<200KW PV, NY-Sun	8,700
Access Supports for Living Inc.	New Construction LMI, 2019 LRNCP	110,600
Adam C. Boese	Commercial Real Estate Ten, Daylight Saving-162 OldMill Rd	8,374
	Commercial Real Estate Ten, Daylight-225 Westchester Ave	1,000
Adee Tower Apartments Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	65,700
Adirondack Center for Loon	ENVIRONMENTAL RESEARCH, Loons: monitor biotic mercury	2,715
Adirondack Farms LLC	ANAEROBIC DIGESTER, RPS ADG - Adirondack	103,970
Adirondack Lakes Survey Corporation	Environmental Research, RFP 3702 Stream Sampling	28,807
Adirondack North Country Association	CLEANER GREENER COMMUNITIES, CGC54038 - ANCA	99,502
ADK Solar	<200KW PV, PON 2112 NY SUN	11,732
Advanced Radiant Design, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	6,986
Advent Software Luxembourg S A R L	NEW YORK GREEN BANK, Fund Administration/Loan Inves	228,294
AECOM Technical Services Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitoring S..	260,029
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - 300 Central Park West B	36,815
	Combined Heat and Power, CHPA - 2425 Nostrand Ave.	31,185
	Combined Heat and Power, CHPA - Boro Park Center	95,288
	Combined Heat and Power, CHPA-Archer Green Apartments	61,677
AES DE RS VI, LLC	>200KW PV, NY-Sun C&I	654,885
AES DE RS VIII, LLC	>200KW PV, NY-Sun	480,578

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AES DE RS VIII, LLC	>200KW PV, NY-Sun C&I	722,672
AES DE RS XI, LLC.	>200KW PV, NY-Sun C&I	437,668
AES Greece Solar, LLC	>200KW PV, NY-Sun C&I	31,013
AES Monroe Solar A, LLC	>200KW PV, NY Sun C/I	199,366
AES Monroe Solar B, LLC	>200KW PV, NY-Sun C/I	203,712
AES Monroe Solar C, LLC	>200KW PV, NY-Sun C/I	213,954
AES Monroe Solar D, LLC	>200KW PV, NY-Sun C/I	261,501
AES Monroe Solar E, LLC	>200KW PV, NY-Sun C/I	218,311
AES Rochester Solar, LLC	>200KW PV, NY-Sun C&I	162,966
AES Wawarsing Solar, LLC	>200KW PV, NY-Sun C/I	82,775
Affordable Housing Partnership	Community Energy Engagement, CEEP Capital Region (AHP)	57,134
Air Products and Chemicals, Inc.	Industrial Process Effic, Industrial Process Efficiency	2,000,000
AKF-engineers	Commercial New Construc, Commercial New Construction	16,791
Akimeka, LLC	CLEANER GREENER COMMUNITIES, Animating the EV market in NYS	71,286
	Electric Vehicles - Innovation, Planning Board EVSE Promotion	9,050
	OTHER PROGRAM AREA, TWO#2 Resilience Assistance	49,581
Akwasne Housing Authority	Low Rise New Construction, Low-rise residential new const	19,000
Albany Engineering Corp.	LARGE SCALE RENEWABLES, Mechanicville Hydro	237,930
	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	192,953
Albany Medical Center	Technical Services, OsEM3-C Albany Medical Center	75,000
Albany Solar Solutions L.L.C.	<200KW PV, PON 2112 NY SUN	29,785
Albany, City of,	Clean Energy Communities, City of Albany	45,000
Albireo Energy, LLC	Real Time Enrgy Management, 1 Dag Hammarskjold Plaza-RTEM	3,750
	Real Time Enrgy Management, 1700 LH - 1700 Broadway - RTEM	3,750
	Real Time Enrgy Management, Albireo - 161 William St -RTEM	97,537
	Real Time Enrgy Management, Albireo Energy-199 Water-RTEM	47,868
	Real Time Enrgy Management, Albireo-48 Wall Street-RTEM	3,920
	Real Time Enrgy Management, Cushman/Wakefield-RTEM	6,008
	Real Time Enrgy Management, Signature Theatre - RTEM	12,180
All HVAC Service Co. Inc	Commercial Real Estate Ten, Bright Energy-1 Odell Ave-CT	5,000
Allegis Group Holdings Inc	Campus/Technical Assistance, Staff Augmentation Services	9,643
	Community RH&C, Staff Augmentation Services	40,295
	Consumer Ed and Market Support, SA.054_TWO #9 - SFR PM	0
	ENERGY ANALYSIS, Staff Augmentation Services	40,280
	Leveraging Upstream Partners, SA.054_TWO #9 - SFR PM	-41,035
	NEW YORK GREEN BANK, Staff Augmentation Services	26,039
	NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	109,607
	Pay for Performance, SA.055_TWO #10 - P4P PM	93,017
	Real Time Enrgy Management, SA.043a_TWO #7 - RTEM	71,903
	Real Time Enrgy Management, Staff Augmentation Services	123,601
Renewable Heat NY, Staff Augmentation Services	37,081	
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	43,406
Alliance for Housing Inc.	Multifam New Construction, PPES T2 Fountain Sea A2	25,000
Alliance for Sustainable Energy, LLC	CLEAN TRANSPORTATION, TWO 2 - NREL TWO for Mobility	106,043
	ENERGY ANALYSIS, TWO 1 - 100% Carbon-free Power	23,431
	Nat'l OffShWind R&D Consortium, NREL for OSW Consortium	16,598
	NREL for OSW Consortium	8,402
alpha-En Corporation	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	45,000

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Contractor	Contract Description	Total Expended Amount
Altanova LLC	Commercial New Construc, Commercial New Construction	49,122
	Commercial Real Estate Ten, Altanova - 195 Broadway FL 28	2,691
	Commercial Real Estate Ten, Altanova-151 W 42ndFl26-28-CTP	11,840
	Commercial Real Estate Ten, Altanova-151W42ndFL26-28-CTP	23,664
	Technical Services, FT13051 - 564 Park - FTC	11,466
	Technical Services, FT13053 - 564 Park - FTC	26,074
Alternative Power Solutions of NY, LLC	<200KW PV, PON 2112 NY SUN	43,120
	Talent Pipeline:CE and OJT, OJT HIRE	3,313
Amalgamated Housing Corporation	Multifam Performance Pgm, Multifamily	297,400
AME Zion Trinity HDFC	Multifam Performance Pgm, Multifamily	65,000
American Energy Care, Inc.	<200KW PV, NY-Sun	35,055
	<200KW PV, PON 2112 NY SUN	23,346
AMP US HoldCo Inc.	>200KW PV, NY-Sun C&I	419,353
Ampersand Tannery Island Hydro, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	2,698
AMPLY Power Inc.	Novel Bus Models & Offers, Fleet Charging as a Service	182,413
Antares Group, Inc.	COMBINED HEAT AND POWER, Technical Review and Program S	7,020
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	1,845
	Industrial Process Effic, Technical Review and Program S	3,635
Apex Roofing, LLC	<200KW PV, PON 2112 NY SUN	12,544
Apex Solar Power LLC	<200KW PV, PON 2112 NY SUN	73,594
Apprise, Incorporated	Air Source Heat Pumps, TWO #3 - Survey Work	149
	EVALUATION, TWO #3 - Survey Work	33
	Geothermal Incentive Program, TWO #3 - Survey Work	149
APX Inc.	LARGE SCALE RENEWABLES, NYGATS	199,718
	REC:CES REC System Dev Costs, NYGATS	32,505
	ZEC:CES ZEC System Dev Costs, NYGATS	109,833
Arcadis of New York, Inc.	CI Engy Siting & Soft Cost Red, Large Scales Renewables Techni	110,781
	Commercial New Construc, Staff Augmentation Services	3,965
	Commercial Real Estate Ten, SA.046_TWO #4 - EPE	27,952
	Industrial Process Effic, RFP3628FlexTechConsultUmbrella	5,280
	Low Rise New Construction, Staff Augmentation Services	4,758
	Multifam New Construction, Staff Augmentation Services	4,493
	New Construction LMI, Staff Augmentation Services	9,251
	New Construction- Commercial, Staff Augmentation Services	3,965
	REV Campus Challenge, SA.046_TWO #4 - EPE	27,952
	Technical Services, AEAP	5,489
	Technical Services, SA.046_TWO #4 - EPE	27,952
Arcadis U.S., Inc.	ANAEROBIC DIGESTER, ADG - Arcadis - TWO	1,726
	Combined Heat and Power, ADG - Arcadis - TWO	1,726
	FUEL NY, Tech Review & Program Staff	333,802
	Industrial Process Effic, Tech Review & Program Staff	4,608
	K-12 SCHOOLS, P-12 Gap Pre-Qual Incentive	5,832
	OTHER PROGRAM AREA, Tech Review & Program Staff	-142,349
Arch Street Communications, Inc.	CI Engy Siting & Soft Cost Red, TWO 3: LSR RFP Outreach	1,957
	Clean Energy Communities, Marketing Support for NYSERDA	14,163
Arquitectonica New York P.C.	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	50,000
Arts Center and Theater of Schenecta..	CLEANER GREENER COMMUNITIES, CGC27842 - Marquee Power Proct	75,000
Association for Energy Affordability, In	Workforce Industry Partnership, PON 3715 Workforce Training	51,038

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Contractor	Contract Description	Total Expended Amount
Astoria Fuel & Convenience Store Inc	FUEL NY, PGI00238 - Astoria Fuel & Conv	17,544
	OTHER PROGRAM AREA, PGI00238 - Astoria Fuel & Conv	-17,544
Atelier Ten	Commercial New Construc, SUNY - Mini Bid (2019)	-49,359
	New Construction- Commercial, Commercial New Construction	45,946
	New Construction- Commercial, SUNY - Mini Bid (2019)	108,379
Autonomous Energies LLC	<200KW PV, PON 2112 NY SUN	31,680
Avangrid Renewables, LLC	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	671,273
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	793,182
Ballston Spa Central School	Technical Services, OSEM27-C - Ballston Spa CSD	44,022
Barbera Homes and Development, Inc.	Low Rise New Construction, 2019 LRNCP	5,700
	Low Rise New Construction, New Construction	3,800
Bard College	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	79,027
Barnard College	Technical Services, OsEM26-C Barnard College Mult	27,135
Barton & Loguidice, D. P.C.	Flexible Tech Assistance, FT12263 - Chenango WWTP - FTC	5,957
Bashing Panels LLC	<200KW PV, PON 2112 NY SUN	10,889
Battelle Memorial Institute	Code to Zero, BMI TWO #1-NYSTretch Support	52,414
BDO USA LLP	Background Investigation Servi	17,300
Beech-Nut Nutrition Company	On-Site Energy Manager, OsEM37-I - Beech-Nut Nutrition	55,994
Belle Apartments Housing Developme..	Multifam Performance Pgm, Multifamily	2,100
Belmonte Builders	Low Rise New Construction, New Construction	4,750
	New Construction LMI, 2019 LRNCP	25,650
Benchmark Lancaster Towers, LP	Multifam Performance Pgm, Multifamily	91,845
Bergmann Associates	Commercial Imp Assist, Tech Review_Support_Umbrella	61
	Flexible Tech Assistance, Bergmann Tech Review TWO	3,110
	Flexible Tech Assistance, FlexTech Umbrella Agreement	49
	Flexible Tech Assistance, Tech Review_Support_Umbrella	10,365
	FLEXIBLE TECHNICAL ASSISTANCE, Tech Review_Support_Umbrella	0
	Industrial Process Effic, IPE16237	509
	Industrial Process Effic, Tech Review_Support_Umbrella	7,200
	K-12 SCHOOLS, Bergmann Tech Review TWO	1,123
	REV Campus Challenge, Bergmann Tech Review TWO	5,883
	REV Campus Challenge, Tech Review_Support_Umbrella	9,677
	Technical Services, AEAP	5,749
	Technical Services, Bergmann Tech Review TWO	3,733
	Technical Services, FT13039 - Marketplace - FTC	5,000
Best Energy Power	<200KW PV, NY-Sun	25,000
	<200KW PV, PON 2112 NY SUN	74,868
	>200KW PV, NY-Sun	56,000
	>200KW PV, PON 2112 NY SUN	257,439
Bigwood Systems Inc	High Performing Grid, PON4074 High Perfrm Grid Prgr	82,000
Binghamton Northside LP	Multifam New Construction, New Construction	24,000
Binghamton Regional	Community RH&C, CH&C Communities Round 3	27,000
	Community RH&C, PON3723 RH&C Campaigns	33,000
	NYCH: LMI, CH&C Communities Round 3	0
BioDiversity Research Institute	Environmental Research, ENV & Fisheries Rsrch for OSW	40,436

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BioDiversity Research Institute	OREC: Technical Support, BRI TWO1 ETWG Support	180,411
BJ's Wholesale Club	<200KW PV, NY-Sun	337,212
	>200KW PV, NY-Sun	588,294
Black Mountain Architecture, PLLC	Buildings of Excellence, BoE R1 - Designer Incentive	75,000
Black River Hydroelectric, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	159,270
BlocPower Community Corporation	Community RH&C, PON 3922 CH&C Communities	37,000
Bloom Energy Corporation	FUEL CELLS, CST FC Home Depot 1223	192,767
	FUEL CELLS, HD #1235-Cicero, NY	156,303
	FUEL CELLS, HD #1236-Dewitt, NY	179,678
	FUEL CELLS, HD #1239-Schenectady, NY	176,652
	FUEL CELLS, HD #1241-Albany, NY	180,172
	FUEL CELLS, HD #1254-Utica, NY	188,786
	FUEL CELLS, HD #1257-Camillus, NY	192,480
	FUEL CELLS, HD #1262-Albany, NY	153,506
	FUEL CELLS, HD #1263-North Greenbush, NY	199,763
	FUEL CELLS, HD #1269-Clifton Park, NY	189,714
	FUEL CELLS, HD #1289-Amsterdam, NY	186,028
	FUEL CELLS, HD #6153-Clay, NY	178,866
	REC:CES REC Contracts, 11th Main Tier Solicitation	26,458
Bond, Schoeneck & King, PLLC	CI Engy Siting & Soft Cost Red, BR-Outside Legal	14,930
	NYSERDA ADMINISTRATION, HR Outside Counsel Assistance	8,309
	NYSERDA ADMINISTRATION, Outside Legal Services	506
	OREC: Technical Support, RFP 3300 Outside Counsel Servi	630
Bonded Energy Solutions Corp.	WORKFORCE DEVELOPMENT, OJT hire	21,696
Booz Allen Hamilton, Inc.	High Performing Grid, PON 3397 CAT D	235,000
Borrego Solar Systems, Inc.	Rmve Barriers Dist Engy Storg, Energy Storage +CommunitySolar	2,005,000
BQ Energy, LLC	NY-SUN, Town of Esopus Landfill	99,054
Brattle Group Inc.	CI Engy Siting & Soft Cost Red, Build Ready	7,867
	CI Engy Siting & Soft Cost Red, TWO 5 LSR siting analysis	207,054
	ENVIRONMENTAL RESEARCH, TWO #4 Large Scale Hydropower	64,703
	Mkt Char: Tech Assist, TWO #1 Resource Adequacy	465,589
	REC:CES REC System Dev Costs, TWO 5 LSR siting analysis	350,000
	REC:CES REC System Dev Costs, TWO #4 Large Scale Hydropower	99,981
Breaking Ground II Housing	Multifam New Construction, New Construction	30,000
Breathe Easy of CNY Inc.	Talent Pipeline:CE and OJT, OJT HIRE	17,512
Bright Power, Inc.	<200KW PV, NY-Sun	75,015
	>200KW PV, Commerical/IndustrialPV	128,028
	>200KW PV, NY-Sun	177,916
	>200KW PV, PON 2112 NY SUN	261,303
	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	75,000
	Flexible Tech Assistance, FT12246-HamptonInnTimesSqr-FTC	13,395
	Flexible Tech Assistance, FT12247-HiltonGdnTimesSqr-FTC	15,160
	Novel Bus Models & Offers, 3932 Novel Business Models	200,000
	NY-Sun	15,015
	NY-SUN, Melrose Court LMI Solar	14,200
	Real Time Engy Management, BP - 7 Ludlow St - RTEM	19,380
	Real Time Engy Management, BP - 188 Warburton - RTEM	15,440
	Real Time Engy Management, BP - Multisite - RTEM	7,370

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Real Time Enrgy Management, Bright Power - Multi - RTEM	6,490
	Real Time Enrgy Management, Bright Power - Multisite- RTEM	18,240
	Real Time Enrgy Management, Bright Power -Multisite- RTEM	48,323
	Real Time Enrgy Management, Bright Power-255E149thSt-RTEM	6,270
	Real Time Enrgy Management, Bright Power-3000 Bronx - RTEM	6,870
	Real Time Enrgy Management, Bright Power-Multisite-RTEM	42,630
	Real Time Enrgy Management, Bright Power, Inc - Multisites	100,000
	Real Time Enrgy Management, Bright-86DeKalb-RTEM	21,640
	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	30,360
	REV Campus Challenge, RM36-NYU-Stern Business School	27,243
	Technical Services, FT13025 - 20 Jay - FTC	15,525
	Technical Services, FT13026 - 55 Washington - FTC	13,950
	Technical Services, FT13037 - 10 Monroe - FTC	10,000
	Technical Services, FT13126 - 40 W 25th - FTC	5,640
Bronx Pro Group, LLC	Multifam New Construction, New Construction	36,750
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	10,355
Broome County	Clean Energy Communities, CEC011267-Broome Cnty	750
	OTHER PROGRAM AREA, Regional Economic Development	44,600
Bruns Associates, LLC	Buildings of Excellence, Buildings of Excellence R1	112,500
BTMI Engineering, PC	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	18,288
	OREC: Technical Support, Large-Scale Renewables	20,618
Buckeye Terminals, LLC	FUEL NY, Upstate NY Strategic Fuels Res	671,374
Buckhurst, Fish, Jacquemart, Inc.	CLEAN TRANSPORTATION, Institutionalizing Integrated	1,715
	CLEAN TRANSPORTATION, Mobile New Rochelle Feasibilit	5,169
Buckley Road East Solar 1, LLC	>200KW PV, NY-Sun C&I	131,792
Buckley Road West Solar 1, LLC	>200KW PV, NY-Sun C&I	130,813
Buffalo Energy, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	2,190
Buffalo Niagara Medical Campus, Inc.	CLEAN TRANSPORTATION, Buffalo Smart Corridor Plan	2,429
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	36,652
Build Edison LLC	OTHER PROGRAM AREA, Innovation Advisors	14,766
	SMART GRID SYSTEMS, Innovation Advisors	39,684
BUILDING 36 LLC	>200KW PV, NY-Sun Assignment	44,572
Buro Happold Consulting Engineers, ..	Commercial Real Estate Ten, Buro Happold - 20 W 34th St	447,606
Buselli Plumbing & Heating	<200KW PV, PON 2112 NY SUN	8,649
Byrne Dairy, Inc.	On-Site Energy Manager, OsEM31-I - Byrne Dairy	32,920
C.J. Brown Energy, P.C.	Advancing Ag Enrgy Technologie, AAET - Tech Review - CJ Brown	2,606
	Commercial New Construc, Commercial New Construction	12,168
	Flexible Tech Assistance, FT12228-ErieCo-92Franklin-FTC	7,675
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
C.T. Male Associates Engineering,	Flexible Tech Assistance, FlexTech Consultant Selection	886
C&S Engineers, Inc.	Flexible Tech Assistance, FT12290 - Lockheed - FTC	81,699
	REV Campus Challenge, FT13036 - 432 Western - FTC	7,161
	REV Campus Challenge, FT13048 - Maria College - FTC	6,888
Cadenza Innovation, Inc.	Energy Storage Tech/Prod Dev, PON3249 ACE	220,500
Callanan Industries	Industrial Process Effic, Industrial Process Efficiency	30,188
CannonDesign	REV Campus Challenge, RFP3628FlexTechConsultUmbrella	22,467
Capital District Regional Planning Comm.	CGC53356 - CDRPC	19,270
	CLEANER GREENER COMMUNITIES, CGC53356 - CDRPC	43,772

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Contractor	Contract Description	Total Expended Amount
Capital District Regional Planning Comm.	Community RH&C, Cap Dist Heat & Cool Smart Cam	29,500
Carbon Lighthouse	Real Time Enrgy Management, CarbonLighthouse-Multisite-RTEM	96,451
	Real Time Enrgy Management, CL - College Point Blvd - RTEM	59,404
	Real Time Enrgy Management, CL-Multisite-RTEM	792,200
Carbon Trust Advisory Limited	Carbon Trust OSW Consortium	5,209
	Nat'l OffShWind R&D Consortium, Carbon Trust OSW Consortium	10,291
Carrera RS, LLC	Buildings of Excellence, Buildings of Excellence R1	75,000
Catskill Mountainkeeper, Inc	Community RH&C, PON3723 RH&C Campaigns	32,664
Cayuga Developments, Inc	Multifam Performance Pgm, Multifamily	4,800
CEC Stuyvesant Cove, Inc.	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	311,871
	NY-SUN, Affordable Solar Predevelopmen	21,000
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	12,761
Center for Sustainable Energy	CLEAN TRANSPORTATION, Centralized Services & Support	63,219
	Consumer Ed and Market Support, RFP3945 Home Energy Rating Pil	0
	Electric Vehicles - Rebate, ChargeNY ZEV Rebate Imp Contra	285
	Electric Vehicles - Rebate, TWO #3 - Drive Clean Program	134,619
	Home Energy Ratings, RFP3945 Home Energy Rating Pil	54,900
	OTHER PROGRAM AREA, Centralized Services & Support	39,436
Centerstate Corporation for	Cleantech Incubator, PON3413 Clean Energy Incubator	230,000
Central New York Regional Planning and	CLEANER GREENER COMMUNITIES, CGC57053 - CNY RPDB	228,778
	Community RH&C, PON3723 RH&C Campaigns	29,750
CH4 Biogas, LLC	Anaerobic Digesters, PON 3739 CAT C	15,000
CHA Consulting Inc.	Agriculture Energy Eff Pgm, Technical Review and Program S	0
	CI Carbon Challenge, CICC RED Roch. Tech Review	26,341
	Commercial Real Estate Ten, SA.051_TWO #6_EP&E APM	16,126
	EXISTING FACILITIES, SA.051_TWO #6_EP&E APM	0
	Flexible Tech Assistance, FT12226-UltraDairy-6750W-FTC	15,446
	Flexible Tech Assistance, FT12234-Lydall-68 George-FTC	2,123
	Flexible Tech Assistance, FT12261 - Union Coll CHP - FTC	99,309
	Flexible Tech Assistance, FT12295 - HVCC - CHP	118,093
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	406
	Flexible Tech Assistance, Staff Augmentation Services	40,437
	FLEXIBLE TECHNICAL ASSISTANCE, Staff Augmentation Services	0
	Industrial Process Effic, IPE16223	2,361
	Industrial Process Effic, IPE16249	1,183
	Industrial Process Effic, IPE16259	2,090
	Industrial Process Effic, Outreach Support	81,227
	Industrial Process Effic, Staff Augmentation Services	96,249
	Industrial Process Effic, Technical Review and Program S	47,597
	INDUSTRIAL PROCESS EFFICIENCY, Staff Augmentation Services	0
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	0
	K-12 SCHOOLS, SA.051_TWO #6_EP&E APM	37,349
	On-Site Energy Manager, Outreach Support	52,538
	On-Site Energy Manager, Staff Augmentation Services	52,122
	REV Campus Challenge, SA.051_TWO #6_EP&E APM	16,188
	Strategic Energy Manager, Outreach Support	8,069
	Strategic Energy Manager, Staff Augmentation Services	26,001
	Technical Services, SA.051_TWO #6_EP&E APM	13,105

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Contractor	Contract Description	Total Expended Amount
Channel Capital LLC	OTHER PROGRAM AREA, Innovation Advisor	10,340
Charan Electrical Enterprises Inc.	>200KW PV, PON 2112 NY SUN	71,208
Chautauqua County	LARGE SCALE RENEWABLES, Chautauqua LFGE	84,500
Choice New York Management	Technical Services, OsEM22-C - Choice New York	42,572
CIR ELECTRICAL CONSTRUCTION C..	<200KW PV, PON 2112 NY SUN	10,652
Citistaffing, LLC	NEW YORK GREEN BANK, TS.008 - NYGB Office Admin	5,428
Citizens Enterprises Corporation	>200KW PV, Commercial/Industrial PV	64,089
City of Auburn	Clean Energy Communities, City of Auburn	37,500
	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	9,943
	REC:CES REC Contracts, 11th Main Tier Solicitation	14,355
City of Beacon Housing Authority	Multifam Performance Pgm, Multifamily	14,200
City of Binghamton	Clean Energy Communities, City of Binghamton	37,500
City of Glens Falls	Clean Energy Communities, CEC400008 - City of Glens Fall	37,500
City Of New York	CLEANER GREENER COMMUNITIES, CGC41973 - NYC Dept. Parks Rec	82,536
	CLEANER GREENER COMMUNITIES, CGC43226 - New York City	312,906
	NEW CONSTRUCTION PROGRAM, CGC43226 - New York City	38,536
City of Oneida Housing Authority	Low Rise New Construction, New Construction	50,000
City of Rochester	Community RH&C, PON3723 RH&C Campaigns	12,000
	Technical Services, OsEM32-C - City of Rochester	42,655
City of Saratoga Springs, NY	CLEANER GREENER COMMUNITIES, CGC31779 - City of Saratoga	50,000
City of Sherrill	CLEANER GREENER COMMUNITIES, CEC600925 - City of Sherrill	33,750
City of Utica	Clean Energy Communities, CEC610836 - City of Utica	58,634
	Community RH&C, Heat & Cool for Utica NYTBD	26,000
City of White Plains	CLEANER GREENER COMMUNITIES, City of White Plains	27,750
Civic Consulting NYC Inc	CLEAN TRANSPORTATION, Clean Transportation	11,000
Clarkson University	Energy Storage Tech/Prod Dev, PON 3585 Round 3	67,832
Clean Technologies A LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	20,336
CleanFiber LLC	76 West, 76West Clean Energy Bus. Comp	100,000
	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	200,000
CLEAResult Consulting, Inc.	>200KW PV, Centralized Services & Support	27,016
	Air Source Heat Pumps, Centralized Services & Support	33,540
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralized S..	1,362
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	7,090
	Centralized Services & Support	304,499
	Commercial New Construc, Centralized Services & Support	21,351
	Commercial Real Estate Ten, Centralized Services & Support	15,219
	EMPOWER NY, Centralized Services & Support	1,362
	EMPOWER NY, Technical Support SFR	11,500
	ESTOR: Implementation Support, Centralized Services & Support	8,750
	EXISTING FACILITIES, Centralized Services & Support	0
	Geothermal Incentive Program, Centralized Services & Support	29,271
	GJGNY Market Rate Audits, TWO #13 - SFR	23,567
	Healthy Homes VB Payment Pilot, Centralized Services & Support	11,690
	Healthy Homes VB Payment Pilot, Technical Support SFR	0
	Home Energy Ratings, TWO #13 - SFR	19,253
	Home Perf w Energy Star, Centralized Services & Support	868,061
	Home Perf w Energy Star, Technical Support SFR	1,330,781
	Home Perf w Energy Star, TWO #13 - SFR	3,340

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CLEARResult Consulting, Inc.	HOME PERFORMANCE WITH ENERGY STAR, Centralized Services & Su..	622
	HOME PERFORMANCE WITH ENERGY STAR, Technical Support SFR	7,659
	Industrial Process Effic, Centralized Services & Support	2,044
	K-12 SCHOOLS, Centralized Services & Support	0
	LMI Community Solar, Centralized Services & Support	59,543
	Low Rise New Construction, Centralized Services & Support	34,616
	Multifam New Construction, Centralized Services & Support	14,889
	Multifam Performance Pgm, Centralized Services & Support	28,210
	New Construction LMI, Centralized Services & Support	9,128
	New Construction- Commercial, Centralized Services & Support	3,912
	NYSERDA ADMINISTRATION, Phone Email & Web Support	40,719
	Real Time Enrgy Management, Centralized Services & Support	3,734
	Renewable Heat NY, Centralized Services & Support	9,704
	Technical Services, Centralized Services & Support	11,734
	Technical Support SFR	291,671
Climate Change & Environmental	Commercial Real Estate Ten, CCES - 88 Pine Street FL3	4,995
	Commercial Real Estate Ten, CCES - 110 E. 42nd St	4,999
	Commercial Real Estate Ten, CCES - 801 2nd Avenue	8,160
	Commercial Real Estate Ten, CCES - Multisite	43,620
	Commercial Real Estate Ten, CCES - Multisite (14)	63,160
	Commercial Real Estate Ten, CCES-129-09 26thAve-Multi-CTP	38,009
COA Solar 2, LLC	>200KW PV, NY-Sun C&I Payee Assignment	195,146
Code Green Solutions, Inc.	Commercial Real Estate Ten, CodeGreen - 2 Penn Plaza	15,519
	Commercial Real Estate Ten, CodeGreen-11 Madison Ave	5,000
	Flexible Tech Assistance, FT12063- ABS 270 Madison - FTC	6,183
	Flexible Tech Assistance, FT12064-ABS-915 Broadway-FTC	5,700
	Flexible Tech Assistance, FT12065 - Fraglow-8W 38th-FTC	7,286
	Flexible Tech Assistance, FT12066-Silk&HalpernRealty-FTC	8,939
	Flexible Tech Assistance, FT12083-Met Tower Diamond-FTC	16,949
	Flexible Tech Assistance, FT12201 - Super Nova 330 - FTC	3,589
	Flexible Tech Assistance, FT12202 - 3ColumbusCircle - FT	5,736
	Flexible Tech Assistance, FT12230-CBRE-123 William-FTC	6,000
	Flexible Tech Assistance, FT12269 - 1211 6th - FTC	13,495
	Flexible Tech Assistance, FT12284 - 2 Penn Plaza - FTC	23,400
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	67,873
	K-12 SCHOOLS, P12GC-10 - Mons. Farrell - FTC	2,030
	Technical Services, FT13056 - 1140 AOA - FTC	5,500
Technical Services, FT13057 - 200 W 41st - FTC	3,950	
Technical Services, FT13064 - 275 7th - FTC	4,106	
Technical Services, FT13069 - 381 Park - FTC	3,250	
Technical Services, FT13107 - 51 Astor Place - FTC	4,015	
Cogeneration Contractors, Inc.	COMBINED HEAT AND POWER, CHP Acceleration Program	118,677
	COMBINED HEAT AND POWER, CHPA - Even Hotel	78,897
	COMBINED HEAT AND POWER, CHPA - Riverwalk 7	39,780
Cohen Ventures Inc	Air Source Heat Pumps, Product and Appliance Standard	48,763
College at Brockport	Workforce Industry Partnership, Workforce Dev & Train	2,785
Columbia University	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concept..	39,024
	OTHER PROGRAM AREA, On-Site Power	11,212

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Contractor	Contract Description	Total Expended Amount
Combined Energies LLC	Cleantech Ignition, PON 3871 Ignition Grants	12,500
	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat B	20,428
Common Energy LLC	LMI Community Solar, RFP3802 Low Income Comm Solar	109,508
Comunilife, Inc	Multifam Performance Pgm, Multifamily	23,400
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
CON EDISON SOLUTIONS, INC.	>200KW PV, NY Sun	139,437
Concourse Village, Inc.	Multifam Performance Pgm, Multifamily	374,400
Conductors Court NY TC, LP	Multifam Performance Pgm, Multifamily	2,450
Converge Strategies, LLC	High Performing Grid, Climate Resilience	49,129
Cornell Cooperative Ext. Dutchess County	Community Energy Engagement, CEEP Mid-Hudson Region (CCEDC)	117,128
	OTHER PROGRAM AREA, CEEP Mid-Hudson Region (CCEDC)	0
Cornell Cooperative Extension - Tompkins	Community Energy Engagement, CEEP Central New York (CCETC)	32,160
	Community Energy Engagement, CEEP North Country	18,450
	Community Energy Engagement, CEEP Southern Tier Region (CCE	54,435
	OTHER PROGRAM AREA, CEEP North Country	7,944
	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	19,000
Cornell University	70333 TWO 32	0
	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	12,000
	Environmental Research, AQHE PON 3921	56,709
	OTHER PROGRAM AREA, 76West Building a Clean Energy	113
	OTHER PROGRAM AREA, 76West TWO 27	4,521
	OTHER PROGRAM AREA, 76West TWO 31	47,068
	OTHER PROGRAM AREA, 70333 TWO 30	167
	OTHER PROGRAM AREA, 70333 TWO 32	350,564
Cornell University-Office of Sponsored P	ENVIRONMENTAL RESEARCH, Building Downwash Effect	65,324
	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	132,795
Corning Inc.	Industrial Process Effic, Industrial Process Efficiency	464,828
	On-Site Energy Manager, OsEM14-I-Erwin Manufacturing	11,795
Cortex Building Intelligence, Inc.	Real Time Enrgy Management, CBI - 1 Court Square - RTEM	100,000
	Real Time Enrgy Management, CBI - 111 W 40th St - RTEM	10,500
	Real Time Enrgy Management, CBI-3 Bryant Park-RTEM	19,330
	Real Time Enrgy Management, CBI-1700 Broadway-RTEM	11,268
	Real Time Enrgy Management, Cortex-350 5th Ave-RTEM	16,200
County of Oneida	ANAEROBIC DIGESTER, RPS ADG - Oneida County Sewer	127,864
CRE Spruce Haven LLC	ANAEROBIC DIGESTER, RPS CST ADG-to-Electricity Dai	19,376
	NEW CONSTRUCTION PROGRAM, RPS CST ADG-to-Electricity Dai	19,376
Croton Energy Group, Inc.	<200KW PV, PON 2112 NY SUN	18,889
CrystalCreek Organics Inc.	OTHER PROGRAM AREA, Trial to enhance anaerobic dig	39,000
CubeSmart TRS Inc	>200KW PV, NY-Sun	30,340
Cutone & Company Consultants, LLC	Commercial Real Estate Ten, LC Assoc - 2500 Westchester Av	11,918
	Commercial Real Estate Ten, LC Assoc- 2700 Westchester Ave	10,215
	Commercial Real Estate Ten, LCA - 200 Lexington Ave - CT	6,046
	Commercial Real Estate Ten, LCA - 629 5th Ave - CT	4,480
	Commercial Real Estate Ten, LCA-GH ManagementMultisite-CTP	25,295
	Commercial Real Estate Ten, LCA-JPMC#1-Multisite-CT	9,840
	Commercial Real Estate Ten, LCA-JPMC#2 Multisite-CT	4,987
	Commercial Real Estate Ten, LCAssociates-60 LincolnCent-CT	9,848
D & R International Ltd	Eval MCDC Cross Cutting, Heating & Cooling Reports	23,100

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Contractor	Contract Description	Total Expended Amount
D & R International Ltd	EVALUATION, Heating & Cooling Reports	0
Dagmy Motors Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	40,834
Dailey Electric Inc	Talent Pipeline:CE and OJT, OJT HIRE	1,280
Dandelion Energy Inc	Novel Bus Models & Offers, 3932 Novel Business Models	170,833
	Talent Pipeline:CE and OJT, OJT HIRE	301
Darling Advertising Agency Inc.	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	37,358
Datto Inc	Industrial Process Effic, Industrial Process Efficiency	8,337
Dayton T. Brown, Inc.	Pub Transit & Elect Rail, Subway energy use analysis	86,069
DealCloud Inc.	NEW YORK GREEN BANK, DealCloud Licensing	113,130
DeChantal Apartments, Inc.	Multifam Performance Pgm, Multifamily	26,200
Delta Dental of New York	NYSERDA ADMINISTRATION, Delta Dental Premiums 2020-202	159,268
DePaul Properties, Inc.	Low Rise New Construction, New Construction	180,000
Deutsche Bank	Industrial Process Effic, Industrial Process Efficiency	31,685
Digital Energy Corp	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	24,000
DiLernia Marine Services, Inc	OREC: Technical Support, OSW Fisheries Liaison	48,248
Dillon Klepetar	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	6,766
Dimensional Energy	Cleantech Ignition, PON 3871 Ignition Grants	95,000
Dimien Inc.	Cleantech Ignition, PON 3871 Ignition Grants	25,000
	Energy Storage Tech/Prod Dev, zVO pouch cell proof concept	20,000
DNV GL Energy Insights USA Inc.	ADVANCED BUILDINGS, Evaluation Oversight Services	0
	Campus/Technical Assistance, RFQ 3183 KEMA, Inc	1,267
	Clean Energy Communities, TWO 9 - CEC	422,443
	Commercial Real Estate Ten, TWO 1 - CRE Tenant MAR Survey	652
	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	7,413
	Community RH&C, RFQ 3183 KEMA, Inc	968
	ENERGY ANALYSIS, TWO#1 OSW Resource Planning	142,142
	EVALUATION, RFQ 3183 KEMA, Inc	94,475
	EVALUATION, TWO 7 - T&MD 2014-18 Impact Ev	109,062
	Geothermal Incentive Program, RFQ 3183 KEMA, Inc	7,142
	K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	8,038
	NEW YORK GREEN BANK, RFQ 3183 KEMA, Inc	44,752
	Off-Shore Wind Pre-Dev Act, RFP3855 Cat2 DMAC Float. LiDar	7,850
	OREC: Technical Support, TWO#1 OSW Resource Planning	236,904
	Renewable Heat NY, RFQ 3183 KEMA, Inc	5,080
	REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	9,068
Doherty Electric, LLC	<200KW PV, PON 2112 NY SUN	15,503
Dollaride, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	85,095
Dolomite Products Group, Inc.	Industrial Process Effic, Industrial Process Efficiency	85,200
Douglas R Jarvis	<200KW PV, PON 2112 NY SUN	5,082
Downtown Ithaca Alliance	CLEAN TRANSPORTATION, Ithaca TDM/TMA Demonstration	8,664
Dual Fuel Corp	Real Time Enrgy Management, DF - 1-13 Greenridge Av - RTEM	18,000
	Real Time Enrgy Management, Dual Fuel-611 Academy St-RTEM	28,047
	Real Time Enrgy Management, Dual Fuel-1710 Avenue H-RTEM	26,400
DuMond Grains	Industrial Process Effic, Industrial Process Efficiency	17,656
Dynamic Energy Solutions, LLC	>200KW PV, NY Sun	296,133
E-Mobility Market Services, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,224
E&S Environmental Chemistry Inc.	ENVIRONMENTAL RESEARCH, 127159 TWO#1	7,272
Eagle Creek Hydro Power LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	67,050

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Contractor	Contract Description	Total Expended Amount
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	22,800
	Geothermal Incentive Program, Large-Scale GSHP Rebate	280,732
Eastern Research Group, Inc.	ENERGY ANALYSIS, TWO #1 CLCPA GHG	254,121
	Environmental Research, Environmental Outreach	65,261
Eco Heating & Cooling Inc	Talent Pipeline:CE and OJT, OJT HIRE	6,434
Ecolectro Inc	Energy Storage Tech/Prod Dev, Modular Ultra-Stable Alkaline	23,760
Ecology & Environment, Inc.	Environmental Research, ENV & Fisheries Rsrch for OSW	90,033
	Environmental Research, Owner's Engineering	37,131
Ecology and Environment Engineering	CLEANER GREENER COMMUNITIES, CGC Implementation Contractor	247,759
	Environmental Research, TWO #20 G&G Survey	41,431
	Off-Shore Wind Master Plan, RFP3462 Umbrella Agreement	0
	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	23,725
	OREC: Technical Support, TWO#19 SEIS for CLCPA	58,045
	REC:CES REC System Dev Costs, TWO#19 SEIS for CLCPA	24,876
EcoMarkets LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	23,190
Ecosave, Inc.	Real Time Enrgy Management, Ecosave-334 Amsterdam Ave-RTEM	57,725
	Real Time Enrgy Management, Ecosave-5901 Palisade Ave-RTEM	28,842
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	150,000
Ecosystem Energy Services USA Inc.	Combined Heat and Power, CHPA - StuyTown	445,500
Ecovis, Inc.	<200KW PV, NY-Sun	7,392
	<200KW PV, PON 2112 NY SUN	12,741
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	168,664
	<200KW PV, PON 2112 NY SUN	51,199
	NY-SUN, NY-Sun	112,443
Ekostinger, Inc.	76 West, 76 West Energy Bus Competition	150,000
	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	210,000
	OTHER PROGRAM AREA, 76 West Energy Bus Competition	0
Electric Power Research Institute	DER Integration(Intrcnct), PON 3404 DER Integration	60,000
	Environmental Research, Energy Related Air Quality	25,291
	High Performing Grid, PON 3770	44,861
	High Performing Grid, RFP3265 Umbrella Contract	83,881
Elisa Miller-Out	Innovation Advisors, RFP 3859	67,817
EMCOR Services Betlem	Technical Services, AGG1008-EMCOR Services Betlem	5,000
EME Consulting Engineering Group, LLC	Commercial Real Estate Ten, FlexTech Consultant Selection	12,554
	Commercial Real Estate Ten, SA.052_TWO #9 - EP&E	13,601
	Commercial Real Estate Ten, Staff Augmentation Services	57,599
	EXISTING FACILITIES, SA.052_TWO #9 - EP&E	0
	EXISTING FACILITIES, Staff Augmentation Services	0
	Flexible Tech Assistance, Staff Augmentation Services	73,419
	Home Perf w Energy Star, Staff Augmentation Services	36,464
	Industrial Process Effic, Staff Augmentation Services	44,260
	INDUSTRIAL PROCESS EFFICIENCY, Staff Augmentation Services	0
	K-12 SCHOOLS, SA.052_TWO #9 - EP&E	27,616
	MARKET PATHWAYS, FlexTech Consultant Selection	6,249
	New Construction LMI, SA.038A_TWO #7 - New Con	65,178
	New Construction- Commercial, SA.038A_TWO #7 - New Con	30,074

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Contractor	Contract Description	Total Expended Amount
EME Consulting Engineering Group, LLC	NY-SUN, Staff Augmentation Services	-117
	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	53,997
	Renewable Heat NY, Staff Augmentation Services	9,116
	Retrofit NY, SA.057_TWO #11 - Multifamily	45,473
	REV Campus Challenge, SA.036c_TWO #8 - EP&E	29,342
	REV Campus Challenge, SA.052_TWO #9 - EP&E	13,808
	REV Campus Challenge, Staff Augmentation Services	14,551
	Staff Augmentation Services	46,779
	Strategic Energy Manager, Staff Augmentation Services	15,709
	Technical Services, SA.036c_TWO #8 - EP&E	29,342
	Technical Services, SA.052_TWO #9 - EP&E	10,808
	Technical Services, Westchester Tech Services	12,769
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	129,140
Empower CES, LLC	<200KW PV, NY Sun	150,000
	>200KW PV, PON 2112 NY SUN	60,500
	ENERGY STORAGE, PON 2112 NY SUN	43,750
Empower Equity Inc	Novel Bus Models & Offers, EMPEQ - Scaling a Novel Busine	65,000
ENER-G Rudox, LLC	Combined Heat and Power, CHPA - Mima Apartments	285,617
Eneractive Solutions	Flexible Tech Assistance, FT12081-CBRE5 BryantEnergy-FTC	35,850
Enercon Services Inc	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Consultat..	15,775
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - Review of Draft Re..	8,447
Energetic Insurance, Inc.	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	25,000
Energy & Resource Solutions, Inc.	Air Source Heat Pumps, TWO 6 - Performance Monitoring	268,531
	Campus/Technical Assistance, Concierge Services - ERS - TWO	67
	Combined Heat and Power, RFP 3643 Tech To Market	179,415
	Commercial New Construc, New Construction	0
	Commercial Real Estate Ten, Efficiency Planning & Engineer	33,095
	Commercial Real Estate Ten, TWO 5 CEF Comm Impact_ERS	20,289
	Electric Vehicles - Innovation, Concierge Services - ERS - TWO	67
	EVALUATION, TWO 3 - GJGNY Audit Only Study	63,891
	EVALUATION, TWO 6 - Performance Monitoring	59,674
	Flexible Tech Assistance, Efficiency Planning & Engineer	25,904
	Geothermal Incentive Program, TWO 6 - Performance Monitoring	268,531
	Industrial Process Effic, Concierge Services - ERS - TWO	242
	Industrial Process Effic, Industrial & Agriculture	273
	Industrial Process Effic, IPE16226	5,000
	Industrial Process Effic, IPE16232	4,532
	Industrial Process Effic, IPE16239	3,512
	Industrial Process Effic, IPE16241	3,109
	Industrial Process Effic, Technical Review and Program S	17,058
	K-12 SCHOOLS, Efficiency Planning & Engineer	0
	K-12 SCHOOLS, TWO 5 CEF Comm Impact_ERS	24
	Multifam Performance Pgm, Concierge Services - ERS - TWO	67
	On-Site Energy Manager, Concierge Services - ERS - TWO	242
	On-Site Energy Manager, Industrial & Agriculture	46,184
	Pay for Performance, TWO 4 - P4P Event Evaluation	4,750
	Real Time Enrgy Management, Concierge Services - ERS - TWO	67
	Real Time Enrgy Management, Efficiency Planning & Engineer	43,421

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Energy & Resource Solutions, Inc.	REV Campus Challenge, Efficiency Planning & Engineer	96,342
	REV Campus Challenge, TWO 5 CEF Comm Impact_ERS	13,395
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	4,948
	Strategic Energy Manager, Industrial & Agriculture	35
	Technical Services, AEAP	5,622
	Technical Services, Cannabis - TWO - ERS	16,634
	Technical Services, Concierge Services - ERS - TWO	67
	Technical Services, Efficiency Planning & Engineer	-6,287
	Technical Services, Westchester Tech Services	36,601
Energy and Environmental Economics Inc.	Community RH&C, TWO 18 for Phase 2 Analysis	3,705
	ENERGY ANALYSIS, 101127 TWO#14	26,810
	ENERGY ANALYSIS, TWO#15 Solar PV Adoption Forec	22,617
	ENERGY ANALYSIS, TWO#21 - NG Avoided Cost Tool	125,713
	ENERGY ANALYSIS, TWO#22 Bldg. Elec. Roadmap	250,000
	EVALUATION, TWO #17 Heat Pump Analysis	1,757
	EVALUATION, TWO# 14 - Grid Value Model	0
	Mkt Char: Tech Assist, TWO 13 - VDER Phase 2	83,348
	Mkt Char: Tech Assist, TWO# 14 - Grid Value Model	9,503
	NYCH: Roadmap, TWO#22 Bldg. Elec. Roadmap	80,959
	OTHER PROGRAM AREA, 101127 TWO#14	80,000
REC:CES REC System Dev Costs, 101127 TWO#14	100,000	
Energy Conservation & Supply, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Energy Improvement Corporation	Community RH&C, PON3723 RH&C Campaigns	23,750
Energy Power investment Company, L..	LARGE SCALE RENEWABLES, Large-Scale Renewables	413,897
Energy Technology Savings, Inc.	Real Time Enrgy Management, Energy Tec-108 W 107th St-RTEM	581
	Real Time Enrgy Management, Energy Tech-131 Varick St-RTEM	581
	Real Time Enrgy Management, Energy Tech-201 E 87th St-RTEM	2,499
	Real Time Enrgy Management, Energy Tech-645 W 45th St-RTEM	1,163
	Real Time Enrgy Management, Energy Tech-2138 1st Ave-RTEM	1,163
	Real Time Enrgy Management, ETS - 21 West End Ave - RTEM	1,800
	Real Time Enrgy Management, ETS - 90 Washington St - RTEM	2,160
	Real Time Enrgy Management, ETS - 101 West End Ave - RTEM	1,800
	Real Time Enrgy Management, ETS - 353 Chester St - RTEM	1,800
Energy Vision	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	10,500
Enermat Technologies, Inc.	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat A	48,125
Enertiv Inc.	Real Time Enrgy Management, Enertiv - 700 8th Ave - RTEM	6,452
	Real Time Enrgy Management, Enertiv - Multisite - RTEM	40,319
	Real Time Enrgy Management, Enertiv-Sibley 250 E Main-RTEM	12,869
Enlighten Solar Inc	>200KW PV, NY-Sun C&I	2,664
Ensave, Inc.	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	13,000
	Agriculture Energy Eff Pgm, AEEP Implementation Contractor	0
	AGRICULTURE ENERGY EFFICIENCY, AEEP Implementation Contractor	0
	Technical Services, AEEP Implementation Contractor	151,036
	Technical Services, Agricultural Best Practices	25,230
Enterprise Community Partners, Inc.	NY-SUN, Enterprise Solar Community	170,000
EnterSolar LLC	>200KW PV, NY Sun	117,965
Environmental Defense Fund	Commercial Real Estate Ten, Support_NYC Carbon Challenge	7,248
Ennix LLC	Energy Storage Tech/Prod Dev, PON 3585 R2	48,618

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Contractor	Contract Description	Total Expended Amount
Erdman Anthony & Associates, Inc.	Commercial New Construc, Commercial New Construction	24,179
	Commercial New Construc, Commerical New Construction	1,173
	Industrial Process Effic, Technical Review and Program S	1,579
	Technical Services, AEAP	4,298
Erie Boulevard Hydropower LP	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	4,152
	LARGE SCALE RENEWABLES, School Street Hydro Project	116,053
	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	183,868
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	17,824
	REC:CES REC Contracts, 11th Main Tier Solicitation	47,965
ESNY-303, LLC	NY-SUN, PV System @ Kinder Morgan Term	666,049
Essense Partners Inc.	Cleantech ICC Engage, Marketing Support for NYSERDA	7,492
	Electric Vehicles - Innovation, Marketing Support for NYSERDA	38,450
	OTHER PROGRAM AREA, Marketing Support for NYSERDA	244,316
Essex County Government Center	CLEANER GREENER COMMUNITIES, CGC31777 - Essex County	5,350
EthosGen, LLC	OTHER PROGRAM AREA, Technology to Market	50,000
Extraterrestrial Materials Inc.	<200KW PV, PON 2112 NY SUN	20,983
Faraday, Inc.	Air Source Heat Pumps, RFP3761 Customer Targeting Too	11,167
	Community RH&C, RFP3761 Customer Targeting Too	91,333
	Informat. Products & Brokering, RFP3761 Customer Targeting Too	0
Fifth Avenue Committee, Inc.	NY-SUN, FAC Solar	59,569
Finger Lakes Extrusion	>200KW PV, NY Sun	27,842
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management	118,601
Flight Center Hotel, LLC	Commercial New Construc, NCP16002 - TWA Hotel	25,000
Florenton River LLC	<200KW PV, PON 2112 NY SUN	8,513
	>200KW PV, NY Sun	6,435
Fordham University	Fuel Cells, Fuel Cell Incentive - FC-013	144,375
ForeFront Power, LLC	>200KW PV, NY Sun	12,216
Forest Hills MHA Housing Developme..	Multifam Performance Pgm, Multifamily	139,750
Forestville Central School District	Flexible Tech Assistance, FT12079 - Forestville CSD -PON	12,000
Four Points Group, Inc.	OTHER PROGRAM AREA, RFQL 3685 R2	12,639
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	83,053
Franklin, County of	Clean Energy Communities, CEC711060 - Franklin County	37,500
Fred F. Collis & Sons, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	7,972
Frederick A Proven	<200KW PV, PON 2112 NY SUN	8,910
Frederick Douglass I 2017, LLC	Multifam Performance Pgm, Multifamily	28,275
Frewsburg Central School	Flexible Tech Assistance, FT12218 - Frewsburg CSD - PON	22,900
Frontier Energy, Inc.	Air Source Heat Pumps, TWO - ASHP Pro Forma	13,138
	Campus/Technical Assistance, Technical Review_Prgm Support	11,998
	COMBINED HEAT AND POWER, CHP System Inspection and ReCo	67,976
	COMBINED HEAT AND POWER, DG Integrated Data System	251,105
	COMBINED HEAT AND POWER, Technical Review_Prgm Support	21,394
	Community RH&C, Technical Review_Prgm Support	7,683
	ENERGY ANALYSIS, TWO - Heat Pump Analysis	16,361
	EVALUATION, Technical Review_Prgm Support	4,946
	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	135,947
	Geothermal Incentive Program, Technical Review_Prgm Support	27,919
	Industrial Process Effic, IPE16163	100
Industrial Process Effic, IPE16254	4,000	

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Contractor	Contract Description	Total Expended Amount
Frontier Energy, Inc.	Industrial Process Effic, Technical Review_Prgm Support	5,559
FS Energy, LLC	Workforce Industry Partnership, PON 3442 Workforce Training	10,400
Fusco Personnel, Inc.	Multifam Performance Pgm, TS.002_Multifamily Coordinator	10,657
	REC:CES REC System Dev Costs, TS.007/TS.016 - Office Adm LSR	25,760
	Retrofit NY, TS.002_Multifamily Coordinator	6,829
Gardline Marine Sciences Inc	Environmental Research, G&G Investigation for OSW	4,141,561
Garlock Sealing Technologies, LLC	Industrial Process Effic, Industrial Process Efficiency	9,822
Gas Technology Institute	ADVANCED BUILDINGS, Advanced Buildings Technology	57,000
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	84,000
	NYCH: Innovation, PON3519 Round 1.	22,050
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce	726,065
GDS Associates, Inc.	Technical Services, Agricultural Best Practices	61,638
Geatain Engineering PLLC	Commercial Real Estate Ten, Geatain - 68 E 131st St FL 5	5,000
	Commercial Real Estate Ten, Geatain - 400 Fifth Avenue	5,000
GenE Solar I LLC	>200KW PV, NY Sun C/I	152,466
	>200KW PV, NY-Sun C/I	447,725
	>200KW PV, NYSun C/I	157,635
General Electric Co. Global Research	On-Site Energy Manager, OsEM23- GE Global Research Cen	63,356
General Electric Company	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	600
	Natl Offshore Wind R&D	600
General Electric International, Inc.	ENERGY ANALYSIS, TWO 2 2019 T&D Reliability Upd	49,900
General Motors	Industrial Process Effic, Industrial Process Efficiency	18,537
Generate NY Community Solar I, LLC	LMI Community Solar, RFP3802 Low Income Comm Solar	115,511
Generate NY Community Solar Lessor II, L	>200KW PV, NY Sun CI Assignment	264,523
	>200KW PV, NYSun CI Assignment	442,546
George E Denmark II	<200KW PV, PON 2112 NY SUN	6,272
Geotherm Inc.	Talent Pipeline:CE and OJT, OJT HIRE	3,765
GIP III Zephyr Acquisition Partners L.P.	LMI Community Solar, RFP3802 Low Income Comm Solar	283,133
Gladstein, Neandross & Associates, L..	Electric Vehicles - Innovation, DCFC Permitting Study	199
Global Common, LLC	Anaerobic Digesters, PON 3739 CAT C	15,000
Global Dwelling, LLC	Talent Pipeline:CE and OJT, OJT HIRE	4,231
	Talent Pipeline:CE and OJT, OJT HIRE	5,769
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, GCA - 1 Penn Plaza	22,435
	Commercial Real Estate Ten, GCA - 111 W 33rd St 20th Fl	5,998
	Commercial Real Estate Ten, GCA - 909 3rd Ave (SVC)	5,000
	Commercial Real Estate Ten, GCA - 1350 Broadway	5,000
	Commercial Real Estate Ten, GCA - 1400 Broadway 21st Floor	9,990
	Commercial Real Estate Ten, GCA-250 W57th	1,200
	Commercial Real Estate Ten, GCA-1400 Broadway	1,261
	Commercial Real Estate Ten, GCA-SLGreen-MultiSites(25)-CTP	28,792
	Commercial Real Estate Ten, Goldman Copeland-100 AoA-CT	10,969
	Commercial Real Estate Ten, Goldman Copeland-155 AoA-CT	10,969
	Commercial Real Estate Ten, Goldman Copeland-350 Park A-CT	10,997
	Commercial Real Estate Ten, Goldman&Copeland-32-36 Cooper	9,980
	Commercial Real Estate Ten, Goldman&Copeland-505 Park Ave	10,997
	Commercial Real Estate Ten, Goldman&Copeland-595 Madison	10,997
	Commercial Real Estate Ten, Goldman&Copeland-667 Madison	18,962
	Commercial Real Estate Ten, Goldman&Copeland-885 Second	11,965

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Contractor	Contract Description	Total Expended Amount
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, GoldmanCopel- 435 Hudson St-CT	10,969
	Flexible Tech Assistance, FT12086-RFR Realty-390Park-FTC	18,997
	Rmve Barriers Dist Enrgy Storg, FT12244-1 Dag Hammarskjold-FTC	11,995
	Technical Services, AGG1006 - GoCo - Portfolio 3	5,000
	Technical Services, FT13003 - 1466 Manor - FTC	12,975
	Technical Services, FT13010 - 40 Fulton - FTC	5,496
	Technical Services, FT13011 - 350 Park - FTC	5,496
	Technical Services, FT13017 - 510 5th Avenue - FTC	11,631
	Technical Services, FT13043 - 245 Park - FTC	15,847
	Technical Services, FT13044 - 304 Park - FTC	14,587
	Technical Services, FT13045 - 595 Madison - FTC	11,978
	Technical Services, FT13046 - 630 Second - FTC	7,989
	Technical Services, FT13049 - 271 Garfield - FTC	8,976
	Technical Services, FT13073 - 888 7th Ave - FTC	4,290
	Technical Services, FT13074 - 909 3rd Ave - FTC	4,319
Technical Services, FT13075 - 595 Madison Ave -FTC	4,074	
Gotham 360 LLC	Remote Energy Management, RFP 3683 REM Program	18,750
Grand Island Solar, LLC	LMI Community Solar, SFA - BlueRock Grand Island	135,467
Graphenix Development Inc.	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	175,000
	Cleantech Ignition, PON 3871 Ignition Grants	48,000
GRE Fund III Holdco LLC	>200KW PV, NY Sun C/I	72,772
Green City Force	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	22,832
Green Eagle Solar IV, LLC Series I	>200KW PV, NY-Sun	253,518
	>200KW PV, NY-Sun C&I Assignment	250,600
Green Hybrid Energy Solutions Inc.	<200KW PV, PON 2112 NY SUN	8,276
	>200KW PV, PON 2112 NY SUN	90,930
Green Light New York, Inc.	Real Time Enrgy Management, Market Engagement Support-RTEM	20,011
Green Street Power Partners LLC	>200KW PV, PON 2112 NY SUN	116,640
	NY-Sun	-86,250
Green Team USA, LLC	WORKFORCE DEVELOPMENT, OJT HIRE	39,738
	WORKFORCE DEVELOPMENT, OJT HIRE DAVID WHITE	1,215
Green Volt Solutions LLC	<200KW PV, PON 2112 NY SUN	33,210
Greenskies Renewable Energy LLC	>200KW PV, NY Sun	24,114
Grid City Electric Corp	<200KW PV, NY-Sun	10,000
	>200KW PV, NY-Sun	18,792
	>200KW PV, PON 2112 NY SUN	102,102
Group-S LLC	Flexible Tech Assistance, FT12211 - 90 Broad - FTC	29,000
	Flexible Tech Assistance, FT12243-TempleIsraelofNR-FTC	8,500
	Flexible Tech Assistance, FT12265 - AST Financial - FTC	9,250
	Real Time Enrgy Management, Group-S - 333 E 69 St - RTEM	35,700
GSPP Grand Island B, LLC	>200KW PV, NY-Sun C&I	162,808
Guidehouse Inc.	Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement	25,159
	ENVIRONMENTAL RESEARCH, TWO 1 - Assessment of Carbon C	15,984
	Environmental Research, TWO #2 Equitable Cooling	78,429
	ENVIRONMENTAL RESEARCH, TWO #3 HFC Mitigation	13,592
	Mkt Char: Tech Assist, Tech Assist, REV Pool	65,787
	NEW YORK GREEN BANK, TWO #1 - Price Forecast	53,805
NEW YORK GREEN BANK, TWO #2 - Bulk Storage	35,000	

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Contractor	Contract Description	Total Expended Amount
Guidehouse Inc.	REV Connect, REV Connect	36,529
	REV Connect, REV Connect Initiative	173,962
	Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement	24,250
Guth Deconzo Consulting Engineers	REV Campus Challenge, RFP3628FlexTechConsultUmbrella	45,558
Halcyon Inc.	Novel Bus Models & Offers, Clean Energy as a Service	95,828
Halcyon, Inc.	<200KW PV, PON 2112 NY SUN	5,600
Harolds Holding LLC	Multifam New Construction, New Construction	41,720
Harris Beach PLLC	Code to Zero, Codes, Products and Standards	0
	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel Servi	2,586
	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Couns..	4,826
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 Outside Counsel ..	4,361
Harris Wiltshire & Grannis LLP	Code to Zero, Codes to Zero Outside Counsel	34,281
	NYSERDA ADMINISTRATION, Outside Counsel for Resource A	2,955
	OREC: Technical Support, RFP3776 Outside Counsel Servic	30,732
	REC:CES REC System Dev Costs, 2020 RES Agreement Support	18,676
Harvest Power, LLC	REC:CES REC System Dev Costs, CES 2.0 Support	155,618
	<200KW PV, NY-Sun	12,197
	>200KW PV, NY Sun	72,624
Hazen & Sawyer, P.C.	>200KW PV, NY-Sun	18,295
	ENVIRONMENTAL RESEARCH, Climate & algal blooms	62,695
	Talent Pipeline:CE and OJT, OJT HIRE	3,145
Healthy Home Energy & Consulting, I..	Talent Pipeline:CE and OJT, OJT HIRE	3,642
	Talent Pipeline:CE and OJT, OJT HIRE JEROR	5,120
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	70,367
Heritage Village Apartments, LLC	Multifam Performance Pgm, Multifamily	89,600
HESP Solar, LLC	>200KW PV, NY-Sun C&I	66,097
HEVO Inc.	CLEAN TRANSPORTATION, PON 3198 HEVO	95,000
Hodgson Russ LLP	NYSERDA ADMINISTRATION, RFP 3300 & RFP 3776 Outside Co	799
Holland & Knight LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	47,821
Hollygrove Solar, LLC	>200KW PV, NY-Sun C&I	215,927
Homeridae LLC	>200KW PV, NY-Sun C&I	267,992
Honeywell International Inc.	3695 TWO Umbrella Agreement	40,124
	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	7,248
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO U..	0
	EMPOWER NY, 3695 TWO Umbrella Agreement	121,980
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	184,990
	HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO Umbrella Agre..	0
Houghton College	RENEWABLE HEAT NY, RHHY Pellet Stove QA Services	3,110
	Technical Services, OSEM28-C - Houghton College	39,481
	Workforce Industry Partnership, PON 3715 Workforce Training	410
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	110,741
	LARGE SCALE RENEWABLES, Howard Wind Farm	949,550
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	132,240
Hudson River Housing, Inc.	Low Rise New Construction, New Construction	66,800
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	6,461
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	134,400
Hudson Solar	>200KW PV, NY Sun	19,926
Hudson Valley Clean Energy Inc.	<200KW PV, PON 2112 NY SUN	109,884

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Contractor	Contract Description	Total Expended Amount
Hudson Valley Wind Energy, LLC	<200KW PV, PON 2112 NY SUN	8,750
Hunter Mountain Ski Bowl Inc.	Industrial Process Effic, Industrial Process Efficiency	128,318
Huron Real Estate Associates, LLC	On-Site Energy Manager, OsEM5-I Huron Campus	24,335
Hydronic Specialty Supply	RENEWABLE HEAT NY, Smart Pre-Assembly for Boilers	70,000
Hyland Facility Associates	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	139,701
HyperGen Inc	NYSERDA ADMINISTRATION, PeopleSoft Support Services	637,706
ICF Incorporated LLC	EVALUATION, TWO 1 -GJGNY Audit Only Impact	1,751
ICF Jones & Stokes	ENVIRONMENTAL RESEARCH, NYS Energy Research and Develo	13,787
ICF Resources, LLC	ADVANCED ENERGY CODES, ECode Microsite	0
	Air Source Heat Pumps, P12 Clean Energy Screening TWO	7,704
	Campus/Technical Assistance, Natural Gas Constrained Area	35,229
	Campus/Technical Assistance, P12 Clean Energy Screening TWO	30,309
	Code to Zero, ECode Microsite	13,770
	Combined Heat and Power, TWO #5 - RNG Potential	31,046
	ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	111,014
	ENERGY ANALYSIS, Tech Assist, REV Pool	71,348
	Environmental Research, TWO #5 - RNG Potential	7,762
	K-12 SCHOOLS, P12 Clean Energy Screening TWO	7,577
	OREC: Technical Support, Tech Assist, REV Pool	60,000
	OREC: Technical Support, TWO 7, OSW Resiliency Study	49,582
	OTHER PROGRAM AREA, Tech Assist, REV Pool	1,275
iCone Products, LLC	CLEAN TRANSPORTATION, Connecting WNY Work Zones	6,800
Imperial Manor Associates LLC	Multifam Performance Pgm, Multifamily	70,800
Incorporated Village of Upper Brookvi..	CLEANER GREENER COMMUNITIES, Upper Brookville	21,413
Industrial Economics, Incorporated	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	143,052
	Code to Zero, TWO 1 StretchtoZero	26,335
	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	5,432
	Environmental Research, TWO#4 Climate Econ. Impact	75,718
	EVALUATION, TWO 1 EE Supply Curve Analysis	0
	EVALUATION, TWO 1 Grid Moderniz Case Study	5,752
	High Performing Grid, TWO 1 Grid Moderniz Case Study	5,752
	Mkt Char: Tech Assist, TWO 1 EE Supply Curve Analysis	42,901
	NYSERDA ADMINISTRATION, Research of Indian Point Purch	9,974
	OTHER PROGRAM AREA, TWO 2 New York State Truck – V	20,436
INF Associates LLC	Commercial Real Estate Ten, INF Associates LLC - Multisite	116,912
	Commercial Real Estate Ten, INF-1745BroadwayMultisite-CTP	9,826
	Commercial Real Estate Ten, INF-Multisites (1345 AoA)	100,000
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	20,580
Innovative Energy Systems, LLC	LARGE SCALE RENEWABLES, DANC LFGE	179,712
Institute for Building Technology and Sa	<200KW PV, RFQL 3434 IBTS Standards & QA	2,988
	<200KW PV, TWO No. 7 NY-Sun C&I QA TWO	1,193
	ADVANCED ENERGY CODES, Energy Code Training: EPros	8,109
	COMMUNITY SOLAR, RFQL 3434 IBTS Standards & QA	748
	COMMUNITY SOLAR, TWO No. 7 NY-Sun C&I QA TWO	298
	EMPOWER NY, RFQL 3434 IBTS Standards & QA	0
	ESTOR: Implementation Support, TWO 2 Cat 1 Energy Storage	500
	Home Perf w Energy Star, RFQL 3434 IBTS Standards & QA	0
	NY-SUN, RFQL 3434 IBTS Standards & QA	22,836

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Contractor	Contract Description	Total Expended Amount
Institute for Building Technology and Sa	NY-SUN, TWO 4 NYSUN Res NonRes	66,839
	NY-SUN, TWO No. 7 NY-Sun C&I QA TWO	9,123
	RFQL 3434 IBTS Standards & QA	0
InTech Energy, Inc.	Real Time Enrgy Management, IE-2619 Francis Lewis Blv-RTEM	30,169
Integral Building & Design, Inc.	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	75,000
	Talent Pipeline:CE and OJT, OJT HIRE	6,307
Integrated Solar Technology, LLC	OTHER PROGRAM AREA, Technology to Market	175,000
IntelliGen Power Systems, LLC	Combined Heat and Power, CHPA - 1952-56 1st Ave	261,122
Interface Solutions, Inc.	On-Site Energy Manager, OsEM9-I-Interface Performance	25,588
International Electronic Machines Corp.,	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	66,481
	CLEAN TRANSPORTATION, WISE Wheel Profile Demo	10,445
Interstate Renewable Energy Council, ..	Workforce Industry Partnership, PON 3715 Workforce Training	22,149
Intrada Saratoga Springs, LLC	Low Rise New Construction, New Construction	114,800
IRE Solar 1, LLC	>200KW PV, PV System @ City of Utica 2	75,587
J Synergy Green Inc	WORKFORCE DEVELOPMENT, OJT HIRE	5,982
Jaros, Baum & Bolles	Commercial Real Estate Ten, JB&B - 1 Pennsylvania Plaza	30,478
	Flexible Tech Assistance, FT12094_125 Broad-CushWake-FTC	40,780
	Flexible Tech Assistance, FT12216 - 55 Water - FTC	38,642
	Flexible Tech Assistance, FT12274 - 80 Pine - FTC	14,217
	Technical Services, Indoor Air Quality TWO - JB&B	33,087
Jason Salfi	OTHER PROGRAM AREA, Innovation Advisory Services	8,888
Jasper Van den Munckhof	Retrofit NY, Multifamily	6,750
JC Solutions LLC	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	99,677
	Natl Offshore Wind R&D	99,677
Jefferson Community College	Technical Services, OsEM17-C Jefferson Community	9,167
Jefferson Solar, LLC	>200KW PV, NY-Sun C&I	191,633
JEM ENGINEERING SERVICES	High Performing Grid, PN3770 Model Fault overvoltage	42,583
	High Performing Grid, PON 3397 Round 2 - Category A	33,371
Jericho Rise Wind Farm, LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,446,007
John Siegenthaler	Renewable Heat NY, RFP 3165 Hydronic System Desig	22,300
Johnstown 2 Solar, LLC	>200KW PV, NY Sun C&I	451,886
Jones Lang LaSalle Americas, Inc.	Commercial Real Estate Ten, JLL Americas-Multisite	24,873
	Commercial Real Estate Ten, JLL - Multisite	45,000
	Commercial Real Estate Ten, JLL Americas, Inc-Multisite	40,000
	On-Site Energy Manager, OsEM25-I - IBM North Castle	41,405
	On-Site Energy Manager, OsEM29-I - IBM Poughkeepsie	73,868
Jordan Energy and Food Enterprises ..	<200KW PV, PON 2112 NY SUN	10,863
Joseph R Chimera	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	85,328
Joule Assets Inc	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	75,500
JouleSmart Solutions, Inc.	Real Time Enrgy Management, Joule Smart-Multisite-RTEM	8,869
	Real Time Enrgy Management, JouleSmar-500 Yonkers Ave-RTEM	17,896
	Real Time Enrgy Management, JouleSmart - MultiSite - RTEM	41,010
	Real Time Enrgy Management, YonkersHonda-2000Central-RTEM	8,395
Kamtech Restoration Corp	>200KW PV, PON 2112 NY SUN	18,170
Kasselman Solar LLC	<200KW PV, NY-Sun	38,344
	<200KW PV, PON 2112 NY SUN	36,663
Kawi Energy Group Corp.	Commercial Real Estate Ten, Kawi Energy Group - Multisite	8,503
	Commercial Real Estate Ten, Kawi Energy Group-Multisite	7,010

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Contractor	Contract Description	Total Expended Amount
Kearns & West, Inc.	Consumer Ed and Market Support, TWO 1 - RMAG	13,986
Kearsarge Johnstown 1 LLC	>200KW PV, NY-Sun C/I	171,046
Kearsarge Johnstown 2 LLC	>200KW PV, NY-Sun C/I	236,330
Kelliher Samets Volk	Air Source Heat Pumps, Marketing Support for NYSERDA	15,241
	Code to Zero, TWO 26 Codes Marketing	3,910
	Commercial Real Estate Ten, Marketing Support for NYSERDA	7,112
	Community RH&C, Marketing Support for NYSERDA	38,103
	Consumer Awareness, KSV TWO 30 Consumer Awareness	320,948
	Consumer Ed and Market Support, Marketing Support for NYSERDA	126,640
	ENERGY ANALYSIS, TWO 27: 2019 SEP Marketing	13,048
	ESTOR:Consumer Education, KSV TWO 31 Energy Storage	29,880
	Flexible Tech Assistance, Marketing Support for NYSERDA	11,443
	Geothermal Incentive Program, Marketing Support for NYSERDA	38,103
	Home Perf w Energy Star, KSV TWO 32 LMI Website Hub	71,140
	Home Perf w Energy Star, Marketing Support for NYSERDA	23,538
	Industrial Process Effic, TWO 23: Industrial Mktg	24,543
	LMI Community Solar, Marketing Support for NYSERDA	623
	Market Tests, TWO 22 Building Labeling Mkt	6,435
	Multifam Performance Pgm, Marketing Support for NYSERDA	51,368
	New Construction LMI, Marketing Support for NYSERDA	12,750
	New Construction LMI, TWO 28 Carbon Neutral Bldgs	78,255
	New Construction- Commercial, TWO 28 Carbon Neutral Bldgs	39,127
	NY-SUN, Marketing Support for NYSERDA	124,618
	NYSERDA ADMINISTRATION, TWO 29 Global Paid Search	2,380
	NYSERDA ADMINISTRATION, TWO 33: Social Media Support	77,733
	On-Site Energy Manager, TWO 23: Industrial Mktg	32,723
	Real Time Enrgy Management, Marketing Support for NYSERDA	16,247
	Real Time Enrgy Management, TWO 23: Industrial Mktg	16,362
	Renewable Heat NY, Marketing Support for NYSERDA	5,080
	Retrofit NY, Marketing Support for NYSERDA	48,313
	Strategic Energy Manager, TWO 23: Industrial Mktg	24,543
	Workforce Industry Partnership, Marketing Support for NYSERDA	28,815
Key Bank	>200KW PV, NY-Sun	334,488
	ESTOR:Retail Storage Incentive, Energy Storage	464,000
Kiit Renewable Energy LLC	>200KW PV, Commercial/Industrial PV	85,506
Kilowatt Engineering, Inc.	Commercial Real Estate Ten, FlexTech Consultant Selection	18,627
	Industrial Process Effic, 2621 Umbrella Contract	8,140
	Industrial Process Effic, Industrial Process Efficiency	6,577
	Industrial Process Effic, IPE16242	6,206
	Industrial Process Effic, IPE16243	3,452
	Industrial Process Effic, IPE16252	19,767
	Industrial Process Effic, IPE16253	19,933
	Industrial Process Effic, IPE16255	12,725
	Industrial Process Effic, IPE16256	10,318
	Industrial Process Effic, IPE16257	6,838
	Industrial Process Effic, IPE16258	6,486
	Industrial Process Effic, IPE16260	13,407
	Industrial Process Effic, IPE16261	7,207

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Contractor	Contract Description	Total Expended Amount
Kilowatt Engineering, Inc.	Industrial Process Effic, IPE16262	9,716
	Industrial Process Effic, IPE16263	8,595
	Industrial Process Effic, IPE16264	7,938
	Industrial Process Effic, IPE16265	7,800
Kingston, City of	CLEANER GREENER COMMUNITIES, CGC29936 - City of Kingston	510,642
KLD Engineering, P.C.	CLEAN TRANSPORTATION, ICM Framework Suffolk County	12,647
KPMG LLP	NEW YORK GREEN BANK, Audit Services	29,013
	NYSERDA ADMINISTRATION, Audit Services	87,038
L&S Energy Services, Inc.	ANAEROBIC DIGESTER, ADG - L&S - TWO	1,128
	Campus/Technical Assistance, Umbrella Contract	2,604
	Combined Heat and Power, ADG - L&S - TWO	1,128
	Combined Heat and Power, Umbrella Contract	10,997
	Commercial New Construc, RFP3771 Umbrella Contract	34,358
	Commercial Real Estate Ten, FlexTech Consultant Selection	27,072
	Flexible Tech Assistance, L&S GJGNY Energy Audits	161,101
	Flexible Tech Assistance, Umbrella Contract	31,389
	FLEXIBLE TECHNICAL ASSISTANCE, Umbrella Contract	0
	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	4,449
	Geothermal Incentive Program, Umbrella Contract	1,811
	GJGNY REVOLVING LOAN FUND, L&S GJGNY Energy Audits	21,730
	Industrial Process Effic, Industrial Process Efficiency	236
	Industrial Process Effic, IPE16235	373
	Industrial Process Effic, Umbrella Contract	49,293
	INDUSTRIAL PROCESS EFFICIENCY, Umbrella Contract	0
	On-Site Energy Manager, Umbrella Contract	8,623
	REV Campus Challenge, RM43 - Paul Smith's College	11,441
	REV Campus Challenge, Tech Assistance for Roadmaps	14,252
	REV Campus Challenge, Umbrella Contract	18,897
Technical Services, RFP3628FlexTechConsultUmbrella	5,000	
Technical Services, Tech Review - OsEM	11,905	
LaBella Associates, P.C.	Commercial New Construc, New Construction	9,460
	Flexible Tech Assistance, FT12278 - 3 Pultney - FTC	21,901
	Geothermal Incentive Program, Large-Scale GSHP Rebate	76,800
	Industrial Process Effic, Technical Review and Program S	2,618
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
LastMile Energy, LLC	>200KW PV, PON 2112 NY SUN	44,319
Launch New York, Inc.	Cleantech ICC Engage, Launch NY ECO Incubator	389,000
	Cleantech Incubator, Launch NY ECO Incubator	149,000
LC DRives	OTHER PROGRAM AREA, PON 3249 Advanced Clean Energy	43,390
Leidos Engineering of New York, P.C.	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUmbrella	342
Lemor Development Group, LLC	Multifam New Construction, MFNCP - Balton Commons	9,250
Levitan & Associates, Inc.	OREC: Technical Support, Large-Scale Renewables	167,639
	REC:CES REC System Dev Costs, Large-Scale Renewables 2020 So	68,240
Lewis Custom Homes, Inc.	Low Rise New Construction, 2019 LRNCP	11,750
Liberty Affordable Housing, Inc.	Multifam Performance Pgm, Multifamily	6,050
Libolt & Sons, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	30,720
Lincoln Center for the Performing Arts	Technical Services, OsEM10-Lincoln Center Perform	9,788
Linwood Lafayette LP	Low Rise New Construction, New Construction	37,000

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Contractor	Contract Description	Total Expended Amount
Livingston 4 Solar, LLC	>200KW PV, NY Sun C&I	459,930
Local 32BJ Thomas Shortman Training	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	5,150
	Workforce Industry Partnership, PON 3715 Workforce Training	11,407
Long Island High Technology Incubat..	Cleantech Incubator, PON3413 Clean Energy Incubator	237,500
Long Island Power Authority	NY-SUN, LIPA MOU RGGI Compliance Progr	12,500,000
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	5,000
	>200KW PV, PON 2112 NY SUN	8,225
Loring Consulting Engineers, Inc.	Flexible Tech Assistance, FT12099 – 25-30 Columbia – FTC	1,566
Luminate, LLC	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	7,927
	Outside Technical and Eng. Srv	5,920
M/E Engineering, P.C.	Commercial New Construc, Commercial New Construction	26,950
	Commercial New Construc, New Construction	13,055
	Commercial New Construc, RFP3771 Umbrella Contract	10,150
	Commercial Real Estate Ten, M/E Eng- 720 Warner Road	5,000
	New Construction- Commercial, Commercial New Construction	22,170
	REV Campus Challenge, RM30-Cornell University-FTC	82,463
	Technical Services, Westchester Tech Services	27,130
Maalka Inc	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Malcarne Contracting, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	24,962
Malta Development Company Inc	Low Rise New Construction, 2019 LRNCP	950
	Low Rise New Construction, New Construction	6,650
Manifold Robotics, Inc.	High Performing Grid, PON4074 High Perfrm Grid Prgr	40,000
Marble River Wind Farm LLC	LARGE SCALE RENEWABLES, Marble River Wind Farm	4,113,080
Marsh Hill Energy, LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	896,407
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, Property Liability and Other	19,814
	NYSERDA ADMINISTRATION, RFP 4301 Insurance	241,461
Martin Energy Group Services, LLC	Combined Heat and Power, CHPA-Amalgamated Housing Corp	66,738
Martin J. Wolff	Pub Transit & Elect Rail, Magnetic rail propulsion study	60,658
Mastercard International	>200KW PV, NY Sun	36,504
Maurice I Schwartz Towers Inc	Multifam Performance Pgm, Multifamily	28,200
McMahon and Mann Consulting Engineers	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Services WV	129,949
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 2 - Evaluation of Mitigati	22,540
Mechanical Energy Solutions LLC	Combined Heat and Power, CHPA - 1540 Broadway	522,048
Mechanical Solutions, Inc.	NYCH: Innovation, Two Stage Centrifugal Compress	11,000
Mecklenburg Solar LLC	>200KW PV, NY-Sun C/I	108,944
Medusa NY 1 LLC	>200KW PV, NY-Sun	350,123
Meister Consultants Group, Inc.	Commercial Market Mapping, NYSERDA-Utility Collaboration	31,024
	REV Campus Challenge, Efficiency Planning & Engineer	42,122
Memorial Sloan Kettering Cancer Cent..	Industrial Process Effic, Industrial Process Efficiency	21,412
Metropolitan Transportation Authority	High Performing Grid, PON 3397 CAT D	400,000
Metropolitan Washington Council	OTHER PROGRAM AREA, DOE UER - MWCOG	2,141
Micatu, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	20,690
	Talent Pipeline:CE and OJT, Workforce Dev & Train	5,120
Michael Robinson	Buildings of Excellence, Buildings of Excellence R1	15,888
Michaels Group Homes, LLC	New Construction LMI, 2019 LRNCP	7,600
Micro Nano Technologies	NYCH: Innovation, PON3519 Round 1	95,000
MIDDLESEX-YATES SOLAR LLC	>200KW PV, NY-Sun C&I	769,061
Middletown NY 1, LLC	>200KW PV, NY-Sun C&I	344,873

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Contractor	Contract Description	Total Expended Amount
Middletown NY 2, LLC	>200KW PV, NY-Sun C&I	139,528
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYT_VIP	60,000
	CLEAN TRANSPORTATION, NYT-VIP	120,000
MIMiC Systems Inc	NYCH: Innovation, NextGen HVAC Innovation	48,000
Minaville North Solar 1, LLC	>200KW PV, Commerical/Industrial PV	144,744
Minaville South Solar 1, LLC	>200KW PV, NY-Sun C&I	119,913
Minaville West Solar 1, LLC	>200KW PV, NY-Sun C&I	141,706
mindSHIFT Technologies, Inc.	NYSERDA ADMINISTRATION, RFP 3919-Sitecore CMS Admin	256,875
MJW Technical Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	11,198
MLK Plaza LLC	Multifam New Construction, PPES T2 MLK Plaza	25,000
Mobileware Inc	Pub Transit & Elect Rail, On-demand commuter carpooling	30,970
Mohawk Innovative Technology, Inc.	OTHER PROGRAM AREA, PON 3249 ACE	72,566
Mohawk Valley Economic Developme..	Community Energy Engagement, CEEP Mohawk Valley Region (MVE)	27,078
Mohawk Valley Solar Partners, LLC	>200KW PV, PV System @ Mohawk Valley Comm	342,118
Molecular Glasses, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	20,000
	OTHER PROGRAM AREA, Technology to Market	25,000
Molloy College	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	43,676
Montgomery County Treasurer	Clean Energy Communities, CEC610859-Montgomery County	37,500
Morgan Stanley Services Holding, LLC	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	65,180
Morse Manufacturing Company Inc	Industrial Process Effic, Industrial Process Efficiency	6,709
Mount Hope Solar 2, LLC	>200KW PV, NY-Sun C/I	512,653
Mount Sinai Medical Center	Technical Services, OsEM - Mount Sinai Hospital	33,333
	Technical Services, OSEM34-C - Mount Sinai West	50,000
	Technical Services, OsEM35 - Mount Sinai St Lukes	41,667
	Technical Services, OsEM-Icahn School of Medicine	50,000
Munson Williams Proctor Arts Institute	Technical Services, OSEM38-C - MWPAI	8,320
Nagle House, Inc.	Multifam Performance Pgm, Multifamily	58,500
NanoHydroChem	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	28,178
National Elevator Cab and Door	Industrial Process Effic, Industrial Process Efficiency	29,944
National Oilheat Research Alliance	NYCH: Innovation, NextGen HVAC Innovation	3,564
National Renewable Energy Laboratory	Environmental Research, ENV & Fisheries Rsrch for OSW	29,345
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, National OSW R&D Concorcium.	102,257
	National OSW R&D Concorcium.	89,302
Natural History Museum of the Adiron..	Environmental Research, Wild Ctr Clim Change Outreach	1,000
Navigant Consulting Inc.	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	0
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	0
	Mkt Char: Tech Assist, Tech Assist, REV Pool	28,042
	Technical Services, RFQ3183 Umbrella Agreement	0
NESCAUM	ENVIRONMENTAL RESEARCH, 123059 TWO#5	31,823
	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	184,393
	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	182,866
	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assessment	59,009
	ENVIRONMENTAL RESEARCH, TWO #7 LISTOS Air Quality Mode	23,315
	ENVIRONMENTAL RESEARCH, TWO #8 Wood Analytical	39,102
	OTHER PROGRAM AREA, Tech Assist, REV Pool	0
	OTHER PROGRAM AREA, TWO #6 VOCs on Staten Island	72,795
	Renewable Heat NY, 123059 TWO#5	19,371
RENEWABLE HEAT NY, Next Gen Test Methods Research	39,728	

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NESCAUM	Renewable Heat NY, RFQL3685 Round 1	72,933
	RENEWABLE HEAT NY, Tech Assist, REV Pool	7,282
	RENEWABLE HEAT NY, Wood Pellet Standard	2,304
Net-Zero Development LLC	Buildings of Excellence, Buildings of Excellence R1	112,500
New Buildings Institute, Inc.	Code to Zero, Codes	0
	Code to Zero, Task Wok Order #2	630
	Code to Zero, TWO #3 - Policy Research	57,629
	Code to Zero, TWO#1 Roadmap Zero Carbon Blds	3,513
	New Construction LMI, New Construction	0
	New Construction- Commercial, New Construction	0
New Energy Equity LLC	>200KW PV, Commercial/Industrial	140,811
	>200KW PV, Commercial/Industrial -	191,971
	>200KW PV, commerical industrial PV	106,083
New Energy Nexus New York LLC	Cleantech POCC, Cleantech Accelerator	470,000
New England Solar & Green Solutions..	<200KW PV, NY-Sun	6,080
New England Waste Services of NY Inc.	LARGE SCALE RENEWABLES, Clinton Co. Landfill	86,940
New Savoy Park Porfolio LLC	Multifam Performance Pgm, Multifamily	1,267,000
New York Battery and Energy Storage	Rmve Barriers Dist Enrgy Storg, TWO #4	75,762
New York City Housing Authority	CLEANER GREENER COMMUNITIES, CGC56950 - NYC DEP	356,750
New York Homeowners Construction ..	Talent Pipeline:CE and OJT, OJT HIRE	1,506
New York Power Authority,	High Performing Grid, PON 3770	402,000
New York State Marine	CLEAN TRANSPORTATION, NYS Canal Marine Freight	3,407
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	42,073
New York University	Cleantech Incubator, PON3413 Clean Energy Incubator	447,250
Newburgh Housing Authority	Multifam Performance Pgm, Multifamily	13,000
	Technical Services, FT13020 - Newburgh - PON	7,500
Newport Ventures, Inc.	Code to Zero, Newport TWO #1 Training	136,884
	Code to Zero, TWO2 NYStretch Outreach	42,480
Nexamp Inc	LMI Community Solar, RFP3802 Low Income Comm Solar	135,572
Nexant, Inc.	Electric Vehicles - Innovation, TWO #1	27,325
	MARKET PATHWAYS, Behavioral Demonstrations Prog	92,754
Nexant, Incorporated	Industrial Process Effic, Industrial Process Efficiency	6,184
	Industrial Process Effic, Technical Review and Program S	739
Next Generation Solar, LLC	<200KW PV, NY-Sun	8,481
	<200KW PV, PON 2112 NY SUN	5,119
NextCorps Inc	Cleantech POCC, Cleantech Accelerator	150,000
	M-Corps, ACT Prototypes to Mass Prod NY	280,000
Nextera Energy Capital Holdings Inc	>200KW PV, General Electric 1	518,931
	>200KW PV, General Electric 2	378,372
	>200KW PV, General Electric 3	412,592
	>200KW PV, General Electric 4	351,750
	>200KW PV, SUNY Poly Selkirk 1	421,349
	>200KW PV, SUNY Poly Selkirk 2	352,764
	>200KW PV, SUNY Poly Selkirk 3	339,238
	>200KW PV, SUNY Poly Selkirk 4	356,828
	NY-SUN, PV System - Oneida County Sutl	384,526
	NY-SUN, PV System @ Oneida County Sutl	517,079
Niagara Frontier Transportation Autho..	CLEAN TRANSPORTATION, Integrated Corridor Management	70,460

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NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	253,860
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	14,002
Nixon Peabody LLP	NYSERDA ADMINISTRATION, Loan Loss Reserve PON Review	12,016
NOHMs Technologies, Inc.	Energy Storage Tech/Prod Dev, PON 3585 Round 3 Cat B	37,238
Norampac, Ind., Inc.	Industrial Process Effic, Industrial Process Efficiency	31,233
Noresco LLC	Code to Zero, TWO1-ENERGY STAR NYSTRETCH	27,000
Normandeau Associates, Inc.	Environmental Research, Digital Aerial Baseline Survey	218,492
North American Passive House Netwo..	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	74,101
North Park Innovations Group, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 3	18,945
North River Meadows NY TC LP	Multifam Performance Pgm, Multifamily	21,400
Northeast Green Building Consulting, ..	Code to Zero, TWO#1 NYStretch Outreach	15,784
Northeast Projects LLC	Buildings of Excellence, BoE Rnd 1 - Design Team InceR1	3,972
Northeast States for Coordinated Air ..	Environmental Research, NY climate clearinghouse	5,168
Northeast Wind Partners II LLC	LARGE SCALE RENEWABLES, Steel Winds II	206,720
Northern Plains Power Technologies	High Performing Grid, PON3770 DER Screening Guide	9,811
	High Performing Grid, PON3770: Detection of 1ph open	40,560
Northwell Health, Inc.	Technical Services, OsEM21-C Northwell Health	57,750
NORWICH - CHENANGO SOLAR, LLC	>200KW PV, NY-Sun C&I	2,533,663
Novel Approaches Solar Applications,..	<200KW PV, PON 2112 NY SUN	36,006
NP Environmental LLC	Talent Pipeline:CE and OJT, OJT HIRE	6,746
NuWorld Lighting Solutions Inc	WORKFORCE DEVELOPMENT, OJT HIRE	16,390
	WORKFORCE DEVELOPMENT, OJT HIRE Christopher McDaniel	2,390
NY CDG 001 LLC	>200KW PV, NY-Sun	57,828
NY Dryden I, LLC	>200KW PV, NY Sun c&I	640,839
NY RNM Project1, LLC	>200KW PV, NY-Sun	201,383
	>200KW PV, NY-SUN C&I	257,240
	>200KW PV, NY-Sun C&I (Assignment)	208,168
NY RNM Project2, LLC	>200KW PV, NY Sun C&I	5,095
	>200KW PV, NY-SUN C&I	214,206
NY RNM Project3, LLC	>200KW PV, NY-Sun C/I	7,481
NY RNM Project4, LLC	>200KW PV, NY-SUN C&I	180,800
NY Thompson II, LLC	>200KW PV, Ny Sun C&I	214,008
NYC Partnership Housing Dev. Fund Co.	Multifam Performance Pgm, Multifamily	49,300
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	0
NYS Department of Health	>200KW PV, NY Sun	20,278
NYS Labor Management Cooperation ..	Talent Pipeline:CE and OJT, PON3981 Round 4	114,120
NYS Office of Parks, Recreation and	<200KW PV, NY Sun	5,952
	<200KW PV, PON 2112 NY SUN	22,743
NYS Olympic Regional Development ..	Industrial Process Effic, Industrial Process Efficiency	124,713
NYU Langone Hospitals	COMBINED HEAT AND POWER, CHP Performance Program	1,551,539
	Technical Services, OsEM13-C - NYU Langone Health	18,122
O'Brien & Gere Engineers, Inc.	Industrial Process Effic, SEM_WRRF_O'Brien&Gere_TWO	9,409
	New Construction- Commercial, Commercial New Construction	56,595
	New Construction- Commercial, TWO PON 3943 - SF167681	41,194
O'Connell Electric Company	<200KW PV, NY-Sun	88,493
Oakvale Construction Co. Ltd.	LARGE SCALE RENEWABLES, Black Brook Hydro	29,025
Ocean Tech Services LLC	Off-Shore Wind Pre-Dev Act, RFP 3855 Metocean Cat. 1: FLSS	492,086
Office of the Brooklyn Borough Presid..	Community RH&C, Cap Dist Heat & Cool Smart Cam	113,500

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Contractor	Contract Description	Total Expended Amount
Ogdensburg Solar Partners, LLC	>200KW PV, PV System @ Ogdensburg Bridge	148,188
OLA Consulting Engineers, P.C.	Technical Services, FT13014 - GSMT - FTC	8,362
	Technical Services, Westchester Tech Services	29,699
OLEDWorks LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	40,000
Olena Butternut LLC	Multifam Performance Pgm, Multifamily	12,600
Onondaga Community College	Technical Services, OsEM19-C Onondaga Com College	11,227
OnRout Co.	OTHER PROGRAM AREA, Dynamic Pricing for Parcels	31,820
Opinion Dynamics Corporation	Clean Energy Communities, RFQ3183 Umbrella Agreement	7,104
	Cleantech Startup Growth, RFQ3183 Umbrella Agreement	16,607
Orange and Rockland Utilities, Inc.	SMART GRID SYSTEMS, EPTD Smart Grid	249,730
Orange EV LLC	CLEAN TRANSPORTATION, NYT-VIP	140,080
Otsego County Conservation Associa..	Community RH&C, PON3723 RH&C Campaigns	33,000
PA Consulting Group	ENERGY ANALYSIS, TWO #3 Nat. Gas Tech. Support	499,679
Pace University School of Law	>200KW PV, CGC31911 - Pace Law School	277
	CLEANER GREENER COMMUNITIES, CGC31911 - Pace Law School	10,005
Pactiv Corp.	Industrial Process Effic, Industrial Process Efficiency	27,989
Pamal Broadcasting Ltd	>200KW PV, NY-Sun C/I	230,147
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	94,767
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Commercial New Construction	42,568
	Commercial New Construc, New Construction	5,557
	Commercial New Construc, RFP3771 Umbrella Contract	4,692
	New Construction- Commercial, Commercial New Construction	41,347
Pathstone Corporation	Community Energy Engagement, CEEP Finger Lakes Region (PATH)	20,042
Pathstone Housing Action Corporation	Low Rise New Construction, New Construction	153,500
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	6,224
Pearl Solar, LLC	>200KW PV, NY-Sun C&I	179,341
Penrose LLC	New Construction LMI, 2019 MFCNP	37,700
People United for Sustainable Housing In	Community Energy Engagement, CEEP Western New York Region	104,672
	Community RH&C, Community CH&C Dev in WNY	15,000
Pepsi-Cola Technical Operations, Inc.	>200KW PV, NY-Sun	70,737
Pepsico, Inc.	>200KW PV, NY-Sun	601,176
Performance Systems Development	Code to Zero, PSD TWO #1 Training	40,755
Performance Systems Development, I..	Market Tests, TWO 3 - HPR OpenStudio/EPI	291,805
Petrecky Consulting LLC	OTHER PROGRAM AREA, RFP 3859	22,275
Phase Innovations LLC	NYCH: Innovation, Modular Membrane Dehumidifying	55,529
Plugin Stations Online, LLC	Talent Pipeline:CE and OJT, OJT HIRE	16,640
PlugPV, LLC	<200KW PV, NY-Sun	5,376
	<200KW PV, PON 2112 NY SUN	101,681
Polytechnic University of NYU	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Concep..	272,500
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT HIRE	5,576
Powerhouse Dynamics, Inc	Real Time Enrgy Management, Powerhouse - Multisite - RTEM	2,736
	Real Time Enrgy Management, Powerhouse-Five Below-RTEM	3,749
Premier Solar Solutions LLC	>200KW PV, NY Sun	25,488
	>200KW PV, PON 2112 NY SUN	136,743
Prescriptive Data	Real Time Enrgy Management, Prescriptive - 1330 AoA - RTEM	12,618
	Real Time Enrgy Management, Prescriptive-630 3rd Ave-RTEM	2,750
	Real Time Enrgy Management, Prescriptive-1540Broadway-RTEM	331,185
	Real Time Enrgy Management, PrescriptiveData-383MadAv-RTEM	36,000

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Contractor	Contract Description	Total Expended Amount
Price Chopper Operating Company of NY	Commercial New Construc, NCP15001 - Market 32 Ft Edward	50,674
	Commercial New Construc, NCP15019--Market32 VF-OFLT	65,617
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	5,863
ProjectEconomics, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	52,000
ProsumerGrid, Inc	76 West, 76 West Clean Energy	100,000
Providence Housing Development Cor..	Low Rise New Construction, 2019 LRNCP	37,000
Pterra, LLC	High Performing Grid, PON3770 Overvoltage Protection	118,620
	High Performing Grid, PTerra work for ITWG	1,400
Pvillion Technologies, LLC	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Quanta Technology LLC	DER Integration(Intrcnct), Next Generation DER Gateway	36,466
	High Performing Grid, PON 3397 Round 2 - Category A	92,990
Queens Center REIT, LLC	FUEL CELLS, RPS FC - Macerich Mall meter #	1,260,000
Quest Energy Group	Commercial Real Estate Ten, Quest Energy Group-350 5th Ave	7,500
	Commercial Real Estate Ten, Quest Energy Grp-1400 Broadway	8,750
	Commercial Real Estate Ten, QuestEnergyGrp-1359 Broadway	7,500
QwikSolar, LLC	<200KW PV, NY-Sun	10,363
	<200KW PV, PON 2112 NY SUN	36,617
R3 Energy Management Audit & Review, LLC	Real Time Enrgy Management, CardinalHS-650 Grand Conc-RTEM	17,850
	Real Time Enrgy Management, Jack Resnick-8 W 40th St-RTEM	3,600
	Real Time Enrgy Management, P Clabby-110 East 59th St-RTEM	5,400
	Real Time Enrgy Management, R3 - 199 Water St - RTEM	5,400
	Real Time Enrgy Management, R3 - 880 3rd Avenue - RTEM	3,600
	Real Time Enrgy Management, R3 Energy-575 Madison-RTEM	4,500
	Real Time Enrgy Management, Resnick&Sons-485MadisonAv-RTEM	5,400
R.W. Beck Group, Inc.	Commercial Real Estate Ten, StakeholderEngagement_Outreach	4,875
	K-12 SCHOOLS, StakeholderEngagement_Outreach	4,366
	Technical Services, StakeholderEngagement_Outreach	5,385
	Technical Services, Targeted Healthcare Engagement	10,464
Raj Technologies Inc.	NYSERDA ADMINISTRATION, Modification - Name Change	191,827
Randstad North America Inc	Cleantech ICC Engage, TS.003_TBI Coordinator	5,197
	Energy Storage Tech/Prod Dev, TS.003_TBI Coordinator	5,198
	High Performing Grid, TS.003_TBI Coordinator	5,198
	NYCH: Innovation, TS.003_TBI Coordinator	5,198
	Pub Transit & Elect Rail, TS.003_TBI Coordinator	5,198
Randstad North America, Inc.	Air Source Heat Pumps, Payroll Services_CHC_TWO#29	1,000
	CI Engy Siting & Soft Cost Red, TS.001 - CES Coordinator	7,481
	Clean Energy Communities, Temp Services	7,252
	CLEANER GREENER COMMUNITIES, Temp Services	751
	Community RH&C, Payroll Services	13,680
	ENERGY ANALYSIS, Payroll Services	8,829
	ENERGY ANALYSIS, Payroll Services_Policy Dev	20,550
	Energy Storage Tech/Prod Dev, Temp Services -	5,421
	Healthy Homes VB Payment Pilot, Payroll Services_EAE	3,375
	High Performing Grid, Temp Services -	5,421
	Home Perf w Energy Star, Payroll Services	27,889
	NEW YORK GREEN BANK, PS.026_NYGB	28,716
	NEW YORK GREEN BANK, PS.027_NYGB	37,404
NYCH: Innovation, Temp Services -	5,421	

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Contractor	Contract Description	Total Expended Amount
Randstad North America, Inc.	NYSERDA ADMINISTRATION, Payroll Services	35,395
	NYSERDA ADMINISTRATION, Payroll Services_Gov't Affairs	14,089
	NYSERDA ADMINISTRATION, Payroll Services_Perf Mgmt	1,160
	NYSERDA ADMINISTRATION, Payroll Services_Web Ops	23,737
	NYSERDA ADMINISTRATION, Temp Services	14,272
	NYSERDA ADMINISTRATION, Temporary Services	26,005
	NYSERDA ADMINISTRATION, TS.010 - Payroll Services	21,353
	OTHER PROGRAM AREA, Payroll Services_Innovation	23,465
	Payroll Services	17,460
	Pub Transit & Elect Rail, Temp Services -	5,421
	Temporary Services	26,237
re: Charge-e, Inc.	CLEAN TRANSPORTATION, Inductive charging for e-bikes	13,500
Recurve Analytics, Inc.	Pay for Performance, RFP 3901 P4P-AMV Platform	89,746
RED Rochester	CI Carbon Challenge, RED C&I Carbon Challenge	494,341
	Industrial Process Effic, Industrial Process Efficiency	384,310
	Technical Services, FT13021 - RED Rochester - PON	29,485
ReEnergy Black River LLC	LARGE SCALE RENEWABLES, Black River Facility	3,637,392
Regeneron Pharmaceuticals Inc.	>200KW PV, NY Sun	152,438
Rehabilitation Support Services, Inc	Low Rise New Construction, New Construction	20,000
Remix Software, Inc.	Pub Transit & Elect Rail, Bus route planning software	106,250
Renovus Energy, Inc.	<200KW PV, NY-Sun	7,728
	<200KW PV, PON 2112 NY SUN	76,659
	>200KW PV, NY Sun	16,461
Renovus Rock, LLC	>200KW PV, NY-Sun C&I	67,361
Rensselaer Polytechnic Institute	CLEAN TRANSPORTATION, RPI - PON 3198	19,483
	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	36,959
	High Performing Grid, PON 3397 CAT A	48,000
Rensselaer Polytechnic Institute-LRC	Industrial Process Effic, Industrial Process Efficiency	1,000,000
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	61,051
Research Foundation of CUNY	CLEAN TRANSPORTATION, CAVs Impacts Study	1,076
	CLEAN TRANSPORTATION, Virtual TMA Demo	6,002
	Environmental Research, AQHE PON 3921	65,485
	ENVIRONMENTAL RESEARCH, Integrated Air Quality Monitor	0
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 1	52,813
Talent Pipeline:CE and OJT, PON3981 Round 3	55,981	
Research Foundation of SUNY	ENERGY ANALYSIS, Accelerated Recovery	4,171
	ENVIRONMENTAL RESEARCH, Combining Measurements and Mod	32,983
	Environmental Research, IDEA-NYS air quality forecast	23,542
	ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	946
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EFRC co-funding	1,343
Research Foundation of The City	ENVIRONMENTAL RESEARCH, Coastal monitoring framework	19,312
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birnessite for Gr..	0
	Talent Pipeline:CE and OJT, PON3981 Round 4	13,720
Resource Refocus LLC	Code to Zero, TWO 2 NYStretch Res CE	11,592
	Code to Zero, TWO#1 Res Rulemaking Support	0
Responsible Offshore Development AI..	Environmental Research, ENV & Fisheries Rsrch for OSW	121,339
Riseboro Community Partnership, Inc.	Retrofit NY, PON 4062	533,045
Robert Derector Associates	Commercial Real Estate Ten, RDA - 1271 Avenue of the Ameri	14,695

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Contractor	Contract Description	Total Expended Amount
Robert Derector Associates	Commercial Real Estate Ten, Robert Derector-645 5th Ave-CT	12,959
	Commercial Real Estate Ten, Robert Derector-1271 AoA-CT	3,995
	Commercial Real Estate Ten, RobertDerector-530 5th Avenue	6,324
Robert K. Harmon & Company LLC	Pay for Performance, P4P - MEETS TWO	22,230
Rochester District Heating Cooperative	On-Site Energy Manager, OsEM20-I-Rochester District	53,669
Rochester Institute of Technology	CLEAN TRANSPORTATION, Health Care Fleet Optimization	61,937
	Cleantech Incubator, PON3413 Clean Energy Incubator	437,500
	High Performing Grid, PON 3770	2,000
	REV Campus Challenge, REV CC ETL_Rd. 2	235,337
	REV Campus Challenge, RM23 - RIT	70,000
Rochester Regional Health	Technical Services, OsEM42-C - Rochester Regional	26,127
Rochester-Genesee Solar Partners, L..	>200KW PV, PV System @ Town of Ontario	338,381
Rocky Mountain Institute	Code to Zero, 140390 TWO#1	96,875
	Consumer Ed and Market Support, 140390 TWO#1	96,875
	Empire Building Challenge, Empire Bldg. Challenge - RMI	20,134
	New Construction LMI, 140390 TWO#1	220,291
	New Construction- Commercial, 140390 TWO#1	110,145
	Remote Energy Management, Technical support for NYSERDA	154,247
	Technical Services, Technical support for NYSERDA	51,416
Rome Housing Authority	Multifam Performance Pgm, Multifamily	12,450
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt Ser..	67,357
Ross Solar Group, LLC	>200KW PV, NY-Sun C&I	107,495
Ruffalo Appliance	Talent Pipeline:CE and OJT, OJT HIRE	5,623
Rural Generation & Wind (Rodney We..	<200KW PV, PON 2112 NY SUN	8,750
RXR Realty LLC	Technical Services, FT13002 - RXR Realty - PON	31,600
Ryan Homes (Virginia)	Low Rise New Construction, 2019 LRNCP	41,800
	New Construction LMI, 2019 LRNCP	79,800
	New Construction LMI, 2020 LRNCP	31,350
S & L Electric, Inc.	>200KW PV, NY-Sun	60,399
Safari Energy LLC	>200KW PV, NY-Sun	186,000
	>200KW PV, PON 2112 NY SUN	102,600
	NY-SUN, New York Sun Competitive PV	89,080
	NY-SUN, New York Sun Competitive PV Pr	58,281
	NY-SUN, PV System @ Safari - EXR Centr	82,197
Saratoga Solar LLC	>200KW PV, NY Sun	627,224
Saratoga Springs Housing Authority	Multifam Performance Pgm, Multifamily	7,482
SAVD Solar, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Self-Aligning Ve..	13,918
Scanify, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	12,000
Schenectady County Solar Projects 2..	>200KW PV, NY-Sun CI Full/Payee Assignmen	164,645
Schneider Electric Buildings Americas, I	Real Time Enrgy Management, Schneider Electric_30 West End	10,392
	Real Time Enrgy Management, SEBAI - 222 E 41st St - RTEM	18,158
SecondMuse LLC	M-Corps, Technology to Market	273,000
Seed Renewables Inc.	<200KW PV, NY-Sun	6,264
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFGE	133,458
	LARGE SCALE RENEWABLES, Seneca Energy	408,616
Seneca Towers, Inc.	Multifam Performance Pgm, Multifamily	24,550
Sentient Science Corporation	Pub Transit & Elect Rail, DigitalClone for rail	126,510
Setty & Associates, Ltd. PC	Commercial New Construc, Commerical New Construction	20,365

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Contractor	Contract Description	Total Expended Amount
Seven Springs West LLC	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Maintenanc..	120,732
Sheldon Energy, LLC	LARGE SCALE RENEWABLES, High Sheldon Wind Farm	2,077,180
Siemens Industry, Inc.	<200KW PV, NY Sun	78,435
	ENERGY ANALYSIS, TWO #1: 100x40 Study	102,744
	Real Time Enrgy Management, Siemens - 10 Columbus Cir-RTEM	88,713
	Real Time Enrgy Management, Siemens - 57 E 57 St - RTEM	261,895
	Real Time Enrgy Management, Siemens - 510 S 4th St - RTEM	25,200
	Real Time Enrgy Management, Siemens Ind - Multisite - RTEM	19,091
	Real Time Enrgy Management, Siemens-260 Cooper Rd-RTEM	34,581
	Real Time Enrgy Management, Siemens-1425 Madison Ave-RTEM	129,555
	Real Time Enrgy Management, Siemens-1425 Portland-RTEM	83,143
	Real Time Enrgy Management, Siemens-1585 Broadway-RTEM	92,085
	Real Time Enrgy Management, Siemens-3325 Marvin Sands-RTEM	12,420
	Real Time Enrgy Management, Siemens-Multisite-RTEM	78,845
	REC:CES REC System Dev Costs, TWO #1: 100x40 Study	171,240
Sive Paget & Riesel PC	CI Enrgy Siting & Soft Cost Red, Large-Scale Renewables	305,824
	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	61,328
	NYSERDA ADMINISTRATION, FOIL related Services	8,517
	NYSERDA ADMINISTRATION, Internal SEQRA Practice Review	13,110
	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	19,077
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RFP 3776 Outs..	3,602
SJP TS, LLC	Flexible Tech Assistance, FT12252-11 Times Square-PON	12,000
Skadden, Arps, Slate, Meagher & Flo..	Commercial Real Estate Ten, GC&A - 401 9th Avenue	14,498
Skylands Renewable Energy, LLC	Small Wind, Wind Turbine Incentive	31,000
	Small Wind, Wind Turbine Incentive Program	10,850
Skyven Technologies, Inc	Cleantech Ignition, PON 3871 Ignition Grants	10,000
Slaterville Springs Real Estate Compa..	Commercial New Construc, Commercial New Construction	7,425
Smarter Grid Solutions, Inc.	DER Integration(Intrcnct), PON4094 DER Interconnection	216,208
	High Performing Grid, PON4128 Smart Grid JU Collab	170,895
	Talent Pipeline:CE and OJT, OJT HIRE	3,499
Smith Engineering PLLC	Flexible Tech Assistance, FT12237-Cornell-961EShore-FTC	17,380
	Workforce Industry Partnership, PON 3715 Workforce Training	319,102
Snug Planet, LLC	Talent Pipeline:CE and OJT, OJT HIRE	9,945
Sol Alliance Solar Development	>200KW PV, PON 2112 NY SUN	53,724
Solar Energy Systems, LLC	<200KW PV, NY Sun	15,330
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	78,756
	<200KW PV, PON 2112 NY SUN	41,227
	>200KW PV, PON 2112 NY SUN	20,520
Solar Tompkins Inc.	Community RH&C, CH&C Communities Round 3	39,000
	Community RH&C, PON3723 RH&C Campaigns	71,700
Solar Village Company LLC	Low Rise New Construction, 2019 LRNCP	16,000
	Talent Pipeline:CE and OJT, OJT HIRE	2,211
SolarKal LLC	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	200,000
Southern Tier Technologies LLC	76 West, 76 West Energy Bus Competition	50,000
Southview Manor Apartments LLC	Multifam Performance Pgm, Multifamily	4,600
Southview Towers, L.P.	Multifam Performance Pgm, Multifamily	125,450
Specialized Packaging Group, Inc	Industrial Process Effic, Industrial Process Efficiency	50,733
SRS Holdings LLC	Energy Storage Tech/Prod Dev, PON 3585 R2 Polymer-Clay separ	130,558

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Contractor	Contract Description	Total Expended Amount
SS&C Technologies, Inc.	NEW YORK GREEN BANK, Fund Administration/Loan Inves	41,246
SSA Solar of NY 4 LLC	>200KW PV, NY-Sun C/I	76,122
St. John Fisher College	REV Campus Challenge, RM22 - St. John Fisher College	115,275
Stacks and Joules Inc.	Talent Pipeline:CE and OJT, PON3981 Round 4	94,050
Standard Insulating Company	Talent Pipeline:CE and OJT, OJT HIRE	14,886
Standard Solar, Inc	>200KW PV, NY-Sun C&I	723,600
Stantec Consulting Services, Inc.	Commercial New Construc, Commercial New Construction	16,974
	Industrial Process Effic, IPE16231	610
Star Park Apartments Housing Develo..	Low Rise New Construction, New Construction	50,000
Steel Sun 2 LLC	>200KW PV, SteelSun 2 Canisius College 3	521,620
	>200KW PV, SteelSun 2 Canisus College 1	502,317
	>200KW PV, SteelSun2 - Canisius College 2	489,223
Steele Sleepy Hollow LLC	Multifam Performance Pgm, Multifamily	11,450
Stem Inc	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	29,676
Steven Winter Associates, Inc.	Air Source Heat Pumps, TWO 3 - Heat Pump Pattern Book	26,295
	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUmbrella	1,445
	Commercial New Construc, New Construction	16,121
	Commercial Real Estate Ten, SWA - Demand Flex - Multisite	11,033
	Consumer Ed and Market Support, TWO 3 - Heat Pump Pattern Book	26,295
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, O..	9,168
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	9,614
	Low Rise New Construction, SF 107580 - 211 West 29th St.	3,465
	Market Tests, Market Insights	106,920
	Market Tests, TWO 3 - Heat Pump Pattern Book	26,295
	New Construction LMI, SF 107580 - 211 West 29th St.	2,035
	New Construction LMI, TWO PON 3943	40,643
	New Construction- Commercial, TWO PON 3943	40,643
	NYCH: Comfort Home, Heat Pump Ready Training	3,392
	NYCH: Innovation, BAS for small & medium bldgs	7,804
	NYCH: Innovation, Cold Climate PTHP	25,104
	NYCH: Innovation, NextGen HVAC Innovation	75,297
	NYCH: Innovation, PON3519 Round 1	205,447
	Real Time Enrgy Management, Cabrini Te-900 W 190th St-RTEM	4,565
	Talent Pipeline:CE and OJT, PON3981 Round 4	43,044
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	117,815
	Talent Pipeline:CE and OJT, Steven Winter Assoc. Training	186,631
	Workforce Industry Partnership, PON 3715 Workforce Training	134,363
Stone Environmental, Inc.	Community RH&C, Westchester Ground Source Heat	49,717
	Informat. Products & Brokering, Data Asset Matching STONE TWO	52,267
	Informat. Products & Brokering, RTEM Gas Customer Targeting	5,369
Stonework Capital LLC	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	28,830
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,604,822
Storke, LLC	Small Wind, Wind Turbine Incentive	29,400
Summit Solar Company LLC	>200KW PV, PON 2112 NY SUN	12,654
Sun Source Technologies	<200KW PV, NY-Sun	160,080
	<200KW PV, PON 2112 NY SUN	28,373
SuNation Solar Systems, Inc.	<200KW PV, NY Sun	6,930
	<200KW PV, PON 2112 NY SUN	5,439

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Contractor	Contract Description	Total Expended Amount
SuNation Solar Systems, Inc.	ENERGY STORAGE, PON 2112 NY SUN	56,250
Sunlight Beacon LLC	>200KW PV, NY-Sun C/I	106,838
Sunnycrest Gardens Vintage, LCC	Multifam Performance Pgm, Multifamily	39,650
SunnyMac LLC	<200KW PV, PON 2112 NY SUN	6,615
Sunnyside Farms, Inc.	Anaerobic Digesters, PON 3739 CAT C	15,000
SunPower Capital, LLC	<200KW PV, PON 2112 NY SUN	78,010
SunPower SolarProgram 1, LLC	<200KW PV, PON 2112 NY SUN	112,500
SUNRISE ELECTRICAL SERVICES	<200KW PV, PON 2112 NY SUN	162,225
Sunrise Solar Solutions, LLC	>200KW PV, NY-Sun C&I	68,209
SunRun, Inc	<200KW PV, PON 2112 NY SUN	71,000
SUNY - ESF	Environmental Research, ALTM Streams 2018-2022	8,792
	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	27,109
	REV Campus Challenge, RM2 - SUNY ESF	86,395
SUNY at Albany	REV Campus Challenge, RM28 - University at Albany	15,334
SUNY Broome Community College	Commercial New Construc, NCP15064 - SUNY Broome Mechani	30,641
SUNY Morrisville	Technical Services, OsEM30-C - SUNY Morrisville	57,720
SUNY Oneonta	REV Campus Challenge, RM16 - SUNY Oneonta	150,000
SUNY Ulster	Talent Pipeline:CE and OJT, PON3981 Round 4	56,571
Sustainable Comfort, Inc	New Construction LMI, SF222055 - 2770 Baird Rd.	10,000
	Talent Pipeline:CE and OJT, OJT HIRE	6,154
Sustainable Endowment Institute	REV Campus Challenge, GRITS Goals Development - SEI	25,783
Sustainable Energy Advantage, LLC	LARGE SCALE RENEWABLES, Large Scales Renewables Techni	0
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	2,639
	REC:CES REC System Dev Costs, RES Program Review	127,570
	REC:CES REC System Dev Costs, Supply Curve Update 101124-15	79,698
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	539
Sustainable Energy Developments Inc.	<200KW PV, NY-Sun	9,960
	<200KW PV, PON 2112 NY SUN	103,751
Sustainable South Bronx Inc.	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	44,030
Sustainable Tompkins	Community RH&C, Tompkins County CH&C	59,400
Sustainable Westchester	Community RH&C, CH&C Communities Round 3	82,250
	Community RH&C, PON3723 RH&C Campaigns	28,000
Sweetwater Energy, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cellulosic Sugar..	15,000
Switched Source LLC	76 West, 76 West Energy Bus Competition	25,000
	High Performing Grid, PON 3397 Round 2 - Category D	154,150
Switched Source PB LLC	High Performing Grid, PON 3770 CATB - Phase Balance	395,986
Syska Hennessy Group	Commercial New Construc, Commercial New Construction	72,042
Tagup Inc.	High Performing Grid, PON 3770	41,204
Taitem Engineering, P.C.	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	24,623
	Code to Zero, TWO#1 NYStretch Outreach CR	13,850
	Commercial New Construc, Commercial New Construction	33,083
	Community RH&C, Technical Review and Program S	6,040
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	19,765
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	4,439
	Geothermal Incentive Program, Technical Review and Program S	19,710
	Multifam Performance Pgm, 3695 TWO Umbrella Agreement	30,441
	Multifam Performance Pgm, RFQL 3434 - Standards and Qual	219,572
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	74,995

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Contractor	Contract Description	Total Expended Amount
Taitem Engineering, P.C.	Technical Services, FT13013 - Flushing Com - FTC	9,965
Talen Energy Marketing, LLC	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	288,032
Talisen Technologies, Inc	Real Time Enrgy Management, Energy Mangt Data_Tech Supp	277,934
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	373,892
	NYSERDA ADMINISTRATION, TWO Salesforce BA - Himmelfarb	91,364
	NYSERDA ADMINISTRATION, TWO Salesforce BA Jason Thomas	36,096
	NYSERDA ADMINISTRATION, TWO Senior Software - Simon	63,312
	NYSERDA ADMINISTRATION, TWO Software Dev. Mgr. Yates	26,865
	NYSERDA ADMINISTRATION, TWO SR. Software Engineer Anan	32,708
	NYSERDA ADMINISTRATION, TWO26 Server Ops	84,265
	REC:CES REC System Dev Costs, RFP3143 Umbrella Agreement	90,773
Tecogen	Combined Heat and Power, CHPA - 60 Sutton Place	128,081
	Combined Heat and Power, CHPA - 315 East 68th	62,674
	Combined Heat and Power, CHPA - Brooklyn United Methodi	206,246
	COMBINED HEAT AND POWER, CHPA - Domino Building E	115,500
	COMBINED HEAT AND POWER, CHPA - Hotel Bellclaire	59,400
	Combined Heat and Power, CHPA - Lakeside Towers	66,361
	Combined Heat and Power, CHPA - LeFrak - West Side Mano	13,860
	COMBINED HEAT AND POWER, CHPA - Rivercross Tenants Corp	258,825
	COMBINED HEAT AND POWER, CHPA - The Brevard	115,500
	COMBINED HEAT AND POWER, CHPA - Village View 1	75,969
	COMBINED HEAT AND POWER, CHPA - Village View 3	75,969
	Combined Heat and Power, CHPA-9 Orchard	86,625
	Combined Heat and Power, CHPA-22 South West St Tower	58,988
	Combined Heat and Power, CHPA-Bedford Union Armory	331,016
	Combined Heat and Power, CHPA-Domino - Building A	120,966
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #1	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #2	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #3	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #4	106,735
	Combined Heat and Power, CHPA-Masaryk Towers	151,470
	Combined Heat and Power, CHPA-Queens Plaza Park	356,400
	Combined Heat and Power, CHPA-The Lucida	58,988
TEKsystems Inc	NYSERDA ADMINISTRATION, TWO EVConsultant	1,955
Tern Construction & Development, LLC	Low Rise New Construction, New Construction	11,250
Tesla Energy Operations Inc	<200KW PV, PON 2112 NY SUN	16,065
	>200KW PV, Commercial/Industrial	23,854
	>200KW PV, Commercial/Industrial PV	250,831
	>200KW PV, Commercial/IndustrialPV	284,713
	>200KW PV, NY-Sun C/I	27,250
	ENERGY STORAGE, PON 2112 NY SUN	168,750
	NY-SUN, PV System @ Orange County DPW	270,389
	NY-SUN, PV System at Oneida County	200,648
Tetra Tech MA, Inc.	OREC: Technical Support, TWO#1 OSW Fisheries WG	85,381
Tetra Tech, Inc.	ORES Support, ORES Technical Assistance	23,183
The Cadmus Group, LLC	>200KW PV, RFQL3434 Cat1 NYSUN C/I	1,215
	Air Source Heat Pumps, Stocking/Shelving Survey	20,583
	CLEAN TRANSPORTATION, TWO 5 Clean Transp Roadmap	457,341

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Contractor	Contract Description	Total Expended Amount
The Cadmus Group, LLC	Code to Zero, RFQ3183 Umbrella Agreement	61,389
	Community RH&C, RFP3751 Clean Heating & Coolin	75,206
	COMMUNITY SOLAR, RFP 3764Solarize TA Provider	27,724
	Electric Vehicles - Innovation, TWO 5 Clean Transp Roadmap	0
	Electric Vehicles - Innovation, TWO #3 DCFC design	10,118
	ENERGY ANALYSIS, RFQL 3685 R2 Umbrella	70,528
	ENERGY ANALYSIS, TWO#3 -Supply Curve Analysis	34,028
	Environmental Research, TWO 3 - RegionalFundingEntity	11,545
	Eval MCDC Cross Cutting, TWO#2-Top_Down_Analysis	1,444
	Eval MCDC EE Master Soft Cost, TWO#4 Soft Cost study	12,793
	EVALUATION, RFQL 3685 R2 Umbrella	0
	EVALUATION, TWO#2-Top_Down_Analysis	4,333
	EVALUATION, TWO#4 Soft Cost study	0
	Home Perf w Energy Star, EnergyAffordability and Equity	139,512
	Home Perf w Energy Star, TWO No. 6 COVID Consultant	94,826
	LMI On Bill Tariff Study, Analysis of On-Bill Financing	3,145
	Mkt Char: Tech Assist, RFQL 3685 R2 Umbrella	30,002
	NY-SUN, RFQL3434 Cat1 NYSUN C/I	0
	On-Site Energy Manager, RFQ3183 Umbrella Agreement	1,987
	OREC: Technical Support, RFP 3462 Umbrella Agreement	76,198
	OREC: Technical Support, TWO 4 - RegionalFundingEntity	25,903
	Real Time Enrgy Management, RFQ3183 Umbrella Agreement	0
	REV Campus Challenge, REV Campus Challenge Market Ev	33,733
	Strategic Energy Manager, RFQ3183 Umbrella Agreement	1,987
	Talent Pipeline:CE and OJT, TWO No. 6 COVID Consultant	31,609
	TWO 4 - RegionalFundingEntity	25,903
	The Center for New York City	Community Energy Engagement, CEEP New York City Region (CNY)
The Community Builders, Inc.	Buildings of Excellence, Buildings of Excellence R1	112,500
	New Construction LMI, 2019 MFCNP	30,000
The Cooper Union for the Advancement of	Workforce Industry Partnership, PON 3715 Workforce Training	68,426
	Workforce Industry Partnership, Workforce Dev & Train	21,417
The Culinary Institute of America	Technical Services, OsEM47-C - Culinary Institute	6,036
The Garrick Co., LLC	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Evaluation	10,745
The Hartz Group, Inc.	Flexible Tech Assistance, FT12076 - 667 Madison - PON	39,200
The Levy Partnership, Inc.	Air Source Heat Pumps, NextGen HVAC Innovation	85,092
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	16,200
	NYCH: Innovation, Downstate gas fired heat pump	8,052
	NYCH: Innovation, NextGen HVAC Innovation	1,033
The Logue Group	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstration Project	12,470
The Radiant Store	Renewable Heat NY, Radiant Store - McIntyre	12,000
	Renewable Heat NY, Radiant Store - Reed	4,800
	Renewable Heat NY, Radiant Store - Vanhorn	18,000
The Renewables Consulting Group, LLC	Nat'l OffShWind R&D Consortium, RCG work for OSW Consortium	16,110
	OREC: Technical Support, Large-Scale Renewables	20,044
	OREC: Technical Support, TWO#3- OSW-Mariners	110,925
	RCG work for OSW Consortium	8,154
The Research Foundation for SUNY	CLEAN TRANSPORTATION, Autonomous EV Campus Demo	38,142
The Research Foundation for the State	ENVIRONMENTAL RESEARCH, Wood Pellet Heating System Dem	0

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Contractor	Contract Description	Total Expended Amount
The Research Foundation for the State	RENEWABLE HEAT NY, Lignocellulosic pellets	7,826
The Research Foundation of SUNY (U..	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	50,000
The Research Foundation of SUNY at Bing	Cleantech Geo Coverage, PON3413 Clean Energy Incubator	107,570
	Cleantech Incubator, PON3413 Clean Energy Incubator	251,930
The Trustees of Columbia University	Cleantech EIR, PON 3819	477,050
	ENVIRONMENTAL RESEARCH, Buildings Climate Adaptation	23,190
	ENVIRONMENTAL RESEARCH, Tropical Cyclone Risk Model	45,297
	ENVIRONMENTAL RESEARCH, Upstate building footprints	79,537
	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	155,999
Therm Controls Incorporated	NYCH: Innovation, NextGen HVAC Innovation	15,000
Thermodynamix LLC	Talent Pipeline:CE and OJT, OJT HIRE	9,500
Thornton Tomasetti, Inc.	Commercial New Construc, Commercial New Construction	21,159
	Commercial Real Estate Ten, TTI - 100 6th Avenue	227,843
Tilcon NY , Inc.	Industrial Process Effic, Industrial Process Efficiency	30,912
Timothy Marlett	Talent Pipeline:CE and OJT, OJT HIRE	3,440
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	304,236
Tompkins Consolidated Area Transit	Pub Transit & Elect Rail, First/Last Mile in Tompkins Co	17,803
Town of Amherst	Clean Energy Communities, Town of Amherst	238,750
Town of Batavia	Clean Energy Communities, Town of Batavia	75,000
Town of Bethlehem	CEC400006 - Town of Bethlehem	0
	Clean Energy Communities, CEC400006 - Town of Bethlehem	7,500
Town of Canaan	Clean Energy Communities, CEC400102-Twn of Canaan	19,500
Town of Chatham	CEC400013 T of Chatham	30,000
	Clean Energy Communities, CEC400013 T of Chatham	5,000
Town of Colton	Clean Energy Communities, CEC701140 - Town of Colton	9,375
Town of Conewango	Clean Energy Communities, Town of Conewango	30,375
Town of Danby	Clean Energy Communities, CEC001242 - Town of Danby	29,829
Town of Ghent	CEC400048 - Town of Ghent	3,750
	Clean Energy Communities, CEC400048 - Town of Ghent	22,500
Town of Hamilton	Clean Energy Communities, Town of Hamilton	37,500
Town of Huntington	CLEANER GREENER COMMUNITIES, Town of Huntington	45,500
	OTHER PROGRAM AREA, RFP 3044 R2	395,000
Town of Kinderhook	CEC400049-Vlg of Kinderhook	7,500
Town of Malone	Clean Energy Communities, CEC701017 Town of Malone	25,000
Town of Nassau	CEC400123-Town of Nassau	22,500
	Clean Energy Communities, CEC400123-Town of Nassau	3,750
Town of Northampton	Clean Energy Communities, CEC600922 Town of Northampto	20,000
Town of Ulysses	CLEANER GREENER COMMUNITIES, CGC39053 - Town of Ulysses	2,250
Town of Westerlo	CEC400109 - Town of Westerlo	30,000
Trane	Flexible Tech Assistance, FlexTech Consultant Selection	24,036
	Real Time Enrgy Management, Commonwealth-787 7th Ave-RTEM	7,047
	Real Time Enrgy Management, Hudson City Schools-RTEM	13,712
	Real Time Enrgy Management, Kaplan School-131 W 56th-RTEM	3,810
	Real Time Enrgy Management, KingsTheater-1027Flatbush-RTEM	5,918
	Real Time Enrgy Management, Mosholu-3450 Dekalb Ave-RTEM	8,824
	Real Time Enrgy Management, Trane - 685 3rd Ave - RTEM	82,500
	Real Time Enrgy Management, Trane - 9733 Main St - RTEM	103,500
	Real Time Enrgy Management, Trane Us Inc-1177 6th Ave-RTEM	10,863

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Contractor	Contract Description	Total Expended Amount
Trane	Real Time Enrgy Management, Trane-180 Amsterdam Ave-RTEM	19,738
	Real Time Enrgy Management, Trane-2320 US Rt 6-RTEM	261,612
TransCore ITS LLC	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	12,404
TRC Energy Services	Campus/Technical Assistance, Four-year contract for Technic	14,277
	Commercial New Construc, Staff Augmentation Services	35,276
	Commercial Real Estate Ten, SA.047_TWO #19 - EPE	23,567
	Commercial Real Estate Ten, TRC EnergyServices-512 7th Ave	4,972
	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	120,662
	ENERGY ANALYSIS, Staff Augmentation Services	109,985
	ESTOR:Retail Storage Incentive, 3695 Energy Storage TWO	14,670
	EXISTING FACILITIES, Staff Augmentation Services	0
	Flexible Tech Assistance, Staff Augmentation Services	30,034
	FLEXIBLE TECHNICAL ASSISTANCE, Staff Augmentation Services	0
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	62,195
	K-12 SCHOOLS, Staff Augmentation Services	278,604
	Low Carbon Tech Demos, Staff Augmentation Services	2,686
	Low Rise New Construction, Staff Augmentation Services	42,331
	Low-Income Forum on Energy, LIFE Implementation Services	51,526
	Multifam New Construction, Staff Augmentation Services	39,980
	Multifam Performance Pgm, Staff Augmentation Services	390,671
	New Construction LMI, Staff Augmentation Services	82,311
	New Construction- Commercial, Staff Augmentation Services	35,276
	NYCH: Comfort Home, Comfort Home Implementation	125,808
	NYSERDA ADMINISTRATION, SA.059_TWO #21 - Financing Sol	81,048
	Real Time Enrgy Management, Staff Augmentation Services	107,324
	Renewable Heat NY, Ray Brook TWO	8,924
	Renewable Heat NY, Technical Review and Program S	70,071
	REV Campus Challenge, SA.047_TWO #19 - EPE	23,567
	Talent Pipeline:CE and OJT, Technical Review and Program S	101,675
	Technical Services, SA.047_TWO #19 - EPE	23,567
Technical Services, Staff Augmentation Services	0	
Workforce Industry Partnership, Technical Review and Program S	80,581	
TRC Engineers, Inc.	NYCH: Innovation, PON3519 Round 1.	12,627
Trees New York	GREENING THE BRONX, Efficiency Planning & Engineer	7,702
Trinity NY Development LLC	Multifam New Construction, MFNCP PHIUS T3-425 Grand C	53,475
	Multifam New Construction, New Construction	24,350
TROPICANA MART INC	FUEL NY, PGI00249 - Tropicana Mart Inc.	97,606
	OTHER PROGRAM AREA, PGI00249 - Tropicana Mart Inc.	-97,606
Trove Predictive Data Science, Inc.	Informat. Products & Brokering, DER Data Platform Pilot	42,671
	Informat. Products & Brokering, RFQL3711 TWO Bldg Assets	10,000
True Energy Solutions	Talent Pipeline:CE and OJT, OJT HIRE	23,867
Tungsten Sources, LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transformative ..	30,000
U.S. Green Building Council, NY Chapter	Code to Zero, Urban Green TWO#1 Training	564,116
	Workforce Industry Partnership, PON 3715 Workforce Training	89,325
U&S Services, Inc.	Remote Energy Management, RFP3683 REM Program	36,792
Ulster, County of	Clean Energy Communities, CEC510646 Ulster County	180,000
Ultra Dairy, LLC	Industrial Process Effic, Industrial Process Efficiency	8,564
Unique Comp Inc.	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	452,526

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Unique Comp Inc.	NYSERDA ADMINISTRATION, TWO Salesforce Admin. Senecal	30,781
	NYSERDA ADMINISTRATION, TWO SQL ETL Dev.	62,433
	NYSERDA ADMINISTRATION, TWO Sr. Systems Admin.- Bhanu	74,120
	Pay for Performance, RFP3143 Umbrella Agreement	108,316
	REC:CES REC System Dev Costs, TWO Salesforce Dev. - Asrith	77,854
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP	125,600
	Electric Vehicles - Innovation, PON 3578 R1 Cat2	16,356
Unique People Services, Inc	Buildings of Excellence, Buildings of Excellence R1	112,500
United States Department of the Interi..	Environmental Research, ENV & Fisheries Rsrch for OSW	181,287
United Way of Long Island	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	40,979
University at Albany	Commercial New Construc, NCP15013 - Building 27	22,243
	Environmental Research, AQHE PON 3921	53,874
	High Performing Grid, PON 3770	63,315
University of North Carolina at Chapel..	Environmental Research, AQHE PON 3921	65,046
University of Rochester	High Performing Grid, PON 3770	185,000
	Real Time Enrgy Management, UoR - 390 Elmwood Ave - RTEM	14,235
University of Wisconsin System	Environmental Research, NADP LTM Ecosystems in NYS	45,998
Uplight, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	3,298
	EMPOWER NY, Residential Program MgtRFP3545	3,298
	GJGNY Market Rate Audits, Residential Program MgtRFP3545	0
	GJGNY REVOLVING LOAN FUND, Residential Program MgtRFP3545	17,578
	Home Perf w Energy Star, Residential Program MgtRFP3545	391,207
	HOME PERFORMANCE WITH ENERGY STAR, Residential Program Mgt..	1,043
	Residential Program MgtRFP3545	752
Upstate Alternative Energy	<200KW PV, PON 2112 NY SUN	12,845
Urban Electric Power, Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	50,000
Urban Electric Power, LLC	SMART GRID SYSTEMS, 1MWh Peak-Shaving Battery	50,000
	Talent Pipeline:CE and OJT, OJT HIRE	35,140
US Energy Concierge Inc	<200KW PV, NY Sun	7,655
USE ACQUISITION LLC	Real Time Enrgy Management, USE Acq LLC - Multisite - RTEM	28,183
Utilidata, Inc.	High Performing Grid, PON4128 NationalGrid Challenge	558,387
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Hines - 1251 6th Ave - RTEM	17,057
	Real Time Enrgy Management, Utilities-160 E 53rd St-RTEM	0
Vassar College	REV Campus Challenge, RM5 - Vassar College	101,488
	Technical Services, OsEM8-C Vassar College	106,988
Vecino Group New York, LLC	Low Rise New Construction, New Construction	61,800
Verizon Communications Inc	Industrial Process Effic, Industrial Process Efficiency	131,050
Vermont Energy Investment Corporation	CLEAN TRANSPORTATION, EV Dealer Incentive Program	6,268
	Electric Vehicles - Innovation, EV Policies and Pilots for LMI	5,318
	Geothermal Incentive Program, Heat Pump Supplemental Heat An	43,621
	Home Perf w Energy Star, P4P_POTF_Minibid_TWO_VEIC	59,000
	Industrial Process Effic, IPE16233	1,167
	Industrial Process Effic, Umbrella Contract	185
	Pay for Performance, Umbrella Contract	46,020
	Strategic Energy Manager, RFP 3352	349,059
Vervent Inc.	GJGNY REVOLVING LOAN FUND, Financing Solutions	26,077
VHB Engineering, Surveying and	New Construction LMI, New Construction	8,413
	New Construction- Commercial, New Construction	8,413

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Contractor	Contract Description	Total Expended Amount
Vidaris, Inc.	Code to Zero, RFQL3711 Vidaris RES/COMcheck	32,298
	Code to Zero, TWO #4 Review Fan Power	11,681
	Code to Zero, TWO#1-DOS Rulemaking Support	0
	Code to Zero, TWO#3 NYStretch Cost Eff	0
	Commercial New Construc, Commercial New Construction	222,990
	Commercial New Construc, New Construction	16,382
	Flexible Tech Assistance, FT12256 - Trinity Hudson - FTC	16,396
	New Construction- Commercial, Commercail New Construction	17,482
	Technical Services, FT13004 - 355 Lexington - FTC	3,319
	Technical Services, FT13104 - 2000 Purchase - FTC	23,577
Technical Services, Indoor Air Quality TWO-Vidaris	44,703	
Village of Athens	CEC400117 - Village of Athens	7,500
Village of Canton Housing Authority	Multifam Performance Pgm, Multifamily	18,800
Village of Pulaski	Clean Energy Communities, Village of Pulaski	9,300
Village of Waterloo	CLEANER GREENER COMMUNITIES, CGC27279 - Village of Waterloo	2,208
Village of Waterville	Clean Energy Communities, CEC600897 Village of Watervill	37,500
Village of West Winfield	Clean Energy Communities, CEC600914 - Village of West Wi	3,000
Virginia Tech Applied Research Corpo..	Energy Storage Tech/Prod Dev, PON 3585 R2	116,000
Vistex Composites, LLC	Cleantech Ignition, PON 3871 Ignition Grants	82,350
Vital Vio, Inc.	ADVANCED BUILDINGS, Advanced Buildings Technology	15,000
Vivint Solar	<200KW PV, PON 2112 NY SUN	10,395
Wadsworth Energy LLC	Rmve Barriers Dist Enrgy Storg, TWO #1 MDIWG Support	14,700
Walden NY 1 LLC	>200KW PV, NY Sun CI Assignment	335,580
Wappingers Falls Hydroelectric, LLC	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	6,760
Wartburg Home of the Evangelical Luthera	NYCH: Technical Assistance, OsEM12-C - Wartburg	92,486
	Technical Services, OsEM12-C - Wartburg	-83,400
Wawayanda Solar LLC	>200KW PV, NY Sun	107,427
WB Engineering & Consulting PLLC	Commercial Real Estate Ten, WB Eng+Con - 1250 Broadway	16,100
	Commercial Real Estate Ten, WB Engineers-345 Hudson St	37,979
Wendel Energy Services, LLC	ANAEROBIC DIGESTER, ADG - Wendel - TWO	1,221
	Combined Heat and Power, ADG - Wendel - TWO	1,221
	K-12 SCHOOLS, P12GC_13E - Rochester - FTC	37,508
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	139,441
	REV Campus Challenge, RM34 - University of Rochester	42,452
Wendel WD Architecture, Engineering,	ANAEROBIC DIGESTER, RPS-CST Quality Assurance/Qual	2,500
West Hill Energy & Computing, Inc.	EVALUATION, RFQ3183 Umbrella Agreement	2,497
Westerlo NY 1, LLC	>200KW PV, NY-Sun C&I	344,655
WexEnergy LLC	Cleantech Ignition, PON 3871 Ignition Grants	25,000
WGL Energy Systems, Inc.	FUEL CELLS, CST FC Marcus Garvey	150,000
Wilder Balter Partners, Inc.	Low Rise New Construction, New Construction	64,400
Willdan Energy Solutions	Air Source Heat Pumps, Staff Augmentation Services	8,694
	Campus/Technical Assistance, Staff Augmentation Services	15,392
	Code to Zero, SA.060_TWO #3 - Codes	109,428
	Commercial Real Estate Ten, Efficiency Planning & Engineer	70,263
	Commercial Real Estate Ten, Willdan Energy - Multisite	15,000
	Commercial Real Estate Ten, Willdan-425 West 47th St-CT	14,950
	Community RH&C, Staff Augmentation Services	15,392
	Geothermal Incentive Program, Staff Augmentation Services	15,392

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Contractor	Contract Description	Total Expended Amount
Willdan Energy Solutions	Industrial Process Effic, Industrial & Agriculture	25,733
	Industrial Process Effic, Industrial Process Efficiency	17,786
	Industrial Process Effic, IPE16195	10,230
	Industrial Process Effic, IPE16222	4,700
	Industrial Process Effic, IPE16224	2,488
	Industrial Process Effic, IPE16234	276
	Industrial Process Effic, IPE16247	5,207
	Industrial Process Effic, Technical Review and Program S	40,139
	K-12 SCHOOLS, RFP 3788 P-12 Benchmarking	32,040
	Multifam Performance Pgm, Staff Augmentation Services	85,934
	Renewable Heat NY, Staff Augmentation Services	30,783
	Solar Thermal, Staff Augmentation Services	0
	Technical Services, FT13038 - Phelps - FTC	26,528
Wiltshire Renewable Energy Systems,..	<200KW PV, NY-Sun	8,976
WNY Rural Preservation, LP	Multifam Performance Pgm, Multifamily	4,800
WSP USA Corp.	Commercial New Construc, RFP3771 Umbrella Contract	50,107
WTJ US Energy Services Inc	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	240,000
Yale University	Campus/Technical Assistance, Clean Heating & Cooling	52,880
	U.S. DOE SEP Grant for oTherm	42,355
Yeshiva University	REV Campus Challenge, RM19 - Yeshiva University	50,950
YMCA of Greater Rochester	Commercial Imp Assist, CIAP016 - YMCA of Greater Roch	38,250
Youth Action Programs and Homes, I..	Talent Pipeline:CE and OJT, PON3981 Round 3	11,394
Zero Energy Solutions LTD	Novel Bus Models & Offers, ZES Novel Business Model	167,678
Zotos International, Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	18,120
Grand Total		174,584,650

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Contractor	Contract Description	Total Expended Amount
1 Stop Electronics Center, Inc.	EMPOWER NY, Single Family Residential	770
	Home Perf w Energy Star, Single Family Residential	34,267
	Single Family Residential	7,835
120 Hartsdale Corporation	CLEAN TRANSPORTATION, Clean Transportation	8,000
170 Park Row Parking Corp	CLEAN TRANSPORTATION, Clean Transportation	16,000
440 Jericho Turnpike Auto Sales, LLC	Clean Transportation	12,100
	Electric Vehicles - Rebate, Clean Transportation	2,200
441 Ohio Street, LLC	CLEAN TRANSPORTATION, Clean Transportation	44,000
1135 Millersport HWY LLC	Electric Vehicles - Rebate, Clean Transportation	6,600
1591 Hylan Blvd Auto LLC	Electric Vehicles - Rebate, Clean Transportation	8,300
2679bhwllc	Electric Vehicles - Rebate, Clean Transportation	19,800
Adams Heating & Cooling	Clean Heating & Cooling	5,000
Adams Station, LLC	CLEAN TRANSPORTATION, Clean Transportation	88,000
Additive Manufacturing Innovations LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,324
Adirondack Chevrolet Buick	Electric Vehicles - Rebate, Clean Transportation	10,000
Adirondack Folk School	CLEAN TRANSPORTATION, Clean Transportation	8,000
ADK Stove & Fireplace	Renewable Heat NY, Clean Heating & Cooling	9,000
ADR Home Energy Solutions LLC.	EMPOWER NY, Single Family Residential	200
	Home Perf w Energy Star, Single Family Residential	90,741
	Single Family Residential	13,566
Advanced Radiant Design, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	15,000
Advantage Suzuki LLC	Electric Vehicles - Rebate, Clean Transportation	36,200
Advantage Title Agency, Inc.	GJGNY REVOLVING LOAN FUND, EnergyAffordability and Equity	4,630
	GJGNY REVOLVING LOAN FUND, Single Family Residential	80,192
AEF Ice Systems, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,925
Air Company Holdings, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	20,375
AirMax HVAC Inc.	Clean Heating & Cooling	20,700
Airquip	Air Source Heat Pumps, Codes, Products and Standards	20,563
	Clean Heating & Cooling	5,000
Airtight Services, Inc.	EMPOWER NY, Single Family Residential	4,197
	Home Perf w Energy Star, Single Family Residential	38,122
	Single Family Residential	16,793
Albany Auto Management	Electric Vehicles - Rebate, Clean Transportation	15,500
Albany Solar Solutions L.L.C.	Clean Heating & Cooling	9,000
All Star Energy, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	500
	EMPOWER NY, Single Family Residential	5,016
	Home Perf w Energy Star, Single Family Residential	444,184
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	9,064
Alpine Air Heating & A/C, LLC	Air Source Heat Pumps, Codes, Products and Standards	521
	Clean Heating & Cooling	20,310
	Geothermal Incentive Program, Clean Heating & Cooling	48,570
Alternative Aviation Fuels, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
Alternative Carbon Energy Systems Inc	Campus/Technical Assistance, Clean Heating & Cooling	4,715
	Clean Heating & Cooling	35,610
	Geothermal Incentive Program, Clean Heating & Cooling	100,050
Alternative Power Solutions of NY, LLC	Geothermal Incentive Program, Clean Heating & Cooling	14,475
Altren Energy, LLC	Geothermal Incentive Program, Clean Heating & Cooling	15,000
Amanda's Fireplace	Renewable Heat NY, Clean Heating & Cooling	5,000
American AWS Corp.	EMPOWER NY, Single Family Residential	7,407
	Single Family Residential	70,907

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Contractor	Contract Description	Total Expended Amount
Andrew Paris Heating & Cooling, Inc.	Clean Heating & Cooling	10,500
Antares Group, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	3,305
Appliance Recycling, Inc.	EMPOWER NY, Single Family Residential	2,399
	Home Perf w Energy Star, Single Family Residential	7,098
	Single Family Residential	5,965
Arctic Mechanical	Clean Heating & Cooling	15,500
Association for Energy Affordability, In	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	28,262
Auto Mall Hyundai, Inc.	Clean Transportation	49,600
	Electric Vehicles - Rebate, Clean Transportation	7,300
Aztech Geothermal, LLC	Campus/Technical Assistance, Clean Heating & Cooling	6,790
	Clean Heating & Cooling	28,290
	Geothermal Incentive Program, Clean Heating & Cooling	16,590
B&D Stoves Inc.	Renewable Heat NY, Clean Heating & Cooling	7,000
Beechwood, Inc.	CLEAN TRANSPORTATION, Clean Transportation	8,000
BELL HEATING AND AIR CONDITIONING	Clean Heating & Cooling	46,043
	Geothermal Incentive Program, Clean Heating & Cooling	3,840
Belmonte Builders	CLEAN TRANSPORTATION, Clean Transportation	24,000
BenSol Tech LLC	Home Perf w Energy Star, Single Family Residential	38,812
Best Fire	Renewable Heat NY, Clean Heating & Cooling	18,500
Betlem Service Corporation	Air Source Heat Pumps, Codes, Products and Standards	22,979
	Home Perf w Energy Star, Single Family Residential	1,050
Better Energy Solutions Inc.	EMPOWER NY, Single Family Residential	1,362
	Home Perf w Energy Star, Single Family Residential	336,681
	Single Family Residential	189,645
Binghamton Regional	Talent Pipeline: Internship Pgm, Workforce Dev & Train	3,742
Black Cloud Chimney Sweeps LLC	Renewable Heat NY, Clean Heating & Cooling	9,500
BlocPower LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,058
BPTC	EMPOWER NY, Single Family Residential	352
	Home Perf w Energy Star, Single Family Residential	101,848
	Low Rise New Construction, New Construction	5,500
	Single Family Residential	28,581
BQE Services Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,169
Breathe Easy of CNY Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	300
	Clean Heating & Cooling	10,500
	Home Perf w Energy Star, Single Family Residential	16,892
Bright Building LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	38,010
Brooklyn Union Gas	Admin-General Charges	1,185,463
BruceG Davis, DDS & Michael L King, DDS,	CLEAN TRANSPORTATION, Clean Transportation	8,000
Buffalo Energy, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	500
	Clean Heating & Cooling	3,000
	EMPOWER NY, Single Family Residential	5,695
	Home Perf w Energy Star, Single Family Residential	661,348
	Single Family Residential	30,082
Buffalo Geothermal Heating	Campus/Technical Assistance, Clean Heating & Cooling	2,715
	Clean Heating & Cooling	62,565
	Geothermal Incentive Program, Clean Heating & Cooling	137,070
Building Efficiency Resources	Low Rise New Construction, New Construction	38,000
Burdick Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	21,500
C & M Mechanical Inc	Clean Heating & Cooling	12,500
C2 Energy Capital LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	24,247

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C&R Housing Inc.	EMPOWER NY, Single Family Residential	352
	Home Perf w Energy Star, Single Family Residential	106,591
	Single Family Residential	12,972
Capital Heat	Air Source Heat Pumps, Codes, Products and Standards	452
	Clean Heating & Cooling	10,000
	Geothermal Incentive Program, Clean Heating & Cooling	33,555
Capro-X Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,450
Cars Unlimited of Suffolk LLC	Clean Transportation	26,800
Central Heating & Cooling, Inc.	Home Perf w Energy Star, Single Family Residential	9,093
Central Hudson Gas & Electric Corp.	CLEAN TRANSPORTATION, Clean Transportation	80,000
Central Hudson Gas and Electric Corporat	Admin-General Charges	106,008
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,101
Centrotherm Eco Systems, LLC	CLEAN TRANSPORTATION, Clean Transportation	32,000
Charles Graves Inc.	EMPOWER NY, Single Family Residential	2,314
	Home Perf w Energy Star, Single Family Residential	85,840
	Single Family Residential	1,692
Charlotte Appliances	EMPOWER NY, Single Family Residential	3,985
	Home Perf w Energy Star, Single Family Residential	2,347
	Single Family Residential	1,618
Chautauqua Opportunities, Inc.	EMPOWER NY, Single Family Residential	384
	Home Perf w Energy Star, Single Family Residential	2,250
	Single Family Residential	8,631
CHHA2 Garages LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
Chuck Russo Heating	Clean Heating & Cooling	12,630
City of Glens Falls	CLEAN TRANSPORTATION, Clean Transportation	72,000
City Suburban Environmental Systems, Inc	Clean Heating & Cooling	5,745
	Geothermal Incentive Program, Clean Heating & Cooling	5,745
Clifton Park Heating & Cooling LLC	Geothermal Incentive Program, Clean Heating & Cooling	15,975
Clifton Park Imports, Inc.	Electric Vehicles - Rebate, Clean Transportation	20,400
Clover Heating & Cooling	Air Source Heat Pumps, Codes, Products and Standards	7,948
	Campus/Technical Assistance, Clean Heating & Cooling	5,750
	Clean Heating & Cooling	18,500
	Home Perf w Energy Star, Single Family Residential	975
CNY Ductless Inc	Clean Heating & Cooling	5,000
CNY Home Tech Services	Home Perf w Energy Star, Single Family Residential	4,652
	Single Family Residential	4,223
CNY Insulation Plus, Inc	Home Perf w Energy Star, Single Family Residential	5,629
COI Energy Services Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,037
Colonie East LLC	CLEAN TRANSPORTATION, Clean Transportation	32,000
Colonie Import Distributors LTD	Electric Vehicles - Rebate, Clean Transportation	62,300
Columbia Gardens Cohoes, LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
	Home Perf w Energy Star, Single Family Residential	23,560
Columbia Opportunities Inc.	Single Family Residential	918
	EMPOWER NY, Single Family Residential	1,083
Commission on Economic Opportunity	Home Perf w Energy Star, Single Family Residential	32,979
	Single Family Residential	20,435
	EMPOWER NY, Single Family Residential	1,083
Common Energy LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	8,645
Common Roots Brewing Company, Inc	CLEAN TRANSPORTATION, Clean Transportation	8,000
Community Action Planning Council of Jef	Home Perf w Energy Star, Single Family Residential	32,483
	Single Family Residential	8,668
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	1,423

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Contractor	Contract Description	Total Expended Amount
Concord Servicing Corporation	GJGNY REVOLVING LOAN FUND, Multifamily	195
	GJGNY REVOLVING LOAN FUND, Single Family Residential	626,741
	OTHER PROGRAM AREA, Single Family Residential	14,825
Condor Mount Kisco LLC	Electric Vehicles - Rebate, Clean Transportation	8,000
Consolidated Edison Company	Admin-General Charges	1,472,139
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,268
Cornerstone Energy Services	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	250
	Home Perf w Energy Star, Single Family Residential	17,574
	Single Family Residential	23,470
Corporate Woods 11 Co,LP	CLEAN TRANSPORTATION, Clean Transportation	40,000
Cortese Chrysler Dodge Jeep Inc	Electric Vehicles - Rebate, Clean Transportation	5,500
Cortland County Community Action Program	EMPOWER NY, Single Family Residential	308
	Home Perf w Energy Star, Single Family Residential	13,392
	Single Family Residential	2,664
Country Suburban Heating & Air Condition	Clean Heating & Cooling	100,000
	Home Perf w Energy Star, Single Family Residential	1,675
County Cooling, Corp.	Clean Heating & Cooling	16,500
Cowles Company of Northern New York, Inc	Home Perf w Energy Star, Single Family Residential	143,135
	Single Family Residential	19,168
CR Wolfe Heating Corp.	Air Source Heat Pumps, Codes, Products and Standards	17,481
Crossfield Home Energy Solutions	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	469
	Clean Heating & Cooling	2,000
	EMPOWER NY, Single Family Residential	352
	GJGNY Market Rate Audits, Single Family Residential	2,700
	Home Perf w Energy Star, Single Family Residential	32,048
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	300
	NYCH: Comfort Home, Single Family Residential	150
Crown Ford Inc.	Clean Transportation	13,200
	Electric Vehicles - Rebate, Clean Transportation	4,400
Curry Motor Cars LLC	Electric Vehicles - Rebate, Clean Transportation	14,000
Dailey Electric Inc	Clean Heating & Cooling	24,120
	Geothermal Incentive Program, Clean Heating & Cooling	118,080
Dana Motors, Ltd.	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	17,600
Dandelion Energy Inc	Clean Heating & Cooling	556,245
	Geothermal Incentive Program, Clean Heating & Cooling	538,736
Daniel J. Ryan	GJGNY Market Rate Audits, Single Family Residential	450
	Home Perf w Energy Star, Single Family Residential	7,288
David M Scott	EMPOWER NY, Single Family Residential	539
	Home Perf w Energy Star, Single Family Residential	27,133
	Single Family Residential	5,711
Dazong HVAC & R, Inc.	Clean Heating & Cooling	32,500
DCH NY Motors LLC	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	39,100
Della Auto Group, Inc.	Electric Vehicles - Rebate, Clean Transportation	10,600
Delta Properties, LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
DeNooyer Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	8,000
Depaula Chevrolet Inc.	Electric Vehicles - Rebate, Clean Transportation	12,000
DGM, LLC	Electric Vehicles - Rebate, Clean Transportation	5,100
Dimension Fabricators, Inc.	CLEAN TRANSPORTATION, Clean Transportation	16,000
Dimien Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	8,540

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Doyle Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	14,500
Driver's Village, Inc.	Electric Vehicles - Rebate, Clean Transportation	9,200
Dwight Getting Heating & Air Conditionin	Geothermal Incentive Program, Clean Heating & Cooling	18,506
E and V Energy Corporation	Air Source Heat Pumps, Codes, Products and Standards	16,070
	Clean Heating & Cooling	10,000
E-Mobility Market Services, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
Earth Sensitive Solutions, LLC	Clean Heating & Cooling	19,755
	Geothermal Incentive Program, Clean Heating & Cooling	11,505
East Greenbush Installs LLC	Renewable Heat NY, Clean Heating & Cooling	6,500
Easthills Chevrolet Oldsmobile Inc.	Clean Transportation	6,000
EBM Consulting Services	Geothermal Incentive Program, Clean Heating & Cooling	20,715
Eco Heating & Cooling Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	448
	EMPOWER NY, Single Family Residential	110
	Home Perf w Energy Star, Single Family Residential	9,472
	Single Family Residential	8,477
Ecogy Solar LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,477
Economic Opportunity Program	EMPOWER NY, Single Family Residential	3,627
	Home Perf w Energy Star, Single Family Residential	5,833
	Single Family Residential	6,276
EMM Heating Services LLC	Clean Heating & Cooling	6,750
Empire State Development Corp.	OTHER PROGRAM AREA, Admin-General Charges	15,000,000
Empower Equity Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,089
En-Tech Associates	EMPOWER NY, Single Family Residential	352
	Home Perf w Energy Star, Single Family Residential	13,317
	Single Family Residential	15,503
Energy Ally Enterprise LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	13,925
Energy Evolution Inc	Home Perf w Energy Star, Single Family Residential	36,227
	NYCH: Comfort Home, Single Family Residential	17,700
	Single Family Residential	21,740
Energy Improvement Corporation	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,042
Energy Management Solutions, LLC	Campus/Technical Assistance, Clean Heating & Cooling	15,535
	GJGNY Market Rate Audits, Single Family Residential	10,950
	Home Perf w Energy Star, Single Family Residential	31,234
	NYCH: Comfort Home, Single Family Residential	8,250
Energy Savers Inc	EMPOWER NY, Single Family Residential	1,903
	Home Perf w Energy Star, Single Family Residential	347,134
	NYCH: Comfort Home, Single Family Residential	450
	Single Family Residential	65,306
Energy Saving Solutions, LLC	EMPOWER NY, Single Family Residential	12,788
	Home Perf w Energy Star, Single Family Residential	176,615
	Single Family Residential	15,937
Energy Service Technologies, LLC	Home Perf w Energy Star, Single Family Residential	36,133
	Single Family Residential	22,694
Enertiv Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	19,892
Environmental Contracting LLC	Home Perf w Energy Star, Single Family Residential	55,911
	Single Family Residential	9,764
Eric Maskell	Geothermal Incentive Program, Clean Heating & Cooling	29,415
Etrog Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,936
Euro and American Contracting	Home Perf w Energy Star, Single Family Residential	53,408
Executive Associates North II LLC	CLEAN TRANSPORTATION, Clean Transportation	32,000
Fairstead Affordable LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	11,835

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Contractor	Contract Description	Total Expended Amount
Fleming Heating & Air Conditioning, Inc.	Clean Heating & Cooling	6,495
Foam It Insulation, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	250
	EMPOWER NY, Single Family Residential	1,067
	GJGNY Market Rate Audits, Single Family Residential	3,900
	Home Perf w Energy Star, Single Family Residential	287,107
	Single Family Residential	16,965
Folia Water Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	27,050
Fourth Coast, Inc.	Geothermal Incentive Program, Clean Heating & Cooling	13,500
Fox Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	14,900
Fred F. Collis & Sons, Inc.	GJGNY Market Rate Audits, Single Family Residential	900
	Home Perf w Energy Star, Single Family Residential	191,273
	NYCH: Comfort Home, Single Family Residential	4,150
	Single Family Residential	97,106
Frederick A Proven	Clean Heating & Cooling	9,450
Frederick J Goris, Jr.	EMPOWER NY, Single Family Residential	308
	Home Perf w Energy Star, Single Family Residential	19,798
	Single Family Residential	6,298
Frey Electric Construction Co., Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,360
Friello and Sons Heating and Cooling, In	Home Perf w Energy Star, Single Family Residential	10,293
Fuccillo Enterprises, Inc.	Electric Vehicles - Rebate, Clean Transportation	7,200
Fuccillo Hyundai of Grand Island, Inc	Electric Vehicles - Rebate, Clean Transportation	5,300
Fuccillo Hyundai of Schenectady	Electric Vehicles - Rebate, Clean Transportation	15,700
Fuccillo Hyundai of Syracuse Inc	Electric Vehicles - Rebate, Clean Transportation	34,800
Fulmont Community Action Agency Inc.	Home Perf w Energy Star, Single Family Residential	19,817
	Single Family Residential	20,887
G.W. Ehrhart, Inc.	Renewable Heat NY, Clean Heating & Cooling	7,000
G&H Auto Group	Electric Vehicles - Rebate, Clean Transportation	8,000
Gallagher Electrical Services Heat & Air	EMPOWER NY, Single Family Residential	2,497
	Home Perf w Energy Star, Single Family Residential	49,625
	Single Family Residential	8,402
Garvey Hyundai North LLC	Electric Vehicles - Rebate, Clean Transportation	6,000
Garvey Hyundai, Inc	Electric Vehicles - Rebate, Clean Transportation	15,500
Garvey Volkswagen Inc	Electric Vehicles - Rebate, Clean Transportation	7,100
Gary Boyd	Home Perf w Energy Star, Single Family Residential	1,706
	Single Family Residential	8,219
Gault Auto Mall Co. Inc.	Electric Vehicles - Rebate, Clean Transportation	7,800
Geotherm Inc.	Clean Heating & Cooling	43,485
	Geothermal Incentive Program, Clean Heating & Cooling	141,735
Geothermal Energy Options	Clean Heating & Cooling	16,500
	Geothermal Incentive Program, Clean Heating & Cooling	47,250
Glen at Hiland Meadows, Inc.	CLEAN TRANSPORTATION, Clean Transportation	16,000
Glen Eddy	CLEAN TRANSPORTATION, Clean Transportation	16,000
Global Dwelling, LLC	EMPOWER NY, Single Family Residential	77
	Home Perf w Energy Star, Single Family Residential	48,036
	Single Family Residential	28,501
Gomez Comfort Systems, LLC	Home Perf w Energy Star, Single Family Residential	16,947
	Single Family Residential	1,152
Green City Force	Home Perf w Energy Star, Single Family Residential	3,821
Green Home Innovations, Inc	EMPOWER NY, Single Family Residential	253
	Home Perf w Energy Star, Single Family Residential	107,448
	Single Family Residential	14,243

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Contractor	Contract Description	Total Expended Amount
Green Home Logic, Inc.	EMPOWER NY, Single Family Residential	200
	GJGNY Market Rate Audits, Single Family Residential	2,400
	Home Energy Ratings, Single Family Residential	2,050
	Home Perf w Energy Star, Single Family Residential	20,197
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	300
	Single Family Residential	10,963
Green Light New York, Inc.	Environmental Research, Consumer Serv & Events Managem	2,548
Green Team USA LLC	Air Source Heat Pumps, Codes, Products and Standards	3,377
	EMPOWER NY, Single Family Residential	200
	Home Perf w Energy Star, Single Family Residential	20,826
	Single Family Residential	11,613
Green Team USA, LLC	Home Energy Ratings, Single Family Residential	199
Greenpac Mill LLC.	CLEAN TRANSPORTATION, Clean Transportation	32,000
Greenspot JC LLC	CLEAN TRANSPORTATION, Clean Transportation	24,000
H & K VanValkenburgh, Inc.	Renewable Heat NY, Clean Heating & Cooling	83,000
H2O Concept Plumbing & Heating Corp.	Clean Heating & Cooling	378,500
Haberstad Motorsport Inc.	Clean Transportation	6,500
Halcyon Inc.	EMPOWER NY, Single Family Residential	19,158
	Home Energy Ratings, Single Family Residential	1,822
	Home Perf w Energy Star, Single Family Residential	1,043,450
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	NYCH: Comfort Home, Single Family Residential	4,150
	Single Family Residential	173,223
Halcyon, Inc.	Air Source Heat Pumps, Codes, Products and Standards	1,086
	Campus/Technical Assistance, Clean Heating & Cooling	26,440
	Clean Heating & Cooling	67,150
	Geothermal Incentive Program, Clean Heating & Cooling	196,646
Harisi Energy, LLC	GJGNY Market Rate Audits, Single Family Residential	900
	Home Perf w Energy Star, Single Family Residential	26,309
	Single Family Residential	22,350
Harvey Bloch Ortiz Bailer Inc	Campus/Technical Assistance, Clean Heating & Cooling	5,400
Harvey, Bloch, Ortiz & Bailer Inc.	Clean Heating & Cooling	7,470
	Geothermal Incentive Program, Clean Heating & Cooling	35,516
Hassett Ford Lincoln Mercury Inc	Clean Transportation	13,100
	Electric Vehicles - Rebate, Clean Transportation	2,200
Hawn Heating & Energy Services LLC	EMPOWER NY, Single Family Residential	132
	Home Perf w Energy Star, Single Family Residential	11,269
Healey Chevrolet Inc.	Electric Vehicles - Rebate, Clean Transportation	12,000
Healey Hyundai, Inc	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	17,300
Healthy Home Energy & Consulting, Inc.	Home Perf w Energy Star, Single Family Residential	7,733
	NYCH: Comfort Home, Single Family Residential	42,400
Heart Volkswagen LLC	Electric Vehicles - Rebate, Clean Transportation	16,000
Hearths A Fire Inc.	Renewable Heat NY, Clean Heating & Cooling	54,500
Heat Inverse LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	28,465
Heckeroth Plumbing & Heating of Woodstoc	Clean Heating & Cooling	14,000
Heinrich Chevrolet Corp	Electric Vehicles - Rebate, Clean Transportation	6,000
Hempstead Lincoln Mercury Motors Corp.	Clean Transportation	16,500
	Electric Vehicles - Rebate, Clean Transportation	4,400
Holbrook Heating, Inc.	Air Source Heat Pumps, Codes, Products and Standards	40,702
	Clean Heating & Cooling	500

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Contractor	Contract Description	Total Expended Amount
Home Energy Consultants Inc.	Home Perf w Energy Star, Single Family Residential	30,626
	Single Family Residential	12,856
Home Performance Professionals, Inc.	Home Energy Ratings, Single Family Residential	700
	Home Perf w Energy Star, Single Family Residential	41,591
	Single Family Residential	5,901
Hoosick Hotel Development Group, LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
Hoselton Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	28,000
Hoselton Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	60,200
Hoselton Nissan Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
Hudson Valley Clean Energy Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,083
Hudson Valley Energy, Inc.	Home Perf w Energy Star, Single Family Residential	7,477
	Single Family Residential	19,705
Hyundai of White Plains LLC	Electric Vehicles - Rebate, Clean Transportation	19,700
Ideal Energy Solutions LLC	EMPOWER NY, Single Family Residential	16,517
	Home Perf w Energy Star, Single Family Residential	312,292
	Single Family Residential	143,295
IGM Holdings, Inc.	Home Perf w Energy Star, Single Family Residential	502,990
INF Associates LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,916
Innovation Now, LLC	EMPOWER NY, Single Family Residential	198
	GJGNY Market Rate Audits, Single Family Residential	1,200
	Home Perf w Energy Star, Single Family Residential	50,453
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
Installed Building Products LLC	EMPOWER NY, Single Family Residential	497
	Home Perf w Energy Star, Single Family Residential	87,926
	Single Family Residential	31,393
Isaac Heating and Air Conditioning, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,263
	Clean Heating & Cooling	3,500
	GJGNY Market Rate Audits, Single Family Residential	53,250
	Home Perf w Energy Star, Single Family Residential	114,170
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	5,567
ISKALO Development Corporation	CLEAN TRANSPORTATION, Clean Transportation	32,000
Ivy Lea Construction	EMPOWER NY, Single Family Residential	6,358
	Home Perf w Energy Star, Single Family Residential	115,617
	Single Family Residential	24,550
J Synergy Green Inc	GJGNY Market Rate Audits, Single Family Residential	450
	Home Perf w Energy Star, Single Family Residential	500
J.B. Realty Enterprise Corp.	CLEAN TRANSPORTATION, Clean Transportation	16,000
J&M Motors Of Hempstead LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	6,000
Jack Hall Plumbing and Heating, Inc.	Home Perf w Energy Star, Single Family Residential	42,031
	Single Family Residential	39,217
Jack Sherman Inc.	Electric Vehicles - Rebate, Clean Transportation	24,400
James Richard Meehan III	Home Perf w Energy Star, Single Family Residential	9,029
	Single Family Residential	5,614
Jardine Inc	Electric Vehicles - Rebate, Clean Transportation	11,100
Jim Barnard Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
John Betlem Heating & Cooling Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	312
	Clean Heating & Cooling	4,050
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	5,689
John Piccirilli INC	Clean Heating & Cooling	7,000

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Contractor	Contract Description	Total Expended Amount
Johnson's Pool & Spas LLC	Renewable Heat NY, Clean Heating & Cooling	6,500
Joint Council of Economic Opportunity	EMPOWER NY, Single Family Residential	200
	Home Perf w Energy Star, Single Family Residential	4,425
	Single Family Residential	12,728
JPK Imports of Oneonta	Electric Vehicles - Rebate, Clean Transportation	8,800
JS Autoworld, LLC	Clean Transportation	12,700
	Electric Vehicles - Rebate, Clean Transportation	2,200
JS Huntington Auto Sales LLC	Clean Transportation	22,000
	Electric Vehicles - Rebate, Clean Transportation	2,200
JS Hyundai Of Valley Stream, LLC	Clean Transportation	17,600
	Electric Vehicles - Rebate, Clean Transportation	15,400
Kech Insulation and Remodeling, LLC	EMPOWER NY, Single Family Residential	275
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	18,335
	Single Family Residential	6,596
Key Capture Energy, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	13,158
KeySpan Gas East Corporation	Admin-General Charges	796,198
Kinderhook Sales Inc	Electric Vehicles - Rebate, Clean Transportation	5,000
Kingston Automotive LLC	Electric Vehicles - Rebate, Clean Transportation	12,000
Kitchen Hearth & Home, Inc.	Renewable Heat NY, Clean Heating & Cooling	20,500
Koeppe Nissan Inc	Electric Vehicles - Rebate, Clean Transportation	14,000
Kool-Temp Heating & Cooling	Clean Heating & Cooling	19,595
	Geothermal Incentive Program, Clean Heating & Cooling	6,135
	GJGNY Market Rate Audits, Single Family Residential	450
	Home Perf w Energy Star, Single Family Residential	250
L.B. Auto of 112 LLC	Clean Transportation	7,700
	Electric Vehicles - Rebate, Clean Transportation	1,100
Lake Country Geothermal, Inc.	Campus/Technical Assistance, Clean Heating & Cooling	9,804
	Geothermal Incentive Program, Clean Heating & Cooling	12,940
LaSalle Parking LLC Shumai LLC SOLE MBR	CLEAN TRANSPORTATION, Clean Transportation	24,000
Lasorsa Chevrolet Buick, Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
LAXMI Malone Enterprise LLC	CLEAN TRANSPORTATION, Clean Transportation	8,000
LC DRives	Talent Pipeline: Internship Pgm, Workforce Dev & Train	95,793
LeBrun LLC	Electric Vehicles - Rebate, Clean Transportation	7,800
Levittown Ford LLC	Clean Transportation	3,300
	Electric Vehicles - Rebate, Clean Transportation	2,200
Lia Automotive, LLC	Electric Vehicles - Rebate, Clean Transportation	8,300
Linear Motors LLC	Electric Vehicles - Rebate, Clean Transportation	7,200
LinLi HVAC Inc	Clean Heating & Cooling	102,000
Lithia of Yorkville -4, LLC	Electric Vehicles - Rebate, Clean Transportation	35,000
Lloyd Hamilton	Clean Heating & Cooling	8,325
LM Aldus Parking LLC	CLEAN TRANSPORTATION, Clean Transportation	40,000
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Single Family Residential	56,552
Lotze Insulation Design, Inc.	EMPOWER NY, Single Family Residential	5,588
	Home Perf w Energy Star, Single Family Residential	170,358
	Single Family Residential	73,348
Lyford Motors	Electric Vehicles - Rebate, Clean Transportation	8,900
Mack Markowitz Inc	Clean Transportation	15,400
	Electric Vehicles - Rebate, Clean Transportation	1,100
Maguire Automotive LLC	Electric Vehicles - Rebate, Clean Transportation	28,200
Maguire Cars LLC	Electric Vehicles - Rebate, Clean Transportation	22,600

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Contractor	Contract Description	Total Expended Amount
Maguire Motors LLC	Electric Vehicles - Rebate, Clean Transportation	8,000
Malcarne Contracting, Inc.	Campus/Technical Assistance, Clean Heating & Cooling	28,625
	Clean Heating & Cooling	27,100
	Geothermal Incentive Program, Clean Heating & Cooling	7,005
	Home Perf w Energy Star, Single Family Residential	250
Mangino Value Center Inc.	Electric Vehicles - Rebate, Clean Transportation	5,500
Margert Community Corporation	Home Perf w Energy Star, Single Family Residential	10,102
Mark E. Fulmer	Home Energy Ratings, Single Family Residential	10,585
Marshall and Sons Service Station	OTHER PROGRAM AREA, Clean Transportation	16,000
Martin B Devit	Clean Heating & Cooling	18,120
	Geothermal Incentive Program, Clean Heating & Cooling	16,035
Martins Electrical LLC	Clean Heating & Cooling	13,540
Massapequa Motors LLC	Clean Transportation	11,000
	Electric Vehicles - Rebate, Clean Transportation	1,100
Matthew C Desmarais	Clean Heating & Cooling	9,525
Mathews of Vestal, Inc.	Electric Vehicles - Rebate, Clean Transportation	6,000
MEP Geothermal Engineering, PLLC	Campus/Technical Assistance, Clean Heating & Cooling	38,093
Metro NY Insulation LLC	Home Perf w Energy Star, Single Family Residential	65,280
	NYCH: Comfort Home, Single Family Residential	5,600
	Single Family Residential	3,817
Mid Island Hyundai LLC	Clean Transportation	22,100
Mike Basil Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	41,400
Millennium Super Store, LLC	Clean Transportation	9,900
	Electric Vehicles - Rebate, Clean Transportation	3,300
MINISPLITCOMFORT CORP	Clean Heating & Cooling	10,000
Mitchell McMillen	Clean Heating & Cooling	7,500
Mohonk Preserve, Inc.	CLEAN TRANSPORTATION, Clean Transportation	16,000
Montour Fall House, LLC	CLEAN TRANSPORTATION, Clean Transportation	24,000
National Fuel Gas Dist. Corp.	Admin-General Charges	599,001
Neighborhood Housing Services	EMPOWER NY, Single Family Residential	4,341
	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	97,091
	Single Family Residential	14,143
New York City Energy Efficiency Corp	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,178
New York Homeowners Construction Co., LL	Home Perf w Energy Star, Single Family Residential	49,059
Niagara Mohawk Power Corporation	Admin-General Charges	675,372
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,845
Nick's Home Energy Improvements Inc.	EMPOWER NY, Single Family Residential	8,837
	Home Perf w Energy Star, Single Family Residential	47,917
Nispen Building Performance, Inc.	EMPOWER NY, Single Family Residential	3,033
	Home Perf w Energy Star, Single Family Residential	37,137
	Renewable Heat NY, Clean Heating & Cooling	2,500
	Single Family Residential	43,925
North East Underlayments LLC	Home Perf w Energy Star, Single Family Residential	13,816
	Single Family Residential	5,541
North Shore Chevrolet of Smithtown	Clean Transportation	10,000
Northeast Home Improvement, LLC	EMPOWER NY, Single Family Residential	1,297
	Home Perf w Energy Star, Single Family Residential	8,696
	Single Family Residential	44,030
Northern Automotive Group Inc.	Electric Vehicles - Rebate, Clean Transportation	7,200
Northern Plumbing & Heating, Inc.	Clean Heating & Cooling	6,000

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Contractor	Contract Description	Total Expended Amount
Northtown Hyundai Inc	Electric Vehicles - Rebate, Clean Transportation	24,900
Northwood School	CLEAN TRANSPORTATION, Clean Transportation	8,000
NP Environmental LLC	Campus/Technical Assistance, Clean Heating & Cooling	4,058
	Clean Heating & Cooling	12,310
	Geothermal Incentive Program, Clean Heating & Cooling	48,420
NPD Group, Inc	CLEAN TRANSPORTATION, Clean Transportation	8,000
Nunda Farm Service Inc.	Renewable Heat NY, Clean Heating & Cooling	13,500
NY Greentop	Home Perf w Energy Star, Single Family Residential	50,867
Nye Automotive Group, Inc	Electric Vehicles - Rebate, Clean Transportation	14,400
NYLSI, INC	Clean Transportation	41,300
	Electric Vehicles - Rebate, Clean Transportation	6,600
NYREER, LLC	CLEAN TRANSPORTATION, Clean Transportation	40,000
	OTHER PROGRAM AREA, Clean Transportation	8,000
NYS Energy Audits, Inc.	EMPOWER NY, Single Family Residential	200
	Home Perf w Energy Star, Single Family Residential	186,079
	Single Family Residential	25,578
NYS Energy Solutions	Home Perf w Energy Star, Single Family Residential	8,837
	Single Family Residential	5,922
NYSEG	Admin-General Charges	359,628
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,121
ODA Community Development Corp.	Home Perf w Energy Star, Single Family Residential	88,710
Olum's of Binghamton, Inc.	EMPOWER NY, Single Family Residential	650
	Home Perf w Energy Star, Single Family Residential	15,905
	Single Family Residential	5,715
One Barney Road, LLC	CLEAN TRANSPORTATION, Clean Transportation	40,000
Onondaga County	CLEAN TRANSPORTATION, Clean Transportation	16,000
OnRout Co.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	25,673
OnSite Solar LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	13,088
Opportunities for Chenango, Inc.	EMPOWER NY, Single Family Residential	1,741
	Home Perf w Energy Star, Single Family Residential	27,479
	Single Family Residential	4,435
Opportunities for Otsego, Inc.	EMPOWER NY, Single Family Residential	8,316
	Home Perf w Energy Star, Single Family Residential	5,773
	Single Family Residential	11,909
Orange and Rockland Utilities, Inc.	Admin-General Charges	160,721
	GJGNY REVOLVING LOAN FUND, Single Family Residential	560
Otis Ford Inc	Clean Transportation	13,200
Owahgena Consulting, Inc.	NYCH: Innovation, Advanced Buildings	550
P.R.O. Home Improvement of CNY, LLC	Home Perf w Energy Star, Single Family Residential	33,817
	Single Family Residential	58,065
Paddock Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	10,000
Pana Nissan, LLC	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	12,000
Park Plaza of Clifton Park LLC	CLEAN TRANSPORTATION, Clean Transportation	40,000
Parkway II LLC	Electric Vehicles - Rebate, Clean Transportation	10,000
Pathstone Corporation	EMPOWER NY, Single Family Residential	3,014
	Home Perf w Energy Star, Single Family Residential	7,289
	Single Family Residential	363
Patriot Energy Solutions Corp	Home Perf w Energy Star, Single Family Residential	612,599
Paul Smiths College of Arts and Sciences	CLEAN TRANSPORTATION, Clean Transportation	40,000
Pavion Holdings, LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Expended Amount
PEG	Low Rise New Construction, New Construction	14,500
Penns Worldwide Auto Superstore LTD	Clean Transportation	17,100
	Electric Vehicles - Rebate, Clean Transportation	7,700
People's Equal Action & Community Effort	Home Perf w Energy Star, Single Family Residential	51,620
	Single Family Residential	4,767
PepsiCo, Inc.	CLEAN TRANSPORTATION, Clean Transportation	16,000
Perfection Contracting Inc	Geothermal Incentive Program, Clean Heating & Cooling	15,435
Performance Systems Development, Inc.	Low Rise New Construction, New Construction	6,400
Pete Faber	Renewable Heat NY, Clean Heating & Cooling	5,500
Peter Tavino PE PC	Campus/Technical Assistance, Clean Heating & Cooling	18,483
Phoenix Geothermal Services	Campus/Technical Assistance, Clean Heating & Cooling	19,907
Plaza Automotive, Ltd.	Clean Transportation	25,100
	Electric Vehicles - Rebate, Clean Transportation	42,200
Potsdam Scensors LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	51,687
Premiere Group Instrumentation Machine I	Geothermal Incentive Program, Clean Heating & Cooling	6,690
Prestige Automobiles Inc.	Electric Vehicles - Rebate, Clean Transportation	38,300
Prime Time Energy Services, Inc.	EMPOWER NY, Single Family Residential	5,798
	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	168,874
	NYCH: Comfort Home, Single Family Residential	750
	Single Family Residential	15,809
Pro Action of Steuben & Yates, Inc.	EMPOWER NY, Single Family Residential	564
	Home Perf w Energy Star, Single Family Residential	14,327
	Single Family Residential	26,848
Queens Fresh Meadows, LLC	OTHER PROGRAM AREA, Clean Transportation	8,000
Radha Krishna Corp.	CLEAN TRANSPORTATION, Clean Transportation	16,000
Rallye Westbury, LLC	Clean Transportation	10,700
	Electric Vehicles - Rebate, Clean Transportation	500
Ramp Motors Inc	Clean Transportation	13,200
re: Charge-e, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,688
Regional Economic Community Action	Home Perf w Energy Star, Single Family Residential	43,771
	Single Family Residential	21,839
RI Suresky and Sons Inc	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	6,200
Ridgeline Heating and Cooling, LLC	Clean Heating & Cooling	10,500
Rivera Auto Group Inc	Electric Vehicles - Rebate, Clean Transportation	19,800
RJ Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	20,000
Rochester Gas & Electric Corp.	Admin-General Charges	344,810
	GJGNY REVOLVING LOAN FUND, Single Family Residential	474
Rochester Genesee Regional Transportatio	CLEAN TRANSPORTATION, Clean Transportation	8,000
Rochester Zen Center	CLEAN TRANSPORTATION, Clean Transportation	16,000
Rodney Lind	EMPOWER NY, Single Family Residential	16,893
	Home Perf w Energy Star, Single Family Residential	96,344
	Single Family Residential	46,746
Romano Toyota	Electric Vehicles - Rebate, Clean Transportation	23,100
Romeo Chevrolet Buick GMC	Electric Vehicles - Rebate, Clean Transportation	12,000
Ryan Plumbing Heating Air Conditioning	EMPOWER NY, Single Family Residential	1,490
	Home Perf w Energy Star, Single Family Residential	95,052
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	3,626
Rycor LLC	Clean Heating & Cooling	31,000

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Expended Amount
SANFILIPPO SOLUTIONS INC.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	415
	EMPOWER NY, Single Family Residential	20,561
	Home Perf w Energy Star, Single Family Residential	64,385
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	8,259
Saratoga County EOC	EMPOWER NY, Single Family Residential	286
	Home Perf w Energy Star, Single Family Residential	32,214
	Single Family Residential	14,878
Saratoga Fireplace & Stove, Inc.	Renewable Heat NY, Clean Heating & Cooling	8,500
Saratoga Imports Inc	Electric Vehicles - Rebate, Clean Transportation	18,800
Saugerties NY Hospitality LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
SC Auto Corp	Clean Transportation	47,500
	Electric Vehicles - Rebate, Clean Transportation	5,500
SCOOP HVAC, LLC	Air Source Heat Pumps, Codes, Products and Standards	7,750
	Clean Heating & Cooling	5,500
Seed Renewables Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	424
Seneca County Weatherization	EMPOWER NY, Single Family Residential	552
	Home Perf w Energy Star, Single Family Residential	22,048
Sharp's Bulk Food Store	Renewable Heat NY, Clean Heating & Cooling	8,000
Shults Imports, Inc.	Electric Vehicles - Rebate, Clean Transportation	7,700
Sigma Tremblay, LLC	Clean Heating & Cooling	67,500
	GJGNY Market Rate Audits, Single Family Residential	4,050
	Home Perf w Energy Star, Single Family Residential	6,531
	NYCH: Comfort Home, Single Family Residential	150
Simple Integrity LLC	Clean Heating & Cooling	7,000
Simply Home Performance	EMPOWER NY, Single Family Residential	15,342
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	393,747
	Single Family Residential	238,372
Simply Installs LLC	Clean Heating & Cooling	33,800
Skychargers LLC	CLEAN TRANSPORTATION, Clean Transportation	15,000
Slaterville Springs Real Estate Company,	CLEAN TRANSPORTATION, Clean Transportation	8,000
Smarter Grid Solutions, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	8,058
Snug Planet, LLC	Air Source Heat Pumps, Codes, Products and Standards	21,310
	Clean Heating & Cooling	9,500
	EMPOWER NY, Single Family Residential	15,892
	Home Energy Ratings, Single Family Residential	796
	Home Perf w Energy Star, Single Family Residential	185,727
	NYCH: Comfort Home, Single Family Residential	300
	Single Family Residential	43,334
Solar Energy Haus, Inc.	EMPOWER NY, Single Family Residential	1,600
	Single Family Residential	74,871
SolarKal LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	15,300
Solitude Solar LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,242
South Shore Motors Corp	Clean Transportation	7,700
SPOT cowork LLC	CLEAN TRANSPORTATION, Clean Transportation	32,000
Standard Insulating Company	Clean Heating & Cooling	9,500
	EMPOWER NY, Single Family Residential	1,386
	Home Perf w Energy Star, Single Family Residential	990,811
	Single Family Residential	134,534
Star Auto Sales of Bayside Inc	Clean Transportation	7,800

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Expended Amount
Star Auto Sales of Bayside Inc	Electric Vehicles - Rebate, Clean Transportation	9,900
Stateside Auto Sales Inc.	Electric Vehicles - Rebate, Clean Transportation	28,100
Steet Ponte Inc	Electric Vehicles - Rebate, Clean Transportation	7,200
Steve A. Cohen	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,480
Steven Winter Associates, Inc.	Low Rise New Construction, New Construction	800
STNO, LLC	Clean Transportation	22,100
	Electric Vehicles - Rebate, Clean Transportation	2,200
Stoler of Westbury	Clean Transportation	19,800
	Electric Vehicles - Rebate, Clean Transportation	13,200
Sun Dance Pool N Patio Inc.	Renewable Heat NY, Clean Heating & Cooling	16,265
Sunset Park Redevelopment Comm	Home Perf w Energy Star, Single Family Residential	10,578
SUNY Oneonta	CLEAN TRANSPORTATION, Clean Transportation	3,000
Superior Energy Innovations, LLC	EMPOWER NY, Single Family Residential	19,805
	Home Perf w Energy Star, Single Family Residential	78,758
	Single Family Residential	24,852
Superior Insulation Co., LLC	EMPOWER NY, Single Family Residential	30,850
	Home Perf w Energy Star, Single Family Residential	211,988
	Single Family Residential	44,073
Sure Temp Company Inc.	Clean Heating & Cooling	18,000
Sustainable Comfort, Inc	Low Rise New Construction, New Construction	75,300
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,223
Sustainable Tompkins	Talent Pipeline: Internship Pgm, Workforce Dev & Train	922
Syosset Hyundai LLC	Clean Transportation	32,600
	Electric Vehicles - Rebate, Clean Transportation	2,000
Syracuse Research Corporation	CLEAN TRANSPORTATION, Clean Transportation	40,000
T.J.Nik Corp	Clean Transportation	8,200
	Electric Vehicles - Rebate, Clean Transportation	2,000
Tall Pines Farm Inc.	Renewable Heat NY, Clean Heating & Cooling	21,000
Taylor Heating Inc.	EMPOWER NY, Single Family Residential	308
	GJGNY Market Rate Audits, Single Family Residential	1,650
	Home Energy Ratings, Single Family Residential	827
	Home Perf w Energy Star, Single Family Residential	66,354
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
	NYCH: Comfort Home, Single Family Residential	1,300
	Single Family Residential	1,034
TBS Acquisition Corp	Clean Transportation	8,000
Terphane, Inc.	CLEAN TRANSPORTATION, Clean Transportation	8,000
Tesla Motors New York LLC	Clean Transportation	1,820,500
	Electric Vehicles - Rebate, Clean Transportation	4,325,500
The Dorschel Group	Electric Vehicles - Rebate, Clean Transportation	57,300
		8,000
		24,600
The Energy Doctors	EMPOWER NY, Single Family Residential	200
	Home Perf w Energy Star, Single Family Residential	3,587
	Single Family Residential	4,827
The Geothermal Group LLC	Geothermal Incentive Program, Clean Heating & Cooling	12,000
The Insulation Man LLC	EMPOWER NY, Single Family Residential	297
	GJGNY Market Rate Audits, Single Family Residential	450
	Home Energy Ratings, Single Family Residential	1,565
	Home Perf w Energy Star, Single Family Residential	31,608
	Single Family Residential	444

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Expended Amount
The Radiant Store	Clean Heating & Cooling	16,600
	Home Perf w Energy Star, Single Family Residential	2,540
The Standard Hydrogen Corporation	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,197
The Tick Tock Group, Inc.	Clean Heating & Cooling	12,600
The Unity Hospital of Rochester	CLEAN TRANSPORTATION, Clean Transportation	56,000
Thermodynamix LLC	Clean Heating & Cooling	500
Thomas Sansone	Home Energy Ratings, Single Family Residential	7,214
Thompson Plumbing, Heating & Electric LL	Geothermal Incentive Program, Clean Heating & Cooling	6,660
Three Peaks Energy Corp.	EMPOWER NY, Single Family Residential	176
	Home Perf w Energy Star, Single Family Residential	10,457
	NYCH: Comfort Home, Single Family Residential	1,150
	Single Family Residential	10,655
Timothy Marlett	EMPOWER NY, Single Family Residential	926
	Home Perf w Energy Star, Single Family Residential	118,883
	Single Family Residential	3,751
Tioga Opportunities Inc.	EMPOWER NY, Single Family Residential	2,145
	Home Perf w Energy Star, Single Family Residential	99,320
	Single Family Residential	26,080
TLL Motors Inc	Clean Transportation	77,600
	Electric Vehicles - Rebate, Clean Transportation	8,300
Tompkins Community Action	EMPOWER NY, Single Family Residential	388
	Home Perf w Energy Star, Single Family Residential	13,154
	Single Family Residential	538
Total Comfort Heating and Air Conditioni	EMPOWER NY, Single Family Residential	4,293
	Home Perf w Energy Star, Single Family Residential	134,962
	Single Family Residential	12,091
Town of Greece	CLEAN TRANSPORTATION, Clean Transportation	16,000
Town of Hurley	CLEAN TRANSPORTATION, Clean Transportation	8,000
Town of Ticonderoga	CLEAN TRANSPORTATION, Clean Transportation	8,000
Towne Ford, Inc.	Electric Vehicles - Rebate, Clean Transportation	29,300
TRS Heating and Air Conditioning Co., In	EMPOWER NY, Single Family Residential	1,839
	Home Perf w Energy Star, Single Family Residential	89,611
	Single Family Residential	88,245
True Building Performance LLC	EMPOWER NY, Single Family Residential	407
	GJGNY Market Rate Audits, Single Family Residential	3,000
	Home Perf w Energy Star, Single Family Residential	117,478
	Single Family Residential	54,361
True Energy Solutions	EMPOWER NY, Single Family Residential	6,720
	Home Perf w Energy Star, Single Family Residential	118,720
	NYCH: Comfort Home, Single Family Residential	150
	Single Family Residential	9,586
U.S. Green Building Council, NY Chapter	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,700
U&S Services, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,962
Ulster County Community Action, Inc.	Home Perf w Energy Star, Single Family Residential	33,722
	Single Family Residential	31,601
University of Rochester	Environmental Research, Environmental Research	3,550
Upstate Imports Inc	Electric Vehicles - Rebate, Clean Transportation	7,200
Upstate Spray Foam Insulation, LLC	EMPOWER NY, Single Family Residential	5,373
	Home Perf w Energy Star, Single Family Residential	96,850
	Single Family Residential	22,963
Van Bortel Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	24,000

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Expended Amount
Van Hee Mechanical	Clean Heating & Cooling	115,475
	Geothermal Incentive Program, Clean Heating & Cooling	108,930
Vanderstynne Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	17,200
Village of Canton	CLEAN TRANSPORTATION, Clean Transportation	8,000
Village of Tannersville	OTHER PROGRAM AREA, Clean Transportation	16,000
Village of Tarrytown	CLEAN TRANSPORTATION, Clean Transportation	12,500
Waite Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	7,200
Warren/Hamilton Counties ACEO	Home Perf w Energy Star, Single Family Residential	651
	Single Family Residential	4,731
WaterFurnace International, Inc.	Air Source Heat Pumps, Codes, Products and Standards	1,117
	Campus/Technical Assistance, Clean Heating & Cooling	4,666
Wayne County Action Program	EMPOWER NY, Single Family Residential	3,524
	Home Perf w Energy Star, Single Family Residential	109,420
	Single Family Residential	9,837
We are the New Farmers Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	7,344
West Herr Imports LLC	Electric Vehicles - Rebate, Clean Transportation	25,400
Weston Bros.	Air Source Heat Pumps, Codes, Products and Standards	50,000
	Clean Heating & Cooling	3,000
WHA Five LLC	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	31,700
Whiteman Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
Williams Toyota Elmira	Electric Vehicles - Rebate, Clean Transportation	11,600
Willie Oxendine	Home Perf w Energy Star, Single Family Residential	16,038
Winslow & Company, LLC	Commercial Real Estate Ten, Efficiency Planning & Engineer	5,000
Winton Place Business Centre LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
Wisconsin Energy Conservation Corp	>200KW PV, NY-Sun	84,610
	Air Source Heat Pumps, Codes, Products and Standards	3,750
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, EnergyAfforda..	25,088
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	3,129
	Geothermal Incentive Program, Clean Heating & Cooling	6,660
	GJGNY REVOLVING LOAN FUND, Clean Heating & Cooling	20,010
	GJGNY REVOLVING LOAN FUND, Single Family Residential	305,849
	Home Perf w Energy Star, EnergyAffordability and Equity	2,535,055
	Home Perf w Energy Star, Single Family Residential	286,746
	Renewable Heat NY, Clean Heating & Cooling	17,790
	Wise Home Energy, LLC	Clean Heating & Cooling
EMPOWER NY, Single Family Residential		2,376
GJGNY Market Rate Audits, Single Family Residential		1,950
Home Energy Ratings, Single Family Residential		1,155
Home Perf w Energy Star, Single Family Residential		322,307
NYCH: Comfort Home, Single Family Residential		9,150
Single Family Residential		69,370
WK Mechanical	Air Source Heat Pumps, Codes, Products and Standards	1,048
	Clean Heating & Cooling	6,100
Wood 'N Things	Renewable Heat NY, Clean Heating & Cooling	7,550
WS Healey Chevrolet Buick Inc.	Electric Vehicles - Rebate, Clean Transportation	6,000
Zenner and Ritter Inc.	EMPOWER NY, Single Family Residential	176
	Home Perf w Energy Star, Single Family Residential	57,019
Zerodraft Residential Inc.	EMPOWER NY, Single Family Residential	49,432
	GJGNY Market Rate Audits, Single Family Residential	6,000
	Home Perf w Energy Star, Single Family Residential	439,159

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Expended Amount
Zerodraft Residential Inc.	Single Family Residential	63,194
Grand Total		55,684,869

NYSERDA
Public Authority Law Report
April 1, 2020 to September 30, 2020

Section Break

Contracts Executed

Period 4/1/2020 through 9/30/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
3M Company	5/27/2020	On-Site Energy Manager, OsEM46-I - 3M Tonawanda	201,200
4 Minden Realty LLC	8/26/2020	Multifam Performance Pgm, Multifamily	12,600
70 West MM LLC	6/8/2020	Multifam Performance Pgm, Multifamily	76,300
174 Power Global NorthEast, LLC	5/28/2020	>200KW PV, PON 2112 NY SUN	295,800
	5/29/2020	>200KW PV, PON 2112 NY SUN	760,800
	6/1/2020	>200KW PV, PON 2112 NY SUN	432,800
	6/5/2020	>200KW PV, PON 2112 NY SUN	504,000
	7/8/2020	>200KW PV, NY-Sun	1,002,834
223 East 25th Street LLC	7/8/2020	New Construction LMI, 2019 MFCNP	6,400
299 3rd Development LLC	5/11/2020	New Construction LMI, 2019 MFCNP	217,900
330 Madison Holdings, LLC	9/9/2020	Technical Services, FT13116 - 330 Madison - PON	33,800
369 Manhattan LLC	7/28/2020	Buildings of Excellence, Buildings of Excellence R1	75,871
750 Seventh Avenue NY LLC	9/4/2020	Technical Services, FT13137 - 750 7th - PON	10,000
770 Electric Corp.	5/1/2020	<200KW PV, NY-Sun	19,440
		>200KW PV, NY-Sun	19,440
	6/17/2020	<200KW PV, NY-Sun	9,480
		>200KW PV, NY-Sun	6,320
	6/22/2020	<200KW PV, NY-Sun	4,485
		>200KW PV, NY-Sun	4,485
	8/14/2020	<200KW PV, NY-Sun	6,786
		>200KW PV, NY-Sun	4,524
	9/22/2020	<200KW PV, NY-Sun	6,786
		>200KW PV, NY-Sun	4,524
4455 Genesee St. LLC	8/3/2020	On-Site Energy Manager, OsEM54-I Calspan Corporation	214,000
Abakama LLC	6/9/2020	OTHER PROGRAM AREA, Innovation Advisory Services	9,205
Abt Associates Inc.	8/11/2020	ENERGY ANALYSIS, TWO 2 formerly 30191 TWO #5	100,000
	8/28/2020	ENVIRONMENTAL RESEARCH, TWO 2 formerly 30191 TWO ..	29,763
Abundant Solar Power Inc.	5/4/2020	>200KW PV, NY Sun	951,782
	6/5/2020	<200KW PV, PON 2112 NY SUN	175,275
	7/21/2020	NY-SUN, NY Sun	775,526
	7/30/2020	<200KW PV, PON 2112 NY SUN	123,188
	8/12/2020	>200KW PV, NY Sun	2,099,196
		NY-SUN, NY Sun	1,539,411
	>200KW PV, NY Sun	471,393	
	NY-SUN, NY Sun	565,672	
Abundant Solar Power Sk1 LLC	8/7/2020	>200KW PV, NYSun CI Full/Payee assignment	252,288
Accord Power, Inc.	7/21/2020	<200KW PV, NY-Sun	46,020
		>200KW PV, NY-Sun	26,520
	8/13/2020	<200KW PV, PON 2112 NY SUN	15,210
	9/8/2020	>200KW PV, PON 2112 NY SUN	7,072
Active Solar Development, LLC	7/27/2020	<200KW PV, PON 2112 NY SUN	304,200
Adam C. Boese	4/28/2020	Commercial Real Estate Ten, Daylight Saving-162 OldMill Rd	8,374
	6/17/2020	Technical Services, FT13047 - 400 8th Ave - FTC	7,984
	9/11/2020	Commercial Real Estate Ten, DaylightSavings-132 W31 St-CTP	5,000
ADK Solar	9/8/2020	<200KW PV, PON 2112 NY SUN	10,458
ADL Ventures LLC	6/12/2020	OTHER PROGRAM AREA, ADL Ventures Consulting Contra	50,000
Advanced Radiant Design, Inc.	6/25/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600
Advent Software Luxembourg S A R L	4/27/2020	NEW YORK GREEN BANK, Fund Administration/Loan Inves	1,718,254
Adviser Compliance Associates, LLC	4/27/2020	NEW YORK GREEN BANK, ACA - PPP Compliance Assistanc	50,000
AECOM Technical Services Inc.	9/17/2020	WEST VALLEY DEVELOPMENT PROGRAM, Environmental M..	23,067
AES DE RS VI, LLC	4/9/2020	>200KW PV, NY-Sun C&I	1,309,770
AES DE RS VII, LLC.	4/1/2020	>200KW PV, NY-Sun C&I	155,438
AES DE RS VIII, LLC	4/9/2020	>200KW PV, NY-Sun C&I	1,445,344
AES DE RS X, LLC	8/14/2020	>200KW PV, NY-Sun CI	3,151,845
AES DE RS XI, LLC.	4/9/2020	>200KW PV, NY-Sun C&I	1,751,750
		NY-SUN, NY-Sun C&I	1,751,750

Contracts Executed

Period 4/1/2020 through 9/30/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
AES DE RS XI, LLC.	4/9/2020	Solar Plus Energy Storage, NY-Sun C&I	1,536,500
Affordable Housing Partnership	8/3/2020	OTHER PROGRAM AREA, CEEP Capital Region (AHP)	100,000
Agilitas Energy, LLC	8/4/2020	ENERGY STORAGE, Retail Storage	2,062,500
		ESTOR:Retail Storage Incentive, Retail Storage	4,500,000
Aircuity, Inc.	6/17/2020	Real Time Enrgy Management, Aircuity-85 Murray Hill-RTEM	55,208
AKF-engineers	4/14/2020	Technical Services, FT13007 - Related - FTC	37,000
		Technical Services, FT13040 - 200 Park - FTC	18,065
	6/22/2020	NYCH: Technical Assistance, FT12285 - 1 Liberty Plaza -FTC	52,795
		Technical Services, Indoor Air Quality TWO - AKF	200,000
7/17/2020	Technical Services, FT13101 - 333 W 34th - FTC	22,050	
Albany County Dept. of General Services	7/6/2020	Albany County	30,000
Albany Solar Solutions L.L.C.	6/4/2020	<200KW PV, PON 2112 NY SUN	7,394
	7/21/2020	<200KW PV, PON 2112 NY SUN	5,418
	8/25/2020	<200KW PV, PON 2112 NY SUN	5,467
	9/8/2020	<200KW PV, PON 2112 NY SUN	8,694
Albireo Energy, LLC	4/21/2020	Real Time Enrgy Management, Albireo - 5 Penn Plaza - RTEM	82,882
		Real Time Enrgy Management, Albireo Energy-Multisite-RTEM	198,206
Algonquin Power Fund America Inc	8/25/2020	ESTOR:Retail Storage Incentive, Retail Storage	1,109,125
AlienVault, Inc.	8/11/2020	NYSERDA ADMINISTRATION, USM Support - Alien Vault	10,852
All Care Energy Inc.	5/27/2020	LMI Community Solar, All Care Energy Solar for All	10,500
All-State Air Control Sales & Service In	5/12/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,800
Allard Communications	9/3/2020	NYSERDA ADMINISTRATION, Communication Consultant	195,000
Allegis Group Holdings Inc	8/3/2020	ENERGY ANALYSIS, Staff Augmentation Services	180,785
		Informat. Products & Brokering, Staff Augmentation Services	211,468
		NYCH: Supply Chain, SA.054_TWO #9 - SFR PM	102,709
Allen Power, Inc.	4/24/2020	<200KW PV, PON 2112 NY SUN	6,956
	5/14/2020	Fuel Cells, Fuel Cell Incentive - FC-042	862,500
	5/29/2020	<200KW PV, PON 2112 NY SUN	152,213
	9/8/2020	NY-SUN, PON 2112 NY SUN	60,885
Alliance for Sustainable Energy, LLC	4/20/2020	ENERGY ANALYSIS, TWO 4 - NREL Review of BEEM	49,995
	6/10/2020	CLEAN TRANSPORTATION, TWO 2 - NREL TWO for Mobility	180,000
	6/12/2020	Electric Vehicles - Innovation, TWO 3 - NYS Charging Infrastr	425,000
Altanova LLC	4/14/2020	Technical Services, FT13051 - 564 Park - FTC	16,000
	5/26/2020	Commercial Real Estate Ten, Altanova-151 W 42ndF126-28-CTP	50,064
	6/11/2020	Technical Services, FT13053 - 564 Park - FTC	33,401
	6/17/2020	Commercial Real Estate Ten, Altanova LLC - 2 Hanson Place	5,000
	9/9/2020	Commercial Real Estate Ten, Altanova-Multisite	35,000
	9/29/2020	Commercial Real Estate Ten, Altanova-110 W 44th	5,000
		Commercial Real Estate Ten, Altanova-295 Fifth	5,000
Alternative Power Solutions of NY, LLC	6/30/2020	<200KW PV, PON 2112 NY SUN	6,694
	7/8/2020	<200KW PV, PON 2112 NY SUN	5,320
	7/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,120
	8/5/2020	<200KW PV, PON 2112 NY SUN	5,320
	8/24/2020	<200KW PV, PON 2112 NY SUN	8,750
	9/16/2020	<200KW PV, PON 2112 NY SUN	13,961
	9/22/2020	<200KW PV, PON 2112 NY SUN	5,040
	9/23/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	9/29/2020	<200KW PV, PON 2112 NY SUN	299
AltPOWER, Inc.	5/8/2020	<200KW PV, NY-Sun	135,720
	5/12/2020	<200KW PV, NY-Sun	422,710
	5/14/2020	<200KW PV, NY-Sun	362,450
	6/4/2020	<200KW PV, NY-Sun	453,570
	6/5/2020	<200KW PV, NY-Sun	528,450
	6/9/2020	<200KW PV, NY-Sun	422,175
	6/10/2020	<200KW PV, NY-Sun	143,325
AMERESCO, Inc.	4/8/2020	>200KW PV, NY Sun	1,697,280

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
AMERESCO, Inc.	4/30/2020	>200KW PV, NY Sun	2,348,346
	5/14/2020	>200KW PV, NY Sun	1,166,880
		NY-SUN, NY Sun	2,059,200
	7/6/2020	<200KW PV, PON 2112 NY SUN	233,325
	8/13/2020	<200KW PV, PON 2112 NY SUN	245,412
	9/8/2020	<200KW PV, PON 2112 NY SUN	34,560
	9/9/2020	<200KW PV, PON 2112 NY SUN	355,860
	9/10/2020	<200KW PV, PON 2112 NY SUN	56,520
	9/17/2020	<200KW PV, PON 2112 NY SUN	140,760
9/18/2020	<200KW PV, PON 2112 NY SUN	310,680	
Amergy Solar Inc.	4/7/2020	>200KW PV, PON 2112 NY SUN	87,800
	4/24/2020	>200KW PV, PON 2112 NY SUN	35,890
American Energy Care, Inc.	4/1/2020	<200KW PV, NY-Sun	6,802
	4/9/2020	<200KW PV, PON 2112 NY SUN	5,023
	4/24/2020	<200KW PV, PON 2112 NY SUN	8,750
	6/11/2020	<200KW PV, PON 2112 NY SUN	7,643
	8/13/2020	<200KW PV, NY-Sun	13,080
		<200KW PV, PON 2112 NY SUN	11,786
	9/3/2020	<200KW PV, PON 2112 NY SUN	5,837
	9/9/2020	<200KW PV, PON 2112 NY SUN	7,783
	9/18/2020	<200KW PV, NY-Sun	15,173
9/24/2020	<200KW PV, PON 2112 NY SUN	5,379	
American Society of Adaptation Profes..	7/7/2020	Environmental Research, Climate Change Research	49,500
American Society of Heating,Refrigeratin	8/4/2020	Talent Pipeline:CE and OJT, TWO Umbrella Agreement 152136	15,000
	9/11/2020	Talent Pipeline:CE and OJT, TWO Umbrella Agreement 152136	17,328
American Solar Grazing Association, In..	8/31/2020	Environmental Research, PON 4270 PV Site Design	198,000
AMP US HoldCo Inc.	8/21/2020	>200KW PV, NY-Sun C&I	838,706
AmTrust North America Inc.	4/15/2020	NYSERDA ADMINISTRATION, 2020 Paid Family Leave	69,000
Andrew Seiden	4/7/2020	NEW YORK GREEN BANK, NYGB Investment Support	50,000
	8/26/2020	NEW YORK GREEN BANK, Green Bank	140,400
Annadale Community Clean Energy Pro..	6/3/2020	Fuel Cells, Fuel Cell Incentive - FC-027	1,000,000
Antares Group, Inc.	8/3/2020	NYCH: Technical Assistance, FT13111 - 515 E 71st - FTC	65,095
Aon Risk Consultants, Inc.	8/31/2020	Green Bank	10,000
Apex Solar Power LLC	5/5/2020	<200KW PV, PON 2112 NY SUN	88
	6/29/2020	<200KW PV, PON 2112 NY SUN	45,045
	8/4/2020	<200KW PV, NY-Sun	16,896
	8/31/2020	<200KW PV, PON 2112 NY SUN	5,040
APPEXTREMES, LLC	4/21/2020	NYSERDA ADMINISTRATION, Conga Composer maintenance ..	14,400
Appliance Recycling, Inc.	8/4/2020	Home Perf w Energy Star, 2020 NYC Cooling Program	25,050
Applied Design Initiative LLC	9/24/2020	NYSERDA ADMINISTRATION, Installation of security doors	45,110
Apprise, Incorporated	9/17/2020	TWO 1 LMI Commun. Solar survey	49,974
Arcadis of New York, Inc.	6/17/2020	Technical Services, FT13114 - 830 River - FTC	21,500
	7/17/2020	Technical Services, FT13067 - 1 Canal Road - FTC	24,500
	7/23/2020	Technical Services, WRRF On-call Energy Expert	22,600
	8/11/2020	Commercial New Construc, Staff Augmentation Services	56,864
		Low Rise New Construction, Staff Augmentation Services	163,011
		Multifam New Construction, Staff Augmentation Services	64,446
		New Construction LMI, Staff Augmentation Services	37,909
		New Construction- Commercial, Staff Augmentation Services	56,864
	8/12/2020	Commercial New Construc, Staff Augmentation Services	60,233
		Low Rise New Construction, Staff Augmentation Services	172,669
		Multifam New Construction, Staff Augmentation Services	68,265
		New Construction LMI, Staff Augmentation Services	40,156
		New Construction- Commercial, Staff Augmentation Services	60,233
		ORES Support, ORES Technical Assistance	1,000,000
	8/28/2020	Technical Services, AEAP	5,978

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Arnot Ithaca 2, LLC	7/9/2020	New Construction LMI, 2019 MFCNP	192,000
Arquitectonica New York P.C.	4/17/2020	New Construction LMI, 2019 MFCNP	185,000
	7/23/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	75,000
Astrum Solar, Inc.	5/8/2020	>200KW PV, PON 2112 NY SUN	599,610
	6/2/2020	ESTOR:Retail Storage Incentive, Retail Storage	371,000
Atash Energy, LLC	4/14/2020	Commercial Real Estate Ten, Atash Energy - Multisite - CTP	129,999
Atelier Ten	6/16/2020	New Construction- Commercial, Commercial New Construction	85,642
	8/7/2020	Commercial New Construc, Commercial New Construction	25,360
Atlantic Data Security, LLC	8/13/2020	Checkpoint for 1333 Broadway	39,321
		NYSERDA ADMINISTRATION, Checkpoint for 1333 Broadway	49,910
Atlas Public Policy	5/29/2020	Electric Vehicles - Innovation, Clean Transportation	34,716
Autonomous Energies LLC	6/4/2020	<200KW PV, PON 2112 NY SUN	48,600
Aztech Geothermal, LLC	9/1/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,640
Bacon Triangle LLC	8/4/2020	>200KW PV, NY-Sun C&I	58,307
Bashing Panels LLC	7/16/2020	<200KW PV, PON 2112 NY SUN	5,292
	7/30/2020	<200KW PV, PON 2112 NY SUN	84
BDO USA LLP	5/11/2020	Background Investigation Servi	2,200
	7/16/2020	Background Investigation Servi	9,600
	7/28/2020	Background Investigation Servi	5,500
	9/24/2020	Background Investigation Servi	7,700
Belmont Daniel LP	8/26/2020	Multifam Performance Pgm, Multifamily	78,400
Belmont Housing Resources for WNY, I..	6/3/2020	New Construction LMI, 2019 LRNCP	39,000
Belmonte Builders	6/17/2020	New Construction LMI, 2019 LRNCP	14,250
	9/30/2020	New Construction LMI, 2019 LRNCP	5,700
BEP Analytics LLC	8/25/2020	Real Time Enrgy Management, BEP-150 Energy-RTEM	102,028
Bergmann Associates	5/19/2020	Technical Services, FT13089 - 16 W Main - FTC	7,500
	6/15/2020	Technical Services, Indoor Air Quality TWO - Berg.	200,000
	7/31/2020	Commercial Real Estate Ten, Bergmann - multisite	39,862
	8/31/2020	CI Carbon Challenge, CICC1902	95,280
Best Energy Power	4/1/2020	<200KW PV, NY-Sun	17,200
		>200KW PV, NY-Sun	23,325
	4/9/2020	>200KW PV, PON 2112 NY SUN	93,500
	4/16/2020	<200KW PV, NY-Sun	25,000
		>200KW PV, NY-Sun	44,450
	4/20/2020	>200KW PV, PON 2112 NY SUN	167,720
	4/22/2020	>200KW PV, PON 2112 NY SUN	139,768
4/23/2020	>200KW PV, PON 2112 NY SUN	62,125	
5/14/2020	>200KW PV, PON 2112 NY SUN	68,005	
Binghamton Regional	9/15/2020	Community RH&C, CH&C Communities Round 3	300,000
		NYCH: LMI, CH&C Communities Round 3	100,000
Bishop Sheen Ecumenical Housing Fou..	7/27/2020	New Construction LMI, 2019 LRNCP	63,200
BJF Development LLC	6/1/2020	New Construction LMI, 2020 LR NCP	32,700
Black Mountain Architecture, PLLC	7/7/2020	Buildings of Excellence, BoE R1 - Designer Incentive	112,500
Blank Rome LLP	7/27/2020	NYGB Legal	50,000
BlocPower LLC	4/20/2020	Remote Energy Management, Screening Support for RetroFit	250,000
	7/31/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,680
	8/21/2020	Novel Bus Models & Offers, Novel Business Models R2	500,000
Bloomberg Finance LP	4/10/2020	NEW YORK GREEN BANK, Bloomberg Datafeed Access	840
	9/2/2020	Subscription/Data Access, Bloomberg Datafeed Access	23,640
BME Yellowjacket LLC	9/8/2020	Anaerobic Digesters, PON 3739 CAT C	362,500
Boice Dunham Group Inc	7/13/2020	OTHER PROGRAM AREA, Product Development	46,000
Bond, Schoeneck & King, PLLC	9/9/2020	ESTOR:Consumer Education, Distributed Solar Incentives	8,000
	9/14/2020	CI Engy Siting & Soft Cost Red, BR-Outside Legal	100,000
Bonded Energy Solutions Corp.	4/27/2020	WORKFORCE DEVELOPMENT, OJT HIRE	15,360
	5/6/2020	WORKFORCE DEVELOPMENT, OJT hire	10,240
BOP SE, LLC	4/14/2020	Commercial New Construc, SF106901 2 Manhattan West	219,348

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Borrego Solar Systems, Inc.	6/5/2020	>200KW PV, NY Sun	1,274,816
	8/12/2020	>200KW PV, NY Sun	1,015,617
		NY-SUN, NY Sun	1,489,575
	8/24/2020	>200KW PV, NY Sun	1,124,603
		NY-SUN, NY Sun	1,349,526
	8/31/2020	>200KW PV, NY Sun	958,756
	NY-SUN, NY Sun	1,406,177	
9/30/2020	ESTOR:Retail Storage Incentive, Retail Storage	3,600,000	
Bourne & Kenney Redevelopment Com..	9/3/2020	Multifam Performance Pgm, Multifamily	84,000
BPP MFNY Employer LLC	9/16/2020	Real Time Enrgy Management, BPP - multisite - RTEM	496,051
		Real Time Enrgy Management, BPPMFNYEmpLLC#3-Multi-RT..	440,935
		Real Time Enrgy Management, BPPMFNYEmpLLC#5-multi-RT..	465,000
9/18/2020	Real Time Enrgy Management, BPPMFNYEmpLLC1	523,610	
BQE Services Inc	6/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,307
Brattle Group Inc.	4/3/2020	CI Enrgy Siting & Soft Cost Red, TWO 5 LSR siting analysis	228,569
		ORES Support, TWO 5 LSR siting analysis	121,431
	6/10/2020	CI Enrgy Siting & Soft Cost Red, Build Ready	150,000
	8/11/2020	Mkt Char: Tech Assist, TWO #1 Resource Adequacy	138,589
	8/20/2020	High Performing Grid, Clean Energy Deliverability	450,000
Breathe Easy of CNY Inc.	6/9/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,640
	6/25/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,840
	8/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,640
Bright Power, Inc.	4/1/2020	<200KW PV, NY-Sun	11,220
		NY-Sun	11,220
	4/2/2020	<200KW PV, NY-Sun	29,535
		NY-Sun	29,535
	4/3/2020	<200KW PV, NY-Sun	5,445
		NY-Sun	5,445
	4/6/2020	<200KW PV, NY-Sun	24,480
		NY-Sun	24,480
		Technical Services, FT13037 - 10 Monroe - FTC	10,000
	4/7/2020	<200KW PV, NY-Sun	74,300
		>200KW PV, NY-Sun	122,400
	4/13/2020	<200KW PV, NY-Sun	63,680
		>200KW PV, NY-Sun	106,020
		Technical Services, FT13025 - 20 Jay - FTC	15,525
		Technical Services, FT13026 - 55 Washington - FTC	13,950
	4/14/2020	Real Time Enrgy Management, Bright Power-60 E 86th St-RTEM	50,451
	4/15/2020	<200KW PV, NY-Sun	36,220
		>200KW PV, NY-Sun	39,600
		NY-Sun	11,220
	4/16/2020	<200KW PV, NY-Sun	26,565
		NY-Sun	26,565
	4/17/2020	<200KW PV, NY-Sun	7,590
		NY-Sun	7,590
	4/20/2020	<200KW PV, NY-Sun	4,950
		NY-Sun	4,950
	4/21/2020	<200KW PV, NY-Sun	22,500
		NY-Sun	22,500
	4/22/2020	<200KW PV, NY-Sun	19,440
		NY-Sun	19,440
4/23/2020	<200KW PV, NY-Sun	40,680	
	NY-Sun	40,680	
4/24/2020	<200KW PV, NY-Sun	25,000	
	>200KW PV, NY-Sun	36,360	
5/1/2020	>200KW PV, NY-Sun	8,424	

Contracts Executed

Period 4/1/2020 through 9/30/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	5/18/2020	Real Time Enrgy Management, BP - 7 Ludlow St - RTEM	53,100
	5/29/2020	Real Time Enrgy Management, Bright Power-Multisite-RTEM	136,990
	6/22/2020	Real Time Enrgy Management, BP - 188 Warburton - RTEM	46,160
		Real Time Enrgy Management, BP - Multisite - RTEM	69,480
	7/1/2020	<200KW PV, NY-Sun	120,000
		>200KW PV, NY-Sun	98,496
	7/7/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	112,500
	7/9/2020	<200KW PV, NY-Sun	39,528
		>200KW PV, NY-Sun	26,352
	7/14/2020	<200KW PV, NY-Sun	44,064
		>200KW PV, NY-Sun	29,376
	7/29/2020	NYCH: Technical Assistance, Electrification Feasibility St	45,000
	8/3/2020	NYCH: Technical Assistance, RM35 - NYU - Alumni Hall	6,470
	8/6/2020	<200KW PV, NY-Sun	172,656
		NY-Sun	258,984
	8/7/2020	<200KW PV, NY-Sun	43,563
		NY-Sun	40,677
	8/10/2020	<200KW PV, NY-Sun	202,176
		>200KW PV, NY-Sun	93,600
		NY-Sun	92,664
	8/18/2020	Technical Services, FT13126 - 40 W 25th - FTC	9,990
	8/20/2020	Real Time Enrgy Management, Bright Power-655 Morris-RTEM	56,000
		Real Time Enrgy Management, Bright Power-2980 Park-RTEM	76,000
	8/21/2020	<200KW PV, NY-Sun	77,256
		>200KW PV, NY-Sun	29,232
		NY-Sun	50,112
	8/24/2020	<200KW PV, NY-Sun	32,976
		NY-Sun	49,464
	8/25/2020	>200KW PV, PON 2112 NY SUN	18,864
	8/26/2020	REV Campus Challenge, RM36-NYU-Stern Business School	94,698
	8/27/2020	Multifam Performance Pgm, Notice to Proceed	199,675
	8/28/2020	Technical Services, FT13127 - 114 W. 26th - FTC	8,550
	9/4/2020	Real Time Enrgy Management, Bright Power - Multi - RTEM	61,480
		Real Time Enrgy Management, Bright-86Dekalb-RTEM	77,640
	9/8/2020	<200KW PV, NY-Sun	26,208
		NY-Sun	39,312
	9/9/2020	<200KW PV, NY-Sun	51,696
		>200KW PV, NY-Sun	34,464
	9/10/2020	REV Campus Challenge, FT13118 - 3260 Henry - FTC	10,800
	9/15/2020	Real Time Enrgy Management, BrightPower-201 E 86th St-RTE..	46,140
9/17/2020	<200KW PV, NY-Sun	32,976	
	NY-Sun	49,464	
9/22/2020	Real Time Enrgy Management, TwoTrees-300 Ashland PI-RTEM	40,900	
9/24/2020	Real Time Enrgy Management, BP-1755 York-RTEM	55,960	
9/28/2020	Technical Services, FT13140 - 165 E 56th - FTC	9,000	
Broadway Times Square, Inc.	8/24/2020	Technical Services, FT13108 - 1372 Broadway - PON	18,661
Brockport Villager LLC	8/26/2020	Multifam Performance Pgm, Multifamily	81,200
Bronx Lebanon Hospital Center	8/3/2020	Industrial Process Effic, Industrial Process Efficiency	137,181
Brookfield Properties USA II LLC	6/18/2020	Real Time Enrgy Management, BP LLC - Multisite - RTEM	1,162,110
Brookhaven National Lab	6/17/2020	ENVIRONMENTAL RESEARCH, AQHE PON 3921	540,000
Brooklyn Bakery Inc.	5/7/2020	Industrial Process Effic, Industrial Process Efficiency	78,380
Brooklyn Greenway Initiative, Inc.	6/12/2020	Pub Transit & Elect Rail, Tech-based bike-transit study	424,155
Brooklyn SolarWorks LLC	8/19/2020	>200KW PV, PON 2112 NY SUN	10,355
	9/28/2020	>200KW PV, PON 2112 NY SUN	5,119
Bruns Associates, LLC	6/10/2020	Buildings of Excellence, Buildings of Excellence R1	637,500
BTMI Engineering, PC	9/11/2020	OREC: Technical Support, Large-Scale Renewables	20,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Buffalo Geothermal Heating	8/4/2020	Large-Scale GSHP Rebate	32,748
	9/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
Buffalo Neighborhood Stabilization Co	9/3/2020	New Construction LMI, 2019 LRNCP	105,000
Buffalo Solar Solutions Inc	5/22/2020	<200KW PV, PON 2112 NY SUN	6,083
	5/27/2020	<200KW PV, PON 2112 NY SUN	5,600
	6/26/2020	<200KW PV, PON 2112 NY SUN	7,826
	7/1/2020	<200KW PV, PON 2112 NY SUN	5,117
	8/4/2020	<200KW PV, PON 2112 NY SUN	5,040
	8/13/2020	<200KW PV, PON 2112 NY SUN	78,840
	8/24/2020	<200KW PV, PON 2112 NY SUN	7,434
	9/21/2020	<200KW PV, PON 2112 NY SUN	7,675
	9/22/2020	<200KW PV, NY-Sun	6,912
Build Edison LLC	8/3/2020	SMART GRID SYSTEMS, Innovation Advisors	48,000
Building Performance Institute, Inc.	7/1/2020	Talent Pipeline:CE and OJT, COVID Energy Audit Procedures	115,000
Buro Happold Consulting Engineers, P...	5/1/2020	Commercial Real Estate Ten, Buro Happold - 20 W 34th St	1,005,536
Business Network for Maryland Offshor..	6/29/2020	Prof & Expert Engagement, 2020 Business Network OSW Memb	5,050
Buzzard's Ridge Group LLC	6/10/2020	<200KW PV, PON 2112 NY SUN	6,405
BVD Solar, LLC	4/13/2020	>200KW PV, NY Sun	1,143,162
		NY-SUN, NY Sun	1,008,672
BVG Associates LLC	9/24/2020	OREC: Technical Support, IE ORECRFP20-1	65,000
BW Research Partnership	5/15/2020	Home Perf w Energy Star, TWO# 1 CE Industry Report	30,000
		Talent Pipeline:CE and OJT, TWO# 1 CE Industry Report	210,000
	9/14/2020	ENERGY ANALYSIS, TWO# 1 CE Industry Report	119,205
Bynder LLC	9/22/2020	NYSERDA ADMINISTRATION, WebDAM Photo Library	26,925
C.J. Brown Energy, P.C.	4/6/2020	Technical Services, AEAP	11,994
	5/28/2020	Commercial Real Estate Ten, CJ Brown-131 Woodsedge Dr- C..	5,000
	7/28/2020	K-12 SCHOOLS, FT13120 - Windsor CSD - FTC	57,988
	8/18/2020	Technical Services, AEAP	3,497
C&S Engineers, Inc.	9/10/2020	Technical Services, FT13148 - Glens Falls - FTC	19,140
Calstart	7/23/2020	Electric Vehicles - Innovation, PON 3578 Round 2	299,942
Cameron Engineering & Associates LLP	9/18/2020	Technical Services, FT13160 - 83 Maiden - FTC	33,368
Capital District Records Management, I..	5/21/2020	NYSERDA ADMINISTRATION, Tape/ Disk Storage, Destruction	1,972
Carahsoft Technology Corporation	9/24/2020	REC:CES REC System Dev Costs, Salesforce Communities lic..	6,768
		ZEC:CES ZEC System Dev Costs, Salesforce Communities lice..	6,768
	9/29/2020	EVALUATION, 2021 Qualtrics Software	60,695
Carbon Lighthouse	5/21/2020	Real Time Enrgy Management, CL - 3 Columbus Circle - RTEM	205,246
Caroprese & Company	8/13/2020	PPP Customer Acquisition	50,000
Carrera RS, LLC	6/23/2020	Buildings of Excellence, Buildings of Excellence R1	425,000
Catalyze Holdings, LLC	8/18/2020	>200KW PV, NY-Sun	110,600
Cayuga Developments, Inc	6/10/2020	Multifam Performance Pgm, Multifamily	16,800
	7/6/2020	Multifam Performance Pgm, Multifamily	2,400
CDS Monarch Inc	4/1/2020	New Construction LMI, 2019 LRNCP	87,200
	7/27/2020	New Construction LMI, 2019 LRNCP	135,400
CEC Stuyvesant Cove, Inc.	5/7/2020	Talent Pipeline:CE and OJT, PON3981 Round 6	180,477
	9/21/2020	NY-SUN, HPD Technical Assistance	926,740
Cedar Hill Solar, LLC	8/24/2020	>200KW PV, NY Sun	1,124,045
		NY-SUN, NY Sun	1,648,602
Center for Carbon Removal	7/7/2020	OTHER PROGRAM AREA, Carbon180 Consulting Contract	50,000
Center for Energy Efficiency and Rene..	4/15/2020	Prof & Expert Engagement, CEERT Membership	5,000
Center for Internet Security Inc	8/4/2020	NYSERDA ADMINISTRATION, CIS SM Monitoring - 3yrs	22,320
Central New York Regional Planning and	9/3/2020	Community RH&C, CH&C Communities Round 3	200,000
CER NY W1 LLC	8/6/2020	LARGE SCALE RENEWABLES, 11th Main Tier Solicitation	58,080
CH4 Biogas, LLC	7/30/2020	Anaerobic Digesters, PON 3739 CAT C	944,065
CHA Consulting Inc.	6/8/2020	Industrial Process Effic, Outreach Support	128,560
	7/21/2020	Technical Services, FT13124 - 2 Tech Place - FTC	7,200
	8/31/2020	CI Carbon Challenge, CICC1906 - SABIC	40,200

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Charan Electrical Enterprises Inc.	8/12/2020	>200KW PV, PON 2112 NY SUN	71,208
Charter Communications, Inc.	6/8/2020	Industrial Process Effic, Industrial Process Efficiency	12,226
Cheryl Earley	5/6/2020	NYSERDA ADMINISTRATION, Technical Writing Services	44,200
CIR ELECTRICAL CONSTRUCTION CORP.	7/29/2020	<200KW PV, PON 2112 NY SUN	5,192
	9/3/2020	<200KW PV, PON 2112 NY SUN	8,750
	9/11/2020	<200KW PV, PON 2112 NY SUN	10,440
Citizen Advocates, Inc.	9/16/2020	New Construction LMI, 2019 LRNCP	40,000
City of Glens Falls Housing Authority	8/26/2020	Multifam Performance Pgm, Multifamily	52,500
	9/1/2020	Multifam Performance Pgm, Multifamily	70,000
	9/3/2020	Multifam Performance Pgm, Multifamily	56,700
City of Ithaca	4/16/2020	Clean Energy Communities, City of Ithaca	100,000
City Of New York	4/7/2020	Clean Energy Communities, CEC811010 - City of New York	250,000
City of Rome	8/19/2020	Net Zero Energy for Eco Dev, Net Zero Economic Development	1,000,000
Civic Consulting NYC Inc	4/22/2020	CLEAN TRANSPORTATION, Clean Transportation	50,000
Clarkson Renewables LLC	9/21/2020	>200KW PV, NY Sun	1,069,068
Clarkson University	7/14/2020	OTHER PROGRAM AREA, PON 3249	250,000
Clarus Glassboards, LLC	4/30/2020	Purchase of Furniture	5,801
Classic American Vintage, LLC	8/26/2020	Multifam Performance Pgm, Multifamily	91,000
Clean Energy States Alliance	7/3/2020	Prof & Expert Engagement, CESA Membership 2020-21	68,500
CleanFiber LLC	4/20/2020	Cleantech Ignition, PON 3871 Ignition Grants	100,000
	8/17/2020	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	500,000
CLEAResult Consulting, Inc.	4/29/2020	Geothermal Incentive Program, Centralized Services & Support	16,031
	5/20/2020	Commercial Real Estate Ten, Centralized Services & Support	35,000
		Real Time Enrgy Management, Centralized Services & Support	35,000
	7/15/2020	NYSERDA ADMINISTRATION, Phone Email & Web Support	75,198
	8/24/2020	LMI Community Solar, Centralized Services & Support	72,075
Climate Change & Environmental	7/9/2020	Commercial Real Estate Ten, CCES - Multisite	9,400
Co-op Power, Incorporated	7/9/2020	<200KW PV, NY-Sun	39,487
		>200KW PV, NY-Sun	39,488
	7/14/2020	<200KW PV, NY-Sun	161,522
		>200KW PV, NY-Sun	161,528
	7/15/2020	<200KW PV, NY-Sun	17,550
		>200KW PV, NY-Sun	17,550
	7/16/2020	<200KW PV, NY-Sun	75,724
		>200KW PV, NY-Sun	75,726
	7/21/2020	<200KW PV, NY-Sun	154,692
		>200KW PV, NY-Sun	154,693
	7/22/2020	<200KW PV, NY-Sun	39,649
		>200KW PV, NY-Sun	39,651
	7/27/2020	<200KW PV, NY-Sun	32,662
		>200KW PV, NY-Sun	32,663
	7/31/2020	<200KW PV, NY-Sun	71,499
>200KW PV, NY-Sun		71,501	
Code Green Solutions, Inc.	5/8/2020	REV Campus Challenge, FT13058 - 7 East 12th - FTC	39,537
	5/20/2020	Technical Services, FT13062 - 175 Varick - FTC	17,500
	5/29/2020	Technical Services, FT13056 - 1140 AOA - FTC	29,650
		Technical Services, FT13057 - 200 W 41st - FTC	22,950
		Technical Services, FT13079 - 101 W. End - FTC	34,750
		6/18/2020	NYCH: Technical Assistance, FT13091 - 470 Park S - FTC
	7/1/2020	Technical Services, FT13081 - 21 West End - FTC	33,500
	7/3/2020	Technical Services, FT13050 - 145 E 57th - FTC	15,250
		Technical Services, FT13064 - 275 7th - FTC	27,375
		Technical Services, FT13069 - 381 Park - FTC	19,595
	7/7/2020	K-12 SCHOOLS, P12GC-10 - Mons. Farrell - FTC	21,375
	7/17/2020	Technical Services, FT13078 - 145 W 57th - FTC	18,475
	7/21/2020	Technical Services, FT13090 - 158-15 Liberty - FTC	23,750

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Code Green Solutions, Inc.	7/21/2020	Technical Services, FT13092 - 119 W. 57th - FTC	16,375
	7/23/2020	Commercial Real Estate Ten, Code Green - 2 Penn Plaza	31,500
	8/3/2020	Commercial Real Estate Ten, CodeGreen - 695 6th Ave	13,750
	8/11/2020	Technical Services, FT13107 - 51 Astor Place - FTC	32,120
	8/17/2020	Commercial Real Estate Ten, CGS-1221 Ave of the Americas	8,500
	8/20/2020	Technical Services, FT13093 - Kestrel - FTC	27,250
	9/24/2020	Commercial Real Estate Ten, CodeGreen-599 Lexington Av-CTP	57,500
Cohen Ventures Inc	5/18/2020	Air Source Heat Pumps, Product and Appliance Standard	75,000
Cold Spring Harbor Laboratory	5/8/2020	RM41 - Cold Spring Harbor Lab	154,000
Coleman Wallace Communications LLC	8/31/2020	NYSERDA ADMINISTRATION, Communication Consultant	109,824
Columbia Memorial	6/2/2020	Technical Services, FT13087 - 71 Prospect Ave -PON	10,000
Columbia University	5/8/2020	Environmental Research, TWO#1 Updating CLIMAID	99,552
Combined Energies LLC	4/20/2020	Cleantech Ignition, PON 3871 Ignition Grants	89,040
Commercial Cleaning NY Sunshine, Inc.	9/22/2020	NYSERDA ADMINISTRATION, Janitorial Cleaning	75,600
Community Hope Builders CDC, Inc.	6/23/2020	New Construction LMI, 2019 LRNCP	55,400
Complete Cabling Solutions LLC	9/28/2020	Complete Cabling NYGB 1333	25,896
CON EDISON SOLUTIONS, INC.	6/29/2020	>200KW PV, PON 2112 NY SUN	119,556
Concern Pitkin LLC	8/24/2020	New Construction LMI, 2019 MFCNP	54,800
Concur Technologies, Inc.	5/26/2020	NYSERDA ADMINISTRATION, Concur Services 2020-2022	40,000
ConnectGen Chautauqua County LLC	7/23/2020	REC:CES REC Contracts, South Ripley - RESRFP19-1	170,838,976
Consensus Building Institute, Inc.	7/27/2020	Environmental Research, TWO #1 -Facilitator	43,330
Consortium for Energy Efficiency, Inc.	6/16/2020	Prof & Expert Engagement, Industrial Process Efficiency	48,000
Control Solutions Group, Inc.	8/14/2020	NYSERDA ADMINISTRATION, HVAC Maintenance NYC Office	11,000
Cornell Cooperative Ext. Dutchess Cou..	5/13/2020	OTHER PROGRAM AREA, CEEP Mid-Hudson Region (CCEDC)	185,712
Cornell Cooperative Extension - Tompkins	4/10/2020	Community Energy Engagement, CEEP Central New York (CC..	175,000
	6/3/2020	Technical Services, Agricultural Best Practices	535,000
Cornell Cooperative Extension of Schu..	8/27/2020	Community RH&C, CH&C Communities Round 3	197,534
Cornell University	6/12/2020	Nat'l OffShWind R&D Consortium, Reducing LCoE from OSW	149,999
		Reducing LCoE from OSW	149,999
	7/22/2020	Anaerobic Digesters, PON 3739 CAT B	249,964
	7/31/2020	OTHER PROGRAM AREA, 70333 TWO 33	268,865
	9/11/2020	Environmental Research, PON 4270 PV Site Design	199,999
Cornerstone Energy Services	6/2/2020	Renewable Heat NY, RHNY	23,150
Cortex Building Intelligence, Inc.	4/21/2020	Real Time Enrgy Management, Cortex - 1400 Broadway - RTEM	331,283
	4/24/2020	Real Time Enrgy Management, Cortex-1 Grand Central PI-RTEM	97,656
	5/1/2020	Real Time Enrgy Management, CBI - 1 Court Square - RTEM	600,000
	5/8/2020	Real Time Enrgy Management, Cortex - 110 W 33rd St - RTEM	57,970
	9/4/2020	Real Time Enrgy Management, Cortex-1301 6th Ave-RTEM	110,500
Cortland-Virgil Road Solar, LLC	9/16/2020	>200KW PV, NY-Sun C&I	883,593
CoStar Realty Information, Inc.	5/20/2020	Eval MCDC Cross Cutting, Data Subscription Svc 2020-21	22,062
Crest Solar LLC	9/23/2020	<200KW PV, PON 2112 NY SUN	8,750
Curtis + Ginsberg Architects LLP	7/21/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	150,000
Cutone & Company Consultants, LLC	5/14/2020	Commercial Real Estate Ten, LC Associates - 123 William St	11,665
	5/19/2020	Commercial Real Estate Ten, Cutone (LCA) - MultiSite - CTP	20,290
	6/1/2020	Commercial Real Estate Ten, LCA-315 Park Avenue South-CTP	10,468
	6/17/2020	Commercial Real Estate Ten, LCA - 40 Wall Street FI 46	10,468
	7/7/2020	Commercial Real Estate Ten, LCA - 151 W 26th St FI 8 - CTP	9,828
	9/15/2020	Commercial Real Estate Ten, LCA - 200 Lexington Ave - CT	12,093
Dailey Electric Inc	9/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,680
DALY 180 Housing Fund Development ..	6/10/2020	Multifam Performance Pgm, Multifamily	58,800
Dandelion Energy Inc	7/27/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,640
	8/6/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600
Daniel J Jacob	6/22/2020	Environmental Research, Science Advisor	48,000
Datagryd Data Centers, LLC	8/11/2020	Industrial Process Effic, Industrial Process Efficiency	715,933
Dattner Architects D.P.C	9/1/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	112,500
Day Automation Systems, Inc.	4/10/2020	Real Time Enrgy Management, DA - Multisite - RTEM	205,079

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Day Automation Systems, Inc.	6/26/2020	Real Time Enrgy Management, DA - Multisite - RTEM	527,799
	8/11/2020	NYCH: Technical Assistance, P12GC-11_E - Elmira CSD - PON	147,795
DealCloud Inc.	7/31/2020	NEW YORK GREEN BANK, DealCloud Licensing	216,360
Delaware River Solar, LLC	4/30/2020	>200KW PV, NY Sun	1,175,040
	6/2/2020	>200KW PV, NY Sun	246,240
	6/18/2020	>200KW PV, NY Sun	1,186,056
	8/24/2020	>200KW PV, NY Sun	1,034,207
		NY-SUN, NY Sun	1,241,051
	9/21/2020	>200KW PV, NY Sun	1,029,990
Dell, Inc.	4/1/2020	NYSERDA ADMINISTRATION, Wyse Thin Clients, Mgt Suite	17,378
	4/28/2020	NYSERDA ADMINISTRATION, Azure Cloud Services - 3 yrs	48,600
	5/11/2020	NYSERDA ADMINISTRATION, DELL - Wyse 100, WMS license	34,733
Delta Connects, Inc.	4/24/2020	Real Time Enrgy Management, Delta - 322 Third Avenue -RTEM	233,790
Delta Development of WNY, Inc.	9/22/2020	New Construction LMI, 2019 LRNCP	60,200
DEMCO New York Corp.	9/29/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
DePaul Properties, Inc.	6/15/2020	New Construction LMI, 2019 LRNCP	5,400
	7/7/2020	New Construction LMI, 2019 LRNCP	57,200
	7/10/2020	New Construction LMI, 2019 LRNCP	68,000
	8/14/2020	New Construction LMI, 2019 LRNCP	48,000
Deutsche Bank	7/29/2020	Industrial Process Effic, Industrial Process Efficiency	31,685
DG New York CS, LLC	7/29/2020	>200KW PV, NY Sun	976,931
	8/12/2020	>200KW PV, NY Sun	2,647,955
		NY-SUN, NY Sun	2,233,671
Digital Realty Trust	7/28/2020	Industrial Process Effic, Industrial Process Efficiency	1,000,000
	8/11/2020	Industrial Process Effic, Industrial Process Efficiency	457,177
Dimension Energy LLC	9/21/2020	>200KW PV, NY Sun	1,794,895
		NY-SUN, NY Sun	2,153,878
	9/28/2020	>200KW PV, NY-Sun	378,000
Dimensional Energy	4/22/2020	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Distributed Solar Operations, LLC	6/11/2020	<200KW PV, NY-Sun	322,704
	8/21/2020	>200KW PV, PON 2112 NY SUN	611,793
Distributed Sun	6/23/2020	NY Green Bank, Distributed Sun -SUNX	3,780,000
District Council 37 Education Fund	8/19/2020	Talent Pipeline:CE and OJT, PON3981 Round 3	247,000
DNV GL Energy Insights USA Inc.	9/4/2020	ENERGY ANALYSIS, TWO#1 OSW Resource Planning	247,888
	9/25/2020	Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	9,820
DNV GL Energy Services USA Inc.	8/27/2020	Green Bank	13,920
Do-It-With Inc.	5/5/2020	>200KW PV, PON 2112 NY SUN	1,215
	5/26/2020	>200KW PV, PON 2112 NY SUN	1,023
	6/3/2020	>200KW PV, PON 2112 NY SUN	35,990
	6/4/2020	>200KW PV, PON 2112 NY SUN	124,896
	6/5/2020	>200KW PV, PON 2112 NY SUN	227,999
	6/8/2020	<200KW PV, NY-Sun	11,550
		>200KW PV, NY-Sun	11,550
		>200KW PV, PON 2112 NY SUN	302,836
	6/9/2020	<200KW PV, NY-Sun	154,500
		>200KW PV, NY-Sun	150,755
	>200KW PV, PON 2112 NY SUN	620,563	
	8/11/2020	Talent Pipeline:CE and OJT, OJT HIRE	12,480
Doherty Electric, LLC	4/29/2020	<200KW PV, PON 2112 NY SUN	8,640
	9/14/2020	<200KW PV, PON 2112 NY SUN	8,190
Dollaride, Inc.	9/14/2020	Pub Transit & Elect Rail, Tech-enabled dollar vans	450,000
Donati Solar, LLC	9/1/2020	>200KW PV, NY-Sun C&I	1,109,185
Dori Doors & Security, Inc	7/7/2020	Doors for NYC office	23,165
Dr. Richard Schlesinger	6/22/2020	Environmental Research, Science Advisors	48,000
Dual Fuel Corp	4/30/2020	Real Time Enrgy Management, DF - 19 E 4th Street - RTEM	6,180
	5/12/2020	Real Time Enrgy Management, DF - 1010 Sherman Ave - RTEM	42,840

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Dual Fuel Corp	5/28/2020	Real Time Enrgy Management, DF - 250 West 103rd St - RTEM	42,390
	7/27/2020	Real Time Enrgy Management, DF - 798 9th Avenue - RTEM	28,740
		Real Time Enrgy Management, DF - 1855 7th Avenue - RTEM	42,240
	7/30/2020	Real Time Enrgy Management, Dual Fuel- 311 E 71st St -RTEM	33,090
		Real Time Enrgy Management, Dual Fuel-404 W 54th St-RTEM	58,740
	8/27/2020	Real Time Enrgy Management, Dual Fuel-51Cross-RTEM	8,460
		Real Time Enrgy Management, Dual Fuel-660 Nereid-RTEM	47,340
		Real Time Enrgy Management, Dual Fuel-Multisites-RTEM	49,830
	8/31/2020	Real Time Enrgy Management, Dual Fuel-531ELincoln-RTEM	16,140
		Real Time Enrgy Management, Dual Fuel-Multisite-RTEM	12,750
Dubois Solar, LLC	4/3/2020	>200KW PV, NY-Sun CI Assignment	1,445,109
Ducted Wind Turbines, Inc	7/23/2020	Cleantech Ignition, PON 3871 Ignition Grants	89,600
E-J Electric Installation Co.	9/30/2020	ESTOR:Retail Storage Incentive, Retail Storage	10,800,000
E-Mobility Market Services, Inc.	4/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	9/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
E&S Environmental Chemistry Inc.	7/22/2020	ENERGY ANALYSIS, CL Assessment for lakes stream	21,000
EagleHawk One, Inc.	7/22/2020	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Earth Advantage Inc.	7/21/2020	Home Energy Ratings, Add appraisal addend to HES	10,000
Earth Sensitive Solutions, LLC	8/4/2020	Large-Scale GSHP Rebate	16,200
Eastern Research Group, Inc.	7/27/2020	Environmental Research, TWO #2 Coordinator Assessment	25,427
	9/9/2020	ENERGY ANALYSIS, TWO #1 CLCPA GHG	190,855
Eastlight Partners	5/4/2020	NY Green Bank, East Light Partners	3,000,000
Eco Heating & Cooling Inc	4/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,440
	8/4/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,400
	9/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,160
Ecogy Croton Community Solar LLC	6/1/2020	>200KW PV, NY-Sun	151,088
Ecogy New York I LLC	6/3/2020	>200KW PV, NY-Sun	257,500
Ecogy New York II LLC	5/29/2020	>200KW PV, NY-Sun	721,280
Ecogy New York VI LLC	6/3/2020	>200KW PV, NY-Sun	198,860
Ecogy New York VII LLC	8/31/2020	>200KW PV, NY-Sun	64,800
Ecogy New York VIII LLC	5/29/2020	>200KW PV, NY-Sun	132,720
Ecology & Environment, Inc.	5/26/2020	Environmental Research, Owner's Engineering	599,984
	7/15/2020	Environmental Research, Owner's Engineering	191,261
Ecology and Environment Engineering	5/14/2020	Environmental Research, TWO #20 G&G Survey	84,700
	7/15/2020	Clean Energy Communities, TA Community Support Services	763,636
Ecorithm, Inc.	7/31/2020	Real Time Enrgy Management, Ecorithm - 888 7th Ave - RTEM	49,800
	8/6/2020	Real Time Enrgy Management, Ecorithm - 11 Penn Plaza -RTEM	57,200
		Real Time Enrgy Management, Ecorithm-350 Park Ave - RTEM	33,800
Ecosave Contract Assets, LLC	6/4/2020	NY Green Bank, Ecosave ReFi/Upsize	15,000,000
Ecosave, Inc.	5/27/2020	Real Time Enrgy Management, Ecosave-5901 Palisade Ave-RT..	99,999
	5/29/2020	Real Time Enrgy Management, Ecosave-334 Amsterdam Ave-R..	300,000
Ecovis, Inc.	5/29/2020	<200KW PV, PON 2112 NY SUN	5,255
	6/1/2020	<200KW PV, NY-Sun	7,392
Eden Devco Borrower, LLC	8/28/2020	NY Green Bank, EdenDevco Upsize 2	2,000,000
Eden Renewables, LLC	4/30/2020	>200KW PV, NY Sun	2,547,838
	7/28/2020	NY-SUN, NY Sun	1,648,601
Edison Energy, LLC	6/17/2020	Technical Services, Indoor Air Quality TWO -Edison	200,000
	7/29/2020	Real Time Enrgy Management, EnerActive-300 E 66th St-RTEM	29,160
	9/10/2020	NYCH: Technical Assistance, FT13141 - 55 John - FTC	10,245
Efficiency Forward, Inc.	9/16/2020	Prof & Expert Engagement, 2020 DesignLights Sponsorship	25,000
Eiger 3970 Consultants Inc.	6/10/2020	<200KW PV, PON 2112 NY SUN	26,334
	6/17/2020	<200KW PV, PON 2112 NY SUN	5,040
	8/4/2020	<200KW PV, PON 2112 NY SUN	5,040
	8/18/2020	<200KW PV, NY-Sun	133,038
		NY-SUN, NY-Sun	88,692
9/11/2020	<200KW PV, PON 2112 NY SUN	10,260	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Eiger 3970 Consultants Inc.	9/15/2020	<200KW PV, PON 2112 NY SUN	5,600
	9/18/2020	<200KW PV, PON 2112 NY SUN	337,329
Ekostinger, Inc.	8/13/2020	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	500,000
Electric Power Research Institute	4/3/2020	DER Integration(Intrcnct), PON4094 DER Interconnection	1,000,000
	4/27/2020	High Performing Grid, PON4128 Future Grid Challenge	543,157
	7/21/2020	High Performing Grid, PON4128 Smart Grid JU Collab	2,172,527
	7/27/2020	High Performing Grid, 3265_EPRI	48,500
	8/19/2020	High Performing Grid, RFP3265 Umbrella Contract	20,000
Electrical Distribution Design, Inc.	4/30/2020	High Performing Grid, Solar, Load, Outage Forecast	1,184,156
Elisa Miller-Out	4/14/2020	Innovation Advisors, RFP 3859	150,000
Ellen Lutz Consulting, LLC	9/22/2020	NYCH: Consumer Awareness, ClnHeatStatewideUtilityCoMktg	200,000
Ellicott Station LLC	6/25/2020	New Construction LMI, 2019 LRNCP	53,000
ELP Ghent Solar LLC	4/17/2020	>200KW PV, NY Sun	730,728
ELP Myer Solar LLC	6/18/2020	>200KW PV, NY Sun	509,847
		NY-SUN, NY Sun	899,730
ELP Stanford Solar LLC	4/13/2020	>200KW PV, NY Sun	1,274,184
		NY-SUN, NY Sun	2,248,560
ELP Ticonderoga Solar LLC - ELP Tico..	7/27/2020	REC:CES REC Contracts, ELP Ticonderoga - RESRFP19-1	15,821,608
ELP Union Vale Solar	5/1/2020	>200KW PV, NY Sun	564,799
		NY-SUN, NY Sun	955,733
EMCOR Services Betlem	6/15/2020	Technical Services, Indoor Air Quality TWO - Emcor	200,000
	7/23/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	9/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,512
EME Consulting Engineering Group, LLC	4/8/2020	New Construction LMI, SA.038A_TWO #7 - New Con	254,874
		New Construction- Commercial, SA.038A_TWO #7 - New Con	6,231
	4/22/2020	Technical Services, FT13061 - NYU Langone - FTC	500,000
	9/1/2020	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	146,463
	9/2/2020	Technical Services, Staff Augmentation Services	728,186
Empire Solar Solutions LLC	4/1/2020	<200KW PV, PON 2112 NY SUN	6,332
	4/9/2020	<200KW PV, PON 2112 NY SUN	11,415
	4/15/2020	<200KW PV, PON 2112 NY SUN	5,005
	4/17/2020	<200KW PV, PON 2112 NY SUN	6,272
	4/21/2020	<200KW PV, PON 2112 NY SUN	5,574
	4/24/2020	<200KW PV, PON 2112 NY SUN	5,801
	5/8/2020	<200KW PV, PON 2112 NY SUN	5,831
	6/2/2020	<200KW PV, PON 2112 NY SUN	5,712
	6/4/2020	<200KW PV, PON 2112 NY SUN	5,712
	6/10/2020	<200KW PV, PON 2112 NY SUN	15,295
	7/8/2020	<200KW PV, PON 2112 NY SUN	11,381
	7/13/2020	<200KW PV, PON 2112 NY SUN	10,493
	7/23/2020	<200KW PV, PON 2112 NY SUN	6,783
	8/6/2020	<200KW PV, PON 2112 NY SUN	12,852
	8/17/2020	<200KW PV, PON 2112 NY SUN	5,236
	8/18/2020	<200KW PV, PON 2112 NY SUN	5,712
	8/27/2020	<200KW PV, PON 2112 NY SUN	5,110
	8/31/2020	<200KW PV, PON 2112 NY SUN	5,745
	Employee Leasing of Greater NY	8/6/2020	NYSERDA ADMINISTRATION, Temp TWO
Empower CES, LLC	4/1/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/7/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/9/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/23/2020	>200KW PV, PON 2112 NY SUN	121,000
	5/14/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/18/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/24/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/8/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/9/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Empower CES, LLC	8/7/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/21/2020	>200KW PV, PON 2112 NY SUN	8,640
	9/11/2020	>200KW PV, PON 2112 NY SUN	33,696
	9/21/2020	>200KW PV, PON 2112 NY SUN	22,440
	9/23/2020	>200KW PV, PON 2112 NY SUN	487,578
Encompass Energy LLC	6/16/2020	New Construction- Commercial, Commercial New Construction	17,733
Enel X North America Inc	7/30/2020	ESTOR:Retail Storage Incentive, Retail Storage	750,000
Energy & Resource Solutions, Inc.	5/19/2020	Technical Services, AEAP	2,500
	6/23/2020	Pay for Performance, TWO 4 - P4P Event Evaluation	53,716
	7/14/2020	Air Source Heat Pumps, TWO 6 - Performance Monitoring	16,473
		EVALUATION, TWO 6 - Performance Monitoring	16,473
		Geothermal Incentive Program, TWO 6 - Performance Monitoring	157,099
	7/23/2020	Industrial Process Effic, IPE16248	7,160
	8/5/2020	Combined Heat and Power, RFP 3643 Tech To Market	350,000
	8/25/2020	Green Bank	49,706
	8/31/2020	CI Carbon Challenge, CICC1904 - IBM Corporation	64,675
	9/1/2020	Combined Heat and Power, TWO 1 On Site Res Power	180,000
9/25/2020	Real Time Enrgy Management, TWO 5 CEF Comm Impact_ERS	79,920	
Energy and Environmental Economics Inc.	4/27/2020	New Construction LMI, TWO 20 NZE Road Map - 2019	10,000
		New Construction- Commercial, TWO 20 NZE Road Map - 2019	10,000
	7/15/2020	ENERGY ANALYSIS, TWO#23 CLCPA Techno-Economic	652,131
	8/3/2020	Electric Vehicles - Innovation, TWO#24 REV for CTR Grid Impact	124,852
	9/4/2020	NYCH: Roadmap, TWO#22 Bldg. Elec. Roadmap	200,000
9/16/2020	CEF Review BC Analysis, TWO#25 BCA Technical Support	50,000	
Energy Conservation & Supply, Inc.	9/28/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,000
Energy Spectrum, Inc.	7/3/2020	Technical Services, FT13088 - 233 Broadway - FTC	23,787
Energy Technology Savings, Inc.	5/12/2020	Real Time Enrgy Management, ETS - 101 West End Ave - RTEM	4,950
	5/19/2020	Real Time Enrgy Management, ETS - 21 West End Ave - RTEM	4,950
Enertiv Inc.	9/17/2020	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	500,000
Enica Engineering, PLLC	9/22/2020	NYCH: Technical Assistance, FT13147 - NYPH Manhattan - FTC	87,946
Ensave, Inc.	8/18/2020	Technical Services, CEA Db&Benchmark Tool Creation	49,956
Enterprise Community Partners, Inc.	4/23/2020	NEW YORK GREEN BANK, NYGB LMI Consultants	50,000
Environment & Energy Publishing, LLC	4/27/2020	NYSERDA ADMINISTRATION, Annual Subscription E&E News	14,120
Environmental Systems Design, Inc.	6/3/2020	Real Time Enrgy Management, ESD - 40 West 20th St - RTEM	42,405
Erdman Anthony & Associates, Inc.	8/24/2020	NYSERDA ADMINISTRATION, Building 17 FlexTech Study TWO	25,849
Eric Thomas Roberts	9/10/2020	Innovation, Consultant	75,000
ESNY-FU-400WESTCHESTER, LLC	9/29/2020	>200KW PV, NY-Sun	550,050
ESNY-IBM-Yorktown LLC	7/8/2020	>200KW PV, NY-Sun	4,376,680
ESNY-KF-BRONX, LLC	7/8/2020	>200KW PV, NY-Sun	1,361,675
ESNY-MED-MONTGOMERY LLC	5/1/2020	>200KW PV, NY Sun	1,256,884
		NY-SUN, NY Sun	2,218,032
ESRI, Incorporated	7/30/2020	NYSERDA ADMINISTRATION, ArcGIS Desktop / Spatial 20-21	22,200
Extraterrestrial Materials Inc.	6/2/2020	<200KW PV, PON 2112 NY SUN	7,007
	6/5/2020	<200KW PV, PON 2112 NY SUN	273
	7/29/2020	<200KW PV, PON 2112 NY SUN	7,280
	8/5/2020	<200KW PV, PON 2112 NY SUN	6,440
	8/12/2020	<200KW PV, PON 2112 NY SUN	7,000
	9/4/2020	<200KW PV, PON 2112 NY SUN	6,160
	9/9/2020	<200KW PV, PON 2112 NY SUN	16,611
Faraday, Inc.	9/28/2020	Community RH&C, RFP3761 Customer Targeting Too	42,000
FCON 953 Main, LLC	4/8/2020	New Construction LMI, 2019 LRNCP	46,600
FFP NY Goshen Project1, LLC	8/24/2020	>200KW PV, NY Sun	778,050
		NY-SUN, NY Sun	778,050
FFP Origination, LLC	9/24/2020	<200KW PV, NY-Sun	590,976
Fifth Street Properties, LLC	9/9/2020	NYCH: Technical Assistance, FT13065 - 787 7th Ave - PON	37,500
First Columbia Property Services, LLC	5/28/2020	NYSERDA ADMINISTRATION, Property Management	234,712

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
First Jamaica Community & Urban	6/23/2020	Buildings of Excellence, Buildings of Excellence R1	425,000
Fleet Maintenance Specialists Inc	9/17/2020	CLEAN TRANSPORTATION, NYTVIP Buy American Inspection	8,600
		NYTVIP Buy American Inspection	10,000
Florenton River LLC	7/29/2020	>200KW PV, PON 2112 NY SUN	26,386
	8/31/2020	<200KW PV, PON 2112 NY SUN	5,000
Foam It Insulation, LLC	8/3/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	9/29/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,240
Fogarty Solar LLC	8/21/2020	>200KW PV, NY-Sun C&I	1,109,185
Ford Motor Company	5/29/2020	Industrial Process Effic, Industrial Process Efficiency	30,872
Fordham University	8/11/2020	Industrial Process Effic, Industrial Process Efficiency	79,697
Fran Corp	7/9/2020	>200KW PV, NY-Sun C&I	734,786
Fred F. Collis & Sons, Inc.	6/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	8/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	11,360
	9/1/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	9/3/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	9/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	20,480
	9/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600
Fresenius KabiUSA, LLC	4/9/2020	On-Site Energy Manager, OsEM44-I Fresenius KabiUSA	208,955
Front Street Residences LLC	6/25/2020	New Construction LMI, 2019 LRNCP	90,200
Frontier Energy, Inc.	4/7/2020	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	200,000
	4/16/2020	Campus/Technical Assistance, Technical Review_Prgm Support	10,000
	4/21/2020	Campus/Technical Assistance, Technical Review_Prgm Support	10,000
	5/13/2020	Campus/Technical Assistance, Technical Review_Prgm Support	5,050
	8/27/2020	ESTOR: Implementation Support, TWO 1 Cat 2 Energy Storage	400,000
Fusco Personnel, Inc.	4/27/2020	NYSERDA ADMINISTRATION, TS.015 Contract Mangament C..	66,495
	5/13/2020	Multifam Performance Pgm, TS.002_Multifamily Coordinator	25,000
		Retrofit NY, TS.002_Multifamily Coordinator	25,000
Fusion Energy Services LLC	5/1/2020	<200KW PV, PON 2112 NY SUN	6,468
	6/4/2020	<200KW PV, PON 2112 NY SUN	5,390
	6/15/2020	<200KW PV, PON 2112 NY SUN	8,624
	6/18/2020	<200KW PV, PON 2112 NY SUN	8,085
	7/2/2020	<200KW PV, PON 2112 NY SUN	15,092
	7/9/2020	<200KW PV, PON 2112 NY SUN	14,553
	7/15/2020	<200KW PV, PON 2112 NY SUN	6,468
	7/27/2020	<200KW PV, PON 2112 NY SUN	6,468
	7/30/2020	<200KW PV, PON 2112 NY SUN	8,624
G&S Operations LLC	6/15/2020	>200KW PV, PON 2112 NY SUN	231,192
	6/17/2020	>200KW PV, PON 2112 NY SUN	452,868
	8/4/2020	>200KW PV, PON 2112 NY SUN	124,488
	8/21/2020	>200KW PV, PON 2112 NY SUN	147,888
	8/31/2020	>200KW PV, PON 2112 NY SUN	269,880
Gaia Sharbel Energy Contracting	9/22/2020	Renewable Heat NY, Gaia Sharbel Energy Contractin	7,000
Gardline Marine Sciences Inc	6/5/2020	Environmental Research, G&G Investigation for OSW	5,998,102
	7/6/2020	Environmental Research, G&G Investigation for OSW	144,300
Gartner Inc.	5/15/2020	NYSERDA ADMINISTRATION, Gartner - Membership 20 - 21	39,164
GCOM Software LLC	7/6/2020	NYSERDA ADMINISTRATION, Salesforce	1,440,000
Geatrain Engineering PLLC	4/16/2020	Commercial Real Estate Ten, Geatrain - 400 Fifth Avenue	5,000
	5/29/2020	Commercial Real Estate Ten, Geatrain - 68 E 131st St FL 5	5,000
	7/27/2020	Commercial Real Estate Ten, GE - 1916 Park Avenue	5,000
	9/9/2020	Commercial Real Estate Ten, Geatrain-400 Fifth Ave	5,000
General Electric Company	5/26/2020	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	539,380
		Natl Offshore Wind R&D	539,380
Generate Buffalo Digester LLC	7/13/2020	REC:CES REC Contracts, 8th RPS Main Tier Solicitation	1,157,530
Generate Capital Inc.	5/14/2020	<200KW PV, NY-Sun	1,100,075
	5/26/2020	<200KW PV, NY-Sun	249,640
	5/29/2020	<200KW PV, NY-Sun	745,010

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Generate Capital Inc.	6/4/2020	<200KW PV, NY-Sun	482,805	
	6/5/2020	<200KW PV, NY-Sun	275,710	
	6/9/2020	<200KW PV, NY-Sun	263,408	
Generate NY CS Lessor II Owner, LLC	4/23/2020	NY Green Bank, Generate CDG (Borrower 1)	5,600,000	
Generate PPL SPV I LLC	7/17/2020	NY Green Bank, Generate (Plug) Upsize	29,800,000	
Generate PPL SPV I, LLC	4/30/2020	NY Green Bank, Generate CDG (Borrower 2)	21,310,000	
Genscape, Inc.	4/27/2020	ENERGY ANALYSIS, Data & Markets	9,445	
George E Denmark II	5/19/2020	<200KW PV, PON 2112 NY SUN	6,272	
George Hidy	6/23/2020	Environmental Research, Science Advisor	48,000	
Geotherm Inc.	6/12/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600	
	7/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240	
	9/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	17,280	
Getty Images (US), Inc.	4/14/2020	NYSERDA ADMINISTRATION, Getty Images Subscription	12,564	
GF55 Architects LLP	7/21/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incent	75,000	
Global Market Insights Inc.	4/14/2020	Subscription/Data Access, Global Heat Pump Market report	5,720	
Goldman Copeland Associates, P.C.	4/1/2020	Technical Services, FT13049 - 271 Garfield - FTC	8,976	
	4/13/2020	Technical Services, FT13006 - 1290 AoA - FTC	9,993	
	4/16/2020	Commercial Real Estate Ten, GCA - 485 Lexington Ave - CTP	5,000	
	4/21/2020	Commercial Real Estate Ten, GCA - 485 Lexington Ave	5,000	
	4/22/2020	Commercial Real Estate Ten, GCA - 485 Lexington Ave - CTP	5,000	
	4/28/2020	Commercial Real Estate Ten, GCA - 1 Penn Plaza	39	
	5/1/2020	Technical Services, FT13012 - 280 Park - FTC	23,984	
	5/18/2020	Commercial Real Estate Ten, Goldman Copeland-100 AoA-CT	10,969	
		Commercial Real Estate Ten, Goldman Copeland-155 AoA-CT	10,969	
		Commercial Real Estate Ten, Goldman&Copeland-885 Second	11,965	
		Commercial Real Estate Ten, GoldmanCopel- 435 Hudson St-CT	10,969	
	5/22/2020	Technical Services, FT13068 - 1 Park Ave - FTC	5,496	
		Technical Services, FT13070 - 11 Penn Plaza - FTC	5,496	
		Technical Services, FT13071 - 100 West 33rd - FTC	5,496	
		Technical Services, FT13072 - 731 Lexington - FTC	5,496	
		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	
		Technical Services, FT13076 - 770 Broadway - FTC	5,496	
		Technical Services, FT13077 - 435 7th - FTC	5,496	
		5/28/2020	Technical Services, FT13045 - 595 Madison - FTC	11,978
	6/4/2020	Technical Services, FT13015 - 4 Union - FTC	13,994	
	6/9/2020	Technical Services, FT13016 - 50 West 57th - FTC	10,991	
	6/10/2020	Technical Services, FT13017 - 510 5th Avenue - FTC	13,994	
	6/17/2020	Technical Services, Indoor Air Quality TWO - Gold.	200,000	
	6/22/2020	Technical Services, FT13041 - 1071 5th - FTC	17,492	
		Technical Services, FT13043 - 245 Park - FTC	19,995	
		Technical Services, FT13044 - 304 Park - FTC	17,988	
		Technical Services, FT13046 - 630 Second - FTC	9,990	
		Technical Services, FT13052 - 395 Hudson - FTC	12,486	
		Technical Services, FT13080 - 1400 Broadway - FTC	11,991	
		7/7/2020	K-12 SCHOOLS, P12GC-12_E - Grace Church -FTC	14,984
		8/24/2020	Technical Services, FT13112 - 1 Dag - FTC	7,980
Technical Services, FT13113 - 1700 Broadway - FTC			9,482	
9/8/2020		Technical Services, FT13086 - 520 8th Ave - FTC	10,994	
9/23/2020	Commercial Real Estate Ten, GCA-100 Church St-Multi-CTP	20,000		
Graphenix Development Inc.	5/14/2020	Cleantech Ignition, PON 3871 Ignition Grants	100,000	
	7/3/2020	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	500,000	
Green City Force	8/7/2020	Talent Pipeline:CE and OJT, PON3981 Round 6	250,000	
Green Eagle Solar VI, LLC	8/7/2020	>200KW PV, NY-Sun CI Payee Assignment	413,317	
Green Hybrid Energy Solutions Inc.	4/9/2020	<200KW PV, PON 2112 NY SUN	12,012	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Green Hybrid Energy Solutions Inc.	4/21/2020	<200KW PV, PON 2112 NY SUN	8,750
	5/8/2020	<200KW PV, PON 2112 NY SUN	7,945
Green Light New York, Inc.	4/2/2020	Prof & Expert Engagement, 2020 BEEEx Membership	50,000
	4/27/2020	Code to Zero, 2020 BEEEx Sponsorship	25,000
	7/9/2020	Real Time Enrgy Management, Market Engagement Support-R..	41,198
	8/5/2020	Commercial Real Estate Ten, Energy Efficiency Training TWO	429,822
Green Street Power Partners LLC	6/29/2020	>200KW PV, PON 2112 NY SUN	18,760
Green Team USA, LLC	4/21/2020	WORKFORCE DEVELOPMENT, OJT HIRE	8,480
	4/27/2020	WORKFORCE DEVELOPMENT, OJT HIRE	7,680
	5/28/2020	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
	7/17/2020	WORKFORCE DEVELOPMENT, OJT HIRE DAVID WHITE	7,680
	8/3/2020	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
	8/27/2020	WORKFORCE DEVELOPMENT, OJT HIRE	8,160
	8/28/2020	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
	9/15/2020	WORKFORCE DEVELOPMENT, OJT HIRE	5,440
Green Volt Solutions LLC	7/14/2020	<200KW PV, PON 2112 NY SUN	19,170
GreenLogic, LLC	5/26/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/18/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
Greenpac Holding LLC	8/12/2020	CI Carbon Challenge, C&I Carbon Challenge	2,650,000
Grid City Electric Corp	6/17/2020	<200KW PV, NY-Sun	13,272
		>200KW PV, NY-Sun	8,848
	8/13/2020	<200KW PV, NY-Sun	15,984
		>200KW PV, NY-Sun	10,656
Group-S LLC	5/28/2020	Real Time Enrgy Management, Group S- 18-15 215th St - RTEM	20,970
	7/6/2020	Technical Services, FT13098 - 57 Reade - FTC	11,500
	7/8/2020	Technical Services, Natural Gas Constrained Areas	500,000
	7/9/2020	Technical Services, FT13102 - 333 E 69th - FTC	20,175
	8/24/2020	Technical Services, FT13100 - 2 East 55th - FTC	29,500
	8/25/2020	Technical Services, FT13136 - 43 E 53rd St - FTC	8,950
	9/1/2020	Real Time Enrgy Management, GRPS-405W23rd-RTEM	130,800
		Real Time Enrgy Management, SGRp-280 Collins-RTEM	27,990
GSPP 1616 County Route 12, LLC	5/26/2020	>200KW PV, NY Sun	826,098
	7/28/2020	NY-SUN, NY Sun	1,069,068
GSPP 4575 State Route 69, LLC	6/18/2020	>200KW PV, NY Sun	1,071,143
	7/28/2020	NY-SUN, NY Sun	1,386,185
GSPP 24658 County Route 47 North, LLC	4/8/2020	>200KW PV, NY Sun	222,768
	4/24/2020	>200KW PV, NY Sun	222,768
	8/27/2020	NY-SUN, NY Sun	288,288
	9/2/2020	NY-SUN, NY Sun	288,288
GSPP 24658 County Route 47 South, LLC	9/22/2020	>200KW PV, NY-Sun C&I	222,768
		NY-SUN, NY-Sun C&I	288,288
GSPP County Route 31, LLC	8/24/2020	>200KW PV, NY Sun	556,919
		NY-SUN, NY Sun	816,817
GSPP Hillsboro & Dunbar, LLC	6/5/2020	>200KW PV, NY Sun	1,182,527
	7/28/2020	NY-SUN, NY Sun	1,530,329
GSPP Sentinel Heights Road, LLC	8/24/2020	>200KW PV, NY Sun	767,024
		NY-SUN, NY Sun	1,124,971
Guidehouse Inc.	4/7/2020	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreeeme..	167,739
		Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement	238,946
		ENVIRONMENTAL RESEARCH, TWO 1 - Assessment of Carb..	20,977
		Environmental Research, TWO #2 Equitable Cooling	261,887
		Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreeem..	167,739
		Mkt Char: Tech Assist, Tech Assist, REV Pool	394,750
		REV Connect, REV Connect	36,529
		REV Connect, REV Connect Initiative	1,930,000
		Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement	230,311

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Guidehouse Inc.	4/7/2020	Technical Services, RFQ3183 Umbrella Agreement	167,739
	4/20/2020	Healthy Homes VB Payment Pilot, TWO 3 NYS Healthy Homes ..	200,000
	8/25/2020	ENVIRONMENTAL RESEARCH, TWO #3 HFC Mitigation	300,000
	9/9/2020	TWO #3 - Natural Gas Price For	7,667
	9/24/2020	Green Bank	12,046
Guth Deconzo Consulting Engineers	6/17/2020	Technical Services, Indoor Air Quality TWO - Guth	200,000
H.E.L.P Development Corp.	6/23/2020	Buildings of Excellence, Buildings of Excellence R1	850,000
	9/16/2020	New Construction LMI, 2019 MFCNP	63,200
Halcyon, Inc.	9/8/2020	Talent Pipeline:CE and OJT, OJT HIRE	12,240
	9/10/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,800
	9/25/2020	<200KW PV, PON 2112 NY SUN	5,355
Hamilsun Community Solar LLC	8/17/2020	>200KW PV, NY Sun	403,866
		NY-SUN, NY Sun	592,337
Harris Wiltshire & Grannis LLP	4/16/2020	Code to Zero, Codes to Zero Outside Counsel	50,000
Harvest Power, LLC	4/28/2020	<200KW PV, NY-Sun	15,494
		>200KW PV, NY-Sun	23,241
	5/8/2020	<200KW PV, NY-Sun	12,512
		>200KW PV, NY-Sun	12,513
	5/12/2020	<200KW PV, NY-Sun	17,225
		>200KW PV, NY-Sun	16,575
	8/17/2020	<200KW PV, NY-Sun	45,600
		>200KW PV, NY-Sun	30,400
	8/18/2020	<200KW PV, NY-Sun	37,200
	>200KW PV, NY-Sun	24,800	
Hawn Heating & Energy Services LLC	6/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	7/27/2020	Talent Pipeline:CE and OJT, OJT HIRE	12,240
Heat Keepers, Inc.	7/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	11,520
Helios Energy New York 3, LLC	4/1/2020	>200KW PV, NY Sun	1,000,046
Helios Energy New York 10, LLC	4/1/2020	>200KW PV, NY Sun	1,005,210
Herrington Solar LLC	8/24/2020	>200KW PV, NY Sun	1,124,045
		NY-SUN, NY Sun	1,648,602
Hesse Homes, LLC	6/16/2020	Commercial New Construc, SF219685 - CNCP Incentive	7,167
Hewlett-Packard Enterprise Company	7/3/2020	NYSERDA ADMINISTRATION, HPE Renewal Maintenance 1 yr.	5,319
HFZ 344 West 72nd Street Owner LLC	6/1/2020	Multifam Performance Pgm, Multifamily	31,500
Hispanics United of Buffalo	8/14/2020	New Construction LMI, 2019 LRNCP	46,000
Holland & Knight LLP	7/28/2020	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	47,821
Hollingsworth & Vose Company	6/17/2020	On-Site Energy Manager, OsEM49-I Hollingsworht & Vose	184,076
Home Leasing, LLC	6/1/2020	New Construction LMI, 2019 MF NCP	53,000
Honeywell International Inc.	6/24/2020	3695 TWO Umbrella Agreement	149,732
		Home Perf w Energy Star, 3695 TWO Umbrella Agreement	430,268
	8/4/2020	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	71,400
Housing and Services, Inc.	6/3/2020	New Construction LMI, 2019 MF NCP	84,800
HUB Controls USA Inc	7/27/2020	NYCH: Innovation, NextGen HVAC Innovation	500,000
Hudson River Renewables	6/11/2020	<200KW PV, PON 2112 NY SUN	6,461
	7/1/2020	<200KW PV, NY-Sun	6,336
	9/2/2020	<200KW PV, NY-Sun	6,248
	9/8/2020	<200KW PV, PON 2112 NY SUN	6,643
Hudson River Trading	9/3/2020	Industrial Process Effic, Industrial Process Efficiency	581,079
Hudson Valley Clean Energy Inc.	4/9/2020	<200KW PV, PON 2112 NY SUN	34,128
	5/12/2020	<200KW PV, NY-Sun	97,767
	5/14/2020	<200KW PV, PON 2112 NY SUN	104,925
	5/29/2020	<200KW PV, PON 2112 NY SUN	46,967
	6/1/2020	<200KW PV, NY-Sun	301,928
		NY-SUN, NY-Sun	201,285
	6/4/2020	<200KW PV, PON 2112 NY SUN	17,460
8/10/2020	<200KW PV, PON 2112 NY SUN	5,072	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Hudson Valley Clean Energy Inc.	9/9/2020	<200KW PV, PON 2112 NY SUN	7,371
	9/11/2020	<200KW PV, PON 2112 NY SUN	8,750
	9/17/2020	<200KW PV, PON 2112 NY SUN	5,670
	9/18/2020	<200KW PV, PON 2112 NY SUN	6,678
	9/21/2020	<200KW PV, PON 2112 NY SUN	16,060
	9/22/2020	<200KW PV, NY-Sun	10,800
	9/24/2020	<200KW PV, PON 2112 NY SUN	8,750
Hunter Buffalo Peterbilt	8/31/2020	CLEAN TRANSPORTATION, NYT-VIP	624,423
Hytech Solar Inc	7/22/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
Ibero-American Development Corp	9/30/2020	New Construction LMI, 2019 LRNCP	18,000
ICE Data, LP	7/22/2020	ENERGY ANALYSIS, Data & Markets	480
ICF Resources, LLC	4/6/2020	OREC: Technical Support, TWO 7, OSW Resiliency Study	49,993
	4/10/2020	Environmental Research, TWO #6 Climate Technical Asst.	200,000
	8/12/2020	ENERGY ANALYSIS, TWO #4 - Statewide NG Study	166,000
	9/2/2020	ENERGY ANALYSIS, Tech Assist, REV Pool	100,000
IHS Global Inc.	5/6/2020	ENERGY ANALYSIS, IHS.CERA Subscription	34,390
Impact Infrastructure, Inc.	8/31/2020	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
Industrial Economics, Incorporated	8/20/2020	Code to Zero, TWO 1 StretchtoZero	151,869
	9/14/2020	Community Energy Engagement, TWO1 - CEEP Evaluation	683,267
	9/16/2020	Eval MCDL LMI, TWO 3 QA Benchmarking Project	50,000
	9/29/2020	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	30,000
INF Associates LLC	5/19/2020	Commercial Real Estate Ten, INF Associates LLC - Multisite	54,530
	5/26/2020	Commercial Real Estate Ten, INF-299 Park Ave-Multisite-CTP	74,815
	7/31/2020	Commercial Real Estate Ten, INF-177 Livingston-Multisite	19,773
Infinite Invention	7/10/2020	High Performing Grid, ConnectDER Monitor & Control	2,413,500
	8/19/2020	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	500,000
Infinity Solar Systems, LLC	4/6/2020	<200KW PV, PON 2112 NY SUN	7,595
	5/29/2020	<200KW PV, PON 2112 NY SUN	5,635
	9/8/2020	<200KW PV, PON 2112 NY SUN	5,346
	9/15/2020	<200KW PV, PON 2112 NY SUN	5,268
Infogroup Government Division	5/27/2020	Subscription/Data Access, Infogroup	12,500
Innovative Natural Resource Solutions, L	9/30/2020	Renewable Heat NY, Wood Chip Assessment	49,500
Insight Public Sector, Inc.	9/24/2020	NYSERDA ADMINISTRATION, Chromebooks - 30 for staff	16,440
Institute for Building Technology and Sa	8/27/2020	>200KW PV, TWO 1 Cat 2 NY-SUN	50,000
		NY-SUN, TWO 1 Cat 2 NY-SUN	50,000
		NY-SUN, TWO 4 NYSUN Res NonRes	1,014,000
	8/31/2020	ESTOR: Implementation Support, TWO 2 Cat 1 Energy Storage	900,000
	9/4/2020	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	331,800
Integral Building & Design, Inc.	7/7/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	112,500
Integral Group LLC	7/17/2020	Remote Energy Management, Technical Support DER Study	50,000
Integrated Energy Service Corp	6/8/2020	Real Time Enrgy Management, Integrated- 375 Park Ave -RTEM	107,090
	6/18/2020	Real Time Enrgy Management, Integrated- 810 7th Ave - RTEM	78,110
	8/31/2020	Real Time Enrgy Management, IES- 825 8th - RTEM	162,650
		Real Time Enrgy Management, IES-32 Old Slip-RTEM	140,690
		Real Time Enrgy Management, IES-75 Rockefeller-RTEM	96,760
		Real Time Enrgy Management, IES-230 Park-RTEM	171,570
		Real Time Enrgy Management, IES-450Lexington-RTEM	123,300
		Real Time Enrgy Management, IES-620 AoA-RTEM	93,120
		9/10/2020	Real Time Enrgy Management, IEA - 1330 AoA - RTEM
	Real Time Enrgy Management, IES - 61 Broadway - RTEM	94,730	
	Real Time Enrgy Management, IES-530 5th-RTEM	87,480	
	9/22/2020	Real Time Enrgy Management, Integrated- 5 Times Sq -RTEM	132,840
	Integrated HVAC Systems and Services	9/8/2020	Real Time Enrgy Management, Integrated-11629 Seaview-RTEM
International Business Machines	6/5/2020	CI Carbon Challenge, C&I Carbon Challenge	1,000,500

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International District Energy Associatio	6/12/2020	District Heating Systems, International District Energy	50,000
Interplay Learning Inc.	5/20/2020	Talent Pipeline:CE and OJT, On-Line Training Subscription	100,000
Invenenergy Wind, LLC	4/22/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS.	466,841,264
IPPsolar LLC	6/18/2020	>200KW PV, NY Sun	1,125,000
		NY-SUN, NY Sun	1,125,000
Ithaca Neighborhood Housing Services, In	4/2/2020	New Construction LMI, 2019 LRNCP	55,400
	5/29/2020	New Construction LMI, 2019 LRNCP	70,600
	8/31/2020	New Construction LMI, 2020 LRNCP	13,600
	9/17/2020	Buildings of Excellence, Buildings of Excellence R1	792,438
	9/28/2020	Technical Services, OsEM45-M - INHS	110,000
J Synergy Green Inc	7/17/2020	WORKFORCE DEVELOPMENT, OJT HIRE	15,360
	9/15/2020	WORKFORCE DEVELOPMENT, OJT HIRE	14,400
J Synergy Solar LLC	9/14/2020	<200KW PV, NY-Sun	6,160
J&A Electrical Construction LLC	7/1/2020	<200KW PV, PON 2112 NY SUN	6,801
	8/5/2020	<200KW PV, NY-Sun	6,968
Jared Rodriguez	4/23/2020	CI Carbon Challenge, Support for EBC_MF Low Carbon	250,000
Jaros, Baum & Bolles	4/3/2020	NYCH: Technical Assistance, FT13024 - NYU - FTC	41,265
	5/28/2020	Technical Services, FT13008 - 2501 Grand - FTC	26,474
	6/15/2020	Technical Services, Indoor Air Quality TWO - JB&B	200,000
	6/22/2020	Technical Services, FT13005 - Grand Concourse -FTC	27,594
	7/3/2020	Technical Services, FT13054 - 1425 Madison - FTC	74,250
	7/23/2020	Commercial Real Estate Ten, JB&B - 1 Pennsylvania Plaza	84,570
JEM ENGINEERING SERVICES	7/27/2020	High Performing Grid, Voltage Remediation for DERs	120,000
Jill Joseph Tower, LLC	6/10/2020	Multifam Performance Pgm, Multifamily	88,900
Joel Bates	6/18/2020	Net Zero Energy for Eco Dev, New Construction	1,000,000
John Hans Lee	7/27/2020	Code to Zero, Support-Bldg Decarbonization	500,000
Johnson Controls Inc.	4/2/2020	Real Time Enrgy Management, JC - 211 Church St - RTEM	63,000
	7/27/2020	Real Time Enrgy Management, JohnsonControls-Multisite-RTEM	240,840
Johnson Controls, Inc. (Syracuse)	4/9/2020	K-12 SCHOOLS, P12GC - 1 - Buffalo CSD_E	250,000
	9/3/2020	K-12 SCHOOLS, FT13135 - 110 Elwood - FTC	51,920
Jones Lang LaSalle Americas, Inc.	5/28/2020	NYCH: Technical Assistance, FT13055 - 140 Broadway - PON	43,818
	7/20/2020	Commercial Real Estate Ten, JLL - Multisite	5,000
Jordan Energy and Food Enterprises LLC	4/7/2020	<200KW PV, PON 2112 NY SUN	10,710
	7/7/2020	<200KW PV, PON 2112 NY SUN	153
	9/16/2020	<200KW PV, PON 2112 NY SUN	8,073
Joseph R Chimera	8/3/2020	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Mainten..	700,000
JouleSmart Solutions, Inc.	5/21/2020	Real Time Enrgy Management, JouleSmar-500 Yonkers Ave-R..	77,548
		Real Time Enrgy Management, YonkersHonda-2000Central-RT..	36,379
	5/28/2020	Real Time Enrgy Management, Joule Smart-Multisite-RTEM	65,920
		Real Time Enrgy Management, JouleSmart - MultiSite - RTEM	177,709
		Real Time Enrgy Management, JouleSmart- 97 Lake Ave - RTE..	24,791
JPMorgan Chase Bank National Association	8/18/2020	Industrial Process Effic, Industrial Process Efficiency	518,852
	9/3/2020	Industrial Process Effic, Industrial Process Efficiency	237,762
Kamtech Restoration Corp	4/20/2020	>200KW PV, PON 2112 NY SUN	52,900
Karp Strategies, LLC	7/15/2020	OREC: Technical Support, Karp Strategies, Offshore Wind	255,000
Karpman Consulting, LLC	6/15/2020	Code to Zero, KARPMAN TWO#1 Training	414,702
Kasselman Solar LLC	4/1/2020	<200KW PV, PON 2112 NY SUN	36,720
	4/14/2020	<200KW PV, NY-Sun	2,025
	4/28/2020	<200KW PV, NY-Sun	5,472
	4/29/2020	<200KW PV, NY-Sun	88
		<200KW PV, PON 2112 NY SUN	5,159
	5/4/2020	<200KW PV, PON 2112 NY SUN	7,105
	5/6/2020	<200KW PV, PON 2112 NY SUN	5,670
	5/7/2020	<200KW PV, PON 2112 NY SUN	6,783
	5/8/2020	<200KW PV, PON 2112 NY SUN	8,750
	5/12/2020	<200KW PV, PON 2112 NY SUN	5,390

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Kasselman Solar LLC	5/14/2020	<200KW PV, NY-Sun	5,472
		<200KW PV, PON 2112 NY SUN	5,880
	6/3/2020	<200KW PV, PON 2112 NY SUN	5,511
	6/29/2020	<200KW PV, PON 2112 NY SUN	12,312
	7/2/2020	<200KW PV, PON 2112 NY SUN	14,216
	7/9/2020	<200KW PV, NY-Sun	6,944
		<200KW PV, PON 2112 NY SUN	5,310
	7/21/2020	<200KW PV, PON 2112 NY SUN	38,889
	8/6/2020	<200KW PV, PON 2112 NY SUN	5,698
	8/21/2020	<200KW PV, PON 2112 NY SUN	5,439
8/31/2020	<200KW PV, PON 2112 NY SUN	5,310	
Kawi Energy Group Corp.	4/1/2020	Commercial Real Estate Ten, Kawi Energy - Multisite	45,905
	6/17/2020	Commercial Real Estate Ten, Kawi Energy Group - Multisite	26,600
	7/23/2020	Commercial Real Estate Ten, Kawi Energy Group - Multisite	27,675
	9/14/2020	Commercial Real Estate Ten, Kawi Energy-2381 HylanMulti(2)	8,659
	9/18/2020	Commercial Real Estate Ten, Kawi-25 Victory Blvd-CTP	9,657
	9/29/2020	Talent Pipeline:CE and OJT, OJT HIRE	15,360
Kearns & West, Inc.	4/7/2020	Consumer Ed and Market Support, TWO 1 - RMAG	75,000
	9/24/2020	OREC: Technical Support, Facilitation for ORECRFP20	100,000
Kelliher Samets Volk	4/24/2020	NYSERDA ADMINISTRATION, TWO 33: Social Media Support	50,000
	7/30/2020	NYSERDA ADMINISTRATION, TWO 33: Social Media Support	50,000
	9/22/2020	NYCH: Consumer Awareness, KSV TWO 34 NYS Clean Heat	9,500,000
	9/23/2020	ESTOR:Consumer Education, KSV TWO 31 Energy Storage	38,150
NYSERDA ADMINISTRATION, KSV TWO 36 Website User Ex..		16,830	
Khawaja Ali Zubair	9/8/2020	OTHER PROGRAM AREA, Consulting agreement	25,000
KISCO RIVER SOLAR LLC	4/30/2020	NY Green Bank, BQ Energy - Mt. Kisco	2,270,000
Knoll, Inc.	4/2/2020	Furniture Purchase	47,685
	4/13/2020	Furniture for Green Bank Offii	184,938
L&M Builders Group LLC	9/10/2020	New Construction LMI, 2019 MFCNP	124,400
L&S Energy Services, Inc.	8/4/2020	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	50,000
	9/3/2020	Technical Services, FT13133 - 401 S. Salina - FTC	11,517
	9/21/2020	Flexible Tech Assistance, L&S GJGNY Energy Audits	1,100,001
GJGNY REVOLVING LOAN FUND, L&S GJGNY Energy Audits		200,000	
LaBella Associates, P.C.	6/17/2020	Technical Services, Indoor Air Quality TWO-Labela	200,000
	7/8/2020	Geothermal Incentive Program, Large Scale GSHP Rebate	103,812
Lawrence Avenue Community Partners,...	6/10/2020	Multifam Performance Pgm, Multifamily	95,900
Legend Energy Advisors	9/1/2020	Real Time Enrgy Management, LEA-1414 AoA-RTEM	40,996
	9/22/2020	Real Time Enrgy Management, Legend-30 W 31st-RTEM	44,860
LeRay Jackson Solar, LLC	9/21/2020	>200KW PV, NY Sun	1,012,010
		NY-SUN, NY Sun	1,214,414
Level 3 Communications, LLC	4/27/2020	NYSERDA ADMINISTRATION, Information Technology	144,000
Levitan & Associates, Inc.	6/15/2020	REC:CES REC System Dev Costs, Technical Advisory&Resear..	49,500
	6/17/2020	REC:CES REC System Dev Costs, Large-Scale Renewables 20..	750,000
Light Green Machines LLC	7/30/2020	Pub Transit & Elect Rail, Lightweight bus chassis develo	248,950
Lincoln Life & Annuity Company of NY	5/6/2020	NYSERDA ADMINISTRATION, 2020 Long Term Disability Prem	92,000
Linden Terrace II Developer LLC	7/21/2020	New Construction LMI, 2019 MF NCP	300,000
	9/17/2020	Buildings of Excellence, Buildings of Excellence R1	850,000
Lodestar Energy	8/12/2020	>200KW PV, NY Sun	675,791
		NY-SUN, NY Sun	991,162
Long Island Power Authority	6/2/2020	NY-SUN, LIPA MOU RGGI Compliance Progr	25,000,000
Long Island Power Solutions	4/24/2020	<200KW PV, PON 2112 NY SUN	5,000
	5/1/2020	>200KW PV, PON 2112 NY SUN	8,225
	7/2/2020	<200KW PV, PON 2112 NY SUN	5,276
Loring Consulting Engineers, Inc.	6/10/2020	Technical Services, FT13063 - 333 East 38th - FTC	45,308
Luminate, LLC	5/5/2020	Outside Technical and Eng. Srv	62
	6/17/2020	Outside Technical and Eng. Srv	5,859

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Luminate, LLC	7/27/2020	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	7,520
	9/3/2020	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	25,000
M/E Engineering, P.C.	5/8/2020	New Construction- Commercial, Commercial New Construction	66,650
	7/17/2020	New Construction- Commercial, Commercial New Construction	59,725
	8/7/2020	New Construction- Commercial, Commercial New Construction	89,350
Madrid Solar 1, LLC	6/5/2020	>200KW PV, NY Sun	1,119,719
Madrid Solar 2, LLC	5/26/2020	>200KW PV, NY Sun	416,917
	9/2/2020	NY-SUN, NY Sun	539,539
Magnusson Architecture and Planning ..	7/22/2020	Buildings of Excellence, BoE R1 - Design Team Incentive	112,500
Malcarne Contracting, Inc.	4/28/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	7/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,120
Manlius Acad LLC	5/19/2020	Multifam Performance Pgm, Manlius Academy Apartments,	121,100
Mark Worthington	6/17/2020	District Heating Systems, Mark Worthington	50,000
Marshall & Sterling, Inc.	6/18/2020	NYSERDA ADMINISTRATION, Property Liability and Other	4,216
	7/6/2020	NYSERDA ADMINISTRATION, Property Liability and Other	297
Matrix Development, LLC.	8/24/2020	>200KW PV, NY Sun	2,917,704
		NY-SUN, NY Sun	4,279,307
Matrix Solar OC Newburgh Route 17K, LLC	5/14/2020	>200KW PV, NY Sun	993,606
		NY-SUN, NY Sun	1,753,424
Matrix Solar SI 526 Gulf, LLC	5/8/2020	>200KW PV, NY-Sun	3,960,785
Matrix Solar SI 566 Gulf, LLC	5/14/2020	>200KW PV, NY-Sun	2,169,000
Matrix Solar SI 586 Gulf, LLC	5/14/2020	>200KW PV, NY-Sun	4,193,520
Max Solar Inc	8/24/2020	<200KW PV, PON 2112 NY SUN	12,960
McCloskey Community Services Corpo..	9/16/2020	New Construction LMI, 2020 LRNCP	75,200
McMahon and Mann Consulting Engineers	4/20/2020	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Serv..	250,000
	5/5/2020	WEST VALLEY DEVELOPMENT PROGRAM, TWO 2 - Evaluati..	2,000
Mendelsohn Consulting, Inc.	7/7/2020	NEW YORK GREEN BANK, NYGB Strategy and Business Pla	2,245
Mendon Renewables, LLC	4/30/2020	>200KW PV, NY Sun	1,169,068
MGX Associates Phase 1 LLC	4/22/2020	New Construction LMI, 2019 MFCNP	144,400
Micatu, Inc.	4/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	4/27/2020	Talent Pipeline:CE and OJT, Workforce Dev & Train	5,120
	8/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,280
	9/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,920
	9/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,280
	9/29/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,560
Michael Lightman	6/17/2020	OTHER PROGRAM AREA, Michael Consulting Contract	49,999
Michael Robinson	6/4/2020	Buildings of Excellence, Buildings of Excellence R1	33,762
Michaels Group Homes, LLC	4/14/2020	New Construction LMI, 2019 LRNCP	7,600
MICROrganic Technologies Inc.	6/11/2020	Cleantech Ignition, PON 3871 Ignition Grants	99,547
Milea Truck Sales Inc	8/14/2020	CLEAN TRANSPORTATION, NYT-VIP	120,000
	8/18/2020	CLEAN TRANSPORTATION, NYT-VIP	174,990
	8/19/2020	CLEAN TRANSPORTATION, NYT-VIP	490,909
		CLEAN TRANSPORTATION, NYTVIP	54,545
	8/20/2020	CLEAN TRANSPORTATION, NYT-VIP	600,000
		CLEAN TRANSPORTATION, NYTVIP	54,545
	8/31/2020	CLEAN TRANSPORTATION, NYT_VIP	118,330
		CLEAN TRANSPORTATION, NYT-VIP	120,000
Miles Farmer	8/4/2020	ENERGY ANALYSIS, PSC Resource Adequacy Proceedi	80,000
Milliman, Inc.	4/1/2020	NYSERDA ADMINISTRATION, 2020 GASB74 Liab GASB75 O..	11,800
mindSHIFT Technologies, Inc.	7/23/2020	NYSERDA ADMINISTRATION, RFP 3919-Sitecore CMS Admin	500,000
Mobileware Inc	6/17/2020	Pub Transit & Elect Rail, On-demand commuter carpooling	425,000
Mohawk Garden Apartments, LLC	6/10/2020	Multifam Performance Pgm, Multifamily	145,600
	7/1/2020	Technical Services, FT13105 - 105 Ringdahl - PON	10,000
Montebello Realty Partners, LLC	8/18/2020	Commercial New Construc, SF106896 - 250 Lafayette	42,466
Montgomery County Treasurer	8/19/2020	Clean Energy Communities, CEC610859-Montgomery County	150,000
Morgan Stanley	4/14/2020	Technical Services, OsEM43-C - Morgan Stanley	211,454

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Morristown Solar II, LLC	6/18/2020	>200KW PV, NY Sun	1,182,384
	7/28/2020	NY-SUN, NY Sun	1,530,144
Mount Hope Community Development	8/4/2020	New Construction LMI, 2019 LRNCP	53,600
Mount Sinai St. Lukes	5/28/2020	Flexible Tech Assistance, FT12292 - 1000 10th - PON	73,763
NASEO	5/8/2020	Prof & Expert Engagement, Office of the President & CEO	15,675
National Wind Technology Consortium, Inc	5/26/2020	Nat'l OffShWind R&D Consortium, National OSW R&D Concortri..	225,000
		National OSW R&D Concortrium.	225,000
NECEC Institute	6/8/2020	Cleantech ICC Engage, Cleantech Open Northeast (CTON	200,000
NESCAUM	5/27/2020	Prof & Expert Engagement, 2020 ZEV MOU/Task Force	50,000
NESEA	9/30/2020	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
Net-Zero Development LLC	4/23/2020	Buildings of Excellence, Buildings of Excellence R1	637,500
	6/22/2020	Low Rise New Construction, 2019 LRNCP	82,000
		New Construction LMI, 2019 LRNCP	19,500
Netgains Engineering P.C.	9/9/2020	Commercial Real Estate Ten, Netgains-2500 Third Ave	5,000
New Buildings Institute, Inc.	6/3/2020	New Construction LMI, CNB Roadmap Writing	179,529
		New Construction- Commercial, CNB Roadmap Writing	179,529
New Ecology, Inc.	8/14/2020	Real Time Enrgy Management, New Ecology-160 Warburton-R..	7,749
New Flyer of America, Inc.	8/20/2020	CLEAN TRANSPORTATION, NYT-VIP	1,108,258
	9/4/2020	CLEAN TRANSPORTATION, NYTVIP	1,847,097
New Savoy Park Porfolio LLC	5/29/2020	Multifam Performance Pgm, Multifamily	1,455,000
New Water Street Corporation	8/3/2020	Technical Services, OsEM56-C-New Water Street Corp	214,000
New York Battery and Energy Storage	6/12/2020	Energy Storage Tech/Prod Dev, NYSERDA cost share funding ..	40,000
New York City Housing Authority	9/10/2020	Clean Energy Communities, CEC811010 - City of New York	250,000
New York Community Clean Energy Hol..	6/30/2020	NY Green Bank, CertainSolar Bridge Loan	19,900,000
New York Homeowners Construction C..	6/12/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
New York Presbyterian Hospital	4/22/2020	Industrial Process Effic, Industrial Process Efficiency	144,504
New York Solar Energy Industries Asso..	5/15/2020	NYSEIA COVID Support	120,000
New York State Foam & Energy LLC	7/3/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,160
New York State Forum for IRM	8/31/2020	NYSERDA ADMINISTRATION, NYS Forum Membership 20 - 21	5,000
New York State Solar Farm Inc.	4/1/2020	<200KW PV, PON 2112 NY SUN	6,221
	4/23/2020	<200KW PV, PON 2112 NY SUN	8,750
	5/26/2020	<200KW PV, PON 2112 NY SUN	11,198
	8/4/2020	<200KW PV, PON 2112 NY SUN	7,616
	8/13/2020	<200KW PV, PON 2112 NY SUN	5,264
New York University	7/14/2020	Cleantech Incubator, PON3413 Clean Energy Incubator	1,500,000
	8/31/2020	Technical Services, OsEM55-C - NYU - 370 Jay	110,000
Newburgh Housing Authority	6/10/2020	Multifam Performance Pgm, Multifamily	45,500
	9/29/2020	Multifam Performance Pgm, Multifamily	6,500
Nexamp Capital, LLC	5/26/2020	>200KW PV, NY Sun	711,311
Nexant, Inc.	7/15/2020	Electric Vehicles - Innovation, TWO #1	293,750
NexRev, LLC	7/17/2020	Real Time Enrgy Management, NexRev - Multisite - RTEM	43,200
	8/6/2020	Real Time Enrgy Management, NexRev-Multisite-RTEM	1,012,475
Next Generation Solar, LLC	9/2/2020	<200KW PV, PON 2112 NY SUN	5,119
NextCorps Inc	7/23/2020	M-Corps, ACT Prototypes to Mass Prod NY	2,700,000
NIC Holding Corp	6/18/2020	FUEL NY, NYS Strategic Gasoline Reserve	515,000
Nickels Energy Solutions LLC	4/13/2020	<200KW PV, PON 2112 NY SUN	8,736
	5/1/2020	<200KW PV, PON 2112 NY SUN	5,292
	8/17/2020	<200KW PV, PON 2112 NY SUN	8,710
Nixon Peabody LLP	4/27/2020	NYSERDA ADMINISTRATION, Loan Loss Reserve PON Review	7,016
NJP Consulting Inc.	8/12/2020	<200KW PV, NY-Sun	14,204
Nontraditional Employment for Women	7/6/2020	Talent Pipeline:CE and OJT, PON3981 Round 6	148,653
Noresco LLC	5/19/2020	Code to Zero, TWO1-ENERGY STAR NYSTRETCH	12,000
	7/21/2020	REV Campus Challenge, FT13109 - NYU Dentistry - FTC	55,032

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Noresco LLC	8/3/2020	Technical Services, IAQ - Tech Review - NORESKO	71,400
	8/14/2020	Technical Services, FT13099 - 8000 Cooper - FTC	27,898
		Technical Services, FT13103 - 90-15 Queens - FTC	37,046
	9/2/2020	Technical Services, FT13144 - IAQ Multiple - FTC	66,648
North Syracuse Central School District	9/21/2020	K-12 SCHOOLS, FT13128 - N. Syracuse - PON	117,534
Northco Products, Inc.	7/21/2020	NYSERDA ADMINISTRATION, Printer/Copier Konica	29,680
Northeast Energy Efficiency Partnerships	6/3/2020	Air Source Heat Pumps, 2020 NEEP Sponsorship	25,000
		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 Organic Farming Association..	8/11/2020	Prof & Expert Engagement, NOFA - NY Membership-2020	25,000
Northeast Projects LLC	7/6/2020	Buildings of Excellence, BoE Rnd 1 - Design Team InceR1	5,958
Novel Approaches Solar Applications, LLC	4/9/2020	<200KW PV, PON 2112 NY SUN	21,656
	4/20/2020	<200KW PV, PON 2112 NY SUN	5,600
	4/23/2020	<200KW PV, PON 2112 NY SUN	10,800
	5/14/2020	<200KW PV, PON 2112 NY SUN	10,800
	6/4/2020	<200KW PV, PON 2112 NY SUN	10,800
	7/21/2020	<200KW PV, PON 2112 NY SUN	14,400
NP Environmental LLC	6/30/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,000
	7/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,720
	8/11/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,680
NRP Holdings LLC	5/12/2020	New Construction LMI, 2019 LRNCP	63,200
NSF Angelica Site 4, LLC	4/1/2020	>200KW PV, NY Sun	1,274,728
NSF Chaumont Site 1, LLC	4/30/2020	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 2, LLC	4/30/2020	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 3, LLC	4/30/2020	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 4, LLC	4/30/2020	>200KW PV, NY Sun	1,121,973
NSF Chaumont Site 5, LLC	4/17/2020	>200KW PV, NY Sun	675,716
NuWorld Lighting Solutions Inc	4/20/2020	WORKFORCE DEVELOPMENT, OJT HIRE	7,680
	8/14/2020	WORKFORCE DEVELOPMENT, OJT HIRE	15,680
NY 5422 CAUTERSKILL, LLC	4/17/2020	>200KW PV, NY Sun	319,433
		NY-SUN, NY Sun	563,706
NY CDG 004 LLC	7/7/2020	<200KW PV, NY-Sun	122,150
		>200KW PV, NY-Sun	133,660
	7/16/2020	<200KW PV, NY-Sun	11,090
NY CDG 006 LLC	7/8/2020	>200KW PV, NY-Sun	136,120
NY DIX I LLC	8/10/2020	>200KW PV, NY-Sun C&I	1,023,840
NY MACEDON I LLC	8/10/2020	>200KW PV, NY-Sun C&I	476,064
NY MACEDON II LLC	8/10/2020	>200KW PV, NY-Sun C&I	393,984
NY MOOERS V LLC	8/10/2020	>200KW PV, NY-Sun C&I	1,108,080
NY ONTARIO I LLC	8/10/2020	>200KW PV, NY-Sun C&I	799,200
NY ORANGE I LLC	8/10/2020	>200KW PV, NY-Sun C&I	488,376
NY PLATTSBURGH I LLC	8/11/2020	>200KW PV, NY-Sun C&I	1,006,020
NY RUSHFORD I LLC	8/10/2020	>200KW PV, NY-Sun C&I	1,116,288
NYS Association of School Business Of..	6/10/2020	K-12 SCHOOLS, P-12 ASBONY Outreach	25,285
NYS Department of Health	7/9/2020	WEST VALLEY DEVELOPMENT PROGRAM, RML Triennial Bill	5,500
NYS Energy Solutions	7/29/2020	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
	8/18/2020	WORKFORCE DEVELOPMENT, OJT HIRE	6,400
	8/20/2020	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
NYS Office of General Services	5/6/2020	POLICY DEVELOPMENT, NYS DPS Printing Services	50,000
NYS Office of Information Technology Ser	6/17/2020	NYSERDA ADMINISTRATION, Office 365 2020 - 2021	178,776
	8/14/2020	NYSERDA ADMINISTRATION, Office 365 - Outstanding Bal.	79,929

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NYS Office of Parks, Recreation and	7/21/2020	Technical Services, OsEM52-C - NYS OPRHP	213,380
O3 Development, LLC	5/4/2020	CI Engy Siting & Soft Cost Red, Large-Scale Renewables	49,999
O'Brien & Gere Engineers, Inc.	5/8/2020	New Construction- Commercial, Commercial New Construction	97,000
	6/23/2020	Real Time Engry Management, OBrien -	63,192
	7/21/2020	REV Campus Challenge, FT13029 - 108 Ravine - FTC	24,576
Offshore Electric Corp.	7/17/2020	Security Doors for the NYC Off	12,000
OLA Consulting Engineers, P.C.	4/15/2020	Technical Services, FT13014 - GSMT - FTC	8,376
Omni Navitas Holdings LLC	5/14/2020	>200KW PV, NY Sun	1,249,357
	7/28/2020	NY-SUN, NY Sun	1,616,815
	8/24/2020	>200KW PV, NY Sun	1,742,893
		NY-SUN, NY Sun	2,556,248
Omni-Navitas - MAP-ES NY LLC	6/9/2020	>200KW PV, NY Sun	582,369
Optimus Technologies Inc	9/11/2020	76 West, 76 West Bus.Energy Comp.	1,000,000
Orange EV LLC	5/22/2020	CLEAN TRANSPORTATION, NYT-VIP	140,080
	7/9/2020	CLEAN TRANSPORTATION, NYT-VIP	140,080
	8/14/2020	CLEAN TRANSPORTATION, NYT-VIP	140,080
Orchard Estates Vintage, LLC	8/17/2020	Multifam Performance Pgm, Multifamily	210,000
Owahgena Consulting, Inc.	5/19/2020	Air Source Heat Pumps, Heat Pump Technical Assistance	50,000
	9/1/2020	NYCH: Roadmap, BEEM Technical Analysis	50,000
OYA Church Road A LLC	9/21/2020	>200KW PV, NY Sun	1,124,759
		NY-SUN, NY Sun	1,649,649
OYA Church Road B LLC	9/14/2020	>200KW PV, NY Sun	224,640
		NY-SUN, NY Sun	269,568
Oya Solar CDG2 LLC; Oya Solar MM1 L..	9/9/2020	NY Green Bank, OYA Solar	35,000,000
OYA WAYSIDE DRIVE LLC	6/18/2020	>200KW PV, NY Sun	1,120,977
Paradise Energy Solutions, LLC	4/2/2020	<200KW PV, PON 2112 NY SUN	93,555
Park Grove Development, LLC	9/29/2020	New Construction LMI, 2019 LRNCP	44,000
Park Grove Realty LLC	6/30/2020	New Construction LMI, 2019 LRNCP	42,000
Passive House Accelerator LLC	4/15/2020	New Construction LMI, General marketing and outreach	40,000
		New Construction- Commercial, General marketing and outreach	10,000
Pathfinder Engineers & Architects, LLP	5/22/2020	Commercial New Construc, Commercial New Construction	18,162
	6/16/2020	New Construction- Commercial, Commercial New Construction	33,831
	7/17/2020	New Construction- Commercial, Commercial New Construction	69,472
Pathstone Corporation	9/4/2020	Community RH&C, CH&C Communities Round 3	200,000
Patriot Energy Solutions Corp	8/10/2020	>200KW PV, PON 2112 NY SUN	7,722
	8/13/2020	<200KW PV, NY-Sun	6,656
Peninsula Building 2A LLC	4/3/2020	New Construction LMI, 2019 MFCNP	258,400
People United for Sustainable Housing ..	7/28/2020	New Construction LMI, 2019 LRNCP	70,000
Perdita Flats Development, LLC	4/21/2020	Buildings of Excellence, Buildings of Excellence R1	59,976
Performance Systems Development, Inc.	9/4/2020	Retrofit NY, Multifamily Parametric Modelin	49,910
PFNY LLC	7/27/2020	Technical Services, OsEM48-C-Planet Fitness of NY	204,571
Pine Tree Vintage, LLC	8/11/2020	Multifam Performance Pgm, Multifamily	45,500
	9/28/2020	Technical Services, FT13130 - Pine Tree - PON	5,250
Pioneer Valley Photovoltaics Cooperati..	9/23/2020	<200KW PV, PON 2112 NY SUN	6,048
Pivot US Energy Services, Inc.	8/24/2020	NY Green Bank, PPP007	10,000
PLB Oil & Gas Consult LLC	4/21/2020	NYGB Covid-19 PPP Consulting	50,000
	7/31/2020	NYGB Investment Support	50,000
Plugin Stations Online, LLC	4/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
PlugPV, LLC	4/20/2020	<200KW PV, PON 2112 NY SUN	5,040
	5/4/2020	<200KW PV, PON 2112 NY SUN	7,056
	5/7/2020	<200KW PV, PON 2112 NY SUN	10,773
	5/15/2020	<200KW PV, PON 2112 NY SUN	8,048
	5/28/2020	<200KW PV, PON 2112 NY SUN	5,376
	6/9/2020	<200KW PV, PON 2112 NY SUN	8,750
	6/23/2020	<200KW PV, PON 2112 NY SUN	5,376
	6/25/2020	<200KW PV, PON 2112 NY SUN	92,430

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
PlugPV, LLC	7/2/2020	<200KW PV, PON 2112 NY SUN	5,828
	7/14/2020	<200KW PV, NY-Sun	5,376
	7/27/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,000
	8/3/2020	<200KW PV, PON 2112 NY SUN	5,280
	8/4/2020	<200KW PV, PON 2112 NY SUN	5,376
	8/5/2020	<200KW PV, PON 2112 NY SUN	5,712
	8/12/2020	<200KW PV, PON 2112 NY SUN	15,008
	8/21/2020	<200KW PV, PON 2112 NY SUN	5,376
	9/4/2020	<200KW PV, PON 2112 NY SUN	2,688
	9/14/2020	<200KW PV, PON 2112 NY SUN	6,160
	9/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,382
	Politico LLC	8/13/2020	NYSERDA ADMINISTRATION, PO to cover Politico subscript
Potentia Management Group LLC	4/28/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	6/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	7/21/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,387
	8/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	9/29/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,382
Power Advisory LLC	9/24/2020	OREC: Technical Support, IE ORECRFP20-1	65,000
PowerGEM, LLC	7/31/2020	CI Engy Siting & Soft Cost Red, TWO - Build Ready - Cat 1	300,000
Powerlutions, LLC	8/14/2020	<200KW PV, PON 2112 NY SUN	7,394
Pratt Area Community Council	6/23/2020	New Construction LMI, 2019 MF NCP	56,000
Praveen Amar	7/13/2020	Environmental Research, Science Advisors	48,000
Premier Solar Solutions LLC	9/9/2020	>200KW PV, PON 2112 NY SUN	23,976
	9/10/2020	>200KW PV, PON 2112 NY SUN	58,756
	9/18/2020	>200KW PV, PON 2112 NY SUN	11,840
Prescriptive Data	8/4/2020	Real Time Enrgy Management, Prescriptive-55 E 52nd St-RTEM	58,384
	9/9/2020	Real Time Enrgy Management, PD - 4 NY Plaza - RTEM	150,001
Pricewaterhouse Coopers, LLC	7/29/2020	Daroga Tax Consulting Services	10,000
Principal Life Insurance Company	7/3/2020	Technical Services, FT13035 - 1370 AoA - PON	26,456
Proenergy Consulting LLC	6/4/2020	CLEAN TRANSPORTATION, CTR Market Support	49,995
Proterra	6/22/2020	CLEAN TRANSPORTATION, NYT-VIP.	4,170,000
	7/10/2020	CLEAN TRANSPORTATION, NYT-VIP	1,155,000
	8/14/2020	CLEAN TRANSPORTATION, NYT-VIP	385,000
Provantage, LLC	7/30/2020	NYSERDA ADMINISTRATION, Lenovo Laptops - Provantage	5,075
Providence Housing Development Corp	9/29/2020	New Construction LMI, 2019 LRNCP	77,600
Pvillion Technologies, LLC	6/25/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Quidnet Energy Inc	5/14/2020	High Performing Grid, EPTD High Performance	2,500,000
Quixotic Systems, Inc.	6/11/2020	<200KW PV, NY-Sun	25,000
		>200KW PV, NY-Sun	70,920
QwikSolar, LLC	4/2/2020	<200KW PV, NY-Sun	10,363
	4/3/2020	<200KW PV, PON 2112 NY SUN	8,547
	5/26/2020	<200KW PV, PON 2112 NY SUN	13,440
R3 Energy Management Audit & Review, LLC	5/27/2020	Real Time Enrgy Management, CardinalHS-650 Grand Conc-R..	19,833
	8/4/2020	Real Time Enrgy Management, SteinbergPokoik-1430Brdwy-RT..	18,000
RAHF IV Shore Hill, LLC	6/10/2020	Multifam Performance Pgm, Multifamily	391,300
Randstad North America, Inc.	5/7/2020	NYSERDA ADMINISTRATION, Payroll Services_Gov't Affairs	21,600
	5/28/2020	ENERGY ANALYSIS, Payroll Services_Policy Dev	21,600
	6/10/2020	Payroll Services	10,140
	6/12/2020	NYSERDA ADMINISTRATION, Payroll Services	2,486
	6/16/2020	NYSERDA ADMINISTRATION, TS.010 - Payroll Services	22,815
		ORES Support, Staff Aug - ORES Support	120,000
	8/3/2020	NEW YORK GREEN BANK, PS.026_NYGB	99,550
	8/4/2020	NEW YORK GREEN BANK, PS.027_NYGB	245,000
	8/5/2020	Clean Energy Communities, Temp Services	143,000
	8/11/2020	ENERGY ANALYSIS, Payroll Services_Policy Dev	143,000
	8/21/2020	NYSERDA ADMINISTRATION, Payroll Services_Web Ops	48,165

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Randstad North America, Inc.	9/9/2020	Healthy Homes VB Payment Pilot, Payroll Services_EAE	97,500
		NYSERDA ADMINISTRATION, Payroll Services	48,165
	9/16/2020	NYSERDA ADMINISTRATION, Payroll Services_Perf Mgmt	21,600
	9/17/2020	Payroll Services	59,000
	9/29/2020	Air Source Heat Pumps, Payroll Services_CHC_TWO#29	16,000
RE-Nuble, Inc.	5/8/2020	Cleantech Ignition, PON 3871 Ignition Grants	29,052
RED Rochester	9/9/2020	Technical Services, FT13142 - 1200 Ridgeway - PON	19,845
Regeneron Pharmaceuticals Inc.	8/14/2020	Technical Services, FT13110 - 777 Old Saw Mill-PON	45,135
Regional Economic Community Action	9/28/2020	Technical Services, FT13131 - Focus Apts. - PON	5,000
Regional Economic Models, Inc	9/21/2020	ENERGY ANALYSIS, Energy Analysis	44,000
Renovus Energy, Inc.	8/18/2020	<200KW PV, PON 2112 NY SUN	8,750
	9/15/2020	<200KW PV, PON 2112 NY SUN	85,075
		NY-SUN, PON 2112 NY SUN	90,079
Rensselaer Polytechnic Institute-LRC	4/23/2020	Industrial Process Effic, Industrial Process Efficiency	1,000,000
Research Foundation of CUNY	8/20/2020	Rmve Barriers Dist Enrgy Storg, RFP 3407 TWO 3	273,770
Research Foundation of SUNY	4/16/2020	Energy Storage Tech/Prod Dev, m2M at Stony Brook	250,000
	6/18/2020	Computational control codesign	542,561
		Nat'l OffShWind R&D Consortium, Computational control codesi..	542,561
Research Foundation of The City	8/12/2020	Talent Pipeline:CE and OJT, TWO Umbrella Agreement #148934	182,157
Residences at Covered Bridge LLC	6/8/2020	Multifam Performance Pgm, Multifamily	138,600
Resource Refocus LLC	6/8/2020	Environmental Research, FTMY Literature Review	49,780
	7/20/2020	Code to Zero, TWO 2 NYStretch Res CE	19,803
RGBS Enterprises, Inc.	6/25/2020	Real Time Enrgy Management, RGBS - 299 Park Ave - RTEM	800,000
Riseboro Community Partnership, Inc.	6/15/2020	New Construction LMI, 2019 MFCNP	70,000
	8/27/2020	New Construction LMI, 2019 LRNCP	28,000
Rising Solar, LLC	6/3/2020	REC:CES REC Contracts, Large-Scale Renewables	17,378,550
Robert K. Harmon & Company LLC	5/11/2020	Pay for Performance, P4P - MEETS TWO	50,000
Rochester Housing Authority	9/2/2020	New Construction LMI, 2019 LRNCP	10,200
	9/21/2020	New Construction LMI, 2019 LRNCP	17,000
Rochester People's Climate Coalition	9/10/2020	Community RH&C, CH&C Communities Round 3.	150,000
Rockland Housing Action Coalition, Inc.	5/20/2020	New Construction LMI, 2019 LRNCP	60,200
Rocky Mountain Institute	4/13/2020	New Construction LMI, TWO 3 CNB Roadmap Support	33,334
		New Construction- Commercial, TWO 3 CNB Roadmap Support	16,666
	6/25/2020	New Construction LMI, 140390 TWO#1	64,584
		New Construction- Commercial, 140390 TWO#1	32,291
	8/31/2020	Empire Building Challenge, Empire Bldg. Challenge - RMI	179,007
Rosenblum Property Services, LLC	9/28/2020	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	24,890
Rural Ulster Preservation Company	6/4/2020	New Construction LMI, 2019 LRNCP	37,000
	6/22/2020	New Construction LMI, 2019 LRNCP	34,800
Ryan Homes (Virginia)	5/4/2020	New Construction LMI, 2019 LRNCP	18,050
	5/5/2020	New Construction LMI, 2019 LRNCP	22,800
	5/7/2020	New Construction LMI, 2019 LRNCP	16,150
	5/19/2020	New Construction LMI, 2019 LRNCP	6,650
	7/13/2020	New Construction LMI, 2020 LRNCP	15,200
	8/11/2020	New Construction LMI, 2020 LRNCP	17,100
SABIC Innovative Plastics	7/21/2020	CI Carbon Challenge, SABIC C&I Carbon Challenge	500,000
SANFILIPPO SOLUTIONS INC.	9/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	16,000
Sangolqui Solar, LLC	9/1/2020	>200KW PV, NY-Sun C&I	1,109,185
Saranac Lake Resort Owner LLC	7/17/2020	NY Green Bank, Saranac Lake: Amendment	2,000,000
Savanna Services, LLC	5/15/2020	Flexible Tech Assistance, FT12293 - Savanna - PON	107,625
	8/24/2020	NYCH: Technical Assistance, FT13106 -Savanna Multiple- PON	127,925
Schneider Electric Buildings Americas, I	7/9/2020	Real Time Enrgy Management, SEBA Inc - 445 E 69 St - RTEM	137,091
	8/24/2020	Real Time Enrgy Management, Schneider-140 58th St-RTEM	13,741
SEA Electric LLC	9/29/2020	CLEAN TRANSPORTATION, NYTVIP	109,250
SecondMuse LLC	7/30/2020	M-Corps, Technology to Market	2,700,000
SED NY Holdings	7/21/2020	REC:CES REC Contracts, SED Dog Corners Solar	15,913,702

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SED NY Holdings	7/21/2020	REC:CES REC Contracts, SED Skyline Solar - RESRFP18-1	15,759,750
		REC:CES REC Contracts, SED Watkins Road Solar I	15,457,722
Seed Renewables Inc.	5/14/2020	<200KW PV, NY-Sun	6,264
Shared Mobility, Inc.	4/20/2020	CLEAN TRANSPORTATION, Informing Electric Micromobili	199,465
SHI, Inc.	4/29/2020	NYSERDA ADMINISTRATION, SHI - Chromebooks 50 - order 1	4,128
	9/24/2020	NYSERDA ADMINISTRATION, Monitors.for NYGB 1333 Brdway	22,282
Siemens Industry, Inc.	4/23/2020	Real Time Enrgy Management, Siemens-3325 Marvin Sands-R..	42,959
	6/11/2020	Real Time Enrgy Management, Siemens-1425 Madison Ave-RT..	152,803
	6/15/2020	Real Time Enrgy Management, Siemens-260 Cooper Rd-RTEM	48,437
	6/23/2020	Real Time Enrgy Management, Siemens-84 Greenwood St-RTE..	163,664
	6/26/2020	Real Time Enrgy Management, Siemens-3338 E Main St-RTEM	162,420
	7/2/2020	Electric Vehicles - Innovation, Meter Integrated EVSE	226,372
	7/31/2020	Real Time Enrgy Management, Siemens-745 7th Ave-RTEM	272,681
	8/4/2020	ENERGY ANALYSIS, TWO #1: 100x40 Study	100,000
	8/14/2020	Real Time Enrgy Management, Siemens-100 Mendon-RTEM	69,083
	8/24/2020	Real Time Enrgy Management, Siemens-277Park-RTEM	244,982
	9/23/2020	Real Time Enrgy Management, Siemens- 2830 W 22nd St-RTEM	200,000
Silver Lake Solar LLC	7/27/2020	REC:CES REC Contracts, Silver Lake Solar	19,252,800
Simply Installs LLC	7/7/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,800
Site Capture LLC	7/9/2020	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
Sitecore USA, Inc.	6/30/2020	NYSERDA ADMINISTRATION, Sitecore Subscription Licensin	49,500
Siteimprove, Inc.	4/14/2020	NYSERDA ADMINISTRATION, Site Improve - 3 years	17,916
Sive Paget & Riesel PC	5/27/2020	NYSERDA ADMINISTRATION, Internal SEQRA Practice Review	4,000
	6/9/2020	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	29,504
	6/17/2020	Innovation, NY Climate Forward Loan Prog	10,000
	6/23/2020	NYSERDA ADMINISTRATION, FOIL related Services	5,000
	6/25/2020	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	12,000
	7/8/2020	NYSERDA ADMINISTRATION, Internal SEQRA Practice Review	3,500
	8/5/2020	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	13,393
	8/18/2020	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	100,000
	9/1/2020	NYSERDA ADMINISTRATION, Internal SEQRA Practice Review	2,500
	9/9/2020	NYSERDA ADMINISTRATION, FOIL related Services	6,891
9/17/2020	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	6,431	
Skadden, Arps, Slate, Meagher & Flom ..	7/7/2020	Commercial Real Estate Ten, GC&A - 401 9th Avenue	14,498
Skyven Technologies, Inc	7/8/2020	Cleantech ICC Engage, Co-Investment Fund Prgm RFQL	462,500
Smarter Grid Solutions, Inc.	6/23/2020	High Performing Grid, PON4128 Smart Grid JU Collab	1,530,939
SmartWatt Energy, Inc.	9/17/2020	<200KW PV, PON 2112 NY SUN	348,840
Smith Engineering PLLC	9/8/2020	Technical Services, FT13121 - 825 Eighth Ave - FTC	45,830
Snug Planet, LLC	5/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	8/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600
	8/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,960
Solar and Wind FX, Inc. (Chris Schaefer)	8/4/2020	<200KW PV, PON 2112 NY SUN	8,750
Solar Energy Industries Association, Inc	5/28/2020	SEIA COVID Support	120,000
Solar Liberty Energy Systems, Inc	4/1/2020	<200KW PV, PON 2112 NY SUN	8,829
	4/8/2020	>200KW PV, NY Sun	242,216
	5/4/2020	>200KW PV, NY Sun	295,229
	5/5/2020	<200KW PV, PON 2112 NY SUN	69,822
	5/26/2020	>200KW PV, NY-Sun	320
	6/2/2020	<200KW PV, PON 2112 NY SUN	8,698
	6/3/2020	<200KW PV, PON 2112 NY SUN	459
	6/4/2020	<200KW PV, PON 2112 NY SUN	189,025
6/9/2020	<200KW PV, PON 2112 NY SUN	6,006	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Solar Liberty Energy Systems, Inc	6/11/2020	>200KW PV, PON 2112 NY SUN	55,200
	6/12/2020	<200KW PV, PON 2112 NY SUN	5,036
	6/18/2020	<200KW PV, PON 2112 NY SUN	6,804
	7/9/2020	<200KW PV, NY-Sun	7,800
	7/21/2020	<200KW PV, PON 2112 NY SUN	152,192
	7/22/2020	<200KW PV, NY-Sun	9,768
	8/31/2020	<200KW PV, PON 2112 NY SUN	7,035
	9/2/2020	<200KW PV, PON 2112 NY SUN	17,280
	9/14/2020	<200KW PV, PON 2112 NY SUN	6,584
		>200KW PV, PON 2112 NY SUN	42,924
9/18/2020	<200KW PV, PON 2112 NY SUN	336,434	
Solar One, Inc.	5/11/2020	ESTOR:Retail Storage Incentive, Retail Storage	95,900
Solar Village Company LLC	6/22/2020	New Construction LMI, 2019 LRNCP	96,600
		New Construction LMI, LR NCP - 212 Carter Rd.	243,200
Solcius, LLC	8/12/2020	<200KW PV, PON 2112 NY SUN	5,208
Solitude Solar LLC	5/26/2020	>200KW PV, NY Sun	482,501
	6/5/2020	>200KW PV, NY Sun	1,221,644
	9/24/2020	>200KW PV, NY Sun	432,744
NY-SUN, NY Sun		519,293	
SSA Solar of NY 3 LLC	5/14/2020	>200KW PV, NY Sun	1,630,255
SSC Lysander LLC	4/17/2020	>200KW PV, NY Sun	917,941
	7/28/2020	NY-SUN, NY Sun	1,187,923
SSC Oswego LLC	5/4/2020	>200KW PV, NY Sun	562,046
	7/28/2020	NY-SUN, NY Sun	727,353
SSC Scriba LLC	7/28/2020	>200KW PV, NY Sun	1,123,874
		NY-SUN, NY Sun	1,648,351
Stance Renewable Risk Partners LLC	9/2/2020	Green Bank	6,500
Standard Insulating Company	5/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	6/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	6/25/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	7/3/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	7/30/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,440
	8/6/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	8/28/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	9/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,600
	9/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	9/22/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,440
Standard Solar, Inc	4/24/2020	>200KW PV, NY-Sun C&I	1,447,200
	4/28/2020	>200KW PV, NY-Sun	1,309,646
Stas Zakrzewski Architect PC	9/2/2020	Buildings of Excellence, BoE Rnd1 - Design Team Incent.	13,389
State University of New York	6/8/2020	OTHER PROGRAM AREA, PON 3249	346,000
State University of New York College	9/30/2020	Technical Services, OsEM36-C - SUNY Geneseo	214,000
Stephen Taya Property Development	4/14/2020	Buildings of Excellence, Buildings of Excellence R1	33,762
Steven Winter Associates, Inc.	5/4/2020	Talent Pipeline:CE and OJT, Steven Winter Assoc. Training	799,999
	6/3/2020	Air Source Heat Pumps, TWO 3 - Heat Pump Pattern Book	133,333
		Consumer Ed and Market Support, TWO 3 - Heat Pump Pattern..	133,334
		Market Tests, TWO 3 - Heat Pump Pattern Book	133,333
	6/23/2020	Real Time Enrgy Management, SWA - 2051 Ryer Ave - RTEM	58,981
	7/7/2020	Technical Services, FT13018 - Victoria Owners- FTC	22,599
	7/21/2020	REV Campus Challenge, FT13094 - 130 Mac Dougal - FTC	13,187
		REV Campus Challenge, FT13095 - Washington Sq - FTC	12,527
Stillwater Renewables, LLC	9/21/2020	>200KW PV, NY Sun	549,548
		NY-SUN, NY Sun	806,006
Stone Environmental, Inc.	5/13/2020	Informat. Products & Brokering, Data Asset Matching STONE T..	46,764
STREAM Collaborative Architecture + L..	7/7/2020	Buildings of Excellence, BoE Rnd 1 - Design Team Incent.	10,584
Summit Ridge Energy, LLC	8/18/2020	ESTOR:Retail Storage Incentive, Retail Storage	4,447,200

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Summit Ridge Energy, LLC	8/25/2020	ESTOR:Retail Storage Incentive, Retail Storage	4,447,200
Sun Source Technologies	6/18/2020	<200KW PV, PON 2112 NY SUN	9,315
	6/22/2020	<200KW PV, PON 2112 NY SUN	5,040
SuNation Solar Systems, Inc.	4/24/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/5/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/15/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/3/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/17/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	8/19/2020	COMMUNITY SOLAR, PON 2112 NY SUN	6,364
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/24/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
SunEast Renewables LLC	7/21/2020	REC:CES REC Contracts, Manchester Solar	17,134,785
Sunlight General Capital LLC	6/18/2020	>200KW PV, NY-Sun	349,670
Sunnova Energy Corp	7/15/2020	<200KW PV, PON 2112 NY SUN	5,264
Sunnyside Farms, Inc.	7/30/2020	Anaerobic Digesters, PON 3739 CAT C	551,500
SunPower Capital, LLC	5/26/2020	<200KW PV, PON 2112 NY SUN	5,723
	5/27/2020	<200KW PV, PON 2112 NY SUN	7,000
	5/28/2020	<200KW PV, PON 2112 NY SUN	7,472
	5/29/2020	<200KW PV, PON 2112 NY SUN	5,040
	6/10/2020	<200KW PV, PON 2112 NY SUN	5,951
	6/29/2020	<200KW PV, PON 2112 NY SUN	6,524
	6/30/2020	<200KW PV, PON 2112 NY SUN	6,867
	7/3/2020	<200KW PV, PON 2112 NY SUN	8,750
	7/22/2020	<200KW PV, PON 2112 NY SUN	6,180
	7/23/2020	<200KW PV, PON 2112 NY SUN	6,101
	8/3/2020	<200KW PV, PON 2112 NY SUN	8,750
	9/15/2020	<200KW PV, PON 2112 NY SUN	6,295
SUNRISE ELECTRICAL SERVICES	5/29/2020	<200KW PV, PON 2112 NY SUN	96,480
	6/1/2020	<200KW PV, PON 2112 NY SUN	73,080
	8/7/2020	<200KW PV, PON 2112 NY SUN	233,341
	9/2/2020	<200KW PV, PON 2112 NY SUN	96,660
	9/8/2020	<200KW PV, PON 2112 NY SUN	246,861
	9/11/2020	<200KW PV, PON 2112 NY SUN	43,358
	9/18/2020	<200KW PV, PON 2112 NY SUN	285,791
	9/22/2020	<200KW PV, PON 2112 NY SUN	79,515
Sunrise Solar Solutions, LLC	6/4/2020	<200KW PV, PON 2112 NY SUN	65,664
	8/3/2020	>200KW PV, PON 2112 NY SUN	28,272
	8/13/2020	>200KW PV, PON 2112 NY SUN	226,730
Sunrun Mars Portfolio 2020-A LLC	8/13/2020	NY Green Bank, Sunrun Mars	19,000,000
SunRun, Inc	4/3/2020	<200KW PV, PON 2112 NY SUN	5,642
	4/16/2020	<200KW PV, PON 2112 NY SUN	5,317
	5/26/2020	<200KW PV, PON 2112 NY SUN	5,072
	6/2/2020	<200KW PV, PON 2112 NY SUN	5,733
	6/22/2020	<200KW PV, PON 2112 NY SUN	5,072
	6/25/2020	<200KW PV, PON 2112 NY SUN	6,125
	7/31/2020	<200KW PV, PON 2112 NY SUN	5,775
	8/3/2020	<200KW PV, PON 2112 NY SUN	5,082
	8/11/2020	<200KW PV, PON 2112 NY SUN	5,891
	8/20/2020	<200KW PV, PON 2112 NY SUN	5,688
	8/31/2020	<200KW PV, PON 2112 NY SUN	5,968
	9/1/2020	<200KW PV, PON 2112 NY SUN	11,696
	9/4/2020	<200KW PV, PON 2112 NY SUN	8,201
	9/10/2020	<200KW PV, PON 2112 NY SUN	5,330
	9/11/2020	<200KW PV, PON 2112 NY SUN	5,119
	9/14/2020	<200KW PV, PON 2112 NY SUN	5,513
	9/17/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunRun, Inc	9/22/2020	<200KW PV, PON 2112 NY SUN	5,005
	9/28/2020	<200KW PV, PON 2112 NY SUN	5,801
Sunvestment Energy Group NY 63, LLC	8/19/2020	>200KW PV, NY-Sun C&I	932,432
Sunvestment Energy Group NY 64 LLC	5/5/2020	>200KW PV, NY Sun	699,399
SUNY Brockport	5/28/2020	REV Campus Challenge, RM9 - SUNY Brockport College	16,672
SUNY Buffalo	6/22/2020	Industrial Process Effic, Industrial Process Efficiency	186,860
	6/26/2020	Industrial Process Effic, Industrial Process Efficiency	186,860
SUNY Morrisville	5/8/2020	Commercial New Construc, New Construction	9,295
SUNY Oneonta	6/16/2020	Commercial New Construc, SF203494 - SUNY Oneonta Emerg	7,736
	9/24/2020	REV Campus Challenge, FT13029 - 108 Ravine - PON	24,576
Sustainable Comfort, Inc	7/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	15,078
	7/23/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,154
Sustainable Endowment Institute	8/17/2020	REV Campus Challenge, GRITS Goals Development - SEI	50,000
Sustainable Energy Advantage, LLC	8/6/2020	REC:CES REC System Dev Costs, Large Scales Renewables T..	40,050
Sustainable Energy Developments Inc.	4/2/2020	<200KW PV, PON 2112 NY SUN	32,292
	4/6/2020	<200KW PV, NY-Sun	9,960
	6/16/2020	<200KW PV, PON 2112 NY SUN	6,484
	6/23/2020	<200KW PV, PON 2112 NY SUN	5,429
	7/10/2020	<200KW PV, PON 2112 NY SUN	5,429
	8/6/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	9/23/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	9/25/2020	<200KW PV, PON 2112 NY SUN	12,243
Sustainable Westchester	4/27/2020	Community RH&C, CH&C Communities Round 3	600,000
Switch Automation Inc.	4/14/2020	Real Time Enrgy Management, SA - 435 W 31 St - RTEM	45,000
	9/22/2020	Real Time Enrgy Management, SwitchAuto- 1745 Broadway RT..	200,000
Syracuse University	5/4/2020	NYCH: Innovation, On-Site Power	300,000
	6/17/2020	NYCH: Innovation, Advanced Buildings	250,000
	7/28/2020	ENERGY ANALYSIS, CL Assessment for lakes stream Environmental Research, CL Assessment for lakes stream	12,739 3,261
Syska Hennessy Group	4/15/2020	Commercial New Construc, Commercial New Construction	131,605
	6/8/2020	Technical Services, FT13066 - Crothall - FTC	108,588
	6/18/2020	Technical Services, Indoor Air Quality TWO - Syska	200,000
Systems Management Planning, Inc.	4/23/2020	NYSERDA ADMINISTRATION, VMware - Workspace (Airwatch)	6,685
	5/11/2020	NYSERDA ADMINISTRATION, vROPS for Horizon - SMP	30,095
	5/21/2020	NYSERDA ADMINISTRATION, ManageEngine Desktop/ AD 1yr	10,419
	8/3/2020	NYSERDA ADMINISTRATION, VMware Support for View 1yr	35,617
T-REX Group, inc.	8/19/2020	NYSERDA ADMINISTRATION, T-Rex Analytics Platform	40,000
T.M. Bier & Associates	6/2/2020	Real Time Enrgy Management, T.M. Bier - Multisite - RTEM	459,304
Tadcon Electric LLC	4/8/2020	>200KW PV, NY Sun	960,157
	7/28/2020	NY-SUN, NY Sun	1,242,556
Taitem Engineering, P.C.	8/4/2020	Air Source Heat Pumps, 3695 TWO Umbrella Agreement Multifam Performance Pgm, 3695 TWO Umbrella Agreement	33,600 145,000
	9/4/2020	NYCH: Critical Tools, Heat Pump Conversion M&V	49,944
	4/3/2020	NYSERDA ADMINISTRATION, TWO Senior Software - Simon	187,200
Tech Valley Talent, LLC	6/8/2020	NYSERDA ADMINISTRATION, TWO SR. Software Engineer A..	173,550
	6/12/2020	NYSERDA ADMINISTRATION, TWO Salesforce BA Jason Tho..	146,640
	7/8/2020	NYSERDA ADMINISTRATION, TWO Software Dev. Mgr. Yates	263,250
	9/8/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	191,100
	9/10/2020	NYSERDA ADMINISTRATION, TWO QA Analyst - Beth Graves	204,750
	9/22/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	181,350
Techsign LTD	8/14/2020	Install of new Office signage	10,855
Tecogen	4/1/2020	Combined Heat and Power, CHPA - LeFrak - LeFrance Paris Combined Heat and Power, CHPA - LeFrak - West Side Mano Combined Heat and Power, CHPA - Savoy Park II Building Combined Heat and Power, LeFrak - London Leasing	28,140 28,140 14,280 28,140
	6/4/2020	New Construction LMI, 2019 LRNCP	65,000

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Terra-Gen Power Holdings II LLC	7/21/2020	REC:CES REC Contracts, Prattsburgh - RESRFP19-1	260,941,372
Terri Hartwell Easter Consulting LLC	6/9/2020	NYSERDA ADMINISTRATION, Human Resources	77,000
Tesla Energy Operations Inc	4/6/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/13/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	4/16/2020	<200KW PV, PON 2112 NY SUN	1,323
	4/20/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/26/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/22/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/24/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
	7/6/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/9/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/16/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	7/21/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/29/2020	<200KW PV, PON 2112 NY SUN	8,738
	8/10/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/1/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/9/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/11/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	9/14/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/17/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
Tetra Tech, Inc.	8/7/2020	ORES Support, ORES Technical Assistance	1,000,000
The Architectural League of New York	9/8/2020	New Construction LMI, Industry Partner Engagement	40,000
		New Construction- Commercial, Industry Partner Engagement	10,000
The Business Council of NYS, Inc.	4/22/2020	Prof & Expert Engagement, BCNYS-NYSERDA webinars	5,000
The Cadmus Group, LLC	4/24/2020	Home Perf w Energy Star, TWO No. 6 COVID Consultant	120,000
		Talent Pipeline:CE and OJT, TWO No. 6 COVID Consultant	40,000
	5/15/2020	CLEAN TRANSPORTATION, TWO 5 Clean Transp Roadmap	1,300,000
	6/23/2020	REV Campus Challenge, REV Campus Challenge Market Ev	693,083
	7/9/2020	Home Perf w Energy Star, EnergyAffordability and Equity	32,500
	7/24/2020	Electric Vehicles - Innovation, TWO 5 Clean Transp Roadmap	93,592
	8/7/2020	Air Source Heat Pumps, Stocking/Shelving Survey	152,000
	8/19/2020	OREC: Technical Support, TWO 4 - RegionalFundingEntity	34,950
	9/1/2020	Home Perf w Energy Star, EnergyAffordability and Equity	24,304
	9/17/2020	OREC: Technical Support, RFP 3462 Umbrella Agreement	300,140
	9/22/2020	Eval MCDC: MF Potential Study, TWO #8 EE Potential - Multifam	270,000
The City College of New York	9/21/2020	Workforce Industry Partnership, PON 3715 Workforce Training	232,875
The Coalition for Green Capital	7/21/2020	NEW YORK GREEN BANK, GBN 2020 Membership Dues	7,000
The Community Builders, Inc.	4/13/2020	Buildings of Excellence, Buildings of Excellence R1	637,500
	5/14/2020	New Construction LMI, 2019 LRNCP	63,000
	8/6/2020	New Construction LMI, 2019 LRNCP	5,600
The Culinary Institute of America	5/1/2020	Technical Services, OsEM47-C - Culinary Institute	141,088
The Garrick Co., LLC	6/12/2020	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Eval..	25,000
The Hudson Companies Incorporated	5/19/2020	New Construction LMI, 2019 MFCNP	300,000
The Levy Partnership, Inc.	8/4/2020	Multifam Performance Pgm, Multifamily	10,800
The Lightman Company, LLC	9/4/2020	OTHER PROGRAM AREA, Michael Consulting Contract	30,499
The Lion Electric Co USA Inc	8/14/2020	CLEAN TRANSPORTATION, NYT-VIP	185,000
The Nature Conservancy	8/27/2020	Environmental Research, PV Site Design (PON 4270)	198,000
The Radiant Store	4/8/2020	Renewable Heat NY, Radiant Store - Vanhorn	18,000
	6/3/2020	Renewable Heat NY, Radiant Store - McIntyre	12,000
		Renewable Heat NY, Radiant Store - Reed	12,000
The Renewables Consulting Group, LLC	7/6/2020	OREC: Technical Support, TWO#3- OSW-Mariners	130,000
	9/24/2020	OREC: Technical Support, IE ORECRFP20-1	70,000
The Trustees of Columbia University	4/15/2020	Environmental Research, Upstate building footprints	49,843
Thermodynamix LLC	6/2/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	6/4/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	7/13/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,640

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Thermodynamix LLC	8/11/2020	Talent Pipeline:CE and OJT, OJT HIRE	14,400
	9/16/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Thornton Tomasetti, Inc.	4/14/2020	Commercial New Construc, Commercial New Construction	50,936
		Commercial Real Estate Ten, TTI - 100 6th Avenue	480,329
ThunderCat Technology LLC	4/23/2020	NYSERDA ADMINISTRATION, Test Management Jira 1 yr	5,600
Timothy Marlett	6/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,680
TJA-NY-Paul Rd Castleton, LLC	8/10/2020	>200KW PV, NY Sun	1,081,080
TM Montante Solar Developments, LLC	4/1/2020	<200KW PV, PON 2112 NY SUN	97,686
	8/17/2020	<200KW PV, PON 2112 NY SUN	325,728
Towers on the Hudson LLC	6/8/2020	Multifam Performance Pgm, Multifamily	93,800
Town of Dannemora	4/8/2020	Net Zero Energy for Eco Dev, New Construction	245,000
Town of Gallatin	6/22/2020	Clean Energy Communities, CEC400159 - Town of Gallatin	30,000
Town of Greenville	8/31/2020	CEC400161-Town of Greenville	30,000
Town of Kinderhook	6/1/2020	CEC400049-Vlg of Kinderhook	30,000
Town of Mount Morris	5/7/2020	CI Engy Siting & Soft Cost Red, Town of Mount Morris Code TA	29,070
Town of St Armand	4/8/2020	Clean Energy Communities, CEC701206-Town of St. Armand	50,000
TPR Enterprises LLC	9/16/2020	Green Bank	18,500
Trane	4/9/2020	Real Time Enrgy Management, Trane-2320 US Rt 6-RTEM	4,952
	4/10/2020	Real Time Enrgy Management, Kaplan School-131 W 56th-RTE..	243,060
	4/23/2020	Real Time Enrgy Management, Trane - 9733 Main St - RTEM	108,000
	5/20/2020	Real Time Enrgy Management, Commonwealth-787 7th Ave-RT..	7,368
	6/26/2020	Real Time Enrgy Management, Trane - 48 E 84 St - RTEM	60,966
	7/1/2020	Real Time Enrgy Management, Trane - 22 Cortlandt St - RTEM	285,931
	7/8/2020	K-12 SCHOOLS, P12GC-14_E - Monticello - PON	50,000
	7/27/2020	Real Time Enrgy Management, Hudson City Schools-RTEM	14,260
	8/28/2020	K-12 SCHOOLS, P12GC-20_E - Camden CSD - PON	103,362
		Real Time Enrgy Management, Trane-180 Amsterdam Ave-RTE..	11,262
	8/31/2020	K-12 SCHOOLS, P12GC-21 - Lowville CSD - PON	52,392
	9/2/2020	K-12 SCHOOLS, P12GC-22_E - Poughkeepsie -PON	146,000
	9/9/2020	Real Time Enrgy Management, Trane Us Inc-Multisite-RTEM	58,182
	Transitional Services Association	7/7/2020	New Construction LMI, 2019 LRNCP
TRC Energy Services	4/15/2020	Talent Pipeline:CE and OJT, Technical Review and Program S	200,000
		Workforce Industry Partnership, Technical Review and Program..	100,000
	6/15/2020	CI Engy Siting & Soft Cost Red, Staff Augmentation Services	120,000
	8/6/2020	Low-Income Forum on Energy, LIFE Implementation Services	34,964
	8/7/2020	Cleantech ICC Engage, SA.063_TWO #22 - T2M	53,074
		Energy Storage Tech/Prod Dev, SA.063_TWO #22 - T2M	53,074
		High Performing Grid, SA.063_TWO #22 - T2M	53,074
		NYCH: Innovation, SA.063_TWO #22 - T2M	53,074
		Pub Transit & Elect Rail, SA.063_TWO #22 - T2M	53,074
	8/19/2020	NYCH: Technical Assistance, SA.061_TWO#23 - Multifamily	120,041
		Technical Services, SA.061_TWO#23 - Multifamily	169,214
	8/24/2020	Commercial New Construc, Staff Augmentation Services	34,965
		Low Rise New Construction, Staff Augmentation Services	121,066
		Multifam New Construction, Staff Augmentation Services	39,627
		New Construction LMI, Staff Augmentation Services	44,143
		New Construction- Commercial, Staff Augmentation Services	43,298
	8/26/2020	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	270,000
		Low Carbon Tech Demos, Staff Augmentation Services	51,613
		Multifam Performance Pgm, Staff Augmentation Services	206,451
	8/28/2020	Multifam Performance Pgm, Staff Augmentation Services	63,047
Low Carbon Tech Demos, Staff Augmentation Services		5,332	
9/1/2020	Multifam Performance Pgm, Staff Augmentation Services	195,193	
	Real Time Enrgy Management, Staff Augmentation Services	209,000	
	Low Carbon Tech Demos, Staff Augmentation Services	6,303	
9/2/2020	Multifam Performance Pgm, Staff Augmentation Services	119,758	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TRC Energy Services	9/2/2020	Technical Services, Staff Augmentation Services	575,852
	9/8/2020	Technical Services, Staff Augmentation Services	747,267
	9/10/2020	Low Rise New Construction, Staff Augmentation Services	26,000
		Multifam New Construction, Staff Augmentation Services	4,000
		New Construction LMI, Staff Augmentation Services	10,000
	9/25/2020	New Construction- Commercial, Staff Augmentation Services	10,000
Talent Pipeline:CE and OJT, Technical Review and Program S		550,000	
		Workforce Industry Partnership, Technical Review and Program..	250,000
TRC Engineers, Inc.	6/18/2020	Technical Services, Virtual Audit & Assessment	30,000
	9/11/2020	CI Engy Siting & Soft Cost Red, Cat 3: Feasibility Design	300,000
	9/22/2020	CI Engy Siting & Soft Cost Red, Large-Scale Renewables	49,999
CI Engy Siting & Soft Cost Red, TWO- Cat 2_BR Site Crit. Issue		300,000	
Trees New York	8/17/2020	GREENING THE BRONX, Efficiency Planning & Engineer	156,976
Triad Technology Partners LLC	6/23/2020	NYSERDA ADMINISTRATION, Tableau Desktop Maintenance	70,320
Trinity Financial, Inc.	8/12/2020	Buildings of Excellence, Buildings of Excellence R1	637,500
Trinity Heating & Air, Inc.	9/23/2020	<200KW PV, PON 2112 NY SUN	6,174
Troy Rehabilitation and Improvement	4/14/2020	New Construction LMI, 2019 LRNCP	57,600
True Building Performance LLC	8/4/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
True Energy Solutions	5/12/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,080
	5/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,800
	7/29/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,440
TS Media Consulting, LLC	9/1/2020	NYSERDA ADMINISTRATION, Communications Consultant	166,725
TurnKey Internet, Inc.	6/22/2020	Industrial Process Effic, Industrial Process Efficiency	547,491
	6/23/2020	Industrial Process Effic, Industrial Process Efficiency	547,491
Two Plus Four Construction Co., Inc.	9/14/2020	New Construction LMI, 2019 LRNCP	35,000
U.S. Green Building Council, NY Chapter	5/15/2020	Code to Zero, Urban Green TWO#1 Training	31,000
	6/15/2020	New Construction LMI, General marketing and outreach	40,000
		New Construction- Commercial, General marketing and outreach	10,000
Ultra Dairy, LLC	4/15/2020	Industrial Process Effic, Industrial Process Efficiency	60,816
Unique Comp Inc.	4/28/2020	REC:CES REC System Dev Costs, TWO Salesforce Dev. - Asrith	243,880
	5/6/2020	NYSERDA ADMINISTRATION, TWO BA - Shreyas Najan	148,200
	7/28/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	181,350
	8/7/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	15,972
	9/22/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	224,250
Unique Electric Solutions of NYS LLC	7/31/2020	CLEAN TRANSPORTATION, NYTVIP	125,600
Unique People Services, Inc	7/15/2020	Buildings of Excellence, Buildings of Excellence R1	637,500
University at Albany	4/21/2020	Community RH&C, CH&C Fellow	23,500
University of Rochester	5/21/2020	Real Time Enrgy Management, UoR - 390 Elmwood Ave - RTEM	201,488
	5/26/2020	OTHER PROGRAM AREA, Annual Support for Laboratory	825,000
Uplight, Inc.	4/1/2020	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Re..	15,000
		EMPOWER NY, Residential Program MgtRFP3545	15,000
		Home Perf w Energy Star, Residential Program MgtRFP3545	1,541,145
		Residential Program MgtRFP3545	4,999
Upstate Alternative Energy	7/9/2020	<200KW PV, PON 2112 NY SUN	6,440
Upstate Capital Association of New York	5/28/2020	Prof & Expert Engagement, Sponsorship of Upstate Capital	40,000
Upstate Venture Connect	5/22/2020	Prof & Expert Engagement, Sponsorship of Upstate Venture	25,000
Urban Cycling Solutions, inc.	6/23/2020	CLEAN TRANSPORTATION, Training Course Development	24,300
Urban Homesteading Assistance Inc	9/15/2020	Community RH&C, CH&C Communities Round 3	394,000
		NYCH: LMI, CH&C Communities Round 3	100,000
Urban League of Rochester, NY, Inc	5/15/2020	New Construction LMI, 2019 LRNCP	69,700
USGS National Center MS270	6/18/2020	ENERGY ANALYSIS, Regional Network -Soil Carbon	11,000
		Environmental Research, Regional Network -Soil Carbon	24,000
	8/25/2020	Environmental Research, Biological Recovery	49,600
Utilidata, Inc.	7/27/2020	High Performing Grid, PON4128 NationalGrid Challenge	2,847,161
Valcour Wind Energy, LLC	4/13/2020	NY Green Bank, Valcour OpCo Upsize	7,250,000
Van Hee Mechanical	8/19/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,680

Contracts Executed

Period 4/1/2020 through 9/30/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Van Hee Mechanical	9/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
Vecino Group New York, LLC	5/19/2020	New Construction LMI, 2019 MFCNP	150,800
Verona Village LLC	7/6/2020	Multifam Performance Pgm, Multifamily	32,200
Vidaris, Inc.	6/16/2020	New Construction- Commercial, Commercail New Construction	50,323
	6/25/2020	Technical Services, Indoor Air Quality TWO-Vidaris	200,000
	7/7/2020	Technical Services, FT13104 - 2000 Purchase - FTC	35,990
	7/13/2020	Code to Zero, RFQL3711 Vidaris RES/COMcheck	33,500
	7/21/2020	Technical Services, FT13059-Circle Realty-445 Park	15,783
	8/5/2020	Commercial Real Estate Ten, Vidaris - 50 Hudson Yards -CTP	55,956
	8/7/2020	Commercial New Construc, Commercial New Construction	199,880
Village of Athens	6/17/2020	CEC400117 - Village of Athens	30,000
Village of New Paltz	9/8/2020	Commercial New Construc, Commercial New Construction	8,839
Viola Homes Inc.	4/23/2020	<200KW PV, PON 2112 NY SUN	19,148
	4/27/2020	<200KW PV, PON 2112 NY SUN	5,180
	5/29/2020	<200KW PV, PON 2112 NY SUN	15,939
	6/2/2020	<200KW PV, PON 2112 NY SUN	5,460
	6/10/2020	<200KW PV, NY-Sun	17,386
	8/10/2020	<200KW PV, PON 2112 NY SUN	5,184
	9/22/2020	<200KW PV, PON 2112 NY SUN	5,115
Vistex Composites, LLC	4/21/2020	Cleantech Ignition, PON 3871 Ignition Grants	85,850
Vivint Solar	4/6/2020	<200KW PV, PON 2112 NY SUN	6,195
	4/8/2020	<200KW PV, PON 2112 NY SUN	5,355
	4/13/2020	<200KW PV, PON 2112 NY SUN	5,040
	7/6/2020	<200KW PV, PON 2112 NY SUN	5,040
	7/27/2020	<200KW PV, PON 2112 NY SUN	5,355
	8/14/2020	<200KW PV, PON 2112 NY SUN	5,233
	9/8/2020	<200KW PV, PON 2112 NY SUN	5,065
Volunteers of America- Greater New Yo..	8/4/2020	New Construction LMI, 2019 MFCNP	300,000
Waddington Solar, LLC	6/5/2020	>200KW PV, NY Sun	1,182,682
Walden Environmental Engineering, PL..	8/24/2020	Environmental Research, PON 4270 PV Site Design	200,000
Washington Avenue Solar LLC	5/14/2020	>200KW PV, NY Sun	1,017,219
Wayne County Action Program	7/13/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,589
Wayside Energy Storage New York, LLC	4/21/2020	Pub Transit & Elect Rail, Beacon Flywheel WESS 7-Line	1,000,000
WB Engineering & Consulting PLLC	4/14/2020	Commercial Real Estate Ten, WBE&C - 20 Madison Ave Ext	7,468
	6/17/2020	Commercial Real Estate Ten, WBE-233 Spring St Fl 3,5,6-CTP	9,270
Wedgewood West LLC	7/6/2020	Multifam Performance Pgm, Multifamily	111,300
Wellington Manor LLC	6/8/2020	Multifam Performance Pgm, Multifamily	79,100
Wendel Energy Services, LLC	4/6/2020	REV Campus Challenge, RM34 - University of Rochester	150,000
	6/23/2020	Technical Services, Indoor Air Quality TWO-Wendel	200,000
	7/9/2020	K-12 SCHOOLS, P12GC_13E - Rochester - FTC	230,000
	8/14/2020	CLEAN TRANSPORTATION, NY Truck Voucher Prg. - Wendel	10,000
		NY Truck Voucher Prg. - Wendel	10,000
	8/26/2020	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	130,000
Westhab, Inc.	7/23/2020	New Construction LMI, 2019 MFCNP	434,500
WexEnergy LLC	7/2/2020	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Whiteface Mountain Solar 1, LLC	7/13/2020	>200KW PV, NY-Sun CI Payee Assignment	1,109,289
Willdan Energy Solutions	5/28/2020	Industrial Process Effic, IPE16247	49,393
	7/27/2020	Technical Services, Natural Gas Constrained Areas	500,000
	8/5/2020	Commercial Real Estate Ten, Willdan-1345 AoA FI47-CTP	7,460
	8/31/2020	Multifam Performance Pgm, Staff Augmentation Services	215,596
Willet Dairy, LLC	7/24/2020	Anaerobic Digesters, Willet-Belltown Refurbishment	730,000
Wiltshire Renewable Energy Systems, L..	7/6/2020	<200KW PV, NY-Sun	8,976
Wise Home Energy, LLC	9/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,640
WNY Rural Preservation, LP	6/10/2020	Multifam Performance Pgm, Multifamily	16,800
Wood Mackenzie Power & Renewables, Inc.	6/8/2020	OREC: Technical Support, NaM Power & Renewables / Edge	25,000
		REC:CES REC System Dev Costs, NaM Power & Renewables /..	25,000

Contracts Executed

Period 4/1/2020 through 9/30/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Xzerta Energy Group LLC	7/15/2020	>200KW PV, NY Sun	529,046
Yorkson Legal Inc	9/4/2020	NYSERDA ADMINISTRATION, TS_Legal	24,638
Yue Chen	5/1/2020	OTHER PROGRAM AREA, Innovation Strategies	49,000
Zero Energy Solutions LTD	9/18/2020	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Zerodraft Residential Inc.	7/27/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,200
Zones LLC	5/4/2020	NYSERDA ADMINISTRATION, Webex Licenses 2020-2021 Zo..	48,380
Grand Total			1,651,079,956

Contracts Completed
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Contract Amount
10th Ave Petroleum LLC	FUEL NY, PGI00296 - 10th Avenue Petrole	126,596
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	382,200
301/69 Condominium	Multifam Performance Pgm, Multifamily	58,800
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,600
323T LLC	Low Rise New Construction, 2019 LRNCP	25,600
575 Fuel Inc	FUEL NY, PGI00299 - 575 Fuel Inc.	109,325
770 Electric Corp.	<200KW PV, NY Sun	29,862
	<200KW PV, NY-Sun	42,547
	>200KW PV, NY-Sun	42,548
1406RB PV LLC	>200KW PV, Olean Gateway PV Project 1	990,983
	>200KW PV, Olean Gateway PV Project 2	990,983
	NY-SUN, Olean Gateway PV Project 1	417,766
	NY-SUN, Olean Gateway PV Project 2	417,766
2015 ESA Project Company, LLC	FUEL CELLS, RPS FC - Home Depot #1215	1,000,000
	FUEL CELLS, RPS FC - Home Depot #1249	1,000,000
	FUEL CELLS, RPS FC - Home Depot #1251	925,912
	FUEL CELLS, RPS FC - Home Depot #1281	1,000,000
	FUEL CELLS, RPS FC - Home Depot #6152	936,758
	FUEL CELLS, RPS FC - Home Depot #8456	774,611
AAF Rye Hotel LLC	Environmental Research, 2020 State of the Science	50,000
Abakama LLC	OTHER PROGRAM AREA, Innovation Advisory Services	150,000
ABC No Rio	ADVANCED BUILDINGS, NYC Commercial Passive House	263,888
Abt Associates Inc.	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	344,413
Abundant Solar Power Inc.	>200KW PV, NY Sun	252,288
Accelerate Solar LLC	<200KW PV, NY-Sun	8,700
Access Supports for Living Inc.	Low Rise New Construction, New Construction	66,600
	New Construction LMI, 2019 LRNCP	68,600
Adam C. Boese	Commercial Real Estate Ten, Daylight Saving-162 OldMill Rd	16,748
	Commercial Real Estate Ten, Daylight-225 Westchester Ave	5,000
Adee Tower Apartments Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	160,600
ADK Solar	<200KW PV, PON 2112 NY SUN	11,732
Advanced Radiant Design, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	15,360
AES Greece Solar, LLC	>200KW PV, NY-Sun C&I	125,588
AES Monroe Solar A, LLC	>200KW PV, NY Sun C/I	900,151
AES Monroe Solar B, LLC	>200KW PV, NY-Sun C/I	900,151
AES Monroe Solar C, LLC	>200KW PV, NY-Sun C/I	1,066,679
AES Monroe Solar D, LLC	>200KW PV, NY-Sun C/I	1,066,679
AES Monroe Solar E, LLC	>200KW PV, NY-Sun C/I	1,066,679
AES Wawarsing Solar, LLC	>200KW PV, NY-Sun C/I	317,579
Agri-Energy USA, LLC	ANAEROBIC DIGESTER, RPS CST-ADG Milk Street	2,000,000
AIA - New York Chapter	New Construction LMI, AIA-Strategic partnership	6,750
	New Construction- Commercial, AIA-Strategic partnership	1,750
Air Products and Chemicals, Inc.	Industrial Process Effic, Industrial Process Efficiency	2,000,000
Akimeka, LLC	Electric Vehicles - Innovation, Planning Board EVSE Promotion	40,003
Albany Solar Solutions L.L.C.	<200KW PV, PON 2112 NY SUN	44,223
Albee Tower 1 Owners LLC	Multifam Performance Pgm, Multifamily	111,059

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Albee Tower 1 Owners LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	222,118
AlienVault, Inc.	NYSERDA ADMINISTRATION, USM Support - Alien Vault	10,852
	Security Internet Events Mgt.	48,356
All HVAC Service Co. Inc	Commercial Real Estate Ten, Bright Energy-1 Odell Ave-CT	5,000
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	43,406
Alliance for Sustainable Energy, LLC	ENERGY ANALYSIS, TWO 4 - NREL Review of BEEM	49,995
	Nat'l OffShWind R&D Consortium, NREL for OSW Consortium	136,107
	NREL for OSW Consortium	68,893
Altanova LLC	Commercial Real Estate Ten, Altanova - Multisite - CT	24,985
	Commercial Real Estate Ten, Altanova-151W42ndFL26-28-CTP	34,000
	Commercial Real Estate Ten, Altanova, LLC - 621 W 55th St	14,979
Alternative Power Solutions of NY, LLC	<200KW PV, PON 2112 NY SUN	49,945
Amazon Capital Servies, Inc.	NYSERDA ADMINISTRATION, Docking Stations - Chromebooks	8,450
American Council for an Energy Efficient	Subscription/Data Access, Market Insights	12,000
	Subscription/Data Access, Research Support for NYSERDA	50,000
American Energy Care, Inc.	<200KW PV, NY-Sun	35,055
	<200KW PV, PON 2112 NY SUN	23,346
Antares Group, Inc.	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	8,352
	Industrial Process Effic, Technical Review and Program S	14,300
Apex Roofing, LLC	<200KW PV, PON 2112 NY SUN	12,544
Apex Solar Power LLC	<200KW PV, PON 2112 NY SUN	87,634
	RENEWABLE THERMAL, Clean Heating & Cooling	6,000
APPEXTREMES, LLC	NYSERDA ADMINISTRATION, Conga Composer maintenance 1 y	14,400
Appliance Recycling, Inc.	Home Perf w Energy Star, 2020 NYC Cooling Program	25,050
Apprise, Incorporated	Air Source Heat Pumps, TWO #3 - Survey Work	17,642
	EVALUATION, TWO #3 - Survey Work	3,920
	Geothermal Incentive Program, TWO #3 - Survey Work	17,642
Arcadis of New York, Inc.	Flexible Tech Assistance, FT12260 - GI Joint WWTF - FTC	17,950
	Industrial Process Effic, RFP3628FlexTechConsultUmbrella	248,500
Arcadis U.S., Inc.	Industrial Process Effic, Tech Review & Program Staff	48,175
	NY-SUN, Tech Review & Program Staff	150,000
	Solar Thermal, Tech Review & Program Staff	10,991
Arch Street Communications, Inc.	ENERGY ANALYSIS, Corporate Marketing	240,000
Arctic Air Mechanical Corp	NYSERDA ADMINISTRATION, HVAC for NY Office	23,800
ASKCO Electric Supply Co Inc	Upgrade NYSERDA meters	16,554
Association for Energy Affordability, In	Talent Pipeline:CE and OJT, OJT HIRE	21,600
Astoria Fuel & Convenience Store Inc	FUEL NY, PGI00238 - Astoria Fuel & Conv	91,544
Atlantic Data Security, LLC	Checkpoint for 1333 Broadway	39,321
	NYSERDA ADMINISTRATION, Checkpoint for 1333 Broadway	49,910
Atlas Public Policy	CLEAN TRANSPORTATION, EVaulateNY support	12,000
	Electric Vehicles - Innovation, EVaulateNY support	9,401
	OTHER PROGRAM AREA, EVaulateNY support	18,313
Autonomous Energies LLC	<200KW PV, PON 2112 NY SUN	31,680
Barney Moravec, Inc	Talent Pipeline:CE and OJT, OJT HIRE	8,160
Bashing Panels LLC	<200KW PV, PON 2112 NY SUN	10,889
Battery Energy Storage System	OTHER PROGRAM AREA, RFQL3101 76W Clean Energy Comp	250,000

Contracts Completed
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Contract Amount
Belmonte Builders	New Construction LMI, 2019 LRNCP	25,650
Bergmann Associates	Commercial Imp Assist, Tech Review_Support_Umbrella	4,300
	Commercial Real Estate Ten, Bergmann-5000 Campuswood	5,000
	Commercial Real Estate Ten, Bergmann-5000 CampuswoodTBG	5,000
	Flexible Tech Assistance, Tech Review_Support_Umbrella	35,000
	FLEXIBLE TECHNICAL ASSISTANCE, Tech Review_Support_Umbre..	35,000
	Industrial Process Effic, Tech Review_Support_Umbrella	29,965
	REV Campus Challenge, Tech Review_Support_Umbrella	30,000
	Technical Services, AEAP	5,750
	Technical Services, FT13039 - Marketplace - FTC	5,000
Best Energy Power	<200KW PV, NY-Sun	25,000
	<200KW PV, PON 2112 NY SUN	74,868
	>200KW PV, NY-Sun	56,000
	>200KW PV, PON 2112 NY SUN	257,439
Bettergy Corporation	CLEAN TRANSPORTATION, NY-BEST Bench to Prototype Sol	183,700
Binghamton Regional	Community RH&C, PON3723 RH&C Campaigns	160,000
BJ's Wholesale Club	<200KW PV, NY-Sun	337,212
	>200KW PV, NY-Sun	748,512
BLIX Consultancy BV	Environmental Research, Procurement support	50,000
Bloom Energy Corporation	FUEL CELLS, CST FC Home Depot 1223	963,837
	FUEL CELLS, HD #1235-Cicero, NY	781,518
	FUEL CELLS, HD #1236-Dewitt, NY	898,395
	FUEL CELLS, HD #1239-Schenectady, NY	883,262
	FUEL CELLS, HD #1241-Albany, NY	900,866
	FUEL CELLS, HD #1254-Utica, NY	943,929
	FUEL CELLS, HD #1257-Camillus, NY	962,399
	FUEL CELLS, HD #1262-Albany, NY	767,533
	FUEL CELLS, HD #1263-North Greenbush, NY	998,817
	FUEL CELLS, HD #1269-Clifton Park, NY	948,572
	FUEL CELLS, HD #1289-Amsterdam, NY	930,146
Bluestone RRSI, LLC	ADVANCED BUILDINGS, Rebuild Resilient Staten Is.	300,000
Boice Dunham Group Inc	OTHER PROGRAM AREA, Product Development	46,000
Bonded Energy Solutions Corp.	WORKFORCE DEVELOPMENT, OJT hire	10,240
Borrego Solar Systems, Inc.	>200KW PV, Commercial/Industrial	1,143,635
	>200KW PV, NY Sun	7,716,523
	NY-SUN, NY Sun	1,751,750
	Solar Plus Energy Storage, NY Sun	1,536,500
BQ Energy, LLC	NY-SUN, Town of Esopus Landfill	607,462
Brattle Group Inc.	CI Engy Siting & Soft Cost Red, Build Ready	150,000
	ENVIRONMENTAL RESEARCH, TWO #4 Large Scale Hydropower	219,000
	Mkt Char: Tech Assist, TWO #1 Resource Adequacy	465,589
	REC:CES REC System Dev Costs, TWO #4 Large Scale Hydropower	370,000
Brian Firestone	Low Rise New Construction, New Construction	5,500
Bright Power, Inc.	<200KW PV, NY-Sun	20,000
	>200KW PV, NY-Sun	77,328
	>200KW PV, PON 2112 NY SUN	52,887

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Bright Power, Inc.	Flexible Tech Assistance, FT12246-HamptonInnTimesSqr-FTC	13,490
	Flexible Tech Assistance, FT12247-HiltonGdnTimesSqr-FTC	15,160
	Novel Bus Models & Offers, 3932 Novel Business Models	500,000
	Technical Services, FT13025 - 20 Jay - FTC	15,525
	Technical Services, FT13026 - 55 Washington - FTC	13,950
	Technical Services, FT13037 - 10 Monroe - FTC	10,000
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	10,355
Broome County	OTHER PROGRAM AREA, Regional Economic Development	350,000
Bryan Allinson	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Commerci..	49,000
Buckhurst, Fish, Jacquemart, Inc.	CLEAN TRANSPORTATION, Institutionalizing Integrated	97,490
Buffalo Energy, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	7,200
Buffalo Niagara Medical Campus, Inc.	CLEAN TRANSPORTATION, Buffalo Smart Corridor Plan	74,859
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	36,652
Buselli Plumbing & Heating	<200KW PV, PON 2112 NY SUN	8,649
Business Environments	sit/stand stations	29,952
	workstations	19,600
Business Network for Maryland Offshore W	Prof & Expert Engagement, 2020 Business Network OSW Memb	5,050
C.J. Brown Energy, P.C.	Commercial New Construc, RFP3771 Umbrella contract	52,125
	Flexible Tech Assistance, FT12228-ErieCo-92Franklin-FTC	76,749
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
C.T. Male Associates Engineering,	Flexible Tech Assistance, FlexTech Consultant Selection	3,070
	Industrial Process Effic, Technical Review and Program S	9,617
C&S Engineers, Inc.	Flexible Tech Assistance, FT12290 - Lockheed - FTC	81,714
Callanan Industries	Industrial Process Effic, Industrial Proces Efficiency	26,091
	Industrial Process Effic, Industrial Process Efficiency	239,268
Capital District Regional Planning Comm.	CGC53356 - CDRPC	110,000
	CLEANER GREENER COMMUNITIES, CGC53356 - CDRPC	3,000,000
Carahsoft Technology Corporation	Salesforce cloud	1,405,719
Carl Zeiss, Inc	NY-SUN, PV System at Carl Zeiss Inc.	337,110
Catlin Solar 1 LLC	>200KW PV, NY-Sun C&I	512,068
Center for Energy Efficiency and Renewab	Prof & Expert Engagement, CEERT Membership	5,000
Center for Internet Security Inc	NYSERDA ADMINISTRATION, CIS SM Monitoring - 3yrs	22,320
CHA Consulting Inc.	Agriculture Energy Eff Pgm, Technical Review and Program S	54,529
	AGRICULTURE ENERGY EFFICIENCY, Technical Review and Progr..	186,000
	Flexible Tech Assistance, FT12234-Lydall-68 George-FTC	7,695
	Industrial Process Effic, Outreach Support	40,000
	Industrial Process Effic, Technical Review and Program S	167,946
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	526,139
	On-Site Energy Manager, Outreach Support	5,000
	Strategic Energy Manager, Outreach Support	5,000
Champlain Valley Apple Storage, Inc.	Industrial Process Effic, Industrial Process Efficiency	11,372
Charan Electrical Enterprises Inc.	>200KW PV, PON 2112 NY SUN	71,208
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, PON 2112 NY SUN	10,652
Citistaffing, LLC	NEW YORK GREEN BANK, TS.008 - NYGB Office Admin	24,922
City of Auburn	Clean Energy Communities, City of Auburn	50,000
City of Glens Falls	Clean Energy Communities, CEC400008 - City of Glens Fall	50,000

Contracts Completed
Period 4/1/2020 through 9/30/2020

Contractor	Contract Description	Total Contract Amount
City of Oneida Housing Authority	Low Rise New Construction, New Construction	50,000
City of Sherrill	CLEANER GREENER COMMUNITIES, CEC600925 - City of Sherrill	50,000
City of Utica	Clean Energy Communities, CEC610836 - City of Utica	250,000
City Parks Foundation	GREENING THE BRONX, Efficiency Planning & Engineer	954,042
Claire Weisz Architects	Electric Vehicles - Innovation, Residential Carshare NY Metro	150,000
Clarkson University	Energy Storage Tech/Prod Dev, PON 3585 Round 3	67,832
Clean Energy States Alliance	Prof & Expert Engagement, CESA Membership 2020-21	68,500
Clean Power Research	Electric Vehicles - Innovation, 2020 WattPlan license	18,000
CLEAResult Consulting, Inc.	Industrial Process Effic, Centralized Services & Support	81,508
Climate Action Associates LLC	Clean Energy Communities, Utility Energy Registry - NY	219,000
	CLEANER GREENER COMMUNITIES, Utility Energy Registry - NY	125,000
Climate Change & Environmental	Commercial Real Estate Ten, CCES - 801 2nd Avenue	8,160
	Commercial Real Estate Ten, CCES - Multisite	43,620
	Commercial Real Estate Ten, CCES - Multisite (14)	63,160
	Commercial Real Estate Ten, CCES-129-09 26thAve-Multi-CTP	38,009
ClipperCreek, Inc.	EV Charging Stations	6,873
CNY Solar, Inc.	<200KW PV, NY-Sun	7,880
Code Green Solutions, Inc.	Commercial Real Estate Ten, CodeGreen-11 Madison Ave	5,000
	Flexible Tech Assistance, FT12063- ABS 270 Madison - FTC	12,375
	Flexible Tech Assistance, FT12064-ABS-915 Broadway-FTC	11,625
	Flexible Tech Assistance, FT12065 - Fraglow-8W 38th-FTC	14,250
	Flexible Tech Assistance, FT12066-Silk&HalpernRealty-FTC	17,100
	Flexible Tech Assistance, FT12083-Met Tower Diamond-FTC	24,375
	Flexible Tech Assistance, FT12202 - 3ColumbusCircle - FT	22,950
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	159,049
Cogeneration Contractors, Inc.	COMBINED HEAT AND POWER, CHP Acceleration Program	349,050
	COMBINED HEAT AND POWER, CHPA - Even Hotel	232,050
	COMBINED HEAT AND POWER, CHPA - Riverwalk 7	117,000
Cohen Ventures Inc	Product Standards, FlexTech Consultant Selection	150,000
Columbia University	Industrial Process Effic, Industrial Process Efficiency	100,974
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Co..	4,939,024
Community Counseling & Mediation Service	Multifam New Construction, MFNCP - Beverly's Place	243,200
Concur Technologies, Inc.	NYSERDA ADMINISTRATION, 2018-2020 Concur annual cost	39,700
Consortium for Energy Efficiency, Inc.	Prof & Expert Engagement, Industrial Process Efficiency	48,000
Control Solutions Group, Inc.	NYSERDA ADMINISTRATION, HVAC Maintenance NYC Office	10,900
Converge Strategies, LLC	High Performing Grid, Climate Resilience	49,129
Cooper Friedman Electric Supply Co. Inc.	>200KW PV, NY Sun	122,624
Cornell University	ENVIRONMENTAL RESEARCH, Dairy cooling demonstration	300,000
	OTHER PROGRAM AREA, 76West Building a Clean Energy	1,183,627
	OTHER PROGRAM AREA, 76West TWO 27	199,573
	OTHER PROGRAM AREA, 76West TWO 28	116,440
	OTHER PROGRAM AREA, 76West TWO 29	182,690
	OTHER PROGRAM AREA, 70333 TWO 30	18,751
Corning Inc.	Industrial Process Effic, Industrial Process Efficiency	179,010
CoStar Realty Information, Inc.	Eval MCDC Cross Cutting, Data Subscription Svc 2020-21	22,062
Croton Energy Group, Inc.	<200KW PV, PON 2112 NY SUN	18,889

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
CubeSmart TRS Inc	>200KW PV, NY-Sun	30,340
Currier Plastics	Industrial Process Effic, Industrial Process Efficiency	163,069
Cutone & Company Consultants, LLC	Commercial Real Estate Ten, LC Assoc - 2500 Westchester Av	11,918
	Commercial Real Estate Ten, LC Assoc- 2700 Westchester Ave	10,215
	Commercial Real Estate Ten, LCA - 629 5th Ave - CT	6,400
	Commercial Real Estate Ten, LCA-GH ManagementMultisite-CTP	25,295
	Commercial Real Estate Ten, LCA-JPMC#1-Multisite-CT	24,600
	Commercial Real Estate Ten, LCA-JPMC#2 Multisite-CT	24,933
	Commercial Real Estate Ten, LCAssociates-60 LincolnCent-CT	14,050
Cypress Creek Renewables LLC	>200KW PV, commercial/industrial pv	1,445,109
	>200KW PV, NY-Sun C&I	1,109,185
Dailey Electric Inc	Talent Pipeline:CE and OJT, OJT HIRE	5,120
Dandelion Energy Inc	Novel Bus Models & Offers, 3932 Novel Business Models	500,000
	Talent Pipeline:CE and OJT, OJT HIRE	14,080
Davies Office Refurbishing, Inc.	Furniture	5,323
Daybreak Solar, LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	22,824,000
Delaware River Solar, LLC	>200KW PV, NY Sun	1,604,664
	>200KW PV, NY Sun CI Payee Assignment	2,131,920
	>200KW PV, NY-Sun C&I	3,887,617
	>200KW PV, NYSun CI Assignment	1,006,020
Dell, Inc.	NYSERDA ADMINISTRATION, DELL - Wyse 50 Thin Clients	17,378
	NYSERDA ADMINISTRATION, DELL - Wyse 100, WMS license	34,733
	NYSERDA ADMINISTRATION, Wyse Thin Clients, Mgt Suite	17,378
DePaul Properties, Inc.	Low Rise New Construction, New Construction	180,000
Deutsche Bank	Industrial Process Effic, Industrial Process Efficiency	31,685
Dimension Energy LLC	ESTOR:Retail Storage Incentive, Retail Storage	1,109,125
Dimien Inc.	Cleantech Ignition, PON 3871 Ignition Grants	100,000
DNV GL Energy Insights USA Inc.	ADVANCED BUILDINGS, Evaluation Oversight Services	229,844
	EVALUATION, RFQ 3183 KEMA, Inc	287,341
	NEW YORK GREEN BANK, RFQ 3183 KEMA, Inc	164,000
DNV GL Energy Services USA Inc.	ENVIRONMENTAL RESEARCH, Building-Resiliency Assessment	177,965
Do-It-With Inc.	>200KW PV, PON 2112 NY SUN	36,300
Doherty Electric, LLC	<200KW PV, PON 2112 NY SUN	15,503
Dolomite Products Group, Inc.	Industrial Process Effic, Industrial Process Efficiency	85,200
Douglas R Jarvis	<200KW PV, PON 2112 NY SUN	5,082
Dowd-Witbeck Printing Corp.	NYSERDA ADMINISTRATION, Printing and mailing services	11,848
Dynamic Energy Solutions, LLC	>200KW PV, NY Sun	97,568
E-Mobility Market Services, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Earth Sensitive Solutions, LLC	Geothermal Incentive Program, Large scale GSHP rebate	22,800
	Geothermal Incentive Program, Large-Scale GSHP Rebate	47,004
Eco Heating & Cooling Inc	Talent Pipeline:CE and OJT, OJT HIRE	8,160
Ecology and Environment Engineering	CLEANER GREENER COMMUNITIES, CGC Implementation Contract..	4,500,000
Ecovis, Inc.	<200KW PV, NY-Sun	7,392
	<200KW PV, PON 2112 NY SUN	12,742
Edison Energy, LLC	K-12 SCHOOLS, FlexTech Consultant Selection	502,175
Efficiency Forward, Inc.	Prof & Expert Engagement, 2020 DesignLights Sponsorship	25,000

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Contractor	Contract Description	Total Contract Amount
Eiger 3970 Consultants Inc.	<200KW PV, PON 2112 NY SUN	46,926
Electric Energy Services & Advisors, LLC	OTHER PROGRAM AREA, Modeling and Analytics	35,000
EMCOR Services Betlem	Flexible Tech Assistance, FT12207-AmericanPack-FTC	10,331
EME Consulting Engineering Group, LLC	Talent Pipeline:CE and OJT, OJT HIRE	8,461
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	129,140
Empower CES, LLC	<200KW PV, NY Sun	150,000
	ENERGY STORAGE, PON 2112 NY SUN	43,750
ENER-G Rudox, LLC	Combined Heat and Power, CHPA - Mima Apartments	285,617
Eneractive Solutions	Flexible Tech Assistance, FT12081-CBRE5 BryantEnergy-FTC	35,850
Energy & Resource Solutions, Inc.	Industrial Process Effic, IPE16226	5,000
	Industrial Process Effic, Technical Review and Program S	4,810
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	1,800,000
	Technical Services, AEAP	5,637
Energy and Environmental Economics Inc.	ENERGY ANALYSIS, 101127 TWO#14	826,810
	ENERGY ANALYSIS, Tech Assist, REV Pool.	50,000
	EVALUATION, TWO #17 Heat Pump Analysis	50,000
	Mkt Char: Tech Assist, TWO #17 Heat Pump Analysis	110,000
	New Construction LMI, TWO 20 NZE Road Map - 2019	60,000
	New Construction- Commercial, TWO 20 NZE Road Map - 2019	60,000
	OTHER PROGRAM AREA, 101127 TWO#14	80,000
	OTHER PROGRAM AREA, Tech Assist, REV Pool.	200,000
	REC:CES REC System Dev Costs, 101127 TWO#14	100,000
Energy Conservation & Supply, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Enermat Technologies, Inc.	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat A	199,225
Enterprise Community Partners, Inc.	NEW YORK GREEN BANK, NYGB LMI Consultants	50,000
EnterSolar LLC	>200KW PV, NY Sun	315,050
Erdman Anthony & Associates, Inc.	Industrial Process Effic, Technical Review and Program S	34,448
ESRI, Incorporated	NYSERDA ADMINISTRATION, ArcGIS Desktop / Spatial 20-21	22,200
ESS Group, Inc.	Off-Shore Wind Pre-Dev Act, TWO3 GG Review	13,104
Essense Partners Inc.	OTHER PROGRAM AREA, 76West Marketing Consultant	40,026
	OTHER PROGRAM AREA, ZEV Marketing Support	197,900
EthosGen, LLC	OTHER PROGRAM AREA, Technology to Market	250,000
Evolved Energy Research	ENERGY ANALYSIS, Modeling and Analytics	45,000
Extraterrestrial Materials Inc.	<200KW PV, PON 2112 NY SUN	20,983
Fifth Avenue Committee, Inc.	NY-SUN, FAC Solar	131,899
First Columbia Property Services, LLC	Property Management Services	233,967
Flexo Transparent Inc.	Industrial Process Effic, Industrial Process Efficiency	234,613
Florenton River LLC	<200KW PV, PON 2112 NY SUN	5,644
FM Office Express	Sit Stand Desks	19,368
Forbes-Capretto Homes	Low Rise New Construction, New Construction	5,000
Forestville Central School District	Flexible Tech Assistance, FT12079 - Forestville CSD -PON	12,000
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	109,419
Fred F. Collis & Sons, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	27,840
Frederick A Proven	<200KW PV, PON 2112 NY SUN	18,675
Frewsburg Central School	Flexible Tech Assistance, FT12218 - Frewsburg CSD - PON	22,900
Frontier Energy, Inc.	Industrial Process Effic, Technical Review_Prgm Support	32,040

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Contractor	Contract Description	Total Contract Amount
Gard Tec Security Svcs., Inc.	15 Columbia Circle Office Secu	14,055
	Security for West Valley offic	9,657
	Security System for 15 Columbi	14,220
Garlock Sealing Technologies, LLC	Industrial Process Effic, Industrial Process Efficiency	9,822
Gartner Inc.	NYSERDA ADMINISTRATION, Gartner - Membership 20 - 21	39,164
Geatain Engineering PLLC	Commercial Real Estate Ten, Geatain - 68 E 131st St FL 5	5,000
	Commercial Real Estate Ten, Geatain - 400 Fifth Avenue	5,000
GenE Solar I LLC	>200KW PV, NY Sun C/I	595,266
	>200KW PV, NY-Sun C/I	1,785,799
	>200KW PV, NYSun C/I	595,266
General Electric International, Inc.	ENERGY ANALYSIS, TWO 2 2019 T&D Reliability Upd	49,900
General Motors	Industrial Process Effic, Industrial Process Efficiency	104,150
General Motors of NY Inc.	>200KW PV, Assignee/Vendor # 37085	224,160
Genscape, Inc.	ENERGY ANALYSIS, Data & Markets	9,445
George E Denmark II	<200KW PV, PON 2112 NY SUN	6,272
Georgetown Climate Center	ENERGY ANALYSIS, TCI cap-and-invest analysis	250,000
Global Common, LLC	Anaerobic Digesters, PON 3739 CAT C	15,000
Global Dwelling, LLC	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	Talent Pipeline:CE and OJT, OJT HIRE	6,154
Global Market Insights Inc.	Subscription/Data Access, Global Heat Pump Market report	5,720
Global Resource Funding Partners LLC	>200KW PV, NY-Sun	357,079
Goldman Copeland Associates, P.C.	Commercial Real Estate Ten, GCA - 1 Penn Plaza	22,473
	Commercial Real Estate Ten, GCA - 111 W 33rd St 20th Fl	5,998
	Commercial Real Estate Ten, GCA - 909 3rd Ave (SVC)	5,000
	Commercial Real Estate Ten, GCA - 1350 Broadway	5,000
	Commercial Real Estate Ten, GCA - 1400 Broadway 21st Floor	9,990
	Commercial Real Estate Ten, GCA-250 W57th	5,997
	Commercial Real Estate Ten, GCA-1400 Broadway	5,997
	Commercial Real Estate Ten, Goldman Copeland - 401 9th Ave	19,997
	Commercial Real Estate Ten, Goldman Copeland-100 AoA-CT	21,937
	Commercial Real Estate Ten, Goldman Copeland-155 AoA-CT	21,937
	Commercial Real Estate Ten, Goldman Copeland-350 Park A-CT	21,993
	Commercial Real Estate Ten, Goldman&Copeland-32-36 Cooper	9,980
	Commercial Real Estate Ten, Goldman&Copeland-505 Park Ave	21,993
	Commercial Real Estate Ten, Goldman&Copeland-595 Madison	21,993
	Commercial Real Estate Ten, Goldman&Copeland-667 Madison	18,962
	Commercial Real Estate Ten, Goldman&Copeland-885 Second	23,930
	Commercial Real Estate Ten, GoldmanCopel- 435 Hudson St-CT	21,937
	Flexible Tech Assistance, FT12086-RFR Realty-390Park-FTC	18,997
	Rmve Barriers Dist Enrgy Storg, FT12244-1 Dag Hammarskjold-FTC	11,995
	Technical Services, FT13010 - 40 Fulton - FTC	5,496
Technical Services, FT13011 - 350 Park - FTC	5,496	
Technical Services, FT13045 - 595 Madison - FTC	11,978	
Technical Services, FT13049 - 271 Garfield - FTC	8,976	
Grand Island Solar, LLC	>200KW PV, NY Sun	838,706
Green Hybrid Energy Solutions Inc.	<200KW PV, PON 2112 NY SUN	8,276

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Green Hybrid Energy Solutions Inc.	>200KW PV, PON 2112 NY SUN	76,530
Green Light New York, Inc.	Code to Zero, 2020 BEEEx Sponsorship	25,000
	Prof & Expert Engagement, 2020 BEEEx Membership	50,000
Green Street Power Partners LLC	<200KW PV, NY-Sun	86,250
	>200KW PV, PON 2112 NY SUN	116,640
	NY-Sun	28,750
Green Team USA, LLC	WORKFORCE DEVELOPMENT, OJT HIRE	30,240
Green Volt Solutions LLC	<200KW PV, PON 2112 NY SUN	33,210
Greenskies Renewable Energy LLC	>200KW PV, NY Sun	98,211
Grid City Electric Corp	>200KW PV, PON 2112 NY SUN	83,622
Group-S LLC	Flexible Tech Assistance, FT12211 - 90 Broad - FTC	29,000
	Flexible Tech Assistance, FT12243-TempleIsraelofNR-FTC	8,500
	Flexible Tech Assistance, FT12265 - AST Financial - FTC	9,250
GSPP 24658 County Route 47 North, LLC	>200KW PV, NY Sun	222,768
	NY-SUN, NY Sun	288,288
Guidehouse Inc.	REV Connect, REV Connect	36,529
Halcyon, Inc.	<200KW PV, PON 2112 NY SUN	5,600
Harris Beach PLLC	Code to Zero, Codes, Products and Standards	20,000
Harvest Power, LLC	<200KW PV, NY-Sun	12,197
	>200KW PV, NY Sun	88,200
	>200KW PV, NY-Sun	18,295
Healthy Home Energy & Consulting, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	10,880
Heat Keepers, Inc.	Talent Pipeline:CE and OJT, OJT HIRE JEROR	5,120
Helios Lenox 1 LLC	>200KW PV, NY Sun	1,728,000
	Solar Plus Energy Storage, NY Sun	7,000,000
HESP Solar, LLC	>200KW PV, NY-Sun C&I	262,585
HEVO Inc.	CLEAN TRANSPORTATION, PON 3198 HEVO	500,000
Hewlett-Packard Enterprise Company	NYSERDA ADMINISTRATION, HPE Renewal Maintenance 1 yr.	5,319
HFC Hudson Fisonic Corp	ADVANCED BUILDINGS, Development of Fisonic Device	422,000
Holland & Knight LLP	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	47,821
Home HeadQuarters, Inc.	Community Energy Engagement, CEEP Central New York Region	390,000
Hudson River Housing, Inc.	Low Rise New Construction, New Construction	66,800
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	6,461
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	140,008
Hudson Valley Clean Energy Inc.	<200KW PV, PON 2112 NY SUN	117,784
Hudson Valley Wind Energy, LLC	<200KW PV, PON 2112 NY SUN	8,750
Hunter Mountain Ski Bowl Inc.	Industrial Process Effic, Industrial Process Efficiency	128,318
ICF Resources, LLC	ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	41,600
	Off-Shore Wind Pre-Dev Act, Flex Energy Tech Analysis 2	123,302
IHS Global Inc.	ENERGY ANALYSIS, IHS.CERA Subscription	34,390
	FUEL NY, OPIS Rack Price Subscription	9,324
Illume Advising LLC	Home Perf w Energy Star, Analysis Support for NYSERDA	50,000
Incorporated Village of Upper Brookville	CLEANER GREENER COMMUNITIES, Upper Brookville	100,000
Industrial Economics, Incorporated	NYSERDA ADMINISTRATION, Research of Indian Point Purch	41,400
INF Associates LLC	Commercial Real Estate Ten, INF Associates LLC - Multisite	116,912
	Commercial Real Estate Ten, INF-1745BroadwayMultisite-CTP	10,000

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Contractor	Contract Description	Total Contract Amount
INF Associates LLC	Commercial Real Estate Ten, INF-Multisites (1345 AoA)	100,000
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	20,580
Infosys International Inc	NYSERDA ADMINISTRATION, RFP3365 Private Cloud Hosting	861,843
Institute for Building Technology and Sa	>200KW PV, NY-Sun Technical Support	45,000
	ADVANCED ENERGY CODES, Energy Code Training: EPros	897,133
Integral Building & Design, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	9,230
Intrada Saratoga Springs, LLC	Low Rise New Construction, New Construction	114,800
IRE Solar 1, LLC	>200KW PV, PV System @ City of Utica 2	176,713
	NY-SUN, PV System @ City of Utica 2	75,734
J Synergy Green Inc	WORKFORCE DEVELOPMENT, OJT HIRE	12,000
Jaros, Baum & Bolles	Flexible Tech Assistance, FT12094_125 Broad-CushWake-FTC	40,780
	Flexible Tech Assistance, FT12274 - 80 Pine - FTC	14,217
Jones Lang LaSalle Americas, Inc.	Commercial Real Estate Ten, JLL - Multisite	45,000
	Commercial Real Estate Ten, JLL Americas - Multisite	150,000
	Commercial Real Estate Ten, JLL Americas, Inc-Multisite	40,000
Jordan Energy and Food Enterprises LLC	<200KW PV, PON 2112 NY SUN	10,863
Joule Capital, LLC	Real Time Enrgy Management, JC LLC - 97 Lake Ave - RTEM	24,791
	Real Time Enrgy Management, Joule Cap-500 Yonkers Ave-RTEM	77,548
	Real Time Enrgy Management, Joule Capital-Multisite-RTEM	243,629
	Real Time Enrgy Management, YonkersHonda-2000Central-RTEM	36,379
Kamtech Restoration Corp	>200KW PV, PON 2112 NY SUN	18,170
Kasselman Solar LLC	<200KW PV, NY-Sun	38,344
	<200KW PV, PON 2112 NY SUN	73,103
Key Bank	>200KW PV, NY-Sun	346,500
	ESTOR:Retail Storage Incentive, Energy Storage	464,000
Kiit Renewable Energy LLC	>200KW PV, Commercial/Industrial PV	352,568
Kilowatt Engineering, Inc.	Industrial Process Effic, 2621 Umbrella Contract	7,700
L&S Energy Services, Inc.	Industrial Process Effic, IPE16235	10,000
	Industrial Process Effic, Umbrella Contract	50,394
	Technical Services, RFP3628FlexTechConsultUmbrella	5,000
LaBella Associates, P.C.	Industrial Process Effic, Technical Review and Program S	5,885
	New Construction- Commercial, RFP3771 Umbrella Contract	10,940
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
LastMile Energy, LLC	>200KW PV, PON 2112 NY SUN	44,319
Laurie D Kerr	Clean Energy Communities, Communities & Local Government	25,000
	Code to Zero, Codes	90,000
	New Construction LMI, New Construction	85,000
LCO Buildings LLC	Office Buildout at Buffalo Reg	6,853
Level Agency for Infrastructure, LLC	CI Carbon Challenge, C&I Carbon Challenge Insight	50,000
Levitan & Associates, Inc.	REC:CES REC System Dev Costs, RESRFP19-1 TEP Support	48,960
	REC:CES REC System Dev Costs, Technical Advisory&Research	49,500
Lewis Custom Homes, Inc.	Low Rise New Construction, 2019 LRNCP	11,750
Lewis Engineering, P.C.	OTHER PROGRAM AREA, Energy Analysis	13,150
Liberty Affordable Housing, Inc.	Multifam Performance Pgm, Multifamily	84,700
Libolt & Sons, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	30,720
Linwood Lafayette LP	Low Rise New Construction, New Construction	37,000

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Contractor	Contract Description	Total Contract Amount
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	5,000
	>200KW PV, PON 2112 NY SUN	8,225
Loring Consulting Engineers, Inc.	Flexible Tech Assistance, FT12099 – 25-30 Columbia – FTC	45,712
M/E Engineering, P.C.	Commercial Real Estate Ten, M/E Eng- 720 Warner Road	5,000
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	211,415
Maalka Inc	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Malcarne Contracting, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	44,590
Malta Development Company Inc	Low Rise New Construction, 2019 LRNCP	20,900
Matt Brewing Co	ANAEROBIC DIGESTER, ADG to Electricity program	1,000,000
McMahon and Mann Consulting Engineers	WEST VALLEY DEVELOPMENT PROGRAM, 2019-2020 Annual Surv..	10,000
Meadows Senior Living L.P.	RENEWABLE THERMAL, Solar Thermal Incentive	35,909
Mendelsohn Consulting, Inc.	NEW YORK GREEN BANK, NYGB Strategy and Business Pla	52,245
Metropolitan Life Insurance Company	NYSERDA ADMINISTRATION, Human Resources	300,000
Metropolitan Washington Council	OTHER PROGRAM AREA, DOE UER - MWCOG	48,000
Micatu, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	15,360
	Talent Pipeline:CE and OJT, Workforce Dev & Train	5,120
Michaels Group Homes, LLC	New Construction LMI, 2019 LRNCP	7,600
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYT_VIP	60,000
	CLEAN TRANSPORTATION, NYT-VIP	120,000
Milliman, Inc.	NYSERDA ADMINISTRATION, 2020 GASB74 Liab GASB75 OPEB	11,800
Mohawk Innovative Technology, Inc.	OTHER PROGRAM AREA, PON 3249 ACE	322,566
Mohawk Valley Solar Partners, LLC	>200KW PV, PV System @ Mohawk Valley Comm	778,995
	NY-SUN, PV System @ Mohawk Valley Comm	333,855
Morse Manufacturing Company Inc	Industrial Process Effic, Industrial Process Efficiency	6,800
MP Owner LLC	Multifam Performance Pgm, Multifamily	43,000
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	28,380
NASEO	Prof & Expert Engagement, Office of the President & CEO	15,675
National Elevator Cab and Door	Industrial Process Effic, Industrial Process Efficiency	29,944
National Home Performance Council	Consumer Ed and Market Support, 2020 Home Performance Conf	50,000
Natural History Museum of the Adirondack	Environmental Research, Wild Ctr Clim Change Outreach	50,000
Navigant Consulting Inc.	Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement	355,197
	ENVIRONMENTAL RESEARCH, TWO 1 - Assessment of Carbon C	250,000
	Environmental Research, TWO #2 Equitable Cooling	350,000
	Mkt Char: Tech Assist, Tech Assist, REV Pool	500,000
	REV Connect, REV Connect	2,712,605
	REV Connect, REV Connect Initiative	1,930,000
	Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement	342,362
NECEC Institute	Cleantech ICC Engage, 2019 Webinar Series	40,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cleantech ..	300,000
NESCAUM	ENVIRONMENTAL RESEARCH, Performance of Biomass-fired	196,598
	Prof & Expert Engagement, 2020 ZEV MOU/Task Force	50,000
	RENEWABLE HEAT NY, Tech Assist, REV Pool	120,000
Netanium Inc	Check Point Webair for NEIS	73,524
	Checkpoint Firewall Upgrade	27,627
Network Experts of New York, Inc.	NYSERDA ADMINISTRATION, WAN Redundancy Prof Services	30,960
New Buildings Institute, Inc.	Code to Zero, Codes Enable: NYStretch-Energy	87,500

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Contractor	Contract Description	Total Contract Amount
New Buildings Institute, Inc.	Code to Zero, TWO #3 - Policy Research	85,000
	ENERGY ANALYSIS, Codes Enable: NYStretch-Energy	165,000
New Destiny Housing Corp	Multifam Performance Pgm, Multifamily	18,900
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,900
New Energy Equity LLC	>200KW PV, Commercial/Industrial -	436,505
	>200KW PV, commerical industrial PV	458,620
	NY-SUN, Commercial/Industrial -	413,750
New England Solar & Green Solutions, Inc	<200KW PV, NY-Sun	6,080
New York City Energy Efficiency Corp	Market Tests, Marketing support IPNA	50,000
New York Homeowners Construction Co., LL	Talent Pipeline:CE and OJT, OJT HIRE	5,120
New York Restoration Project	GREENING THE BRONX, Greening The Bronx	2,249,823
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	42,073
New York University	REV Campus Challenge, RM36-NYU-Stern Business School	94,698
Newburgh Housing Authority	Technical Services, FT13020 - Newburgh - PON	7,500
Nexamp Inc.	>200KW PV, NY Sun	413,317
Nexant, Incorporated	Industrial Process Effic, Industrial Process Efficiency	6,184
	Industrial Process Effic, Technical Review and Program S	7,060
Next Generation Solar, LLC	<200KW PV, NY-Sun	8,481
	<200KW PV, PON 2112 NY SUN	5,119
NextCorps Inc	M-Corps, ACT Prototypes to Mass Prod NY	2,000,000
Nextera Energy Capital Holdings Inc	>200KW PV, General Electric 1	1,453,956
	>200KW PV, General Electric 2	1,192,365
	>200KW PV, General Electric 3	1,192,365
	>200KW PV, General Electric 4	1,101,113
	NY-SUN, PV System - Oneida County Sutl	1,653,538
	NY-SUN, PV System @ Oneida County Sutl	2,166,250
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	14,002
Nixon Peabody LLP	NYSERDA ADMINISTRATION, Loan Loss Reserve PON Review	12,016
Norampac, Ind., Inc.	Industrial Process Effic, Industrial Process Efficiency	122,416
Noresco LLC	Code to Zero, TWO1-ENERGY STAR NYSTRETCH	27,000
Northco Products, Inc.	NYSERDA ADMINISTRATION, Konica Minolta Copier	20,000
Northeast Energy Efficiency Partnerships	Air Source Heat Pumps, NEEP 2017 Membership	17,090
	Code to Zero, NEEP 2017 Membership	10,000
	Community RH&C, NEEP 2017 Membership	2,528
	EVALUATION, NEEP CT EMV Project	28,900
	NEEP CT EMV Project, NEEP CT EMV Project	17,000
	NYCH: Innovation, NEEP 2017 Membership	10,000
	Prof & Expert Engagement, NEEP 2017 Membership	7,022
	Strategic Energy Manager, NEEP 2017 Membership	1,124
	Prof & Expert Engagement, NOFA - NY Membership-2020	25,000
Northern Plains Power Technologies	High Performing Grid, PON3770: Detection of 1ph open	162,240
Novel Approaches Solar Applications, LLC	<200KW PV, PON 2112 NY SUN	36,006
NP Environmental LLC	Talent Pipeline:CE and OJT, OJT HIRE	15,691
NuWorld Lighting Solutions Inc	WORKFORCE DEVELOPMENT, OJT HIRE	17,440
	WORKFORCE DEVELOPMENT, OJT HIRE Christopher McDaniel	8,000
NY RNM Project1, LLC	>200KW PV, NY-Sun C&I (Assignment)	990,966

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
NY RNM Project2, LLC	>200KW PV, NY Sun C&I	27,627
	>200KW PV, NY-SUN C&I	1,129,911
NY RNM Project3, LLC	>200KW PV, NY-Sun C/I	30,649
NY RNM Project4, LLC	>200KW PV, NY-SUN C&I	800,963
NYC Partnership Housing Dev. Fund Co.	Multifam Performance Pgm, Multifamily	49,300
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	161,986
NYS Department of Health	WEST VALLEY DEVELOPMENT PROGRAM, RML Triennial Bill	5,500
NYS Office for Technology	NYSERDA ADMINISTRATION, Office 365 - 2016 - 2017	67,766
NYS Office of General Services	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	61,952
NYS Office of Information Technology Ser	NYSERDA ADMINISTRATION, Office 365: 4/2019 - 3/2020	140,112
NYS Office of Parks, Recreation and	<200KW PV, NY Sun	5,952
	<200KW PV, PON 2112 NY SUN	22,743
NYU Langone Hospitals	COMBINED HEAT AND POWER, CHP Performance Program	2,400,000
O'Brien & Gere Engineers, Inc.	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	22,260
	Industrial Process Effic, RFP3628FlexTechConsultUmbrella	150,000
O'Connell Electric Company	<200KW PV, NY-Sun	88,493
Oceanview Manor Acquisitions LLC	Flexible Tech Assistance, FlexTech Program PON1746V3	5,133
Ogden Cap Properties, LLC	Flexible Tech Assistance, FT11665 - Normandie Ct.	9,724
Oliver Kinross Ltd.	New Construction LMI, Exhibit at NYBuild 2020	5,895
Omni-Navitas - MAP-ES NY LLC	>200KW PV, NY Sun	601,646
OnForce Solar	>200KW PV, NY Sun	1,189,682
	>200KW PV, PON 2112 NY SUN	547,938
	NY-SUN, PV System @ Liberty Distributo	608,168
Opinion Dynamics Corporation	ADVANCED BUILDINGS, Pilot Evaluation Services.	43,148
	EVALUATION, RFQ3183 Umbrella Agreement	5,063
Orange and Rockland Utilities, Inc.	SMART GRID SYSTEMS, EPTD Smart Grid	695,825
Orange EV LLC	CLEAN TRANSPORTATION, NYT-VIP	140,080
Ove Arup & Partners Consulting Engineers	Commercial Real Estate Ten, ARUP - 40 West 20th St	50,000
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	63,236
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Commercial New Construction	18,104
	Commercial New Construc, New Construction	52,762
Pathstone Housing Action Corporation	Low Rise New Construction, New Construction	153,500
Pepsico, Inc.	>200KW PV, NY-Sun	601,176
Plugin Stations Online, LLC	Talent Pipeline:CE and OJT, OJT HIRE	16,640
PlugPV, LLC	<200KW PV, NY-Sun	5,376
	<200KW PV, PON 2112 NY SUN	115,983
Polytechnic University of NYU	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Proof-of-Co..	5,000,000
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT HIRE	31,848
Praveen Amar	ENVIRONMENTAL RESEARCH, Environmental Research	48,163
Premier Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	5,698
	>200KW PV, NY Sun	27,648
	>200KW PV, PON 2112 NY SUN	90,900
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	5,863
Prospect Equities Operating, LLC	Multifam Performance Pgm, Multifamily	5,859
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	39,252
Provantage, LLC	NYSERDA ADMINISTRATION, Lenovo Laptops - Provantage	5,075

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Contractor	Contract Description	Total Contract Amount
Providence Housing Development Corp	Low Rise New Construction, 2019 LRNCP	37,000
Public Utility Law Project of New York	SFY 18-19 PULP Appropriation	600,000
	SFY 19-20 PULP Appropriation	900,000
Pvillion Technologies, LLC	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Quanta Technology LLC	High Performing Grid, PON 3397 Round 2 - Category A	399,990
Queens Center REIT, LLC	FUEL CELLS, RPS FC - Macerich Mall meter #	2,520,000
Quest Energy Group	Commercial Real Estate Ten, Quest Energy Group-350 5th Ave	7,500
	Commercial Real Estate Ten, Quest Energy Grp-1400 Broadway	8,750
	Commercial Real Estate Ten, QuestEnergyGrp-1359 Broadway	7,500
QwikSolar, LLC	<200KW PV, NY-Sun	10,363
	<200KW PV, PON 2112 NY SUN	36,617
Rafferty Enterprises, Inc.	NYSERDA ADMINISTRATION, Temp Employee Services	23,040
Randstad North America, Inc.	ENERGY ANALYSIS, Payroll Services	21,600
	Environmental Research, Temporary Services	72,145
	NYSERDA ADMINISTRATION, Temporary Services	24,048
	Payroll Services	21,600
RBC Capital Markets LLC	Industrial Process Effic, Industrial Process Efficiency	92,848
RED Rochester	Technical Services, FT13021 - RED Rochester - PON	29,485
Redocs Inc	Commercial Real Estate Ten, REDOCS-2488 Grand Concourse-CT	40,202
Regeneron Pharmaceuticals Inc.	>200KW PV, NY Sun	624,240
Rehabilitation Support Services, Inc	Low Rise New Construction, New Construction	20,000
Renovus Energy, Inc.	<200KW PV, NY-Sun	7,728
	<200KW PV, PON 2112 NY SUN	20,769
Renovus Rock, LLC	>200KW PV, NY-Sun C&I	286,806
Rensselaer Polytechnic Institute-LRC	Industrial Process Effic, Industrial Process Efficiency	1,000,000
RER Energy Group LLC	>200KW PV, NY Sun	932,432
Research Foundation of CUNY	ENVIRONMENTAL RESEARCH, Integrated Air Quality Monitor	199,730
Research Foundation of SUNY	ENERGY ANALYSIS, Accelerated Recovery	22,074
	ENVIRONMENTAL RESEARCH, Accelerated Recovery	88,463
	Environmental Research, LISTOS	46,048
Research Foundation of The City	ADVANCED BUILDINGS, IUCR Membership Agreement	50,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Birnessite f..	425,000
Ridgewood Bushwick Harman Street HDFC	Multifam Performance Pgm, Multifamily	12,600
Robert Derector Associates	Commercial Real Estate Ten, 200 Madison Ave - CRE Tennant	10,700
	Commercial Real Estate Ten, RDA-55 Fifth Ave, Fls 12-19	12,900
	Commercial Real Estate Ten, Robert Derector_Blackstone	17,750
	Commercial Real Estate Ten, Robert Derector-300 Vesey	8,700
	Commercial Real Estate Ten, Robert Derector-315HudsonSt-CT	28,250
	Commercial Real Estate Ten, Robert Derector-645 5th Ave-CT	28,000
	Commercial Real Estate Ten, Robert Derector-1271 AoA-CT	19,400
Rochester Institute of Technology	CLEAN TRANSPORTATION, Health Care Fleet Optimization	70,990
Rochester-Genesee Solar Partners, LLC	>200KW PV, PV System @ Town of Ontario	809,694
	NY-SUN, PV System @ Town of Ontario	347,012
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mana..	229,426
Ross Solar Group, LLC	>200KW PV, NY-Sun C&I	452,651
Rural Generation & Wind (Rodney Weaver)	<200KW PV, PON 2112 NY SUN	8,750

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Contractor	Contract Description	Total Contract Amount
RXR Realty LLC	Technical Services, FT13002 - RXR Realty - PON	31,600
Ryan Homes (Virginia)	Low Rise New Construction, 2019 LRNCP	15,200
	New Construction LMI, 2019 LRNCP	57,950
	New Construction LMI, 2020 LRNCP	17,100
S & L Electric, Inc.	>200KW PV, NY-Sun	140,546
	NY-SUN, NY-Sun	126,533
S. And T. Paneth M. And I. Braunstein	Flexible Tech Assistance, FT11594 - Harborview Senior Li	7,553
Safari Energy LLC	NY-SUN, New York Sun Competitive PV Pr	376,989
	NY-SUN, PV System @ Safari - EXR Centr	429,597
Saratoga Springs Housing Authority	Multifam Performance Pgm, Multifamily	52,371
Scotts Peekn Peak LLC	Industrial Process Effic, Industrial Process Efficiency	80,000
Seed Renewables Inc.	<200KW PV, NY-Sun	6,264
Seven Springs West LLC	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Mainte..	3,110,000
Sheepshead Bay Nursing Home and Rehabili	Flexible Tech Assistance, FlexTech Program	7,518
SHI, Inc.	NYSERDA ADMINISTRATION, Adobe Acrobat Pro DC - 1 yr.	48,064
	NYSERDA ADMINISTRATION, Adobe DC Pro Creative Cloud	55,457
	NYSERDA ADMINISTRATION, Information Technology	5,498
	NYSERDA ADMINISTRATION, SHI - Chromebooks 50 - order 1	24,770
Siemens Industry, Inc.	<200KW PV, NY Sun	78,435
	Real Time Enrgy Management, Siemens - 510 S 4th St - RTEM	25,200
Simply Installs LLC	Talent Pipeline:CE and OJT, OJT HIRE	10,800
Sitecore USA, Inc.	NYSERDA ADMINISTRATION, Sitecore Subscription Licensin	49,500
Sive Paget & Riesel PC	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	61,328
	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	75,000
	REC:CES REC System Dev Costs, RFP 3300 & RFP 3776 Outside Co	20,000
SJP TS, LLC	Flexible Tech Assistance, FT12252-11 Times Square-PON	12,000
Skadden, Arps, Slate, Meagher & Flom LL	Commercial Real Estate Ten, GC&A - 401 9th Avenue	14,498
Ski Plattekill, Inc.	Industrial Process Effic, Industrial Process Efficiency	209,160
Skylands Renewable Energy, LLC	Small Wind, Wind Turbine Incentive	31,000
	Small Wind, Wind Turbine Incentive Program	31,000
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	5,460
Slaterville Springs Real Estate Company,	Commercial New Construc, Commercial New Construction	7,425
Smarter Grid Solutions, Inc.	DER Integration(Intrcnct), PON4094 DER Interconnection	221,250
	Talent Pipeline:CE and OJT, OJT HIRE	25,600
Snug Planet, LLC	Talent Pipeline:CE and OJT, OJT HIRE	20,800
Sol Alliance Solar Development	>200KW PV, PON 2112 NY SUN	53,724
Solar Energy Systems, LLC	<200KW PV, NY Sun	15,330
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	173,484
	<200KW PV, PON 2112 NY SUN	41,570
	>200KW PV, Commercial/IndustrialPV	155,438
	NY-SUN, PV incentive program	125,000
Solar Village Company LLC	Talent Pipeline:CE and OJT, OJT HIRE	11,952
Solas Energy Consulting U.S. Inc.	CI Enrgy Siting & Soft Cost Red, Wind Energy Siting TA	50,000
Solepox	Industrial Process Effic, Industrial Process Efficiency	106,346
Solitude Solar LLC	>200KW PV, NY Sun	1,447,200
SS&C Technologies, Inc.	NEW YORK GREEN BANK, Fund Administration/Loan Inves	3,000,000

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Contractor	Contract Description	Total Contract Amount
Standard Insulating Company	Talent Pipeline:CE and OJT, OJT HIRE	21,120
Star Park Apartments Housing Development	Low Rise New Construction, New Construction	50,000
Stephen Taya Property Development	Buildings of Excellence, Buildings of Excellence R1	33,762
Steven Winter Associates, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	245,286
	Low Rise New Construction, SF 107580 - 211 West 29th St.	3,465
	New Construction LMI, SF 107580 - 211 West 29th St.	2,035
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	249,985
Storke, LLC	Small Wind, Wind Turbine Incentive	84,000
Sun Source Technologies	<200KW PV, NY-Sun	160,080
	<200KW PV, PON 2112 NY SUN	28,373
SuNation Solar Systems, Inc.	<200KW PV, NY Sun	6,930
	<200KW PV, PON 2112 NY SUN	5,439
	ENERGY STORAGE, PON 2112 NY SUN	56,250
Sunlight Beacon LLC	>200KW PV, NY-Sun C/I	418,879
SunnyMac LLC	<200KW PV, PON 2112 NY SUN	6,615
SunPower Capital, LLC	<200KW PV, PON 2112 NY SUN	84,140
SunPower SolarProgram 1, LLC	<200KW PV, PON 2112 NY SUN	112,500
SUNRISE ELECTRICAL SERVICES	<200KW PV, PON 2112 NY SUN	162,225
Sunrise Solar Solutions, LLC	>200KW PV, NY-Sun C&I	287,838
SunRun, Inc	<200KW PV, PON 2112 NY SUN	78,455
SUNY - ESF	ENVIRONMENTAL RESEARCH, WQ and Climate in ADKs	40,000
SUNY at Albany	REV Campus Challenge, RM28 - University at Albany	19,697
SUNY Broome Community College	Commercial New Construc, NCP15064 - SUNY Broome Mechani	30,641
SUNY Oneonta	REV Campus Challenge, RM16 - SUNY Oneonta	150,000
Sustainable BioPower LLC	REC:CES REC Contracts, 8th RPS Main Tier Solicitation	1,167,700
Sustainable Comfort, Inc	New Construction LMI, SF222055 - 2770 Baird Rd.	10,000
	Talent Pipeline:CE and OJT, OJT HIRE	6,154
Sustainable Energy Developments Inc.	<200KW PV, NY-Sun	9,960
	<200KW PV, PON 2112 NY SUN	103,751
Susten Corp	>200KW PV, PON 2112 NY SUN	31,200
Switched Source LLC	High Performing Grid, PON 3397 Round 2 - Category D	208,761
Systems Management Planning, Inc.	NYSERDA ADMINISTRATION, ManageEngine Desktop/ AD 1yr	10,419
	NYSERDA ADMINISTRATION, SMP - Storage Upgrade Services	5,600
	NYSERDA ADMINISTRATION, VMware - Workspace (Airwatch)	6,685
	NYSERDA ADMINISTRATION, VMware Licensing - End User	21,244
	NYSERDA ADMINISTRATION, VMware Support for View 1yr	35,617
	NYSERDA ADMINISTRATION, vROPS for Horizon - SMP	30,095
	NYSERDA ADMINISTRATION, Webex Services - 2019 2020	19,116
Taitem Engineering, P.C.	Commercial New Construc, Commercial New Construction	51,809
	Community RH&C, Technical Review and Program S	49,996
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	13,453
	Technical Services, FT13013 - Flushing Com - FTC	9,965
Tangent Energy Solutions, Inc.	>200KW PV, NY Sun	813,252
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	696,938
Technology Professionals Group Inc.	NYSERDA ADMINISTRATION, Salesforce CRM Advisory	84,000
Tecogen	Combined Heat and Power, CHPA - Rivercross Tenants Corp	761,250

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Contractor	Contract Description	Total Contract Amount
Tecogen	Combined Heat and Power, CHPA - Village View 1	223,438
	Combined Heat and Power, CHPA - Village View 3	223,438
Tern Construction & Development, LLC	Low Rise New Construction, New Construction	11,250
Tesla Energy Operations Inc	<200KW PV, PON 2112 NY SUN	16,065
	>200KW PV, Commercial/Industrial PV	779,802
	>200KW PV, Commercial/IndustrialPV	1,798,390
	>200KW PV, NY Sun	883,593
	>200KW PV, NY-Sun	81,168
	ENERGY STORAGE, PON 2112 NY SUN	168,750
	NY-SUN, NY-Sun	56,611
NY-SUN, PV System @ Orange County DPW	1,388,671	
The Cadmus Group, LLC	ENERGY ANALYSIS, TWO#3 -Supply Curve Analysis	45,000
	Financing Solutions, Market research for SMBE	49,770
The Coalition for Green Capital	NEW YORK GREEN BANK, GBN 2020 Membership Dues	7,000
The Cooper Union for the Advancement of	Workforce Industry Partnership, Workforce Dev & Train	167,671
The Hartz Group, Inc.	Flexible Tech Assistance, FT12076 - 667 Madison - PON	39,200
The Radiant Store	Renewable Heat NY, Radiant Store - McIntyre	12,000
	Renewable Heat NY, Radiant Store - Vanhorn	18,000
The Renewables Consulting Group, LLC	Nat'l OffShWind R&D Consortium, RCG work for OSW Consortium	406,923
	OREC: Technical Support, Large-Scale Renewables	133,631
	RCG work for OSW Consortium	205,974
The Research Foundation for the State	ADVANCED BUILDINGS, Wood Pellet Heating System Dem	112,334
	Code to Zero, 2020 NYS Green Building Conf	1,000
	ENVIRONMENTAL RESEARCH, Wood Pellet Heating System Dem	99,114
	New Construction LMI, 2020 NYS Green Building Conf	5,000
The Trust Account of Marc Elefant, PC	NY-SUN, Assignment of payment	133,034
The Trustees of Columbia University	ENERGY ANALYSIS, Sabin Center Monthly Reports	5,000
	ENVIRONMENTAL RESEARCH, Buildings Climate Adaptation	287,737
The Walters Company Air Conditioning, In	HVAC Replacement	99,156
ThunderCat Technology LLC	NYSERDA ADMINISTRATION, Test Management Jira 1 yr	5,600
Tilcon NY , Inc.	Industrial Process Effic, Industrial Process Efficiency	30,912
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	206,550
Town of Batavia	Clean Energy Communities, Town of Batavia	100,000
Town of Canaan	Clean Energy Communities, CEC400102-Twn of Canaan	35,000
Town of Chatham	CEC400013 T of Chatham	30,000
	Clean Energy Communities, CEC400013 T of Chatham	5,000
Town of Ghent	CEC400048 - Town of Ghent	5,000
	Clean Energy Communities, CEC400048 - Town of Ghent	30,000
Town of Hamilton	Clean Energy Communities, Town of Hamilton	50,000
Town of Malone	Clean Energy Communities, CEC701017 Town of Malone	50,000
Town of Nassau	CEC400123-Town of Nassau	30,000
	Clean Energy Communities, CEC400123-Town of Nassau	5,000
Town of Westerlo	CEC400109 - Town of Westerlo	30,000
Trane	Flexible Tech Assistance, FlexTech Consultant Selection	24,036
TRC Energy Services	CI Engy Siting & Soft Cost Red, Staff Augmentation Services	120,000
	Commercial Real Estate Ten, TRC EnergyServices-512 7th Ave	5,000

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Contractor	Contract Description	Total Contract Amount
TRC Energy Services	Industrial Process Effic, Technical Review and Program S	3,650
Triad Technology Partners LLC	NYSERDA ADMINISTRATION, Tableau Desktop Maintenance	70,320
TROPICANA MART INC	FUEL NY, PGI00249 - Tropicana Mart Inc.	118,621
True Energy Solutions	Talent Pipeline:CE and OJT, OJT HIRE	24,640
Trust for Conservation Innovation	Code to Zero, BCAP Alt Enforcement Research	47,817
TTcogen, LLC	Combined Heat and Power, CHPA - LeFrak - LeFrance Paris	42,000
	Combined Heat and Power, CHPA - LeFrak - London Leasing	42,000
	Combined Heat and Power, CHPA - Savoy Park II Building	42,000
	Combined Heat and Power, CHPA- LeFrak - West Side Manor	42,000
U.S. Green Building Council, NY Chapter	Campus/Technical Assistance, Urban Green Council Electrific	50,000
	New Construction LMI, Partner Engagement	40,000
	New Construction- Commercial, Partner Engagement	10,000
	NYCH: Innovation, Manufacturing Barriers for Ene	50,000
UGE USA Inc.	>200KW PV, NY Sun	1,155,321
Unique Comp Inc.	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	1,153,212
	NYSERDA ADMINISTRATION, TWO 1 Server Op's Support	203,775
	NYSERDA ADMINISTRATION, TWO Salesforce Admin. Senecal	139,913
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP	125,600
United Semiconductors, LLC	ADVANCED BUILDINGS, Advanced Buildings Technology	100,000
University at Albany	Community RH&C, CH&C Fellow	23,500
University of Maryland	OTHER PROGRAM AREA, DOE UER - Maryland	48,000
Upstate Alternative Energy	<200KW PV, PON 2112 NY SUN	12,845
Upstate Capital Association of New York	Prof & Expert Engagement, Sponsorship of Upstate Capital	40,000
Upstate Venture Connect	Prof & Expert Engagement, Sponsorship of Upstate Venture	25,000
Urban Electric Power, LLC	Talent Pipeline:CE and OJT, OJT HIRE	55,360
US Energy Concierge Inc	<200KW PV, NY Sun	7,655
USGS National Center MS270	ENERGY ANALYSIS, CL Assessment for lakes stream	75,000
	ENVIRONMENTAL RESEARCH, acid-base chemistry biota	49,589
Vecino Group New York, LLC	Low Rise New Construction, New Construction	136,400
Verizon Communications Inc	Industrial Process Effic, Industrial Process Efficiency	144,925
Verizon Network Integration Corp.	Auto Attendant	6,274
Vermont Energy Investment Corporation	Industrial Process Effic, Umbrella Contract	5,701
Vidaris, Inc.	NEW CONSTRUCTION PROGRAM, High Perf New Bldg(not in use)	5,899
Village of Pulaski	Clean Energy Communities, Village of Pulaski	50,000
Village of Skaneateles	OTHER PROGRAM AREA, Skaneateles Village Hall NZEB	546,493
Village of Waterloo	CLEANER GREENER COMMUNITIES, CGC27279 - Village of Waterl..	50,000
Village of Waterville	Clean Energy Communities, CEC600897 Village of Watervill	50,000
Village of West Winfield	Clean Energy Communities, CEC600914 - Village of West Wi	50,000
Viola Homes Inc.	<200KW PV, NY-Sun	9,078
	<200KW PV, PON 2112 NY SUN	60,570
Vistex Composites, LLC	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Vivint Solar	<200KW PV, PON 2112 NY SUN	16,679
Wawayanda Solar LLC	ESTOR:Retail Storage Incentive, Retail Storage	800,000
West Hill Energy & Computing, Inc.	EVALUATION, RFQ3183 Umbrella Agreement	267,150
WexEnergy LLC	Cleantech Ignition, PON 3871 Ignition Grants	100,000
WGL Energy Systems, Inc.	FUEL CELLS, CST FC Marcus Garvey	600,000

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Contractor	Contract Description	Total Contract Amount
Wheelabrator Westchester	Industrial Process Effic, Industrial Process Efficiency	79,893
Whitehaven Solar A, LLC	>200KW PV, NY Sun-Assignment	1,423,249
Wilder Balter Partners, Inc.	Low Rise New Construction, New Construction	64,400
Willdan Energy Solutions	Commercial Real Estate Ten, Willdan Energy - Multisite	15,000
	Commercial Real Estate Ten, Willdan-425 West 47th St-CT	14,950
	Industrial Process Effic, Industrial & Agriculture	447,521
	Industrial Process Effic, Technical Review and Program S	3,052
Wiltshire Renewable Energy Systems, LLC	<200KW PV, NY-Sun	8,976
Wood Mackenzie Power & Renewables, Inc.	Cleantech ICC Engage, 2020 GTM Sponsorship	5,000
	OREC: Technical Support, NaM Power & Renewables / Edge	25,000
	REC:CES REC System Dev Costs, NaM Power & Renewables / Edge	25,000
Woodlands Village Development LLC	Multifam Performance Pgm, Multifamily	47,600
WSP USA Corp.	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	15,672
Xerox Corp	Copier Purchase	15,674
	NYSERDA ADMINISTRATION, Xerox Maintenance Agreement	89,200
Xzerta Energy Group LLC	>200KW PV, NY Sun	529,046
Yale University	Campus/Technical Assistance, Clean Heating & Cooling	270,000
	ENERGY ANALYSIS, Financing Solutions	30,000
Yeshiva University	REV Campus Challenge, RM19 - Yeshiva University	154,000
YMCA of Greater Rochester	Commercial Imp Assist, CIAP016 - YMCA of Greater Roch	67,500
You Save Green Incorporated	>200KW PV, NY Sun	58,307
Yue Chen	OTHER PROGRAM AREA, Consulting contract	48,000
	OTHER PROGRAM AREA, Innovation Strategies	49,000
Zones LLC	NYSERDA ADMINISTRATION, Webex Licenses 2020-2021 Zones	48,380
Grand Total		230,002,000