



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

June 1, 2024

Honorable Kathy Hochul
Governor
Executive Chamber
NYS Capitol
Albany, NY 12224

Dear Governor Hochul,

Pursuant to the Public Authority Law Section 1867(7), as amended in 2015, attached is NYSERDA’s semi-annual report regarding specified contracting actions for the period from October 1, 2023, through March 31, 2024. The report is broken into sections to meet the statute’s reporting requirements, summaries of which are provided below.

- **Requirement 1** is for the revenues collected by the Authority in the reporting period. A report that details the revenues collected during the period is attached.
- **Requirement 2** is a list of requests for proposals, program opportunity notices, or similar solicitations that have been issued in the reporting period. A report that details the solicitations issued is attached.
- **Requirement 3** is a description of the criteria and standards utilized for assessing proposals made in response requests for proposals, program opportunity notices, or similar solicitations. The criteria and standards utilized for award selection and project eligibility are included in each solicitation. Please note that requirements 2 and 3 are contained in one section of the report.
- **Requirement 4** is a report on all projects selected for funding by the Authority during the reporting period broken down by region, including the county and utility service territory in which the project is located and the total value of these projects statewide and by region. Both a summary by regional economic development council (REDC) and details for each REDC are provided. The region “Statewide” includes projects that do not have a distinct project location and provide benefits across New York State.
- **Requirement 5** is a report of all disbursements or expenditures of revenues pursuant to requests for proposals, program opportunity notices, or similar solicitations. A report that details these disbursements is included.
- **Requirement 6** is a list of all contracts executed and completed during the reporting period including a description of each project. A report that details the executed contracts is attached.

This semi-annual report for the reporting period is also currently available on NYSERDA’s website at <https://www.nyserda.ny.gov/-/media/Files/Publications/Annual-Reports-and-Financial-Statements/2024-june-nyserda-semi-annual-report.pdf>

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

Sincerely,

Doreen M. Harris
President and CEO

New York State Energy Research and Development Authority

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NYSERDA

Revenues Collected - October 1, 2023 through March 31, 2024

Revenue Source	Amount (\$000's)
State Appropriation	58,881
Utility Surcharge Assessments	389,105
Clean Energy Standard Proceeds	267,785
Allowance Proceeds	215,278
Third-party reimbursements	39,809
Federal grants	3,039
Interest subsidy	101
Project repayments	583
Rentals from leases	619
Fees and other income	23,120
Loans and financing receivables interest	19,648
Investment income	36,358
Total revenues	1,054,327

NYSERDA

Public Authority Law Report

October 1, 2023 to March 31, 2024

Section Break

Solicitation Summary October 1, 2023 to March 31, 2024

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
ORECRFI23-1	Offshore Wind Program Request for Information	Inviting external stakeholder review and comment on the potential structure and relative merits of an expedited NYSERDA offshore wind solicitation.	10/27/2023	1/12/2024	No value was stated in solicitation
PON 4924	Clean Green Schools Initiative	The P-12 Schools: Clean Green Schools Initiative is available to help public schools that traditionally lack resources to invest in infrastructure improvements become healthier, more productive learning environments.	1/24/2024	12/30/2024	No value was stated in solicitation
PON 5437	Apprenticeship and Pre-apprenticeship Clean Energy Training	Through this funding opportunity, and in working with labor organizations and registered pre-apprenticeship programs across the State, the New York State Energy Research and Development Authority (NYSERDA) seeks to grow a diverse, equitable, and inclusive pipeline of skilled talent for the clean energy labor market.	12/13/2023	12/7/2024	\$15,000,000.00
PON 5500	Clean Hydrogen Innovation-Round 2	NYSERDA is helping to stimulate and grow clean hydrogen solutions by making up to \$13.8 million available for clean hydrogen research, development, and demonstration projects. This funding will support innovation in industrial applications for clean hydrogen; clean hydrogen production and integration with renewable energy; mitigation of nitrogen oxides emissions from hydrogen combustion; hydrogen storage technologies; and hydrogen-based generation systems for microgrids and grid support services.	3/18/2024	7/15/2024	\$13,800,000.00
PON 5712	Clean Hydrogen Innovation	NYSERDA is helping to stimulate and grow clean hydrogen solutions by making up to \$5 million available in co-funding for clean hydrogen research, development, and demonstration projects.	11/8/2024	12/31/2025	\$5,000,000.00
RESRFP23-1	Purchase of New York Tier 1 Eligible Renewable Energy Certificates	The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Tier 1 eligible Renewable Energy Certificates (RECs) from Bid Facilities that meet the eligibility requirements.	12/29/2023	1/25/2024	No value was stated in solicitation

RFP 24	Climate Risk and Resilience	NYSERDA's focus of this solicitation is the first phase of a potential two-phased scope of work. The objective of Phase I is to evaluate, quantify, and summarize the physical climate risks to which projects supported by NYGB investments are exposed. If a Phase II is to occur, more information will be provided at that time.	1/8/2024	2/5/2024	No value was stated in solicitation	x
RFP 5206	New York State BOCES On-Site Energy Manager Services	NYSERDA is seeking New York State Boards of Cooperative Educational Services (BOCES) to provide On-Site Energy Manager (OSEM) services to schools and school districts across New York State. On-Site Energy Managers are responsible for creating energy efficient processes that decrease cost and waste. Schools can lower operational costs, reduce maintenance time, and create comfortable, healthy, and safe environments by hiring or assigning a dedicated On-Site Energy Manager	11/4/2023	12/31/2024	No value was stated in solicitation	x
RFP 5481	Conceptual Design Services to Support Tier 4 Verification and Settlement	NYSERDA is seeking proposals from qualified firms to develop a conceptual design for a digital, automated system to perform data acquisition, analysis, and verification as required to comply with the Tier 4 contracts.	2/23/2024	4/2/2024	\$500,000.00	x
RFP 5554	Regional Fund Administrator for an Offshore Wind Fisheries Mitigation Fund	NYSERDA supports the development of a system to financially compensate for economic loss from offshore wind development off the Atlantic Coast in a transparent and equitable manner. This is a result of offshore wind development recognizing the importance of sustaining fisheries and the fisheries industry.	3/7/2024	3/26/2024	No value was stated in solicitation	x
RFP 5570	Implementation and Outreach Support for Clean Mobility Program	NYSERDA is look for Implementation and Outreach Support for Clean Mobility Program. To assists NYSERDA with various aspects of the management and execution of an upcoming Clean Mobility Program.	1/5/2024	2/28/2024	\$3,000,000.00	
RFP-5610	NOWRDC Innovation in Offshore Wind Solicitation 3.0	Developing and demonstrating technology innovations that will reduce the levelized cost of energy (LCOE) for offshore wind in the United States is the purpose behind this Program Opportunity. The NOWRDC is dedicated to supporting industry-led research and development activities that will remove barriers to implementation of offshore wind in all U.S. wind regions and support the growth of U.S.-based offshore wind manufacturing and the supply chain.	10/15/2023	1/10/2024	\$5,000,000.00	

RFQ 5688	Public Relations Services	NYSERDA and the Climate Leadership Community and Protection Act (Climate Act) to help build awareness of and support for the Climate Act and assisting in developing a narrative around New York State's clean energy and climate priorities and providing rapid response communications services.	3/17/2024	4/8/2024	\$500,000.00
RFQL 5312	Charge Ready NY 2.0 Equipment and Network Qualification Process	NYSERDA is issuing this RFQL solicitation to establish a list of Level 2 electric vehicle (EV) charging equipment and networks that will be eligible for incentives under the upcoming Charge Ready NY 2.0 Program. Under the Program, interested applicants will be able to receive incentives for the installation of eligible charging equipment.	2/27/2023	12/31/2025	No value was stated in solicitation
RFQL 5634	New York Cap-and-Invest Market & Auction Technology Solutions & Services	NYSERDA seeks Proposers that have expertise in providing and administering an Auction & Market Registry Platform, Emissions Reporting Platform and Services, and Market Monitoring and Financial Services for carrying out the New York Cap-and-Invest program and rules.	12/21/2023	2/12/2024	No value was stated in solicitation
RFQL-5625	New York State Mobility Planning Consultant Pool	The New York State Mobility Planning Consultant Pool will provide objective technical services to help local communities explore new clean transportation options and develop plans for potential implementation as part of an upcoming Clean Mobility Program.	1/22/2024	2/15/2024	No value was stated in solicitation

Revised Solicitations

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
PON 4772 - Revised	Climate Justice Fellowship	NYSERDA is seeking applications from organizations who wish to host a full-time Climate Justice Fellow for 1 year. NYSERDA will fund the fellow's salary as well as professional development training/mentoring and/or wrap-around services. Fellows must be members of a priority population. Host organizations must be working to advance climate justice and clean energy priorities for disadvantaged communities.	1/19/2023	12/29/2024	\$6,000,000.00
NYGB RFP 25 Revision	Transaction Pipeline & Portfolio Management Platform	NY Green Bank invites third-party service providers to provide a platform that will support NY Green Bank's customer relationship management ("CRM") and transaction pipeline and portfolio management.	2/13/2024	3/12/2024	No value was stated in solicitation

NYT-VIP - Revised	The New York Truck-Voucher Incentive Program	The New York Truck Voucher Incentive Program (NYTVIP), administered by the New York State Energy Research and Development Authority (NYSERDA), helps make it easier for fleets to adopt zero-emission vehicle technologies while removing the oldest, dirtiest diesel engines from New York roads.	12/24/2022	2/28/2026	\$70,778,000.00
PON 3298 Revises	Clean Energy Communities Program	Local governments are critical partners in achieving a new energy vision for New York State. As such, municipal leaders play a critical role in affecting energy choices in their communities, both in terms of government operations, and also across homes, businesses, and community institutions.	11/19/2021	12/31/2025	\$15,550,000.00
PON 3701 - Revised	On-site Energy Manager Pilot	NYSERDA seeks applications from facilities interested in participating in the On-site Energy Manager Pilot to demonstrate how a dedicated On-site Energy Manager can improve a company's profitability by delivering energy, process, and operational improvements.	12/7/2022	12/31/2025	No value was stated in solicitation
PON 4192 - Revised	FlexTech Program	The Flexible Technical Assistance (FlexTech) Program supports New York State Commercial, Industrial and Multifamily customers who pay into the Systems Benefit Charge by providing a cost-share for credible, objective technical assistance services. These services encompass a wide range of activities to help customers make informed clean energy investment and sustainability decisions.	11/18/2022	12/31/2025	No value was stated in solicitation
PON 4378 Revised	Loan Loss Reserve to Catalyze Clean Energy Financing in New York State 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 in residential dwellings, small commercial multifamily building in New York State Communities.	12/6/2023	12/27/2024	\$10,000,000.00
PON 4482 Revised	Cooperative Advertising and Training for Clean Energy Partners	NYSERDA's Cooperative (Co-op) Advertising and Training Program 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 (i.e. air sealing and insulation), and high-efficiency low-emission wood heating systems.	10/19/2023	12/31/2024	\$19,100,000.00

PON 4595 - Revised	NYS Offshore Wind Training Institute- Workforce Training & Skills Development	NYSERDA is seeking proposals for training initiatives focused on addressing projected offshore wind (OSW) workforce gaps and preparing workers for high growth jobs. Training audiences may consist of existing and/or new workers. The intent of this funding is to support projects that address projected OSW workforce gaps and prepare workers for high growth jobs via technical training.	10/20/2022	12/12/2024	\$9,000,000.00
PON 4701 Revised	Low Carbon Pathways for Multifamily Buildings	The New York State Energy Research and Development Authority (NYSERDA) Low Carbon Pathways for Multifamily Buildings program provides financial support to install low carbon energy efficiency upgrades.	11/20/2023	12/31/2025	\$7,800,000.00
PON 5547 Revised	Heat Recovery Project Development	NYSERDA's Heat Recovery Program provides cost-share for technical assistance to support the inclusion of heat recovery energy conservation measures while retrofitting existing buildings. Multifamily, commercial, institutional, industrial, and manufacturing buildings and facilities are eligible.	2/1/2024	2/26/2024	No value was stated in solicitation
PON 5552 Revised	New York School Bus Incentive Program	The New York School Bus Incentive Program (NYSBIP) is a voucher incentive program to accelerate the deployment of zero-emission school buses and associated charging infrastructure throughout New York State using funds allocated by the 2022 Clean Water, Clean Air, and Green Jobs Environmental Bond Act (Bond Act). Zero-emission school buses include both electric school buses (also referred to as ESBs) and hydrogen fuel cell school buses.	3/6/2024	12/30/2025	No value was stated in solicitation
Revised BRRFP-23-1	Build-Ready Project Auction	NYSERDA's Build-Ready Program is auctioning its first project and is seeking applications from Proposers interested in buying and completing the remaining development steps to help make the project operational.	10/3/2023	2/23/2024	No value was stated in solicitation
RFP 5099 Revised	RFP 5099 Regional Clean Energy Hubs Energy Kits	The New York State Energy Research and Development Authority (NYSERDA) seeks quotes from qualified companies for Energy Kits to be distributed by NYSERDA's Regional Clean Energy Hubs.	11/10/2023	12/31/2025	No value was stated in solicitation
RFP 5217 Revised	Heat Recovery Solutions	NYSERDA is qualifying Energy Recovery Ventilation (ERV) Manufacturers to participate in a new initiative that will support significant technical analysis, strategic planning, and integration of advanced building technologies.	11/18/2023	12/31/2025	No value was stated in solicitation

x

RFQL 5548 Revision	New York State Flexible Energy Technical Analysis	NYSERDA will establish a pool of consulting firms qualified to provide NYSERDA with diverse technical, energy, economic, and environmental analytical capacity.	10/23/2023	12/31/2026	\$3,000,000.00
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Note: Only revised Solicitations with substantial changes/or monetary changes are listed.



NYSERDA

**Purchase of Offshore Wind Renewable
Energy Certificates
Request for Proposals ORECRFP23-1
Release Date: November 30, 2023
Revised Date: January 12, 2024**

SUMMARY OF REVISIONS

Updates to ORECRFP23-1 – January 12, 2024

Acronyms and Definitions

Project Qualifying Federal Support definition has been revised to include the correct references to the Internal Revenue Code.

Appendix H (Agreement)

See posted redline for changes.

Updates to ORECRFP23-1 – January 3, 2024

Section 4.2.2 (Inflation Adjustment)

Table 4 has been revised to reflect the final Index_B values that will be used in the Agreement.

Appendix H (Agreement)

See posted redline for changes.

Updates to ORECRFP23-1 – December 29, 2023

Table of Contents

The entry for Appendix M has been revised to remove the note that it will be released at a later date.

Acronyms and Definitions

Project Qualifying Federal Support definition has been revised to clarify the treatment of support arising solely from Section 45(b)(11) or Section 45(b)(14) of the Internal Revenue Code.

Section 2.1.1 (ORECs Offered)

Revised to state that ORECs sourced from Projects that are substantially the same as, or are located in substantially the same location as, Projects granted awards under NYSERDA's ORECRFP22-1 solicitation are not eligible under this RFP.

Section 6.2.5 (Project Schedule and Status)

The requirement to provide the Project Schedule in a Microsoft Project .mpp file has been expanded to also allow for a Microsoft Excel .xlsx file.

Section 6.2.5.1 (Project Schedule)

The requirement to provide the Project Schedule in a Microsoft Project .mpp file has been expanded to also allow for a Microsoft Excel .xlsx file.

Appendix G (New York Jobs and Workforce Plan)

Deleted a duplicative column related to development jobs in Table G.1.

Appendix H (Agreement)

See posted redline for changes.

Appendix I (Offer Data Form)

Data validation in cells E15:H15 on the Part II worksheet has been updated to reflect the correct last COD to fulfill the full Contract Delivery Term prior to the Outer Limit Date of 12/31/2032.

Appendix M (Non-Disclosure Agreement)

Appendix M has been issued with this RFP revision.



**Purchase of Offshore Wind
Renewable Energy Certificates
Request for Proposals ORECRFP23-1
Release Date: November 30, 2023
Revised Date: January 12, 2024**

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, [Order Adopting Modifications to the Clean Energy Standard](#) issued on October 15, 2020 in Case No. 15-E-0302, [Order on Power Grid Study Recommendations](#) issued on January 20, 2022 in Case Nos. 20-E-0197, 18-E-0071, and 15-E-0302, the [Order Denying Petitions Seeking to Amend Contracts with Renewable Energy Projects](#) issued on October 12, 2023 in Case Nos. 18-E-0071 and 15-E-0302 and the [Order Addressing Capacity Accreditation Rules](#) issued on November 20, 2023 in Case Nos. 18-E-0071 and 15-E-0302. All Proposers are advised to review the Orders and their Appendices before participating in this Request for Proposals (RFP).

**Proposals are due on January 25, 2024, by 3:00 p.m. ET.
Proposals must be held firm and valid for 180 days from January 25, 2024.**

All relevant documents pertaining to this RFP are available on NYSEDA's solicitation website at <https://www.nyserda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Offshore-Wind-Solicitations/2023-Solicitation>. Proposers are advised to check this website regularly for updates.

Questions about this RFP should be directed to the Primary Contacts or Other Designated Contacts listed below in writing to offshorewind@nyserda.ny.gov.

- Primary Contacts: Laila El-Ashmawy, Gregory Lampman, and Alexander Stein
- Other Designated Contacts: Nate Chumley, Jessica Dealy, Anthony Fiore, Doreen Harris, Janna Herndon, Peter Lion, Bram Peterson, and Georges Sassine

No communication intended to influence this procurement is permitted except by contacting the Primary Contacts or the Other Designated Contacts. Questions about this solicitation should be directed to the Primary Contacts in writing. NYSEDA reserves the right to conduct meetings with any Proposer, and any question posed to NYSEDA, as well as any response provided by NYSEDA to a Proposer, may be publicly posted on the solicitation website. Contacting anyone other than the Primary Contacts or Other 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

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.

non-responsive offeror, and (2) Proposer not receiving an award. NYSERDA may contact Proposers at any stage with requests for clarifications and questions.

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Appendix G	New York Jobs and Workforce Plan
Appendix H	Offshore Wind Renewable Energy Certificate Standard Form Purchase and Sale Agreement
Appendix I	Offer Data Form

Appendix J	Master Offers Form
Appendix K	Proposal Submission Guide (will be released at a later date)
Appendix L	Conditional Termination Agreement
Appendix M	Non-Disclosure Agreement

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 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 Proposal 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.

Climate Act – [Climate Leadership and Community Protection Act](#).

Commercial Operation – A state of operational readiness of the Project under which (i) the Project has been mechanically constructed and interconnected, (ii) generating capacity is available to physically produce and deliver electric energy to the Injection Point and associated ORECs, and (iii) all rights, abilities, permits and approvals to schedule and deliver energy to the Injection Point have been obtained.

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

ConEd Hub – The facilities for offshore wind energy interconnection described as the “Brooklyn Clean Energy Hub” in the Petition submitted to the New York Public Service Commission (PSC) by Consolidated Edison Company of New York, Inc. for Approval to Recover Costs of Brooklyn Clean Energy Hub on April 15, 2022 and described in the Order Approving Cost Recovery for Brooklyn Clean Energy Hub published on April 20, 2023 (and any modification or future expansion thereof approved by the PSC).

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 Quarterly Report – Quarterly written progress reports provided by Seller to NYSDERDA in accord with Section 6.02 of the Agreement.

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.

COP – BOEM Construction and Operations Plan.

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 – The Climate Act directs the [Climate Justice Working Group](#) (CJWG) to establish criteria for identifying Disadvantaged Communities. The CJWG finalized the Disadvantaged Communities criteria on March 27, 2023. Communities meeting the criteria can be identified with the map found on the NYSDERDA Disadvantaged Communities [webpage](#) and a list of census tracts that meet the disadvantaged community criteria can be found on the [Climate Act Website](#) under the "Disadvantaged Communities Criteria Documents" section.

Disadvantaged Community Commitments – Specific, quantifiable commitments to providing benefits to Disadvantaged Communities, as further described in Section 2.2.15 and Appendix B.2.

Economic Benefits Plan – A plan submitted as part of a specific Proposal, as further described in Section 6.2.10 and Appendix B.1.

Economic Benefits Report – An independently audited report, documenting the total dollar amount of actual Incremental Economic Benefits accrued to New York and associated activities and commitments undertaken from the Economic Benefits Start Date through the end of the third Contract Year, as further described in Appendix B.1 and Section 12.01 of the Agreement.

Economic Benefits Start Date – May 15, 2019.

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 Production by a Project, consistent with the delineation of attributes set forth in the Agreement.

Environmental Mitigation Plan – A plan submitted as part of a specific Proposal, as further described in Appendix D.

Expected Labor Dollars – The Expected Total Dollars associated with labor expenditures, as described in Section B.1.A, Appendix G and Exhibit I of the Agreement. The full cost of employment contributes to Expected Labor Dollars, including benefits and payroll taxes.

Expected MWBE and SDVOB Dollars – The Expected Total Dollars expected to accrue specifically to MWBEs and SDVOBs.

Expected Near-Term Dollars – The Expected Total Dollars expected to accrue specifically between January 1, 2024 and December 31, 2026.

Expected Total Dollars – The total dollar amount of Incremental Economic Benefits 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 from the Economic Benefits Start Date through the end of the third Contract Year.

Expected U.S. Iron and Steel Dollars – The Expected Total Dollars associated with expenditures for iron and steel manufactured in the United States.²

Financing Plan – A plan submitted as part of a specific Proposal, as further described in Section 6.2.6.3.

Fisheries Mitigation Plan – A plan submitted as part of a specific Proposal, as further described in Appendix C.

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.

Health/Safety Conviction – Any conviction in any court or tribunal relating to laws or regulations which are relevant to health and safety, whether within the US, Canada, Mexico, EU, UK or elsewhere.

Health/Safety Enforcement Notice – Any notice issued by a regulatory authority requiring the cessation of an activity or circumstance, or requiring that certain measures are taken, in relation to health and safety, whether within the US, Canada, Mexico, UK, EU or elsewhere. For example, a Prohibition Notice, Improvement Notice, or Stop Work Order.

² This amount will be based on \$114,000 per MW unless the Proposal commits to a higher amount.

Incremental Economic Benefits – Those financial expenditures benefiting New York State (for this purpose, expenditures for iron and steel manufactured in the United States shall be deemed to benefit New York State even if incurred outside of New York State) within the categories specified in Appendix B.1 that a Proposer can demonstrate: (1) accrue after the Economic Benefits Start Date; and (2) would not have accrued but for the award under a NYSERDA OREC solicitation or in an anticipation of the potential for such an award.

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 pursuant to Section 4.03 of the Agreement.

Inflation Adjustment – A one-time adjustment to the Fixed OREC Price or Index OREC Strike Price as further described in and Sections 2.1.4.2 and 4.2.2 and in Section 5.03 of the Agreement.

Injection Point – For Projects that interconnect directly into the NYCA, 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.

Interconnection and Deliverability Plan – A plan submitted as part of a specific Proposal, as further described in Section 6.2.7.

Interconnection Cost Allocation – The total costs actually allocated to and borne by a Project pursuant to NYISO interconnection requirements, as memorialized in the Project's interconnection agreement.

Interconnection Cost Allocation Baseline – The estimated Interconnection Cost Allocation for a Project used for the calculation of Interconnection Net Savings calculations as further described in Sections 2.1.4.1 and 4.2.1 and in Section 5.04 of the Agreement.

Interconnection Cost Sharing – A modification to the price structure that allows for the costs associated with a Project's NYISO interconnection to be shared through an adjustment in pricing, as further described in Sections 2.1.4.1 and 4.2.1 and in Section 5.04 of the Agreement.

Interconnection Cost Sharing Adder – The adder to the Index OREC Strike Price or the Fixed Index Price that represents NYSERDA's share of the Interconnection Cost Allocation, applicable to Proposals that include Interconnection Cost Sharing.

Interconnection Net Savings – Difference between Interconnection Cost Allocation Baseline and final Interconnection Cost Allocation, less any costs the Project has already expended on the initial Injection Point and that the Project has incurred as a result of changing its Injection Point from that submitted in the Proposal, as further defined in the Agreement.

Interconnection Savings Share – A means of sharing savings in the event that there are Interconnection Net Savings as described in Section 4.2.1 and in Section 5.04 of the Agreement.

Labor Peace Agreement (LPA) – An agreement between the owner of an Offshore Wind Generation Facility and a bona fide labor organization that, at a minimum, protects the State’s proprietary interests by prohibiting labor organizations and their members from engaging in picketing, work stoppages, boycotts, and any other economic interference with the Offshore Wind Generation Facility in accordance with Public Service Law § 66-r (3).

Levelized 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 4.4.

LSE – Load-serving entity.

Major Supplier – A supplier of goods and services to the Proposer with an anticipated minimum contract value of \$1 million. Proposers must utilize the New York Offshore Wind Supply Chain Database, as described in Section 2.2.13 when choosing Major Suppliers.

Maximum Project Capacity – The product of the Offer Capacity and 1.10.

Meshed Network – Offshore transmission configuration in which individual Offshore Wind Generation Facility substations are linked to one-another via HVAC lines, as defined in Appendix F.

Meshed Ready – An Offshore Wind Generation Facility which is radially connected to the New York electric grid and satisfies the requirements set forth in Appendix F, including control, interface, performance, functional and physical requirements.

Monthly OREC Price – A price in dollars per OREC determined pursuant to the Agreement 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 State Certified MWBEs are searchable in the [MWBE Certified Database maintained by Empire State Development \(ESD\)](#).

NDR – Nominal discount rate.

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 City Public Policy Transmission Need (NYC-PPTN) – The NYISO process seeking transmission solutions that can efficiently, and cost-effectively, deliver between 4,770 and 8,000 MW of offshore wind generation into New York City as further described in the [Order Addressing Public Policy Requirements for Transmission Planning Purposes](#) issued on June 22, 2023 in Case No. 22-E-0633.

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.

New York Jobs and Workforce Plan – A plan submitted as part of a specific Proposal, as further described in Appendix G.

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 as submitted in the Proposal, measured as the installed (nameplate) capacity in alternating current of an Offshore Wind Generation Facility.

Offshore Wind Generation Facility – The installed wind turbine generators and all other associated offshore equipment and infrastructure located within a BOEM lease area delivering energy to a single Injection Point. Multiple Offshore Wind Generation Facilities can be located within a 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, the [Order Authorizing Offshore Wind Solicitation in 2020](#) issued on April 23, 2020 in Case No. 18-E-0071, the [Order Adopting Modifications to the Clean Energy Standard](#) issued on October 15, 2020 in Case No. 15-E-0302, the [Order on Power Grid Study Recommendations](#) issued on January 20, 2022 in Case No. 20-E-0197, Case No. 18-E-0071 and Case No. 15-E-0302, the [Order Denying Petitions to Seeking to Amend Contracts with Renewable Energy Projects](#) issued on October 12, 2023 in Case Nos. 18-E-0071 and 15-E-0302 and the [Order Addressing Capacity Accreditation Rules](#) issued on November 20, 2023 in Case Nos. 18-E-0071 and 15-E-0302.

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 Generation 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 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, 2053. If the Contract Tenor is 25 years, the Outer Limit Date is January 1, 2058.

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.

Primary Component – The main parts of an offshore wind turbine structure, including the foundation, substructure, transition piece, tower, nacelle and rotor blades, and offshore substation bottom side and topside, electrical equipment, inter array and export cables.

Project – An Offshore Wind Generation Facility and the associated equipment including Meshed Ready requirements (if applicable), infrastructure, and support facilities necessary to deliver energy to the designated Injection Point, and (if applicable) subsequently to the Delivery Point if the Injection Point is outside of NYCA.

Project Labor Agreement (PLA) – A collective bargaining agreement (including a pre-hire agreement) satisfying the requirements set forth in Section 0 covering contractors in the construction industry working on the Project, and a bona fide building and construction trade labor organization representing craft workers on the Project.

Project Qualifying Federal Support – Any direct federal financial support to the Selected Project (as defined in the Agreement) in the form of renewable tax benefits (as further defined in the Agreement) or direct financial benefits expressly intended to incentivize (i) the development and operation of (x) energy infrastructure (including electrical transmission, storage and/or generation and/or the production of fuels from electrical energy) and/or (y) facilities that manufacture equipment or components used for such purposes, and (ii) which either (A) arises from a law enacted by the U.S. Congress after the Proposal Submission Deadline or (B) arises from Section 45(b)(9) (or its successor at Section 45Y (g)(11)), Section 45(b)(11) (or its successor at Section 45Y(g)(7)), Section 48(a)(12) (or its successor at Section 48E(a)(3)(B)) or Section 48(a)(14) (or its successor at Section 48E(a)(3)(A)) of the Internal Revenue Code in existence on the Proposal Submission Deadline. Notwithstanding the foregoing, any support arising solely from Section 45(b)(11) or Section 48(a)(14) (or their successors as identified above) of the Internal Revenue Code in existence on the Proposal Submission Deadline shall

not be considered Project Qualifying Federal Support to the extent such support is (I) obtained in reliance only upon meeting conditions that were expressly deemed to be sufficient for qualification under the applicable Internal Revenue Code section pursuant to official IRS guidance issued prior to the Proposal Submission Deadline and (II) not obtained as a result of material reconfigurations of the Selected Project such as a change in the Selected Project's point of interconnection. Project Qualifying Federal Support shall not include ordinary course tax deductions, federal loans, federal loan guarantees, or federal research and development grants that are awarded competitively.

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

Proposal – An offer to sell ORECs from up to three³ Offshore Wind Generation Facilities for a given Offer Capacity, Index REC or Fixed REC pricing structure, Delivery Point, associated Economic Benefit Plan and other clean energy industry or energy transition investments 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), with the exception of the Required Proposal, which must include a 25-year Contract Tenor.

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.

Required Proposal – A Proposal defined in Section 2.1.3.

SDVOB – Service-Disabled Veteran Owned Businesses as defined under the Service-Disabled Veteran-Owned Business Act of New York State. New York State Certified SDVOBs are searchable in [Directory of New York State Certified Service-Disabled Veteran Owned Business \(SDVOB\)](#) maintained by the Office of General Services (OGS).

Scoring Committee – Members of NYSEDA Staff, New York State Department of Public Service Staff, and independent evaluators responsible for evaluating Proposals received through this RFP.

Selected Project – A Project that is included in the award group as described in Section 5.3.

Seller – A Proposer awarded in this RFP who has executed an Agreement to sell ORECs to NYSEDA.

³ If a Proposer would like to include more than three Offshore Wind Generation Facilities in a Proposal or overall Submission, please contact offshorewind@nyserda.ny.gov.

Specialist Reviewer – Any individual, third party, or entity engaged or otherwise mobilized by NYSERDA to support the evaluation of Proposals submitted in response to ORECRFP23-1 through relevant subject matter expertise.

Stakeholder Engagement Plan – A plan submitted as part of a specific Proposal, as further described in Appendix E.

Sub-component – Articles, materials, and supplies incorporated directly into Primary Components at any level of manufacture, fabrication, or assembly.

Submission – Package of all files representing all Proposals submitted by a Proposer in response to this RFP.

Supply Chain Investment – Any investment in, or purchase of goods or services from, an offshore wind port or other offshore wind supply chain facility (including facilities that provide training or workforce development, conduct scientific research and/or conduct environmental conservation activities) located in New York State that is either a new (greenfield) facility or requires significant upgrades to an existing facility to accommodate the contemplated usage.

TWG – Technical Working Group.

Verified Labor Dollars – The Verified Total Dollars associated with labor expenditures described in the New York Jobs and Workforce Plan that fall into the applicable categories set forth in Appendix B.1 and Exhibit I of the Agreement.

Verified MWBE and SDVOB Dollars – The Verified Total Dollars that accrue specifically to MWBEs and SDVOBs.

Verified Near-Term Dollars – The Verified Total Dollars that accrue specifically from January 1, 2024 through December 31, 2026.

Verified Total Dollars – The total dollar amount of Incremental Economic Benefits verified by NYSERDA to have accrued to New York as a result of the development, construction, modification, interconnection, and operation of the Project from the Economic Benefits Start Date through the end of the third Contract Year.

Verified U.S. Iron and Steel Dollars – The Verified Total Dollars associated with expenditures for iron and steel manufactured in the United States.

1 INTRODUCTION

NYSERDA is seeking to procure ORECs that constitute, in aggregate, up to the remaining capacity authorized by the Offshore Wind Orders and the September 17, 2020 as supported by the Final Supplemental Generic Environmental Impact Statement (SGEIS) in Case No. 15-E-0302, subject to the terms outlined in Section 2.1.

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

Since adopting some of the most ambitious clean energy goals in the nation – reducing greenhouse gas emissions by 85% by 2050, 100% emissions-free electricity generation by 2040, and net-zero emissions economy wide by 2050 – New York State has been assiduously expanding its offshore wind portfolio. The Climate Act calls for New York State to install 9,000 MW of offshore wind by 2035. New York State demonstrates unwavering demand for clean energy and growing momentum in establishing major ecosystems for workforce development, manufacturing, and operations and maintenance to support the region’s pipeline of offshore wind projects and the development of a green economy. Through its competitive solicitations, NYSERDA is building a portfolio guided by principles of just energy transition and equity set forth in the Clean Energy Standard (CES) and the Climate Act. To date, New York’s competitive processes have resulted in the selection of eight offshore wind projects, including Empire Wind 1 (816 MW), Sunrise Wind (924 MW), Empire Wind 2 (1,260 MW), Beacon Wind (1,230 MW), Attentive Energy One (1,404 MW), Community Offshore Wind (1,314 MW), and Excelsior Wind (1,314 MW), along with the South Fork Wind Farm (132 MW) – the State’s first commercial scale project slated to deliver first power early in 2024 – procured by the Long Island Power Authority (LIPA).

New York’s efforts are reinforced at the federal level, where President Biden’s administration has set goals of deploying 30 GW of offshore wind in the United States by 2030 and 110 GW by 2050. In support of these historic targets, on October 13, 2021, Department of the Interior Secretary Haaland announced plans for the Bureau of Ocean Energy Management (BOEM) to hold up to seven new offshore lease sales by 2025. The first of these lease auctions occurred on February 23, 2022, for six lease areas in the New York Bight with roughly 7,000 MW of resource potential. On February 25, 2022, BOEM announced results of the auction, with the six winning bids totaling \$4.37 billion.⁴

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

⁴ <https://www.doi.gov/pressreleases/biden-harris-administration-sets-offshore-energy-records-437-billion-winning-bids-wind>

2030. NYSERDA launched its inaugural solicitation for offshore wind ([ORECRFP18-1](#)) on November 8, 2018.

In July 2019, the Climate Act was signed into law. The Climate Act specifies clean energy development requirement, including 9 GW of offshore wind by 2035, 6 GW of distributed solar by 2025, and 3 GW of energy storage by 2030. In April 2022, the New York State Public Service Commission (PSC) approved a framework to expand the distributed solar target to 10 GW by 2030. Similarly, the PSC is considering an expansion of the energy storage target to 6 GW by 2030, as proposed in a comprehensive roadmap submitted by NYSERDA and the New York State Department of Public Service (DPS) on December 28, 2022. Beyond resource targets, the Climate Act calls for an orderly and just transition to clean energy that creates jobs and continues fostering a green economy. The Climate Act 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 to invest at least 35 percent of clean energy and energy efficiency program resources to benefit Disadvantaged Communities, achieving 70 percent renewable electricity generation by 2030, 100 percent emissions-free electricity by 2040, and economy wide decarbonization by 2050. To this effect, the law created the Climate Action Council, charged with developing a scoping plan of recommendations to meet these targets and place New York on a path toward carbon neutrality.

Concurrently, New York State [announced](#) the selection of two offshore wind projects for contract awards resulting from NYSERDA's Phase 1 offshore wind solicitation (ORECRFP18-1). On October 23, 2019, NYSERDA 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 April 23, 2020, the Commission published an [Order Authorizing Offshore Wind Solicitation in 2020](#) which instructed NYSERDA to procure at least 1,000 MW of additional offshore wind capacity. NYSERDA launched its second offshore wind solicitation (ORECRFP20-1) on July 21, 2020 to procure up to 2,500 MW of offshore wind and included a complementary multi-port infrastructure investment backed by \$200 million in New York State funding.

On October 15, 2020, the Commission issued its [Order Adopting Modifications to the Clean Energy Standard](#) (CES Modification Order) in Case 15-E-0302. In the CES Modification Order, the Commission adopted several modifications to the CES to align it with the Climate Act mandates. Modifications affecting the offshore wind solicitations included authorizing NYSERDA to issue future solicitations, with the discretion to determine timing and magnitude of procurement based on market and regulatory dynamics.

An Initial [Report of the Power Grid Study](#) was published by the New York State DPS on January 19, 2021. The study sought to identify distribution upgrades, local transmission upgrades, and bulk transmission investments necessary or appropriate for the power grid for the State of New York to achieve the state's 70% renewable electricity by 2030 goal and beyond. Proposers are strongly encouraged to familiarize

themselves with the Power Grid Study, including the “Offshore Wind Integration Study” (OSW Study) identifying possible grid interconnection points and offshore transmission configurations and assessing onshore bulk transmission needs relating to the integration of at least 9,000 MW of offshore-wind generation.

In January 2022, NYSERDA finalized [contracts](#) with Empire Offshore Wind LLC and Beacon Wind LLC for the development of Empire Wind 2 (1,260 MW) and Beacon Wind (1,230 MW), selected through NYSERDA’s second offshore wind solicitation (ORECRFP20-1). This procurement included leveraging state funding to unlock private investments in resilient port facilities in New York City and the Capital Region, with \$3 of private funding committed for every \$1 of public funding.

On January 5, 2022, New York Governor Hochul announced in her first State of the State Address a nation-leading \$500 million investment proposal for offshore wind ports, manufacturing, and supply chain infrastructure, with a continued emphasis on prioritizing a just transition and delivery of benefits to historically disadvantaged communities.

On January 20, 2022, the New York Public Service Commission published the [Order on Power Grid Study Recommendations](#) (Power Grid Study Order) in Case Nos. 20-E-0197, 18-E-0071, and 15-E-0302, instructing NYSERDA to procure HVDC technology for radial connections, prioritize grid benefits and advanced technologies in project evaluation, and include a carve out for storage projects to be evaluated under both economic benefits and project viability in future offshore wind procurements. The Order elaborated on the benefits of a meshed offshore grid as presented in the Power Grid Study and authorized NYSERDA to contemplate procurements that preserve the optionality for a future offshore grid, which may be necessary to reach the zero emissions goals set forth in the Climate Act.

On December 19, 2022, New York’s Climate Action Council adopted a Final Scoping Plan to outline recommended policies and actions to help meet the climate action requirements of the Climate Act. The Scoping Plan indicated that 16-19 GW of offshore wind energy may be necessary to achieve the Climate Act’s greenhouse gas emission-reduction requirements and carbon neutrality goals. In line with this guidance, New York State initiated a new master planning process in 2022 to explore the development of offshore wind resources in deeper waters. Building on the successes of the 2018 Master Plan, the new “Master Plan 2.0: Deep Water” will inform the next phase of offshore wind development in waters greater than 60 meters deep and ensure that New York is positioned to maximize the benefits and minimize the risks associated with further development.

On October 12, 2023, the PSC issued the [Order Denying Petitions Seeking to Amend Contracts With Renewable Energy Projects](#), which denied petitions from offshore wind developers Empire Offshore Wind LLC, Beacon Wind LLC, and Sunrise Wind LLC seeking price adjustments to OREC agreements with NYSERDA to address inflationary pressures and supply chain disruptions impacting project economics. The Order supported NYSERDA’s continued efforts to meet the Climate Act mandates through subsequent competitive offshore wind solicitations, potentially on an expedited basis. The same day, New York State released a new [10-Point Action Plan](#) to expand and support the growing large-scale

renewable energy industry in the State, which included a plan to launch an accelerated offshore wind procurement process.

On October 24, 2023, Governor Hochul announced the results of NYSERDA's third offshore wind solicitation (ORECRFP22-1). NYSERDA provisionally awarded three projects totaling 4,032 MW: Attentive Energy One (developed by TotalEnergies, Rise Light & Power, and Corio Generation), Community Offshore Wind (developed by RWE Offshore Renewables and National Grid Ventures), and Excelsior Wind (developed by Vineyard Offshore). This award included \$300 million in state investment to enable the development of two marquee supply chain facilities to manufacture offshore wind blades (developed by LM Wind Power Blades USA) and nacelles (developed by GE Vernova) in New York's Capital Region, unlocking \$968 million in combined public and private investments.

In alignment with PSC Orders and New York's 10-Point Action Plan, NYSERDA is issuing this fourth solicitation for Offshore Wind Renewable Energy Certificates (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.

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 obligations. Each LSE will be obligated to purchase a percentage of ORECs acquired by NYSERDA in a given period 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.

1.3 Schedule

The schedule for ORECRFP23-1 is as follows (all times ET):

RFP Release Date	November 30, 2023
Responses to Written Questions Posted ⁵	December 15, 2023
Deadline for Submission of Written Questions or Suggested Contract Redlines ⁶	December 27, 2023, 3:00 p.m.
NYSERDA posts Index _B values for use in Agreement(s)	By January 3, 2024
Responses to Written Questions Posted ⁷	January 8, 2024
NYSERDA Portal Open for Registration	January 15, 2024
Deadline for NYSERDA Portal Registration NYSERDA Portal Open for Submissions	January 19, 2024, 3:00 p.m.
Proposal Submission Deadline	January 25, 2024, 3:00 p.m.
NYSERDA Award Notification Date	Expected February 2024
Contract(s) Executed	Expected Q2 2024

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 2023 Offshore Wind Solicitation website](#).

1.4 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 \$250,000 will cover the Required Proposal, as defined in Section 2.1.3. There will be an additional \$75,000 Proposal Fee for each additional Offshore Wind Generation Facility, either from a different lease area, or delivered to a second Injection Point from the same lease area, included in the Proposer’s Submission beyond the first one.⁸ Alternate Proposals, as defined in Section 2.1.3, are permitted. Each Alternate Proposal that has a different Offer Capacity, Delivery Point, Injection Point, technical configuration, pricing structure (such as Interconnection Cost Sharing and/or Inflation Adjustment), and/or expected Commercial Operation

⁵ NYSERDA will post Responses to Written Questions on an ongoing, rolling basis.

⁶ Proposers can submit written questions or suggested contract revisions to NYSERDA at any time, and NYSERDA will respond on a rolling basis. NYSERDA does not guarantee responding to questions or suggestions to the draft form Agreement submitted after December 27, 2023.

⁷ NYSERDA will endeavor to post Responses to Written Questions on an ongoing, rolling basis and may publish additional Responses to Written Questions after January 8, 2024 as needed.

⁸ An Offshore Wind Generation Facility is limited to a single lease area and a single Injection Point. If the same Offshore Wind Generation Facility is offered with multiple Injection Point options, but each Proposal includes a single Injection Point for that Offshore Wind Generation Facility within a specific Proposal, each Injection Point option would represent an Alternate Proposal.

Date(s) will require an additional \$25,000 Proposal Fee. Inclusion of a second Contract Tenor in the Required Proposal or an Alternate Proposal will be accepted without incurring additional Proposal Fees.

Submission Component	Proposal Fee
Required Proposal, including up to two Contract Tenors. One Offshore Wind Generation Facility is included in the base price.	\$250,000
Each additional Offshore Wind Generation Facility in the Submission (up to total of three)	\$75,000
Each Alternate Proposal	\$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 Agreement are the only fees or monetary obligations of the Proposer.

Detailed instructions for the payment of the Proposal Fee from NYSERDA's finance department are available by emailing offshorewind@nyserda.ny.gov with the subject line: ORECRFP23-1 Request for Proposal Fee Payment Instructions.

The Proposal Fee is non-refundable unless NYSERDA cancels this RFP prior to evaluation of Proposals. If this RFP is canceled by NYSERDA prior to evaluation of Proposals, 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 is selected by NYSERDA.**

1.5 Proposers' Communications with NYSERDA

Proposers may seek clarification on any aspect of this RFP and are encouraged to submit written questions⁹ by the deadline for responses listed in the schedule in Section 1.3. Written questions about this RFP should be sent to offshorewind@nyserda.ny.gov with the subject line "ORECRFP23-1 Question." Written answers will be provided by NYSERDA in response to questions and posted on the [NYSERDA 2023 Offshore Wind Solicitation website](#) on an ongoing basis. Questions and responses will be anonymized.

Prospective Proposers can also submit requested changes to the Standard Form Agreement (Appendix H) for NYSERDA consideration on or before the deadline for submission of written questions indicated in Section 1.3. NYSERDA will consider the requested changes and may provide feedback at its discretion about whether specific changes may or may not be acceptable through the written answers posted to the Solicitation website as noted above.

All pre-Proposal contacts with NYSERDA by prospective Proposers and interested parties regarding this RFP or related matters must be with the Primary Contacts or Other Designated Contacts.

⁹ Questions solely regarding the calculation or payment of the Proposal Fee may be directed to the Primary Contacts at offshorewind@nyserda.ny.gov and will be answered confidentially to the Proposer.

1.6 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 (other than the return of uncommitted Proposal Fees if this RFP is canceled by NYSERDA prior to evaluation of Proposals, as described in Section 1.41.4), NYSERDA's Consultants, Specialist Reviewers or members of the Scoring Committee. Any changes to this RFP will be posted on the [NYSERDA 2023 Offshore Wind Solicitation website](#). Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news. It is the Proposer's responsibility to check for, and conform to, any solicitation changes prior to submittal.

1.7 Proposal Completeness and Eligibility Review

Following submission, Proposals will first be examined to determine that they meet the eligibility requirements and include all required components. To be eligible for evaluation, Projects and Proposals must meet all eligibility requirements and Proposals must be complete, *i.e.*, contain all required contents listed in Section 6. NYSERDA will contact Proposers regarding any instances where it is unclear if an eligibility requirement is met or where the Proposal contents are deficient when compared to the Submission requirements. Proposers will be provided with a short, one-time opportunity to cure the deficiency prior to removing the Proposal from consideration.

1.8 Updates to Proposals

If, prior to the Proposal Submission Deadline, a Proposer wishes to modify a Proposal that was submitted before the Proposal Submission Deadline, Proposer should contact NYSERDA's Primary Contacts. Proposers will not have an opportunity to refresh or restate Proposals after the Proposal Submission Deadline unless requested by NYSERDA to do so. If Proposers provide new information that was not available at the time of their Proposal submission or the Proposal Submission Deadline, 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 unless the information is provided at NYSERDA's request under Section 1.9. 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 events during Proposal evaluation.

1.9 Requests for Additional Information

Following the submission of Proposals, NYSERDA and/or the Scoring Committee may request clarification and additional information from Proposers at any time throughout the 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. If the Proposer does not respond promptly to such information requests or does not provide adequate information, the affected Proposal(s) will be evaluated based on the information as originally submitted.

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, Proposers must pay the appropriate Proposal Fee as described in Section 1.4 and follow the instructions for Submission of Proposals as described in Appendix K. All Proposals must demonstrate compliance with each of the eligibility requirements enumerated in Sections 2.1.1 through 2.1.9 and include all contents listed in Section 6.

Prospective Proposers who currently hold an active agreement with NYSERDA with respect to the ORECs being offered in this solicitation must enter into a legally binding agreement that will cause the active agreement to automatically terminate at the conclusion of ORECRFP23-1, as detailed in Section 2.1.1.1.

All Proposers will be required to submit an executed Non-Disclosure Agreement as described in Section 6.2.4.6 of the RFP. The Non-Disclosure Agreement will require confidentiality during any pre-award contracting discussions commenced at NYSERDA's sole discretion during the period of time between the Proposal submission and award notifications. In the event that the Proposer receives an award, this Non-Disclosure Agreement will also cover the period of time between award notification and contract execution.

To be eligible for evaluation, Proposals must meet the following requirements, as described in the remainder of this Section 2:

- Located in the ocean waters of the United States (Section 2.1.1)
- Commercial Operation Date on or after January 1, 2015 (Section 2.1.1)
- Minimum Offer Capacity for each Offshore Wind Generation Facility in the Proposal is the lesser of 800 MW or the maximum remaining capacity available (i.e., not committed under an active offtake agreement) from the Proposer's lease area. Maximum Offer Capacity for each Offshore Wind Generation Facility is 1,400 MW (Section 2.1.1)
- Demonstrate site control of Lease Area and Injection Point (Section 2.1.5)
- Deliverable into the NYCA, with a Zone J or K Injection Point for the Required Proposal (Section 2.1.3, Section 2.1.6)
- Follow the guidelines in this RFP for HVAC or HVDC cabling and Meshed Readiness (Section 2.1.6)
- Be free from, or commit to eliminating or preventing, conflicts of interest, in each case as determined by NYSERDA in its sole discretion (Section 2.1.9)
- Submit a complete Submission that addresses all required content (Section 6.2)

NYSERDA will review submitted Proposals to determine whether they meet each of the eligibility requirements. Proposals that fail to meet these requirements will be ineligible for an award.

2.1.1 ORECs Offered

Each Proposal must be for ORECs produced from up to three Offshore Wind Generation Facilities located in the ocean waters of the United States that become operational on or after January 1, 2015.

Each Offshore Wind Generation Facility included in a Proposal must represent a minimum Offer Capacity of either 800 MW or the maximum remaining available capacity (i.e., not committed under an active offtake agreement) from the lease area and a maximum of 1,400 MW. A separate Agreement will be executed for each Offshore Wind Generation Facility. As further described in the Agreement, NYSERDA will not commit to purchasing ORECs from an Offshore Wind Generation Facility to the extent arising from Operational Installed Capacity that exceeds the Maximum Project Capacity, calculated as the Offer Capacity multiplied by 1.10.

ORECs sourced from Projects that are substantially the same as, or are located in substantially the same location as, Projects granted awards under NYSERDA's ORECRFP22-1 solicitation are not eligible under this RFP.

The OREC production from an 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, except as described in Section 2.1.6 and in Section 3.04 of the Agreement. Awardee will retain ownership and all rights to ORECs that exceed the Annual OREC Cap. 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.

A Proposer may not condition the acceptance of one Proposal on the acceptance of any other Proposal submitted in response to this RFP. All Proposals using overlapping lease area space will be mutually exclusive: that is, NYSERDA will not award more than one Proposal from a given lease area unless the included Projects can both be accommodated within the given lease area.

As noted in Section 2.1.1.2, any Proposer whose Proposal is awarded in ORECRFP23-1 will be required to rescind any proposal from another state solicitation to the extent the proposal is mutually exclusive with the Proposal awarded in ORECRFP23-1. If a Proposer accepts an award of any Proposal under another state's RFP that is mutually exclusive with any Proposal submitted in ORECRFP23-1, the Proposer must notify NYSERDA of the withdrawal of the affected Proposal from ORECRFP23-1 due to acceptance of another award.

2.1.1.1 Submission of Conditional Termination Agreement

NYSERDA's current policy regarding OREC agreement termination, contract security and eligibility to submit Proposals into ORECRFP23-1 is described below. **Please note, the policy described herein is based on special and unique current circumstances and is not expected to apply to future solicitations and has been updated since the original policy was published on November 16, 2023.**

To be eligible to submit a Proposal in ORECRFP23-1, a Proposer cannot have an active agreement with NYSERDA with respect to the ORECs being offered in this solicitation, **unless** the Proposer has entered into a legally binding agreement that will cause the active agreement to automatically terminate if the Proposer is not awarded under ORECRFP23-1.

This approach allows for the energy capacity associated with any project that has an OREC agreement in place that bids in ORECRFP23-1 but is not awarded to be made available to be awarded to any other selected proposer(s) in ORECRFP23-1 or a future solicitation.

The eligibility criteria will be satisfied if such a binding agreement is signed by the Seller and submitted to NYSERDA in conjunction with the Proposal Submission in accord with Section 6.2.4.6.

NYSERDA has prepared an updated form of Conditional Termination Agreement released with this RFP, **which has been updated since the original version was published on November 16, 2023**, that can be utilized by any Proposer with an OREC agreement in place with NYSERDA (an “Existing NYSERDA Agreement”) that elects to submit a Proposal into ORECRFP23-1. The form of conditional termination agreement is attached as Appendix L and includes the following key terms:

1. If the project subject to the Existing NYSERDA Agreement is **not** awarded in ORECRFP23-1:
 - a. The Existing NYSERDA Agreement will be automatically terminated; and
 - b. NYSERDA will have the right to retain the contract security provided pursuant to the Existing NYSERDA Agreement (the “Posted Contract Security”).
2. If the project subject to the Existing NYSERDA Agreement **is** awarded under ORECRFP23-1:
 - a. The Existing NYSERDA Agreement will terminate concurrently with the execution of a new OREC agreement for the project’s award under ORECRFP23-1; and
 - b. The Posted Contract Security will be **added** to the amount of contract security required to be posted in connection with the ORECRFP23-1 award and will be drawable in accordance with the same terms and conditions that apply to such award.
 - c. If the Offer Capacity associated with the award in ORECRFP23-1 is less than the Offer Capacity under the Existing NYSERDA Agreement, NYSERDA will draw on and permanently retain the portion of the Posted Contract Security that is proportional to the percent reduction in the proposed Offer Capacity compared with the Offer Capacity under the Existing NYSERDA Agreement.

For the avoidance of doubt, prior to the time at which the Existing NYSERDA Agreement terminates, the Seller would be required to continue to post contract security pursuant to the Existing NYSERDA Agreement to the extent required by the Existing NYSERDA Agreement, to avoid a default and to maintain the Existing NYSERDA Agreement in effect.

2.1.1.2 Submission into Another State Solicitation

Any Proposer whose Proposal is awarded in ORECRFP23-1 will be required to rescind any proposal from any other state solicitation to the extent the proposal is mutually exclusive with the Proposal awarded in ORECRFP23-1. If a Proposer accepts an award of any proposal under another state’s solicitation that is mutually exclusive with any Proposal submitted in ORECRFP23-1, the Proposer must notify NYSERDA within 24 hours of the withdrawal of the affected Proposal from ORECRFP23-1 due to acceptance of another award.

2.1.2 Contract Delivery Term

Each Proposal must specify an expected Commercial Operation Date and Contract Tenor. Proposers may elect to divide Project Offer Capacity into multiple phases, with each phase subject to a Contract Delivery Term specific to that phase as further described below. For a multi-phase Proposal, the Proposer must specify the expected Commercial Operation Date and Offer Capacity of each phase in the Offer Data Form.

The Contract Delivery Term for each phase of a Project will commence on the first day of the month after the actual Commercial Operation Date for the phase and end at the date upon which the Contract Tenor has elapsed for the phase 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.

2.1.3 Required and Alternate Proposals

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

- The **Required Proposal** may use either the Index OREC or Fixed OREC pricing structure, must include pricing for a 25-year Contract Tenor, may additionally include pricing for a 20-year Contract Tenor, and must reflect energy delivered through radial transmission from each Offshore Wind Generation Facility to an Injection Point in NYCA Zone J or K. Required Proposals may use HVAC or HVDC and Meshed Ready transmission systems as described in Section 2.1.6. See Section 2.1.6 for additional requirements related to the radial export cable interconnection.
- The Required Proposal may include pricing with or without Interconnection Cost Sharing or Inflation Adjustment.
- **Alternate Proposals** may be for ORECs delivered from Offshore Wind Generation Facilities of other technical configurations, other Offer Capacity, other Injection Point(s) and/or Delivery Point(s), other economic benefit packages, or other expected Commercial Operation Dates. Alternate Proposals may be for either a 20-year or 25-year Contract Tenor (or both Contract Tenors) and must offer either an Index OREC Strike Price or a Fixed OREC Price as described in Section 2.1.4. Alternate Proposals may use HVAC or HVDC and Meshed Ready transmission systems as described in Section 2.1.6. See Section 2.1.6 for additional requirements related to the radial export cable interconnection. Alternate Proposals may include pricing with or without Interconnection Cost Sharing or Inflation Adjustment.

NYSERDA will select no more than 1,400 MW delivered via a single HVDC cable or up to 900 MW delivered via up to two HVAC cables into Zone J Delivery Point(s) and no more than 2,800 MW with a Zone K Delivery Point. Accordingly, NYSERDA encourages Proposers to consider submission of Alternate Proposals with both Zone J and Zone K Delivery Points.

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 4.1. If a Proposal includes multiple Offshore Wind Generation Facilities that have different Delivery Points, separate pricing may be submitted for each. Offer prices for each Proposal are all-inclusive, that is, for all components of the Project and any other investments committed under this RFP. Under the Index OREC pricing structure, the OREC price varies monthly and is calculated as the Index OREC Strike Price minus the sum of the Reference Energy Price and the Reference Capacity Price, as described in Section 4.1.2.

Each Proposal should be priced assuming that the Project will operate in a dedicated radial configuration. Section 4.3.1 describes modifications to be made to the Agreement if and when an offshore transmission network were to be implemented.

If a Selected Project becomes eligible for and obtains Project Qualifying Federal Support, there will be an adjustment to the Fixed OREC Price or to the Index OREC Strike Price, as appropriate, to provide for a sharing of the Project Qualifying Federal Support between NYSERDA and Seller. The price adjustment will be computed as described in Section 5.07 of the Agreement such that 75%¹⁰ of the net benefit of the Project Qualifying Federal Support would be applied to a reduction in the Fixed OREC Price or the Index OREC Strike Price, as appropriate. The net benefit of the Project Qualifying Federal Support will account for increased costs related to development, construction or operation that the Project must incur in order to qualify for a higher level of Project Qualifying Federal Support, including costs related to new U.S. content or similar sourcing requirements, prevailing wage requirements or apprenticeship requirements.

For each Selected Project, in the event the Interconnection Cost Allocation ultimately assigned to the Project is lower than the Interconnection Cost Allocation Baseline reflected in Section 5.04 of the Agreement, 80% of the Interconnection Net Savings or the Interconnection Net Savings less \$50 million (whichever is greater) will be applied to a reduction in the Index OREC Strike Price or Fixed OREC Price. Additional details on this adjustment mechanism and offer price assumptions to be made by the Proposer are provided in Section 4.2.1 and in Section 5.04 of the Agreement.

2.1.4.1 Interconnection Cost Sharing (optional)

Proposals may include a price structure that contemplates an Interconnection Cost Sharing approach wherein the Interconnection Cost Allocation would be absorbed fully by the Proposer up to a certain

¹⁰ With respect to Qualifying Federal Support that arises from Section 45(b)(9), Section 45(b)(11), Section 48(a)(12) or Section 48(a)(14) of the Internal Revenue Code in existence on the Proposal Submission Deadline and is realized other than through, for domestic content requirements, a waiver process as described in 49 C.F.R. § 661.7 (or similar process) offered by the U.S. Department of Treasury, the Internal Revenue Service or other federal authority under which the steel, iron, or manufactured products of the Selected Project were not produced in the United States and did not meet the requirements of 49 C.F.R. § 661.5(b)-(d), or for energy communities, a waiver or exception process, 75% will be replaced with 50%.

level, but above that level incremental Interconnection Cost Allocations would be shared between the Proposer and NYSERDA (with NYSERDA's cost share to be added to the Index OREC Strike Price or Fixed OREC Price). Additional details on this adjustment mechanism are provided in Section 4.2.1 and in Section 5.04 of the Agreement. Proposals that include this adjustment will be evaluated using a risk-adjusted price adder as further described in Section 4.4.

2.1.4.2 Inflation Adjustment (optional)

Proposals may include a price structure where the Index OREC Strike Price or Fixed OREC Price would be subject to a one-time adjustment to reflect changes in certain price indices presented in Section 4.2.2 and in Exhibit Q of the Agreement. Additional details on this adjustment mechanism are provided in Section 4.2.2 and in Section 5.03 of the Agreement. Proposals that include this adjustment will be evaluated using a price adder reflecting NYSERDA's inflation expectation as further described in Section 4.4.

2.1.5 Site Control

Proposer must either (a) hold an irrevocable right or option to develop the entire Offshore Wind Generation Facility site footprint within a federal BOEM commercial wind energy lease area; (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 Delivery Point(s), and, if interconnecting to another Control Area, Injection Point(s), describe what rights Proposer has to the Injection 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 Injection Point(s) and (if applicable) transmission from the Injection Point to the Delivery Point. Such rights may be held by Proposer directly or indirectly via partnership with a transmission developer. A Proposer may enter into a contractual arrangement with a transmission developer to support evidence of site control, which NYSERDA may consider in its evaluation of Project viability.

2.1.6 Interconnection and Deliverability

Proposers must demonstrate that energy generated by the Offshore Wind Generation Facility can be delivered into the NYCA. The Required Proposal must incorporate an Injection Point in NYCA Zone J or Zone K. Project eligibility requirements do not preclude the option to propose multiple Injection Points in NYCA as may be necessary to reasonably minimize interconnection costs.

Alternate Proposals may interconnect in an adjacent Control Area. Such Proposals must address compliance with the relevant Open Access Transmission Tariff, transmission from the Injection Point to the Delivery Point and delivery to NYCA at the Delivery Point, the Electricity Delivery Requirements

contained in Article III of the Agreement and accord with the NYGATS tracking system that records generation attribute information in the Interconnection and Deliverability Plan. 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 at the Delivery Point, other than payment of the contractually determined OREC Price.

Proposals may utilize HVDC and/or HVAC cabling, subject to the following requirements, conditions and considerations:

- A. Proposals are encouraged to utilize HVDC transmission where feasible, especially for undersea cable routes through the Lower New York Bay, Raritan Bay, Arthur Kill, the Narrows, the Upper Bay (New York Harbor), the East or Hudson Rivers, Block Island Sound or the Long Island Sound (collectively, the “Constrained Areas”).
- B. Any Required Proposal utilizing HVDC export transmission must be Meshed Ready according to Appendix F. Alternate Proposals using HVDC proposals that do not include a Meshed Ready system must correspond to a Proposal that is the exact same in all other respects and provide justification for exclusion from the Meshed Ready system.
- C. Subject to the “Special Rules for HVAC Replacement” (defined below), any radial HVAC cable route from the Offshore Wind Generation Facility to shore must not cross any of the Constrained Areas.
- D. Subject to the “Special Rules for HVAC Replacement” (defined below), no HVAC cables whatsoever (including connecting a converter station to a point of interconnection) may be sited through the Narrows, in the East River between the Brooklyn and Throggs Neck Bridges, or in the Hudson River north of Battery Park (the “Prohibited Areas”).
- E. Proposals that contemplate siting any HVAC cables (including connecting a converter station to a point of interconnection) in any Constrained Areas other than the Prohibited Areas must demonstrate that there is adequate remaining right of way to install at least two additional marine HVDC cables, beyond any cabling already planned under existing contracts to NYSERDA, in the same location(s) as the proposed HVAC cable(s).
- F. Special Rules for HVAC Replacement. The eligibility of any Proposal submitted as a “HVAC Replacement” Proposal will be contingent upon the termination¹¹ of the OREC Purchase and Sale Agreement with NYSERDA of the Empire Wind 1 project, the cable footprint of which contemplates HVAC cabling through Constrained Areas and was executed prior to the publishing of the Power Grid Study Orders. Notwithstanding the rules that would otherwise apply to the siting of HVAC cabling, HVAC Replacement Proposals may site up to two radial HVAC cables from the Offshore Wind Generation Facility to shore in a manner such that the cable route crosses

¹¹ Please see Section 2.1.1.1 for more information regarding the termination of existing offtake contracts.

Lower New York Bay, the Narrows and/or the Upper Bay (New York Harbor) south of Governors Island.

For the Required Proposal and for any Alternate Proposal including a direct interconnection to the NYCA, Proposers must have submitted a valid Large Facility Interconnection Request with the NYISO. Proposals seeking interconnection through the ConEd Hub must submit a Large Facility Interconnection Request promptly upon the ConEd Hub becoming made available in the NYISO interconnection process. 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.

To evaluate the interconnection status and deliverability of a Project, as stated in Appendix A, 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 agrees that NYSERDA is authorized to solicit and receive status and other technical details of the Proposer's interconnection request from the relevant Control Area. Proposer agrees to execute such authorizations and documentation as may be required to allow NYSERDA access to such information. 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 aspects 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.

Proposals may present a plan for alternate uses of a Project's electric output (i) in excess of the Annual OREC Cap or (ii) generated at times during which the delivery and sale of such electrical output at the Delivery Point is not possible due to curtailment of the Project by the NYISO, subject to the requirements of Section 3.04 of the Agreement. Any such plan must include specific mechanisms for measuring and allocating electric output to ensure that the alternate use is associated only with electric output falling within the two categories referenced in this paragraph and shall be subject to NYSERDA's approval or denial in NYSERDA's reasonable discretion.

2.1.7 Decarbonization Strategy

Proposed Projects will not only offset emissions, but also should work to strategically address embodied carbon or other carbon reduction techniques in contribution toward New York State's decarbonization goals prescribed through the Climate Act. Proposers must submit a Decarbonization Strategy as described in Section 6.2.4.4. The Decarbonization Strategy should demonstrate the Proposer's understanding of the carbon footprint of the Project overall and include a description of how, by design,

the Project is actively seeking opportunities to reduce the amount of embodied carbon to comply with the requirement described in Section 2.2.14. Further commitments or strategies for carbon reduction beyond the Project development taken by the Proposer should be included in the Decarbonization Strategy.

2.1.8 Climate and Resilience Strategy

Proposed Projects must consider climate impacts and resilience in their designs and submit a Climate and Resiliency Strategy as described in Section 6.2.4.5. The Climate and Resiliency Strategy should showcase the Proposer's understanding of climate risks and a description of how the Project design has been developed to mitigate those risks.

2.1.9 Conflicts of Interest, Required Disclosures and Certifications

Proposers must be free from, or commit to eliminating or preventing, conflicts of interest, in each case as determined by NYSERDA in its sole discretion, in accord with Section 8.8.

Proposers must execute the Proposer Certification Form (Appendix A).

Proposers must comply with the disclosure requirements stated in Sections 8.2 and 8.5.

Proposers must submit a Certification Under Executive Order No. 16, as published by the Office of General Services and available here: <https://ogs.ny.gov/EO-16>, in accord with Section 8.11.

Proposers are required to complete the [Vendor Responsibility Checklist](#) and submit it with the Proposal.

2.2 Contract Commitments Relating to Considerations Identified in the Offshore Wind Orders and New York State Public Service Law

The Offshore Wind Orders authorize NYSERDA to include, at its discretion, certain contract requirements in agreements resulting from this solicitation. The following sections highlight selected requirements that NYSERDA has adopted and incorporated into the Agreement. Proposers should carefully review the Agreement to gain a full understanding of all contractual commitments.

2.2.1 Prevailing Wage Requirement

In accordance with Labor Law § 224-d(2), and NYSERDA's requirements as contained in the Agreement, and unless otherwise provided in a Project Labor Agreement (PLA) covering the construction of 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 Labor Law Section 220 for construction activities in New York, or pursuant to the Agreement 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. In the event that workers for a Project are based from multiple ports, Sellers must come to agreement with NYSERDA on uniform rates to apply to the Project. For the avoidance of doubt, in the event that Labor Law § 224-d(2) does not apply as a matter of law to work performed in federal waters, NYSERDA nonetheless requires the payment of Prevailing Rates as a matter of contract. 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. No less than six months prior to the start of Construction, Seller must notify NYSERDA of its intent to commence construction activities, and in cooperation with the New York State Department of Labor, generate a prevailing wage determination for the Project, as will be updated from time to time. Unless relieved of such requirements by entering into a duly executed PLA in accordance with NYS Labor Law § 222, Seller will be responsible for complying with all prevailing wage requirements (including but not limited to reporting requirements) under New York State Labor Law §§ 220, 220-b, and 224-d. In addition, Seller may be called upon to report compliance with the Prevailing Wage Requirement throughout the Term of the Agreement. See Section 18.10 of the Agreement.

2.2.2 Project Labor Agreement

As referenced herein, 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 a plan outlining a list of the expected PLAs with the parameters outlined in Appendix G 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. Additional guidance regarding PLAs and how they should be represented in the New York Jobs and Workforce Plan is described in Appendix G.

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

Each 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(s); however, the responsibility to deliver the PLA(s) and to ensure its sufficiency and compliance with its terms will remain with awardee. Each 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. Seller will be required to address all eight items required in the PLA in their Contract Quarterly Reports, such as number of in-state jobs provided, MWBE and SDVOB employment statistics, education and apprenticeship programs, quantitative and qualitative data regarding engagement with New York labor groups, among others as outlined in the Agreement and reflective of ongoing compliance with the PLA. 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 and the public it serves with respect to the Project, and will include consideration of Project viability, the cost-effectiveness of the PLA, and the need for timely Project completion.

2.2.3 Labor Peace Agreement

New York State Public Service Law 66-r (3) requires that the Agreement include a stipulation that the owner of the Project, or a third party acting on the owner's behalf, stipulate to entering into a Labor Peace Agreement (LPA) with a bona fide labor organization representing, or attempting to represent, employees providing operations and maintenance services for the Project. As described more fully in Section 18.11-a of the Agreement, pursuant to and to the extent legally required by New York State Public Service Law 66-r(3), the maintenance of such an LPA shall be an ongoing material condition of any continuation of payments under the Agreement.

2.2.4 U. S. Iron and Steel (Buy-American)

New York State Public Service Law (PSL) § 66-r (4) (a) (the Buy-American Act) requires public entities to include within the terms and conditions of any covered contracts a contractual requirement that "iron and structural steel used or supplied in the performance of the Contract or any subcontract thereto[,] and that is permanently incorporated into the public work, [be] produced or made in whole or substantial part in the United States, its territories or possessions." However, PSL § 66-r (4) (b) provides that the Buy-American requirement "shall not apply if the head of the department or agency constructing the public works, in his or her sole discretion, determines that the provisions would not be in the public interest, would result in unreasonable costs, or that obtaining such steel or iron in the United States would increase the cost of the contract by an unreasonable amount, or such iron or steel, including without limitation structural iron and structural steel cannot be produced or made in the United States in sufficient and reasonably available quantities and of satisfactory quality." The Buy-American Act requires the soliciting agency to make such determination in each RFP.

For this RFP (ORECRFP23-1), NYSERDA has determined that "structural" iron or steel components are load bearing, necessary to create the structure of the installation, are comprised of steel or iron, and do not include components that are core to the function of producing electricity (i.e., wind turbine nacelle and internal components. These structural components that are "permanently incorporated" into the Project ("Covered Components") include: (1) the tower supporting the turbine, inclusive of any platforms, transition pieces, or other similar structural elements permanently affixed to the tower; (2) elements incorporated into or comprising the foundation supporting the tower, including a steel monopile or reinforcing iron or steel; (3) reinforcing iron or steel incorporated into or supporting the foundation of any offshore substation; and (4) reinforcing iron or steel incorporated into the offshore substation topside which houses the electrical equipment.

NYSERDA has determined that the following components are operational by nature and are **NOT** "structural" iron or steel components that are "permanently incorporated" into the Project, and therefore are **NOT** "Covered Components" subject to the Buy-American Act: (1) rotor hub; (2) main shaft; (3) main frame (transition from nacelle to tower); (4) yaw system; (5) rotor blades; (6) rotor

bearings; (7) gearbox; (8) generator; (9) pitch system; (10) power converter (11) transformer; (12) brake system; (13) nacelle housing; (14) electrical equipment; and (15) cables, screws, and other fasteners.

In accordance with the objectives of the Buy-American Act, NYSERDA has undertaken a study to examine the implications of the Buy-American Act as applied to the Offshore Wind Generation Facilities and associated Project components anticipated to be the subject of Proposals submitted in response to this RFP (ORECRFP23-1). On the basis of this study, and in consideration of the factors set forth in the Buy-American Act, NYSERDA has determined that steel plate with the necessary thickness, dimension, and strength properties used to manufacture monopile foundations cannot be produced or made in the United States in sufficient and reasonably available quantities without incurring unreasonable expense. Furthermore, for other Covered Components, NYSERDA has determined that requiring all structural iron or steel to be sourced domestically would not be in the public interest, as it may result in unreasonable increased costs and schedule delays, and the limited availability of large-dimensioned (length, width, and thickness) heavy steel plate and may negatively impact Project cost and schedule. The study also examined the feasibility of a contractual requirement to use domestic structural iron and steel. The study found that a contractual requirement for reasonable minimum amount of U.S. iron and steel to be used in each Project would align with New York State's policy goals to incentivize utilization and growth of the offshore wind supply chain, including the U.S. steel industry that supports it, and reduce embodied carbon.

For this RFP (ORECRFP23-1), and in accordance with the Buy-American Act, the President and CEO of NYSERDA has determined that requiring all structural iron or steel to be produced in the United States would not be in the public interest for the reasons stated above; however, use of iron and steel that is produced in New York, and in the United States, is valued by NYSERDA. Accordingly, as a matter of procurement policy in promoting the intent of the New York Buy American Act, any Project awarded a contract in ORECRFP23-1 is required to establish that it procures a minimum of \$114,000 per MW of Offer Capacity of steel components that are manufactured with U.S. iron and steel for use in the Project. In addition to the minimum requirement of \$114,000/MW of Offer Capacity to be spent on U.S. iron and steel components, Proposers who commit to additional U.S. iron and steel spending will be evaluated favorably in the Economic Benefits evaluation, as described in Section 3.3.1. Claimed expenditures associated with purchasing commitments for U.S. Iron and Steel will be entered in the Agreement as Expected U.S. Iron and Steel Dollars.

To the extent a Project falls short of the minimum dollar requirement determined for the project, any shortfall will be addressed through the remedy provided in Section 12.02 of the Agreement. For more information on U.S. Iron and Steel commitments, please see Sections 12.02 and 12.11 of the Agreement.

Proposers must commit to consultation with the U.S. Steel Industry and include a description of proposed engagement as part of the Stakeholder Engagement Plan in Appendix E, and if awarded a contract, Proposers must agree to provide U.S. iron and steel component manufacturers the opportunity to supply the Project and use the New York Offshore Wind Supply Chain Database as further described in Section 2.2.13.

2.2.5 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 Injection 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 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;
6. New York State Department of Labor for current State policies on labor and wage compliance;
7. New York Climate Justice Working Group's (CJWG) efforts to ensure underserved communities benefit from the state's transition to renewable energy, providing Disadvantaged Communities with reduced pollution, cleaner air, and economic opportunities.
8. 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; and
9. NYSERDA with respect to identifying and delivering benefits to Disadvantaged Communities.

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 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 and BOEM Offshore Wind Programmatic Environmental Impact Statements (PEIS). 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, 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 2.2.5 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.

6. Contract awardees will provide NYSERDA updates on these consultations in their Contract Quarterly Reports. More details on reporting requirements are set forth in Section 6.4.16 (Stakeholder Engagement Plan).

2.2.6 Participation in Technical Working Groups

Proposers must agree, if awarded an Agreement, to reasonably participate in the Environmental, Commercial and Recreational Fishing, Maritime, Jobs and Supply Chain, and Environmental Justice Technical Working Groups (TWGs), as well as any other TWGs formed in the future and relevant technical conferences covering other topics relevant to this RFP. This includes participation in TWG meetings and engaging with the relevant stakeholder groups within the TWG regarding the proposed Project.

2.2.7 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 fish and invertebrates that support economically important fisheries through a minimum contribution of \$10,000 per MW of Offer Capacity. This financial support is above any site-specific monitoring or survey programs that are required by state and federal regulatory agencies in order for the Project to meet permitting requirements. Within 90 days of the Effective Date, Proposer will provide for NYSERDA's approval a plan for the commitment of the funding ("Monitoring Plan"). The Monitoring Plan shall require the commitment of fifty percent of the funding within one year of the award, and the remaining fifty percent within two years of the award. Commitment of funding shall follow the approved Monitoring Plan unless otherwise agreed to by NYSERDA. Of the total committed funds, no less than five thousand dollars (\$5,000) per MW of Offer Capacity shall be allocated to support regional monitoring of fish and invertebrates that support economically important fisheries to better understand how offshore wind energy development is potentially altering the biomass and/or distribution of these stocks, and no less than five thousand dollars (\$5,000) per MW of Offer Capacity shall be allocated to support regional monitoring of wildlife of conservation concern 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 (*e.g.*, Regional Wildlife Science Collaborative for Offshore Wind or Responsible Offshore Science Alliance) or independently by the Proposer (or some combination) upon NYSERDA approval. In any case, such funding shall be directed to advance the responsible development of the offshore wind energy industry generally, and not exclusively to offset the investments necessary for permitting the Project. The financial support required by this Section 2.2.7 may be provided by any combination of (i) disbursement to a not-for-profit organization with the capacity for undertaking the monitoring work described herein, and (ii) direct expenditure to finance the monitoring work described. Seller will report the specific spending activity, including amount, purpose and result of investment, in their quarterly progress reports required by Section 6.02 of the Agreement.

2.2.8 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 Management and 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. The "Data Availability Plan" must follow the guidelines in [Wildlife Data Standardization and Sharing: Environmental Data Transparency for New York State Offshore Wind Development](#) or other accepted guidance. The Plan must include a list of relevant data expected to be collected with commitments to submit raw data to appropriate database(s) as soon as feasible, but not more than two years, after internal QA/QC. All data should include comprehensive metadata using Federal Geographic Data Committee standards, or others, as appropriate. After consultation with NYSERDA, updates to the Plan should be submitted with Quarterly Reports. Data typically classified as proprietary, such as met-ocean 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.

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

Proposers must agree, if awarded an Agreement, to (i) not unreasonably withhold site accessibility (including vessels, buoys, and other structures) for the advancement of third-party scientific and technological study, including installation of cellular capabilities, near-real time data sharing functionality, power sources for platform or benthic monitoring equipment or technologies, weather reporting equipment for increased navigational safety, use of other navigational aids beyond current regulations (such as AIS) and environmental sensors and (ii) work with state, federal and other stakeholders to assess the most appropriate means of third-party scientific monitoring plan development and implementation including addressing potential health and safety requirements.

2.2.9 Lighting Controls

If awarded a contract, Proposers must agree to install lighting controls to minimize nighttime visibility from shore and risk to wildlife. 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.

2.2.10 Required Plans

The Standardized Components of the following plans will be appended to the executed Agreements of Selected Project(s). Proposers awarded a contract must consult with NYSERDA before and during the implementation of these plans and will be required to update NYSERDA on their progress and plans in their Contract Quarterly Reports.

2.2.10.1 Fisheries Mitigation

Proposers must submit with their Proposal, and subsequently develop and implement a Fisheries Mitigation Plan, further described in Section 6.2.8.1 and Appendix C.

2.2.10.2 Environmental Mitigation

Proposers must submit with their Proposal, and subsequently develop and implement an Environmental Mitigation Plan, further described in Section 6.2.8.2 and Appendix D.

2.2.10.3 Stakeholder Engagement

Proposers must submit with their Proposal, and subsequently further develop and implement a Stakeholder Engagement Plan, as further described in Section 6.2.8.3 and Appendix E.

Proposers are strongly encouraged to reference the [Guiding Principles for Offshore Wind Stakeholder Engagement](#) published by NYSERDA. In coordination with BOEM lease stipulations, Proposers must also submit an Agency Communication Plan, as further described in Section 6.2.8.3 and Appendix E.

2.2.10.4 New York Jobs and Workforce

Proposers must submit with their Proposal, and subsequently further develop and implement a New York Jobs and Workforce Plan, as further described in Section 6.2.11 and Appendix G. Proposers are strongly encouraged to review the latest [New York Clean Energy Industry Report](#) in conjunction with preparing the New York Jobs and Workforce Plan.

2.2.11 Specific Fisheries and Environmental Mitigation Measures

- A. *Fisheries Compensation*. Proposers must agree, if awarded an Agreement, to follow the guidance developed by BOEM for the mitigation of impacts from offshore wind energy projects on commercial and recreational fishing communities as further described in its June 23, 2022

Draft Fisheries Mitigation Guidance <https://www.boem.gov/renewable-energy/reducing-or-avoiding-impacts-offshore-wind-energy-fisheries>).

- B. *Responsible Offshore Science Alliance and Regional Wildlife Science Collaborative Membership.* Each Proposer must agree, if awarded an Agreement, to become an active Advisory Council Member of Responsible Offshore Science Alliance and an active Caucus Member of the Regional Wildlife Science Collaborative in good financial standing. The Seller may change or opt out of these memberships only with the prior approval of NYSERDA.
- C. *Noise Mitigation.* Each Proposer must agree, if awarded an Agreement, that the Project shall not commence activities that generate significant noise, including geophysical survey work and impact pile driving, during poor visibility conditions such as darkness, fog, and heavy rain, unless an alternative mitigation monitoring plan that does not rely on visual observation has been determined to be effective, to the extent compatible with practicability and worker safety.
- D. *Monitoring Acoustic Attenuation.* If awarded a contract, Proposers that use pile driving or other methods of installation that result in high underwater noise levels, must agree to monitor underwater acoustics during foundation installation in order to: 1) measure changes in sound pressure levels (SPLs); 2) record sound levels in the water column and vibrations in the sediment; 3) detect particle motion; and 4) assess the effectiveness of a noise mitigation system to reduce underwater noise generated during pile installation. Contract awardees will be required to provide NYSERDA, six (6) months prior to Construction and Operation Plan submission, a “Underwater Acoustic Monitoring Plan” detailing how data will be collected to and made available as soon after collection as is practicable for use by third parties. The Plan must include commitments to allow raw and metadata to be publicly available no more than six months after installation completion.
- E. *Commercial Fishing Gear Loss.* The Proposer shall report the number and value of claims submitted, number and value of claims paid, and a general description of each incident and resolution in the Contract Quarterly Report.
- F. *Regional Collaboration.* Proposers must agree, if awarded an Agreement and requested by NYSERDA, to participate with NYSERDA in any multi-state or regional coordination and/or collaboration efforts.

2.2.12 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.

2.2.13 New York State Supplier Opportunities

If awarded a contract, Proposers must agree to provide New York companies with the opportunity to offer to provide goods and services to developers, their contractors and other suppliers of the Project.

Proposer must communicate all opportunities for supplier contracts for the Project with an anticipated contract value of \$1 million or greater not already committed at the time of offer submission to New York State companies through using 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 such time. Developers, their contractors and other suppliers are encouraged to reference and review this database regardless of the contract value and address the plan to use the New York Supply Chain Database in the presentation of Incremental Economic Benefits as described in Appendix B.1.

If selected for an award, Proposer will be required to report on New York State Supplier Opportunity activities for direct contracts and for sub-contracts associated with the Project as a part of the progress reports to be provided under Section 6.02 of the Agreement. The Proposer shall agree to utilize the New York Offshore Wind Supply Chain Database as maintained by NYSERDA or its designee on an ongoing basis and as it may be updated periodically. Reporting would cover the opportunity and associated marketing through the Supply Chain Database.

Proposers must also utilize the New York Offshore wind Supply Chain Database for enabling domestic U.S. Iron and Steel supplier contracts.

To help facilitate U.S. Iron and Steel (Buy American) requirements outlined in Section 2.2.4, the NYSERDA Offshore Wind Supply Chain Database has incorporated additional “opportunity types,” “good and services,” and an enabling self-certification that a supplier can use to identify their ability to fulfill the NYSERDA Buy American certification. The inclusion of these fields for a supplier to self-certify domestic steel fabrication will act as a resource to proposers and suppliers to identify opportunities that help fulfill project requirements related to steel components that are manufactured with U.S. iron and steel for use in the Project. In utilizing the Offshore Wind Supply Chain Database, an entity searching for iron or steel (*i.e.*, plate steel, bar stock, channel) material that is that is manufactured in the United States should search for supply chain partners located anywhere in the United States. Primary Components or Sub-components (towers, secondary steel items, etc.) manufacturers should search for supply chain partners located in New York. All Verified U.S. Iron and Steel Dollars will require an independent manufacturing certification for the particular components furnished to the Seller on the certification form provided in the U.S. Iron and Steel Certification Form in Exhibit O of the Agreement.

The Proposer and any Major Suppliers, must agree to communicate supplier opportunities to MWBE and SDVOB using the [MWBE Certified Database maintained by Empire State Development \(ESD\)](#) and the [Directory of New York State Certified Service-Disabled Veteran Owned Business \(SDVOB\)](#) maintained by the Office of General Services (OGS) for goods with anticipated contract value of over \$250,000, and for services with contract value expected over \$100,000.

Proposer must agree to consult the New York Offshore Wind Supply Chain Database, the ESD MWBE Database, and the OGS SDVOB Database for sub-contracting goods and services associated with Project development, manufacturing, construction, maintenance and operations as described in Sections 12.11 and 12.17 of the Agreement. Proposers must agree to undertake efforts to maximize contract and

subcontract opportunities for MWBEs and SDVOBs. Proposers shall include within their Stakeholder Engagement Plan a section outlining their outreach efforts and their strategy to enhance the participation of New York companies, including MWBE and SDVOB firms in the renewable energy sector. Proposers must agree to report commitments and expenditures to MWBE and SDVOB firms as part of the Contract Quarterly Report in an electronic format designated by NYSERDA.

2.2.14 Decarbonization Strategy

Upon commissioning of the Selected Project, Proposer will agree to make commercially reasonable efforts to work with NYSERDA to validate a final accounting of the Selected Project's (i) carbon footprint and (ii) energy and carbon payback periods. Proposer will further agree to public disclosure of NYSERDA's determination of the Selected Project's carbon footprint, and energy and carbon payback periods. These requirements are found in Section 12.07(f) of the Agreement.

In accounting for the Selected Project's carbon footprint and energy and carbon payback periods, the Selected Project must incorporate Scope 1, 2 and 3 emissions as outlined by the U.S. Environmental Protection Agency (EPA). Scope 1 emissions encompass direct emissions originating from sources owned or controlled by the Selected Project, such as on-site fuel combustion, industrial processes, and fugitive emissions. Scope 2 emissions comprise indirect emissions resulting from the generation of purchased energy, such as electricity and heat. Scope 3 emissions comprise indirect emissions stemming from the Selected Project's value chain, including activities related to purchased goods and services, transportation, employee commuting, and waste disposal. Incorporating all three scopes into the final accounting will provide a comprehensive overview of the emissions of the Selected Project, enabling stakeholders to assess the environmental responsibility and sustainability efforts across the entire spectrum of the Selected Project's operations and supply chain.

The Selected Project must work to reduce Scope 1, 2 and 3 emissions to a commercially reasonable extent, and may not include benefits from reduced emissions in its calculation of economic benefits as described in Section 3.3. For further information on Scope 1, 2 and 3 emissions please visit the [U.S. EPA's website](#).

2.2.15 Disadvantaged Community Impacts

Proposals must include specific, quantifiable commitments to providing benefits to Disadvantaged Communities (Disadvantaged Community Commitments). These commitments will be included in Section 6.05 of the Agreement. Proposers should refer to Appendix B.2 for a description of categories of benefits to Disadvantaged Communities.

If awarded a contract, Proposers must agree to coordinate with NYSERDA throughout implementation of the Project to reasonably align the investments and associated benefits claimed with NYSERDA's broader approach for the delivery, measurement, tracking, and reporting of benefits to Disadvantaged Communities, pursuant to the provisions of the Climate Act.

2.2.16 Health and Safety Organization Membership

If awarded an Agreement, Proposer will be required to become a member (if not a member already) and remain a member of the G+ Global Offshore Wind Health and Safety Organisation or an equivalent organization, consistent with Section 12.18 of the Agreement.

3 NON-PRICE EVALUATION

3.1 Overview

Proposals that meet the eligibility requirements described in Section 2 and submit all materials according to Section 6 will be scored and ranked with respect to price and non-price factors, for a total of 100 points, as established in the Offshore Wind Orders:

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 4.5)

The Scoring Committee will award points for the non-price evaluation components of each Proposal (Project viability and New York economic benefits). In conducting this evaluation, NYSERDA and the Scoring Committee may consult with Specialist Reviewers, including representatives of other New York State agencies.

3.2 Project Viability

The Project viability evaluation considers a series of factors that demonstrate whether each proposed Project can reasonably be expected to be in service on or before the proposed Commercial Operation Date(s) and continue to operate effectively and reliably through the Contract Delivery Term.

To maximize the score received under this scoring component, Proposers must provide evidence that Project development plans are sufficiently mature, 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, that the proposed Project can be developed in a responsible manner, and that Project design considers the goals of New York's Offshore Wind Standard program, as prescribed in Sections 3.2.1 through 3.2.4.4. Consistent with the terms of the Offshore Wind Orders, receipt of a raw score of zero for Project viability will render the Project unviable overall and result in rejection of the Proposal. Viability concerns raised by the Scoring Committee may be the subject of counteroffers by NYSERDA proposing modifications to a Proposal in order for the Proposal to avoid a zero score.

Specific Project viability criteria and sub-criteria to be evaluated by the Scoring Committee are described in Sections 3.2.1 through 3.2.4.4. Each Proposal will be scored under each criterion and these scores will be used to assign up to 10 Project viability points to each Proposal.

3.2.1 Project Schedule and Status

Proposers must demonstrate that the Project can reasonably be permitted, developed, financed, and constructed within the proposed Project schedule.

Proposals will be evaluated based on the reasonableness of the timeline for securing permits and approvals such that proposed Commercial Operation Date(s) can be achieved. Proposals with an earlier proposed Commercial Operation Date for the first (or only) phase of the Project will be evaluated

favorably, as long as the proposed Commercial Operation Date is determined to be reasonable and is supported by the overall Proposal, including the Project Schedule submitted by Proposers in accordance with Section 6.2.5.1. Projects that already have permits and approvals in hand or have applied for major permits or approvals or have otherwise begun the regulatory filings will be evaluated favorably. Proposals that have a more advanced interconnection status will be evaluated favorably.

3.2.2 Project Development Plan

3.2.2.1 Project Team

Proposers must demonstrate that the Project Team principals, including the management team, staff, consultants, EPC contractor, lawyers, financial advisors and any other named parties that have been retained to develop the project, have sufficient relevant experience, skills, and expertise to successfully and responsibly finance, develop, construct, operate and maintain the Project.

Proposals will be evaluated based on the degree to which the Proposer and Project Team principals 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 capital cost, capacity, or complexity or requiring similar skill sets, including experience in New York State and experience with development of HVDC or HVAC (as applicable) transmission. Proposers with more demonstrated experience in these areas will be evaluated favorably.

3.2.2.2 Permitting Plan

Proposers must demonstrate a complete, credible and achievable plan for successfully obtaining necessary permits within the proposed Project milestones that accounts for the extent to which support or opposition to the Project may materially affect the Project's permitting approval timelines.

Proposals will be evaluated based on the degree of certainty offered by the Proposer in securing the necessary permits and approvals and the comprehensiveness of their plan including all levels of permits (federal, state, and local).

3.2.2.3 Financing Plan

Proposers must demonstrate that the financing commitment for the Project is credible and likely to result in realization of the Project.

Proposals will be evaluated on the degree of:

- Recent experience in successfully financing technology of comparable project capital cost, size, and complexity;
- Quality and completeness of the information provided;
- Status and credibility of the financing resources committed, including creditworthiness; and
- Risk mitigation plan, including plan for insurance, contingency built into budget leading to the bid price and risk sharing plan for cost overruns.

3.2.2.4 Equipment, Development, and Logistics Plan

Proposers must demonstrate:

- The construction plan to complete Project development covers the necessary specialized construction equipment (e.g., vessels) and adheres to applicable maritime law (e.g., Jones Act compliance).
- A plan to secure marine terminal facilities necessary for staging and deployment of Primary Components to the Project site(s).
- That the Primary Components can be procured to meet the required development schedule.
- The chosen Primary Component technology is commercially available or 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.

Proposals will be evaluated based on:

- The comprehensiveness of the procurement plan for Primary Components and equipment needed for the Project including identification of suppliers and status of negotiations or agreements with suppliers.
- The maturity of the vessel and port plan including advanced lease agreements or firm plans with suppliers.
- The quality and feasibility of the construction and installation methods.

Proposals that include all necessary tasks to procure and install the Primary Components, including identification and contracting status of vendors, marine terminal facilities and specialized vessels, will be evaluated favorably.

3.2.2.5 Quality, Health, and Safety

Proposers must demonstrate consideration for achieving and maintaining high standards of quality, health, and safety throughout the life cycle of the Project.

Proposals will be evaluated based on the overall approach and accountability displayed in the Quality Health and Safety information submitted per Section 6.2.6.5. This will include assessment of:

- The thoroughness and effectiveness of the risk controls presented in the hazard analysis and risk controls matrix,
- Demonstrated utilization of incident reporting systems, and
- Track record and culture of quality, health, and safety.

3.2.2.6 Project Risk Register

Proposers must demonstrate a comprehensive awareness of risks and risk mitigation opportunities related to the Project.

Proposals will be evaluated based on the completeness of the Project Risk Register and reasonableness of the risk treatment, including degree of risk mitigation offered.

3.2.3 Interconnection and Deliverability Plan

Proposers must demonstrate that the proposed radial export cable, onshore cabling, and grid interconnection strategy support the State's goals to minimize project-on-project risk and achieve the broader Climate Act goals, including 70% clean electricity by 2030 and economy-wide decarbonization by 2050.

Proposals will be evaluated based on the degree to which the Interconnection and Deliverability Plan includes the following:

- Thoughtful cable routing such that the associated underwater and overland footprint of the radial export cable and cabling between convertor stations and points of interconnection minimizes risks and impacts;
- Implementation of advanced technologies mentioned in the Power Grid Study, including adaptable offshore transmission design, such as Meshed Ready;
- Support of the eventual delivery of at least 6,000 MW of wind into New York City, such as through maximizing the carrying capacity of any cable routed through relevant Constrained Areas, and designing cable routing to encourage or not preclude future cabling options, including committing to the coordination of cable routing and installation with other offshore wind and transmission Projects;
- Interconnection points with confirmed headroom that do not exacerbate existing congestion, or that otherwise take advantage of known low risk and low-cost points of interconnection, including points of interconnection that will benefit from approved transmission upgrades (such as those described in the [Approval of Long Island Offshore Wind Export Public Policy Transmission Planning Report and Selection of Public Policy Transmission Project](#)), June 13, 2023);
- Avoiding onshore cable routing through Disadvantaged Communities and addresses the range of impacts of the onshore cable route to Disadvantaged Communities, and;
- A fulsome cost estimate, including a range of cost scenarios describing both high and low impact risks to support the Interconnection Cost Allocation Baseline as further described in section 6.2.7.

3.2.4 Responsible Development

Proposers must demonstrate a holistic understanding of the potential Project impacts and present plans to mitigate such impacts.

3.2.4.1 Fisheries and Environmental Mitigation

Proposals will be evaluated based on the degree to which the Fisheries and Environmental Mitigation Plans demonstrate an understanding of the potential adverse impacts on commercial and recreational fishing and the environment during construction and operation of the Project and how the Plans incorporate best management practices.

Proposals that commit to the use of acoustically “quiet” foundation design or foundation installation technology solutions that reduce acoustic stress to sensitive marine life, beyond the current regulatory standards, will be evaluated favorably.

Proposers with a past performance of superior stewardship with respect to environmental and/or fisheries resources affected by offshore wind development or development of other projects with similar environmental and/or fisheries impacts will be evaluated favorably.

Proposers that commit to the use of a regional fisheries compensation fund that supports the equitable, efficient, and transparent process to address potential losses and/or increased costs to fisheries associated directly with offshore wind development which cannot otherwise be addressed through avoidance, minimization, and non-compensatory mitigation strategies, will be viewed favorably.

3.2.4.2 Stakeholder Engagement

Proposers will be evaluated based on their approach, including specific measures that they will take, to foster collaboration and cooperation among Project developers, contractors and suppliers, impacted communities, marine users, labor organizations, State and local officials and other stakeholders.

Proposers with a past performance of cultivating productive relationships with stakeholders in the offshore wind industry or industries with similar types of stakeholders will be evaluated favorably. Proposers who have demonstrated excellence in stakeholder engagement practices and maintained a positive public reputation, in New York or in other markets, will be evaluated favorably. Proposers who have already conducted stakeholder outreach regarding the Project will be evaluated favorably.

3.2.4.3 Disadvantaged Community Impacts

Proposals will be evaluated based on the level of understanding of the benefits and burdens associated with the Project's development on any hosting and/or proximate Disadvantaged Communities and the Proposer's approach to minimizing impacts and delivering benefits to Disadvantaged Communities, all as further described in Appendix B.2.

3.2.4.4 Visibility Study

Proposers will be evaluated based on the proximity of the proposed lease area to the coastline and population centers, along with the Proposer's approach to minimizing viewshed impacts to historical or sensitive viewpoints. Proposers are required to conduct a visibility study consistent with the Visualization Impact Assessment submitted through the COP and should submit key details of the visibility study for review by NYSERDA and the Scoring Committee as described in Section 6.2.8.5.

3.2.5 Energy Resource Assessment

Proposers must demonstrate the credibility of the Energy Resource Assessment and production and delivery profiles, sufficient to demonstrate the Project's financeability and to support the purported environmental and reliability benefits.

Proposals will be evaluated based on the methodology for collection of the wind data, the completeness of the data and length of input, and the consistency with the proposed energy production profile.

Energy Resource Assessments provided by independent third parties will be evaluated favorably over those produced by the Proposer, its partners or their affiliates. Wind data obtained within the lease area or proximate to the lease area will be evaluated favorably over other data. Also, resource assessments using power curves from installed wind turbines are preferred to synthetic power curves for turbines not yet in commercial operation.

3.3 New York Economic Benefits

The New York economic benefits evaluation criterion 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.

This solicitation seeks Incremental Economic Benefits associated with Offshore Wind Generation Facilities and any associated investments having occurred or expected to accrue to New York State as a result of the development, construction, modification, interconnection, and operation of the Offshore Wind Generation Facilities from the Economic Benefits Start Date through the end of the Contract Delivery Term.

Economic benefits that were claimed in either ORECRFP18-1 or ORECRFP20-1 by a Proposal that was awarded in such solicitation are ineligible to be claimed as Incremental Economic Benefits in ORECRFP23-1 unless the OREC Purchase and Sale Agreement associated with such awarded Proposal has been terminated or is subject to a binding agreement that will cause the agreement to automatically terminate if the project is not awarded under ORECRFP23-1, as further described in Section 2.1.1.1.

Only Incremental Economic Benefits that accrue through the end of the third Contract Year will be included in the OREC Agreement as Expected Total Dollars, Expected Labor Dollars, Expected Near-Term Dollars, Expected MWBE and SDVOB Dollars, and Expected U.S. Iron and Steel Dollars. Incremental Economic Benefits associated with Disadvantaged Communities that accrue through the end of the Contract Delivery Term will be included in Section 6.05 of the OREC Agreement. Incremental Economic Benefits associated with Supply Chain Investments that accrue through the end of the Contract Delivery Term will be included in Section 6.06 of the Agreement.

Through this solicitation, NYSERDA seeks to actively support designing the relevant investments made as a result of the Selected Project(s) to provide benefits to and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order. Proposers are encouraged to consult Appendix B.2, which describes categories of benefits to Disadvantaged Communities.

Proposers are encouraged to recognize NYSERDA's commitment to fostering an in-state supply chain and support infrastructure through their own direct investments and purchase commitments. Proposers are encouraged to recognize NYSERDA's commitment to foster the economic development of New York MWBE and SDVOB suppliers or service providers in the renewable energy industry and clean energy economy. Proposers are encouraged to build clear career pipelines for job growth in New York State, as well as identify partnerships with workforce partners such as labor unions and labor-management joint training programs. Proposers should and consult Appendix G for more detail.

This RFP (ORECRFP23-1) requires a minimum of \$114,000/MW of Offer Capacity worth of iron or steel purchased for the Project to be manufactured in the United States, as further described in Section 2.2.4. Accordingly, the minimum amount of Expected U.S. Iron and Steel Dollars that will be entered in the Agreement will be calculated based on \$114,000/MW of Offer Capacity. Commitments to utilize domestic (but not necessarily New York) iron or steel above this minimum will also receive Incremental Economic Benefits scoring. Expected U.S. Iron and Steel Dollars that accrue through the end of the third Contract Year are included as Expected Total Dollars. U.S. Iron and Steel Dollars that accrue after the third Contract Year are not included in Expected U.S. Iron and Steel Dollars or Expected Total Dollars. Expenditures associated with U.S. Iron and Steel can be included as Incremental Economic Benefits, even if the spending does not occur in New York State.¹²

NYSERDA values enabling investments that occur on a near term basis as they act to engage the supply chain and built a robust industry. As such, Near Term Dollars will be distinguished in the Agreement and given greater weighting in evaluation to reflect the time value of these economic benefits.

The weightings of the various categories of economic benefits, including subcategories and different time periods are described below in Section 3.3.1.

Further details on the Submission of the Economic Benefits Plan, including the types of expenditures that are eligible as Incremental Economic Benefits, are described in Section 6.2.10 and Appendix B.1.

For each Proposal, the key metrics described above and shown in Table 1 are calculated in the Offer Data Form and must be summarized in the Economic Benefits Plan.

¹² In the Offer Data Form, U.S. Iron and Steel is entered separately for in-state and out-of-state expenditures. Proposers will not be contractually held to this geographic allocation, only the total of Expected U.S. Iron and Steel Dollars.

Table 1. Incremental Economic Benefits Key Metrics

	Past Dollars (5/15/19 through 12/31/23)	Near-Term Dollars (1/1/24 through 12/31/26) ¹³	Mid-Term Dollars (1/1/27 through the end of the third Contract Year)	Long-Term Dollars (Remainder of Contract Delivery Term)
Total Dollars ¹⁴				
Labor Dollars ¹⁵				
MWBE and SDVOB Dollars ¹⁶				
U.S. Iron and Steel Dollars ¹⁷				
Disadvantaged Community Commitments ¹⁸				
Supply Chain Investments ¹⁹				

3.3.1 Economic Benefits Evaluation Considerations

Economic benefits will be evaluated for purposes of allocating up to a maximum of 20 points. To facilitate a standardized comparison by the Scoring Committee among Proposals with larger or smaller Offer Capacities, 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 conducting its evaluation, the Scoring Committee will review all eligible claims and any supporting documentation provided in the Economic Benefits Plan submitted in accord with Section 6.2.10 and the guidelines in Appendix B.1, and additionally the New York Jobs and Workforce Plan submitted in accord with Section 6.2.11 and Appendix G for Labor Dollars. For evaluation purposes, the Scoring Committee will assess the firmness and credibility of the total value of all eligible claims in each of the categories represented by a row in Table 1.

¹³ The amount in the total row (i.e., the total amount that is expected to accrue in this time period) will be entered into the Agreement as Expected Near-Term Dollars.

¹⁴ The sum of the amounts in the first three columns (i.e., the total amount that is expected to accrue through the end of the third Contract Year) will be entered into the Agreement as Expected Total Dollars.

¹⁵ The sum of the amounts in the first three columns (i.e., the total amount that is expected to accrue through the end of the third Contract Year) will be entered into the Agreement as Expected Labor Dollars.

¹⁶ The sum of the amounts in the first three columns (i.e., the total amount that is expected to accrue through the end of the third Contract Year) will be entered into the Agreement as Expected MWBE and SDVOB Dollars.

¹⁷ The sum of the amounts in the first three columns (i.e., the total amount that is expected to accrue through the end of the third Contract Year) will be entered into the Agreement as Expected U.S. Iron and Steel Dollars.

¹⁸ The Total amount of Disadvantaged Community Commitments will be entered into Section 6.05 of the Agreement.

¹⁹ The Total amount of Supply Chain Investments will be entered into Section 6.06 of the Agreement.

The total value of the eligible claims within each Proposal, subject to the Scoring Committee’s assessment of firmness and credibility described above and the weightings described below will be converted to up to the available 20 points for New York economic benefits.

NYSDERDA prioritizes Incremental Economic Benefits committed to Labor, MWBE/SDVOB, U.S. Iron and Steel, Disadvantaged Community Commitments, and Supply Chain Investments. Incremental Economic Benefits will also be differentially valued in evaluation based on when the claims are expected to accrue. The weight applied to each claim based on the combination of time period and subcategory applicability are shown in Table 2.

Table 2. Incremental Economic Benefits Evaluation Weights

	Past Dollars (5/15/19 through 12/31/23)	Near-Term Dollars (1/1/24 through 12/31/26)	Mid-Term Dollars (1/1/27 through the end of the third Contract Year)	Long-Term Dollars (Remainder of Contract Delivery Term)
Total Dollars	0.50	1.25	1.00	0.25
Labor Dollars	+0.50	+1.25	+1.00	+0.25
MWBE and SDVOB Dollars	+0.50	+1.25	+1.00	+0.25
U.S. Iron and Steel Dollars	+0.50	+1.25	+1.00	+0.25
Disadvantaged Community Commitments	+0.50	+1.25	+1.00	+0.25
Supply Chain Investments	+0.50	+1.25	+1.00	+0.25

The evaluation weights are additive, receiving the base weight for the Total Dollars that is associated with the time period in which it accrues, and additional weight for any additional applicable subcategories. For example a Near-Term Total Dollar that is also a Labor Dollar and an MWBE and SDVOB Dollar will receive a total weight of 3.75.

3.3.2 Economic Benefits Verification

The provisions related to the verification of Incremental Economic Benefits, and the contractual consequences of shortfalls, are described in Sections 6.05, 6.06, 12.01 and 12.02 of the Agreement.

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 2.1.4. Under both pricing structures, the Proposer will submit a level nominal offer price for each Contract Tenor offered. If a Proposal includes multiple Offshore Wind Generation Facilities with different Delivery Points, a separate Index OREC Strike Price or Fixed OREC Price must be submitted for each.

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, subject to any adjustments provided for in 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 to the following equation:

$$\text{Monthly OREC Price} = OSP^{\text{Index}} - REP - (RCP \times MF)$$

where:

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

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

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

$$MF = \text{Mitigation Factor (\%), defined in Section 4.03 of the Agreement}$$

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:²⁰

$$RCP = \frac{RUP \times IC \times 1,000 \times CAF}{Total\ ORECs}$$

where:

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

IC = Installed capacity (ICAP) of the generator (MW)²¹

Total ORECs = Total amount of ORECs produced by the Project in the subject month (MWh)

1,000 = kW to MW conversion factor

CAF = Capacity Accreditation Factor for the resource's Capacity Accreditation Resource Class

4.2 Price Adjustments

Section 5 of the Agreement describes a number of potential adjustments to the Index OREC Strike Price or the Fixed OREC Price. This section describes the adjustments that will be reflected in the price evaluation of submitted Proposals.

4.2.1 Interconnection Cost Adjustment

There are two components to the adjustment of the Index OREC Strike Price or the Fixed OREC Price related to interconnection costs: savings sharing and cost sharing.

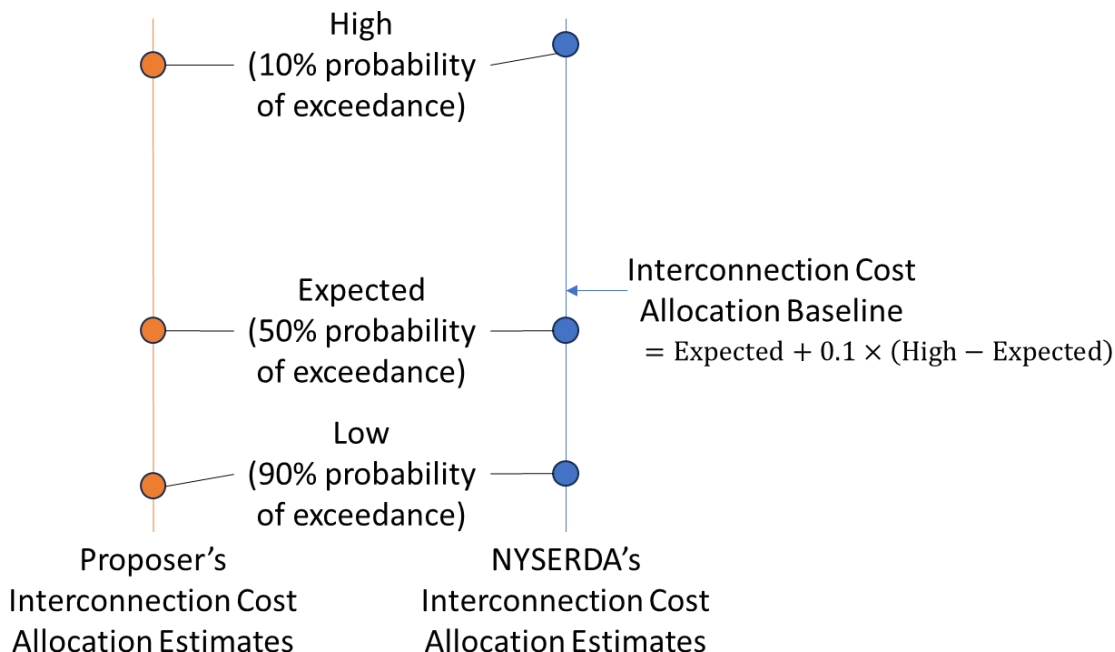
The value for the Interconnection Cost Allocation Baseline that will be reflected in Section 5.04 of the Agreement will be based on the information submitted by the Proposer in accordance with Section 6.2.7. NYSERDA's Specialist Reviewers and subject matter experts will review the submitted high, low and expected Interconnection Cost Allocation estimates described in Section 6.2.7, and any supporting information regarding the derivation of those values in conjunction with other available information. Based on this review, NYSERDA will either (i) adopt the high, low and expected Interconnection Cost Allocation estimates provided by the Proposer as reasonable and consistent with common assumptions across the offshore wind portfolio or (ii) to the extent necessary to ensure the estimates are reasonable and consistent with common assumptions across the offshore wind portfolio, make reasonable adjustments to any high, low and expected Interconnection Cost Allocation estimate. The Interconnection Cost Allocation Baseline value to be reflected in Section 5.04 of the Agreement will then be calculated as NYSERDA's estimate of the expected Interconnection Cost Allocation plus 10% of the

²⁰ Because the Relative UCAP Production Factor (rUPF) value will be set to 1 for the duration of the contract tenor, no reference to the rUPF is needed.

²¹ Offer Capacity for evaluation purposes, Operational Installed Capacity for settlement purposes.

difference between NYSERDA’s high and expected estimates of the Interconnection Cost Allocation. This calculation is illustrated in Figure 1.

Figure 1. Illustrative Interconnection Cost Allocation Baseline Calculation



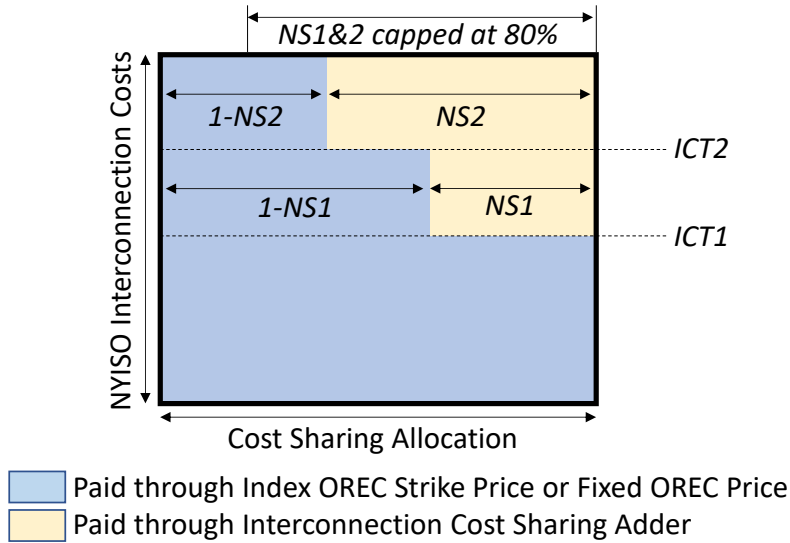
NYSERDA will confirm the Interconnection Cost Allocation Baseline value that will be reflected in Section 5.04 of the Agreement upon award notification.

All Proposals are subject to Interconnection Savings Sharing in the event Interconnection Net Savings occur as further described in Section 5.04 of the Agreement. Interconnection Net Savings are calculated as the difference between the Interconnection Cost Allocation Baseline and the Interconnection Cost Allocation, less any costs the Project has already expended on the initial Injection Point and that the Project has incurred as a result of changing its Injection Point from that submitted in the Proposal. The Index OREC Strike Price or Fixed OREC Price will be reduced based on unitization of NYSERDA’s Interconnection Savings Share, calculated as the greater of (i) 80% of the Interconnection Net Savings and (ii) Interconnection Net Savings minus \$50,000,000. This adjustment will be applied only following the finalization of the Project’s Interconnection Cost Allocation; it is not relevant for evaluation purposes.

For Proposals in which Proposers opt to include Interconnection Cost Sharing, the Index OREC Strike Price or Fixed OREC Price will be increased to account for NYSERDA’s Interconnection Cost Share as determined by applying the Interconnection Cost Sharing inputs selected by the Proposer in the Offer Data Form to the Interconnection Cost Allocation. Proposers will select two Interconnection Cost Threshold values (ICT1 and ICT2) and two NYSERDA Share values (NS1 and NS2), as illustrated in Figure

2. The ICT1 value must be the same as the Proposer’s estimated expected value for the NYISO Interconnection Cost Allocation and will be populated in the Offer Data Form accordingly.²²

Figure 2: Interconnection Cost Sharing Illustration



The adder to the Index OREC Strike Price or the Fixed Index Price will be calculated as follows:

ICSA = Interconnection Cost Sharing Adder (Nominal \$/MWh)

$$= \frac{AICSR}{AOQP_{50}}$$

AOQP₅₀ = P50 Annual OREC Exceedance (MWh/year)

AICSR = Annual Interconnection Cost Sharing Recovery (Nominal \$/year)

$$= NSIC \times AF(DR, CT)$$

AF(NDR,CT) = Annuity factor using the NDR (7.25%) for the Contract Tenor

NSIC = NYSERDA Share of Interconnection Cost paid through the ICSA (Nominal \$)

$$= \min(\max(0, IC - ICT1), ICT2 - ICT1) \times NS1 + \max(0, IC - ICT2) \times NS2$$

IC = Interconnection Cost Allocation (Nominal \$)

²² The ICT1 value will not be changed from the value submitted by the Proposer, regardless of whether NYSERDA’s expected Interconnection Cost Allocation estimate used to calculate the Interconnection Cost Allocation Baseline is different from the Proposer’s estimated value.

- ICT1 = Interconnection Cost Threshold 1 (Nominal \$, up to which Proposer absorbs 100% and NYSERDA absorbs 0% of the Interconnection Cost Allocation up to this value, equal to the Proposer’s estimated expected value for the NYISO Interconnection Cost Allocation)
- ICT2 = Interconnection Cost Threshold 2 (Nominal \$, Proposer absorbs (1-NS1) and NYSERDA absorbs NS1 of the Interconnection Cost Allocation greater than ICT1 up to this value, Proposer absorbs (1-NS2) and NYSERDA absorbs NS2 of the Interconnection Cost Allocation greater than this value)
- NS1 = NYSERDA Share (via the ICSA) of Interconnection Cost Allocation between ICT1 and ICT2 (capped at 80%)
- NS2 = NYSERDA Share (via the ICSA) of Interconnection Cost Allocation greater than ICT2 (capped at 80%)

4.2.2 Inflation Adjustment

For Alternate Proposals in which Proposers opt to include Inflation Adjustment, the Index OREC Strike Price or Fixed OREC Price will be adjusted to account for inflation between the Proposal Submission Deadline and BOEM approval of the Project’s COP. The adjustment, governed by Section 5.03 and Exhibit Q of the Agreement, will be based on a composite index comprised of values for labor, fabrication materials, steel, fuel and copper. The weighting for each commodity or component in the composite index is fixed and cannot be adjusted by the Proposer. The Index OREC Strike Price or Fixed OREC Price for the Inflation Adjusted Proposal will be calculated as:

$$\begin{aligned}
 OREC_{adj} = OREC_{bid} & \\
 & \times \left(0.2 + 0.3 \times \frac{Index_{T,Labor}}{Index_{B,Labor}} + 0.25 \times \frac{Index_{T,Fabrication}}{Index_{B,Fabrication}} \right. \\
 & \left. + 0.10 \times \frac{Index_{T,Steel}}{Index_{B,Steel}} + 0.10 \times \frac{Index_{T,ULSD}}{Index_{B,ULSD}} + 0.05 \times \frac{Index_{T,Copper}}{Index_{B,Copper}} \right)
 \end{aligned}$$

where:

$OREC_{adj}$ is the Index OREC Strike Price or Fixed OREC Price after adjustment

$OREC_{bid}$ is the Index OREC Strike Price or Fixed OREC Price as submitted with the Proposal

$Index_B$ (for each commodity or component) is the price or unitless index published by NYSERDA prior to the Proposal Submission Deadline

$Index_T$ (for each commodity or component) is the price or unitless index at the time of the Project’s COP approval

Table 3 identifies the publicly available US Bureau of Labor Statistics (BLS) Producer Price Index (PPI), Employment Cost Trend Index, or transparent market price that will be used for each commodity or component.

Table 3: Indices Used in Inflation Adjustment

Commodity or Component	Units, Frequency	Data Source
Labor	Unitless index, monthly	U.S. BLS, Employment, Hours, and Earnings from the Current Employment Statistics survey, Data Series CES2000000003, Average hourly earnings of all employees, construction, seasonally adjusted https://beta.bls.gov/dataViewer/view/timeseries/CES2000000003
Fabrication and machinery materials	Unitless index, monthly	U.S. BLS, PPI, Data Series PCU811310811310, Commercial machinery repair and maintenance https://beta.bls.gov/dataViewer/view/timeseries/PCU811310811310
Steel	Unitless index, monthly	U.S. BLS PPI, Data Series PCU331110331110, Iron and steel mills and ferroalloy mfg, not seasonally adjusted https://beta.bls.gov/dataViewer/view/timeseries/PCU331110331110
New York Harbor Ultra-Low Sulfur No 2 Diesel Spot Price	\$/gal, daily	U.S. Energy Information Administration, Petroleum & Other Liquids Data https://www.eia.gov/dnav/pet/PET_PRI_SPT_S1_D.htm , daily price for last trading day of the month
Copper	\$/lb, daily	COMEX, spot price on last trading day of month https://comexlive.org/copper/

For each commodity or component, $Index_B$ will be set as the average of the last six months of published data, which will be published by NYSEDA at least 15 business days prior to the Proposal Submission Deadline. The final $Index_B$ values that will be used in the Agreement are shown in Table 4.

Table 4: Commodity Inflation Indices as of ORECRFP23-1 Latest Issuance Date

Commodity Index	Value
$Index_{B,Labor}$	36.797
$Index_{B,Fabrication}$	189.344
$Index_{B,Steel}$	284.841
$Index_{B,ULSD}$	2.978
$Index_{B,Copper}$	3.794

$Index_T$ for each commodity or component will be calculated as the average of the monthly values for the six-month period comprising the three months prior to and following the COP Approval. $OREC_{adj}$ will

therefore be calculated when the published monthly prices or indices become available, but no earlier than 6 months after the selected Proposer's receipt of COP Approval.²³

4.3 Settlement Mechanism

To calculate the amount payable to Seller, the Monthly OREC Price will be multiplied by the number of ORECs produced from Actual 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 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 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.

4.3.1 Offshore Network Integration and Adjustment

OREC pricing and contract terms for this solicitation are based on a singular Delivery Point for Projects designed with radial interconnection and a Meshed Ready design, where applicable. NYSERDA acknowledges the potential need for changes to the existing OREC settlement mechanism as a result of a Project being recommended for Meshed Network interconnection by the New York State Public Service Commission or being recommended to utilize other New York State offshore transmission such as any made available in response to the NYC-PPTN. NYSERDA agrees to implement changes to the Agreement if and when such interconnections are confirmed. Projects awarded in this solicitation will be part of New York's growing portfolio and will inevitably be part of an evolving transmission system, including the option to integrate offshore wind projects into a Meshed Network or other offshore transmission system.

As set forth in Section 5.06 of the Agreement, prior to a Project being connected to a Meshed Network or other offshore wind transmission system developed in response to the NYC-PPTN, NYSERDA and the Proposer shall negotiate to amend the pricing provisions of the Agreement to ensure that the Project's economic value is not reduced for reasons attributable to the implementation of the offshore transmission system and that any additional economic value that accrues from offshore transmission system implementation are passed through to ratepayers. Section 5.06 of the Agreement also includes provisions related to: (1) schedule and/or pricing changes to account for delays or reasonably expected increases or decreases in Project cost due to design changes determined to be necessary by NYSERDA,

²³ There is a lag of two months or more from the end of a month to the issuance of a BLS PPI index. The PPI indices are considered preliminary and may be updated by BLS up to four months after publication. The adjusted Index OREC Strike Price or Fixed OREC Price will not be finalized until the final PPI values are published by BLS.

(2) extension of the Outer Limit Date if commencement of Project operation is delayed by offshore transmission system implementation, and (3) compensation for downtime resulting from offshore transmission system implementation.

4.4 Offer Price Evaluation Metric

The offer pricing evaluation will be conducted by NYSDERDA and NYSDERDA 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.

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 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 7.25%²⁴ per year and a long-term inflation rate assumption of 2.36% 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 2029, and therefore a COD_p of 2029. For purposes of the price evaluation, the MF value is assumed to be 100%. If a Proposal includes multiple Offshore Wind Generation Facilities with separate prices, the LNOC will be calculated based on the combined PVNOC and PVOQ.

For the Index OREC pricing structure, Index OREC 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.

For evaluation of Alternate Proposals that include Interconnection Cost Sharing, the Proposer's Interconnection Cost Sharing parameters and other information available to NYSERDA will be used to determine a risk-adjusted estimate of the Project's Interconnection Cost Allocation that will result in an adder to the Index OREC Strike Price or Fixed OREC Price. This risk-adjusted estimate will be determined by NYSERDA based on the expected, high, and low NYISO Interconnection Cost Allocation estimates submitted by the Proposer and associated Specialist Reviewer evaluation, and the expected Interconnection Cost Allocation for purposes of Proposal evaluation may not be the same as the Interconnection Cost Allocation Baseline value.

For evaluation of Alternate Proposals that include Inflation Adjustment, a multiplier representing NYSERDA's expectation of the inflation for the identified indices between the Proposal Submission Deadline and the estimated date of COP Approval for a Project with a COD_p of 2029 will be applied to the Index OREC Strike Price or Fixed OREC Price to determine the total price used in the evaluation.

²⁴ The nominal discount rate (NDR) and inflation rate for Offer Price evaluation were established by the New York State Department of Public Service Office of Accounting, Audits and Finance, revised February 8, 2023.

If a Proposal includes both Interconnection Cost Sharing and Inflation Adjustment, the Inflation Adjustment multiplier will be applied before the Interconnection Cost Sharing Adder to determine the total price used in the evaluation.

4.5 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 procurements. The calculation method will materially differ, however. NYSERDA retains the right to reject any and all 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 LNOC, NYSERDA will consider a number of factors, both positive and negative, which 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 designed to cause the scores of Proposals with higher LNOCs to be 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 a reasonable extent.

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 written notice to Proposer’s Authorized Agent(s), as identified in the Proposal and Appendix A, Proposer Certification Form. Proposer’s Authorized Agent(s) must have executed the Proposer Certification Form to respond and to commit to counteroffers on behalf of Proposer.

5 PRELIMINARY RANKING, PORTFOLIO EVALUATION, AND FINAL AWARD GROUP

5.1 Preliminary Rank Order

Proposals will be ranked according to the total score, calculated as described in Section 3.1 and further described in Sections 3 and 4, and placed in a single rank order (Preliminary Rank Order).

Subject to Section 5.2, if a Proposal is mutually exclusive with a higher-ranking Proposal, for example because they include overlapping lease area space or have an Injection Point and/or Delivery Point in the same NYCA Zone such that if both Proposals were awarded the total amount of MW awarded would exceed the limits prescribed in Section 2.1.3, the Proposal that conflicts with the higher-ranked Proposal will be removed from consideration for award.

NYSERDA will select no more than 1,400 MW delivered via a single HVDC cable or up to 900 MW delivered via up to two HVAC cables into Zone J Delivery Point(s) and no more than 2,800 MW with a Zone K Delivery Point. NYSERDA will not select HVAC Projects beyond the footprint contemplated at the time of the Power Grid Study Order. That is, HVAC projects traversing any Constrained or Prohibited Areas as described in Section 2.1.6 will only be considered for award if the existing HVAC cable footprint through those areas becomes available through contract termination as described in Section 2.1.1.1. Accordingly, NYSERDA encourages Proposers to consider submission of Alternate Proposals with both Zone J and Zone K Delivery Points.

Proposals selected for award from the Preliminary Rank Order shall constitute the Preliminary Award Group. NYSERDA reserves the right to determine the size of the Preliminary Award Group in its sole discretion.

5.2 Consideration of Commission and New York State Guidance and Policy

NYSERDA may elect to modify the Preliminary Award Group in the event that the makeup of the Preliminary Award Group is materially inconsistent with Commission or other New York State guidance or policy (such as the New York State Power Grid Study's Offshore Wind and Zero Emissions Studies or Climate Action Council Draft Scoping Plan) published prior to the receipt of bids regarding the following program policy factors:

- The efficient utilization of transmission points of interconnection and Project selections that will promote the cost-efficient integration of at least 9 GW of offshore wind;
- Preservation of future pathways to integrate at least 9 GW of offshore wind with efficient use of limited ocean rights of way;
- Reduction of execution risk through portfolio diversity;
- System benefits with respect to grid reliability and optimization.

Proposers are encouraged to address the above program policy factors in their Proposals to the extent applicable. NYSERDA reserves the right, at its discretion, to contact Proposers regarding the above

program policy factors and to potentially seek clarifications and/or adjustments to Proposals that would avoid removing a Proposal from the award group on this basis.

5.3 Award Group

The initial award group will be comprised of the Preliminary Award Group determined in accordance with Section 5.1 as modified (if at all) in accordance with Section 5.2. NYSERDA reserves the right to determine the size of the award group in its sole discretion.

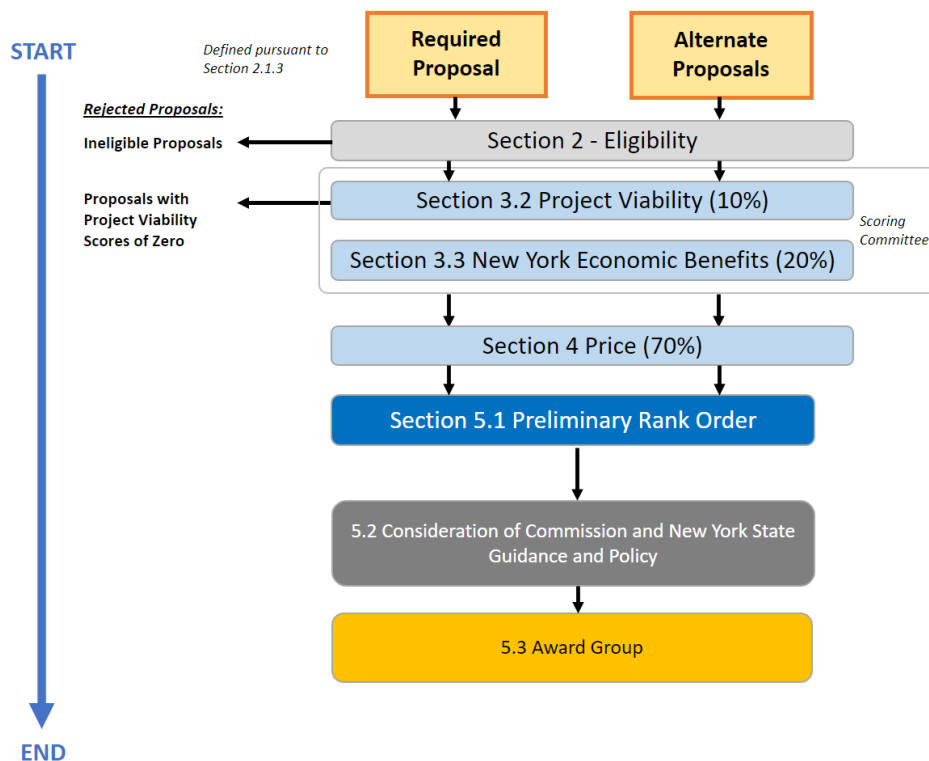
NYSERDA will notify the initial awardees in writing and may also provide notification via phone call or videoconference. The date upon which NYSERDA provides such written notification shall be the initial Award Notification Date.

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 6.2.12 and 7.

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

The foregoing evaluation process is summarized in Figure 3 below.

Figure 3: ORECRFP23-1 Evaluation Process



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

6 INSTRUCTIONS TO PROPOSERS

6.1 Preparation of the Submission

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 2023 Offshore Wind 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 treated in accordance with Section 8.1.

NYSERDA uses a secure Salesforce site to accept Submissions. The Salesforce Portal will open for registration on **January 15, 2024**, and close for registration on **January 19, 2024 at 3:00 PM ET**.

For detailed instructions toward submission and interfaces with this site refer to Appendix K. Proposal Submission Guide once posted by NYSERDA. The Submission must be uploaded to NYSERDA's secure Salesforce site which will open for Proposal submission on **January 19, 2023**.

Links will be available on the above-mentioned dates.

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.

6.1.1 Confidential Version of Submission

A Proposer must submit an unredacted complete version of each required document. The Master Offers Form, Offer Data Form(s), Project Risk Register and Wind Resource Data must be submitted as Excel files, with all required information included. The Project Schedule must be submitted as a Microsoft Project file. The Cable Route GIS files must be submitted as a ZIP file containing KMZ files. The Executive Summary and all other required files must be submitted as searchable PDF files. The confidential version of the Proposal will be treated as confidential and sensitive information, **subject to the treatment of confidential information discussed in Section 8.1**.

6.1.2 Public Version of Submission

The Executive Summary, Project Schedule and Status, Project Development Plan, Interconnection and Deliverability Plan, Fisheries Mitigation Plan, Environmental Mitigation Plan, Stakeholder Engagement Plan, Disadvantaged Communities Impacts, Visibility Study, Economic Benefits Plan, and New York Jobs and Workforce Plan must be 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 content requirements described in the relevant components of Section 6.2, but Proposers may redact information where there is a reasonable basis to assert that the information constitutes trade secrets or if disclosed would cause

substantial injury to the competitive position of the Proposer or other commercial enterprise from which the information was derived. See Section 8.1.

This public versions of the Executive Summary, Project Schedule and Status, Project Development Plan, Interconnection and Deliverability Plan, Fisheries Mitigation Plan, Environmental Mitigation Plan, Stakeholder Engagement Plan, Disadvantaged Communities Impacts, Visibility Study, Economic Benefits Plan and New York Jobs and Workforce Plan will be posted on the [NYSERDA 2023 Offshore Wind Solicitation website](#) shortly after the Proposal Submission Deadline. The file name of the submitted file should include the word “Public” as noted in Section K.3.3 of Appendix K. NYSERDA will not further redact the public versions of files. Anything submitted in the public versions will be made available to the public.

6.2 Organization of the Submission

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

- Executive Summary (Public and Confidential versions, see Section 6.2.1)
- Master Offers Form (see Section 6.2.2)
- Offer Data Form (one per Proposal) (see Section 6.2.3)
- Documentation of Eligibility (see Section 6.2.4)
- Project Schedule and Status (Public and Confidential versions, see Section 6.2.5)
- Project Schedule (see Section 6.2.5.1)
- Project Development Plan (Public and Confidential versions, see Section 6.2.6)
- Project Risk Register (see Section 6.2.6.6)
- Interconnection and Deliverability Plan (Public and Confidential versions, see Section 6.2.7)
- Cable Route GIS Files (see Section 6.2.7.1)
- Fisheries Mitigation Plan (Public and Confidential versions, see Section 6.2.8.1)
- Environmental Mitigation Plan (Public and Confidential versions, see Section 6.2.8.2)
- Stakeholder Engagement Plan (Public and Confidential versions, see Section 6.2.8.3)
- Disadvantaged Community Impacts (Public and Confidential versions, see Section 0)
- Visibility Study (Public and Confidential versions, see Section 6.2.8.5)
- Visibility Study GIS Shapefiles (see Section 6.2.8.5.1)
- Energy Resource Assessment (see Section 6.2.8.5)
- Wind Resource Data (see Section 6.2.9.1)
- Economic Benefits Plan (Public and Confidential versions, see Section 6.2.10)
- New York Jobs and Workforce Plan (Public and Confidential versions, see Section 6.2.11)
- Exceptions to Agreement (optional, see Section 6.2.12)

In order to streamline the evaluation, each file should include the required narrative content as described below and any associated exhibits or appendices that contain necessary supporting information. **That is, only one file should be provided in response to each heading**, with the exception

of (1) entries that require confidential and public versions and (2) the Offer Data Form(s), **unless file size (limited to 100 MB) dictates splitting into pieces**. Each file must be a fully searchable PDF file, unless a different file type such as Excel is necessary for presentation of the information.

6.2.1 Executive Summary

The Executive Summary shall not exceed ten (10) pages. The Submission must include both Confidential and Public versions of the Executive Summary. The Executive Summary should provide a high-level overview of the proposed Project in narrative and tabular form, as described below.

1. Provide a single page describing the Project(s) including the Offer Capacity, Injection Point(s), and the array of Proposals included in the Submission, including the proposed Contract Tenor(s), along with the variance represented by any included Alternate Proposals including Project configurations, interconnection, COD, or economic benefits.
2. Provide a map (or maps) showing the proposed Offshore Wind Generation Facility, the turbine array location relative to the total lease area, distance from shore, offshore substation and conceptual offshore and onshore cable route of the generator lead line to the Injection Point, and onshore converter station, including any flexibility or alternative considerations.
3. Provide a map (or maps) showing the planned port and supply chain facilities, including vessel providers, for each Project configuration included in the Submission.
4. Provide up to two pages summarizing the Economic Benefits Plan and the New York Jobs and Workforce Plan. For each Proposal, state the total Incremental Economic Benefits, as calculated in the corresponding Offer Data Form.

Please further include:

- A list of contacts for the Proposal, including preferred key contacts for executive level, Project Team, and public communications.
- Information or statements about how the selected Project Team embodies diversity, equity, and inclusion principles.
- Overview of stakeholder support including references or contacts of key supply chain, port facilities, environmental, educational, or labor stakeholders that endorse or otherwise supply goods or services to the project.
- Overview of local community (elected officials and the public) support of the project, point-of-interconnection and, if applicable, cable fall and route.
- A high-level summary of environmental and fisheries avoidance, minimization, and mitigation strategies that will reduce Project impacts and risks to wildlife and economically important fish and invertebrates.
- A high-level timeline noting key project stages and anticipated milestones.
- Relevant company background, highlighting similar projects, notable experience, and global portfolio.
- For Proposers submitting a Conditional Termination Agreement as described in Section 2.1.1.1, please describe the justification for seeking to re-contract or terminate existing contacts.

The public version of the Executive Summary must include, at minimum, basic information about the developer(s) and the Project, including Project area relative to the total lease area, distance from shore including viewshed impacts, Injection Point(s), and a high-level timeline including the target Commercial Operation Date. The public version must also seek to highlight important benefits (quantitative) and opportunities of the Project development, any public website or forum available to connect with the Project Team, and relevant educational resources about offshore wind.

6.2.2 Master Offers Form

The Master Offers Form (Appendix J) is an Excel workbook that (1) calculates the Proposal Fee based on the scope of the Submission, (2) collects Proposal summary and alignment information. 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 among individual Proposals. The Master Offers Form has two parts, listed below, and a User Guide. If Proposer provides information in the Master Offers Form that conflicts with the information provided within other submitted documents, the other submitted document shall be considered to contain the governing and binding information.

Part I Proposal Fee Calculation

Proposer name, Proposer ID, number of Offshore Wind Generation Facilities included in the Submission, Offshore Wind Generation Facility name(s), BOEM renewable energy lease number(s), list of Proposals included in the Submission, Offer Capacity for each Proposal, and whether each Alternate Proposal includes Interconnection Cost Sharing and/or Inflation Adjustment.

Part II Proposal Summary and Alignment

Enter summary information about each Proposal and whether and how each Proposal varies from other Proposals in the Submission.

6.2.3 Offer Data Form(s)

The Offer Data Form (ODF) (Appendix I) is an Excel workbook used to submit pricing, technical, and operational information for the proposed Offshore Wind Generation Facility and claimed Incremental Economic Benefits of the Project. The ODF allows separate pricing to be submitted for each of up to two Contract Tenors. A separate ODF must be submitted for each Proposal.

The ODF has five 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 Agreement.

Part I Identification Worksheet

Proposer name, number of Offshore Wind Generation Facilities included in Proposal, Offshore Wind Generation Facility name(s), BOEM renewable energy lease number(s), available lease area capacity, Offer Capacity for each Offshore Wind Generation Facility, whether each Offshore Wind Generation Facility is Meshed Ready, total Offer Capacity,

number of phases in which Offer Capacity will enter Commercial Operation, Proposal type (Required or Alternate), , unique Proposal name (if not the Required Proposal), Proposal Code (from the Master Offers Form), pricing structure, contract tenor(s), and whether the Proposal includes Interconnection Cost Sharing and/or Inflation Adjustment.

Part II Project Definition Worksheet

The expected Commercial Operation Date and capacity of each phase, the P10 Annual OREC Exceedance value(s), and Injection Point and Delivery Point descriptive information.

Part III Expected Performance Worksheet

P50 Generation (before outages and land-based transmission and curtailment losses) as a fraction of installed capacity by month and hour of day and delivered energy as a fraction of P50 Generation by month and calendar year.

A separate Part III must be filled out for each Offshore Wind Generation Facility in the Proposal.

Part IV Pricing Worksheet

Indicate whether a Proposal with multiple Offshore Wind Generation Facilities has separate pricing for each Facility and enter 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 ODFs for the Required Proposal must include an offer for the 25-year Contract Tenor.

NYISO Interconnection Cost Allocation parameters are entered, including an estimate of the expected, high, and low values. If the Proposal includes Interconnection Cost Sharing, indicate whether each Offshore Wind Generation Facility will include Interconnection Cost Sharing. If Interconnection Cost Sharing is included, identification of interconnection cost levels with percentages allocable to NYSERDA within the Interconnection Cost Sharing Adder is required.

Part V Economic Benefits Worksheets (See Section 6.2.10 and Appendix B.1)

Data are entered by ID number, including Project phase, time period, first calendar year and last calendar year in which the benefit is expected to accrue, claim type from Appendix B.1, description, and the Total Dollars (stated in nominal dollars). Labor Dollars, MWBE and SDVOB Dollars, NYS Iron and Steel Dollars, Non-NYS U.S. Iron and Steel Dollars, Disadvantaged Community Commitments, and Supply Chain Investments can be entered where applicable. Each line item must be cross-referenced in the Economic Benefits Plan using the template provided in Appendix B.1.

6.2.4 Documentation of Eligibility

The following sections specify content that is not included in the Master Offers Form or Offer Data Form and must be presented in a combined PDF to confirm eligibility. Each section should be approximately one page in length, except for documents required to be appended as noted herein, although longer content can be provided if needed to demonstrate eligibility.

6.2.4.1 ORECs Offered

For Offshore Wind Generation Facilities that contribute less than 800 MW to the Proposal's Offer Capacity, provide the turbine capacity density assumptions used to arrive at the Offer Capacity as representing the maximum available capacity from the lease area.

6.2.4.2 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.

Identify any rights that Proposer or its development partner has at the Injection and Delivery Point(s) and for the generator lead line right of way. Identify any additional rights that are necessary for interconnection and for the generator lead line right-of-way.

6.2.4.3 Interconnection and Deliverability

For Proposals with an Injection Point in an adjacent Control Area, describe how the Electricity Delivery Requirements contained in Article III of the Agreement will be met.

Provide a conceptual map of the radial export cable route demonstrating compliance with any applicable cable routing restrictions as prescribed in Section 2.1.6.

Provide documentation to show evidence of the interconnection request to NYISO or any neighboring Control Area for Capacity Resource Interconnection Service (CRIS) or for Energy Resource Interconnection Service, or similar interconnection standards in the neighboring Control Areas.

For Proposals that include a plan for alternate uses of a Project's electric output, describe the specific mechanisms for measuring and allocating electric output to comply with NYSERDA's requirements, as stated in Section 2.1.6.

6.2.4.4 Decarbonization Strategy

Describe the Proposer's strategy to address embodied carbon or other carbon reduction techniques in contribution to New York State's decarbonization goals. 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 and will be considered and integrated into the Project's design in the future to minimize carbon emissions, including embodied carbon, from the proposed Project.

Describe the carbon footprint of the Project overall and how, by design, the Project is actively seeking opportunities to reduce the amount of embodied carbon. 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, and decommissioning. This could also include opportunities to support carbon mitigation efforts in collaboration with New York State manufacturing sources. Describe any further commitments or strategies outside of Project development made by the Proposal.

Describe 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. In accounting for carbon footprint and energy and carbon payback periods, proposals should include Scope 1, 2 and 3 emissions as outlined by the U.S. Environmental Protection Agency (EPA) and described in Section 2.2.14.

6.2.4.5 Climate and Resilience Strategy

Describe how climate-related physical risks, including both direct and indirect impacts, have been considered and used to inform the selected project design including technologies, financing, construction, operational or maintenance features of the Project. Identify potential system weaknesses that could result in cascading negative impacts for both offshore and onshore assets. Identify design considerations (technology selection, layout) for climate adaptation and resiliency and features that will strengthen the Project's ability to handle shocks and stresses.

Describe potential impacts of sea level rise, dynamic flooding events, coastal flooding, extreme heat, cold snaps, potential impacts from increased frequency and severity of storms (e.g., superstorms, hurricanes, seismic activity, etc.) on the Project design and operation.

Describe how specific Project features strengthen any or all of the following attributes of resilience: robust, integrated, redundancy and flexibility. Proposers may also demonstrate how selected resilience features provide value to the Project. Proposers are required to demonstrate how they have referenced and incorporated the [Offshore Wind Climate Adaptation and Resiliency Study](#).

Describe the planned insurance program, including how climate-related physical risks are factored into the insurance deductible and if added resilience measures or design and construction features taken to strengthen the ability of the Project to handle climate shocks or stresses may act to lower insurance premiums or deductibles.

6.2.4.6 Conflicts of Interest, Required Disclosures and Certifications

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 must be provided (see Section 8.2). If Proposer has any required disclosures, in accord with Section 8.5, they should be stated in this section. If Proposer has no required disclosures, that should be stated.

If Proposer has any conflicts of interest, in accord with Section 8.8, they must be disclosed. If Proposer has no conflicts of interest, that should be stated.

Proposer must complete the Proposer Certification Form in Appendix A and attach it to this Submission document. The Proposer Certification Form must be signed by an authorized officer or other duly authorized representative of Proposer to certify the validity of the offer and attest to other representations.

Proposer must complete a Certification Under Executive Order No. 16, as published by the Office of General Services and available here: <https://ogs.ny.gov/EO-16>, and attach it, in accord with Section 8.11.

Proposer must complete a Vendor Responsibility Checklist and attach it, in accord with Section 8.12.

Prospective Proposers who currently hold an active agreement with NYSERDA with respect to the ORECs being offered in this solicitation must enter into a binding agreement that will cause the active agreement to automatically terminate at the conclusion of ORECRFP23-1, as detailed in Section 2.1.1.1. Attach the executed Conditional Termination Agreement (Appendix L) here.

Proposers must execute a Non-Disclosure Agreement and attach it, in accord with Section 2.1. NYSERDA will publish the Non-Disclosure Agreement template by January 3, 2024.

6.2.5 Project Schedule and Status

Proposers must demonstrate that the Project can reasonably be permitted, developed, financed, and constructed within a commercially reasonable timeframe consistent with the proposed Project schedule. The Submission must include both Confidential and Public versions of the Project Schedule and Status. The Commercial Operation Date(s) must be clearly stated in this section and consistent across the Submission.

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 must submit reasonable milestones that are achievable, thereby placing the Project on an achievable milestone schedule to 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 proposed Commercial Operation Date(s). Provide a detailed Gantt chart equivalent in a Microsoft Project .mpp file or Microsoft Excel .xlsx file (the required Project Schedule attachment referenced in Section 6.2.5.1) For each Project element listed below, provide the start and end dates and include the following:

1. Identify the critical path. The schedule should include, at a minimum, the tasks associated with 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 NYISO Interconnection Service Agreement, financial close, procurement of engineer/procure/construct contracts, detailed

engineering design, procurement of wind turbine generators, monopile, substation equipment and offshore and onshore cabling, start of construction, offshore and onshore construction, including foundation installation, turbine erection, offshore and onshore substation construction, commissioning 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.

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.

A PDF copy of the Project Schedule file should be appended to the submitted file.

6.2.5.1 Project Schedule

The Microsoft Project schedule attachment must be included in the Submission in the form of a Gantt chart in an unlocked Microsoft Project .mpp file or Microsoft Excel .xlsx file. If the Project Schedule varies among Proposals, the additional information may be provided in the same file, as long as the variances are clearly labeled for Proposal correspondence, or in separate files. Each task in the schedule should show its start and end dates, its predecessor task (tasks that need to be completed or underway before the task can begin or be completed) and its successor task (other tasks that need the task to begin or be completed). The task start and end dates should not be hard coded, but rather be determined based on the task duration and predecessor tasks status.

6.2.6 Project Development Plan

The Project Development Plan must be submitted as a single file, not to exceed 100 pages, with the following included subsections. The Submission must include both Confidential and Public versions of the Project Development Plan.

6.2.6.1 Project Team

This section of the Submission must describe the Project Team's experience in developing generation and transmission facilities of similar size, technology and complexity and 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. A description of the business entity structure of Proposers' organization from a financial and legal perspective, including all general and limited partners, officers, directors, and involvement of any subsidiaries supporting the Project.
2. An organizational chart for the Project that lists the Project participants, including parent companies and joint ventures transacting business in the energy sector, identifies the corporate

structure, including general and limited partners, and shows the relationship among the different Project participants.

3. A management chart that lists the Project Team principals dedicated to this Project and a short statement for each describing the rationale for their selection based on either their experience in a technical subject matter or demonstrated similar skill sets. Identify the team members that are currently based in New York State and those team members who will relocate to New York State.
4. Identify and describe, including relevant experience, the entity or entities responsible for the following, as applicable:
 - a. Construction Period Lender, if any
 - b. Community Liaison Officer
 - c. Diversity, Equity, and Inclusion Officer
 - d. Environmental Consultant
 - e. EPC Contractor (if selected)
 - f. Facility Operator and Manager
 - g. Financial Advisor
 - h. Health and Safety Consultant
 - i. Labor Liaison
 - j. Legal Counsel
 - k. Operating Period Lender and/or Tax Equity Provider, as applicable
 - l. Owner's Engineer
 - m. Transmission Consultant
5. A list of projects of similar type, size, technology and/or complexity that each of the Project participants (Proposer and any development partners) has had a role in developing, financing, owning, and operating generation and transmission facilities, and any evidence that the Project participants have worked jointly on other projects. Identify the specific members of the Project Team that worked on each project listed.
6. Disclose any pending (currently or in the past three years) Health/Safety Enforcement Notice, litigation or disputes related to projects planned, developed, owned or managed by Proposer or parent companies or JV partners, or related to any energy product sale agreement.
7. Describe any material litigation, disputes, claims or complaints, or events of default or other failure to satisfy contract obligations, or failure to deliver products, involving Proposer or a parent company, and relating to the purchase or sale of energy, capacity or RECs or other electricity products.

6.2.6.2 Permitting Plan

All required federal, regional, state, and local permits and approvals must be identified, and the status of each permit or approval must be provided. Proposers should provide context to the status of each

permit, such as known barriers or issues which may materially affect the Project's permitting approval timelines.

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. 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. 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 as described in Section 6.2.5.1.
3. 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.

6.2.6.3 Financing Plan

Proposers must submit a financing plan that demonstrates a firm financing commitment for the Project that supports project execution. The Financing Plan must include:

1. A short description of projects that the Proposer has financed or is in the process of financing.
2. A description of the Financing Plan for the Project including construction and term financing including:
 - a. Project financiers (or those being considered to finance) and the related financing mechanism or mechanisms that will be used (i.e., convertible debenture, tax or contingent equity, other) including repayment schedules and conversion features
 - b. Project's existing financial structure and projected financial structure
 - c. Expected sources of debt and equity financing and uses, including details of how the construction phase of the project will be financed and 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
 - d. How any such agreements would differ under different pricing options for the Submission (e.g., Fixed OREC vs. Index OREC, Inflation Adjusted, or Interconnection Cost Sharing)
 - e. Estimated construction costs and consideration for contingencies or cost overruns
3. Evidence that Proposer has the financial resources and financial strength to complete and operate the Project as planned.

4. The planned insurance program, including how climate-related physical risks are factored into the insurance deductible and if added resilience measures or design and construction features taken to strengthen the ability of the Project to handle climate shocks or stresses may act to lower insurance premiums or deductibles.
5. The method the Proposer will use to estimate inflation using an index or indices that are relevant to the Project's construction and operations costs.
6. 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 and estimated eligible capital expenditures. Provide an explanation for the assumed ability or inability to qualify for the Federal Production Tax Credit or Investment Tax Credit. The Proposal may not be contingent on receipt of the Production Tax Credit or Investment Tax Credit. Refer to Section 2.1.5 and to Section 5.07 of the Agreement for the Bid Price adjustment related to receipt of Project Qualifying Federal Support.
7. Complete copies of the most recent audited financial statement and annual report for each Proposer for each of the past three years; including parent companies 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 parent companies and development partners.
8. The Proposer's ability (and/or the ability of its credit support provider) to provide the required security, including its plan for doing so.
9. A description of any current or recent credit issues / credit rating downgrade events regarding Proposer or parent companies raised by rating agencies, banks, or accounting firms. Provide information regarding any exposure of the Proposer and/or parent companies including joint ventures to adverse events related to investments and other activities in Russia. Discuss corporate withdrawals from investments in Russia, the impact of write-offs, write-downs and/or related impairment charges and government sanctions arising from the conflict in Ukraine affecting the Proposer, parent companies and/or joint venture participants, including limited liability corporations.
10. Details of any events of default or other credit/financial issues associated with all energy projects (other than those under contract with NYSERDA) in which the Proposer (and other equity partners), its parent companies, and directors, officers, and senior managers of those entities, participated over the past three years.
11. The allowances or mechanisms in place to address high risk contingencies and cost overruns in the Project budget, including how the how will address the risk of increases to project cost. For example, refer to the Project's commitment to utilize financial hedging instruments and/or pass through commodity price risk to suppliers.

6.2.6.4 Equipment, Development, and Logistics Plan

The Equipment, Development, and Logistics Plan will highlight the proposed technology inclusive of procurement strategy for the Primary Components, key marine terminals, and vessels to support the

construction, operations, and maintenance phases of the Project, and include a holistic risk assessment to all Project phases.

The Equipment, Development, and Logistics Plan must first outline the specific technology or equipment planned for the Project, including the track record of the technology and equipment and other information as necessary to demonstrate that the selected Primary Component equipment and technology is viable.

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.

1. Type of turbine and sub-station foundation, Offer Capacity, and radial export cable transmission technology.
2. Primary Components to be used, including the manufacturer or proposed manufacturer and location of manufacturing for each.
3. Status of acquisition of the Primary Components, including any contracts for the Primary Components that Proposer has secured or plans to secure and the status of any pertinent commercial arrangements.
4. Other equipment or service vendors identified/considered
5. Design and performance history of the selected Primary Components and equipment
6. Design considerations that help to support responsible disposal and or recycling of Primary Components after the end of their useful life and equipment plans that generally aim to consider the precepts of the circular economy.
7. In the event the Primary Components or Sub-component manufacturers have 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).

The Equipment, Development, and Logistics Plan must further explain the necessary arrangements and processes for outfitting, assembly, storage, and deployment of Primary Components. Please provide a section focused on construction and logistics 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. 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.

3. 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 6.2.5.1.
 - c. Identify any joint use of existing or proposed real property rights for marine terminal or waterfront facilities.
4. Describe the proposed approach for staging and deployment of Primary 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.
5. 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).

The Equipment, Development, and Logistics Plan should then detail the operating parameters for the Project, including the anticipated maintenance schedule.

1. 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).
2. Provide all the expected operating constraints and operational restrictions for the Project, the reason for the limitation, and characterize any applicable range of uncertainty.

6.2.6.5 Quality, Health, and Safety

The Quality, Health and Safety section should outline the overall approach to ensuring quality health and safety for the project and include:

- Demonstration of loss prevention through risk observation, near miss, and incident reporting and tracking systems.
- Disclosure of, any Health/Safety Convictions and any Health/Safety Enforcement Notice(s) in the past 10 years.
- Examples of the Project Team safety and security policies or best practices to be implemented through all project phases (e.g., ritual pre-job safety meetings, Stop the Job or Stop Work Authority policies, basic injury prevention, IT and Cyber Security measures, fatigue management, etc.) and the degree to which Major Suppliers and any contractor or supplier of the Project are expected to be trained in and adhere to Project Team best practices.

- A high level hazard analysis and risk controls matrix identifying the severest hazards to Project quality and security and human health and safety, and the mitigative measures to be taken to reduce both the likelihood or severity those hazards.

Proposers are advised to review to the [Health and Safety Study](#) prepared for the New York State Offshore Wind Master Plan.

6.2.6.6 Project Risk Register

The Proposal must include a Project Risk Register that identifies a minimum of 30 significant risks to realizing the successful development and operation of the Project. This must include the provision of any significant infrastructure outside the remit of the Project on which the Project depends. For example, a new point of interconnection.

The project risk register should include identification and treatment of the risks associated with permitting, engineering, procuring equipment, construction, operations, maintenance, health, safety, security, or any other risks associated with the Project.

The Project risk register should be included in Microsoft Excel format structured as follows:

1. Each sheet should correspond to the key Project phases: Development, Construction and Installation, Operations and Maintenance, and Decommissioning.
2. For each sheet, the spreadsheet rows each correspond to one specific risk associated with permitting, engineering, procuring equipment for, constructing, servicing and operating the project.
3. For each sheet, the separate spreadsheet columns should:
 - a. Describe each risk in detail.
 - b. Provide an assessment of the likelihood of occurrence and impact on, or consequences for, the project schedule and/or cost of each potential risk, preferably in a combined risk score, describe the various scenarios under which the risk may occur and the likelihood of occurrence (low, medium, high)
 - c. Describe the severity of impact to project quality or personnel health and safety if the risk were to occur (low, medium, high) Proposers should consider the worst-case scenario. Each potential impact can be related to but not limited to the proposers, their collaborations, permitting, finance, technology, construction, operations, including project quality, security, health or safety risk, and energy yield.
 - d. Identify the risk treatment or risk mitigation measures to be applied. Measures taken to address the risk either reduce the likelihood of occurrence (avoid the risk) or reduce the severity of impact (through mitigation, insurance, and/or protection)
 - e. Describe how each proposed risk treatment will be implemented and enforced, including the status of implementation where applicable, and assess the effectiveness of proposed risk reduction strategies and re-score the perceived risk (low, medium, high).

6.2.7 Interconnection and Deliverability Plan

The Interconnection and Deliverability Plan must demonstrate that Project's plan for offshore transmission and onshore grid interconnection is technically viable and can be implemented on a timeline that is consistent with meeting the overall development schedule and proposed Commercial Operation Date(s). The Submission must include both Confidential and Public versions of the Interconnection and Deliverability Plan.

Proposers should provide the following information in the Interconnection and Deliverability Plan:

1. Identify the anticipated Injection and Delivery Point(s), support facilities, and the relationship of the Injection and Delivery Point(s) to other local infrastructure, including transmission facilities, roadways, and waterways. Include as much supportive detail and information of relevance for an actual or eventual Article VII filing as available at the time of submission. Identify whether the proposed cable routes impact New York Disadvantaged Communities. If Disadvantaged Communities are impacted by the proposed cable route, identify which Disadvantaged Communities are impacted and for the approximate miles the onshore cable route.
2. Describe any Alternate Proposals which contemplate different Delivery Points. Give details on relative merits of each considering cable routing, interconnection cost, local system upgrades, or other benefits or burdens associated with siting the Project.
3. Describe the status of any planned interconnection to the grid.
4. 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) as presented in response to Section 6.2.5.
5. Provide a copy of an electrical one-line diagram showing the interconnection facilities and the relevant facilities of the transmission provider.
6. Identify and provide an estimate of the expected (50% probability of exceedance) NYISO Interconnection Cost Allocation along with high (10% probability of exceedance) and low (90% probability of exceedance) estimates of the NYISO Interconnection Allocation, which should include all proposed or anticipated interconnection and transmission system upgrades, including any transmission system upgrades beyond the point of interconnection that are needed to ensure delivery of energy from the Offshore Wind Generation Facility into NYCA. Provide a clear explanation for how the estimated expected, high, and low Interconnection Cost Allocations relate to any studies that were performed. If there are differences between the studies and the proposed values, or any engineering judgment was applied, explain. If studies exist that are outside the range of the high and low Interconnection Cost Allocation estimates, please explain. For example, if a study shows upgrade costs beyond the estimated high Interconnection Cost

Allocation, explain why the particular scenario studied is unlikely. NYSERDA understands that these values will be imperfect and seeks to understand the Proposer's view on interconnection risks.

7. Identification of the costs associated with all elements of the needed transmission infrastructure, including the offshore substation, Meshed Ready design, radial export cable material and installation costs. Include a breakdown of costs of the cable installation plan, including both onshore and offshore cable routing.
8. Proposals must provide any information they are aware of regarding the available capacity, at the time of submission, of the proposed Injection Point(s), such as through the [Utilities' Revised Headroom Calculations](#) as filed with the PSC.
9. Identify the entity that will assume the duties of NYISO Market Participant for your proposed Offshore Wind Generating Facility. 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.
10. For any Proposals that will be included in the Meshed Ready system, describe the components that will be installed to meet the Meshed Ready requirements set forth in Appendix F and enable future operability if recommended by the New York State Public Service Commission for interconnection to the Meshed Network.
11. For any Proposals that will be included in the Meshed Ready system, provide drafts of the required Meshed Ready deliverables listed in Section F.2.3 of Appendix F.
12. For any Proposals that will be excluded from the Meshed Ready system, provide a clear and detailed justification for the exclusion.

6.2.7.1 Cable Route GIS Files

Provide detailed maps as KMZ files that show the proposed off- and on-shore cable route(s) from the offshore project to the proposed Injection Point including (if applicable) the landfall point(s), the converter station location and the assumed right-of-way width.

KMZ files should be compiled in a single ZIP file for submission.

6.2.8 Responsible Development

Each of the following subsections must be submitted as a separate file.

6.2.8.1 Fisheries Mitigation Plan (see Appendix C)

Elements of the Fisheries Mitigation Plan are described in detail in Appendix C. The Fisheries Mitigation Plan must address any variance among Proposals. The Submission must include both Confidential and Public versions of the Fisheries Mitigation Plan. The public version of the Fisheries Mitigation Plan will be made publicly available upon Proposal submission and should therefore utilize language accessible to

the public that demonstrates an understanding of New York’s diverse stakeholders, unique coastal and marine resources, and local communities.

The Fisheries Mitigation Plan should give as much detail as possible on how Proposer will mitigate adverse impacts on the commercial fishing industry that may be caused by the Project. 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. NYSERDA recognizes that after submission to the agency, the Proposer may change and update the Fisheries Mitigation Plan to reflect findings during the environmental reviews conducted by BOEM or New York State.

6.2.8.2 Environmental Mitigation Plan (see Appendix D)

Elements of the Environmental Mitigation Plan are described in detail in Appendix D. The Environmental Mitigation Plan must address any variance among Proposals. The Submission must include both Confidential and Public versions of the Environmental Mitigation Plan. The public version of the Environmental Mitigation Plan will be made publicly available upon Proposal submission and should therefore utilize language accessible to the public that demonstrates an understanding of New York’s diverse stakeholders, unique coastal and marine resources, and local communities.

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. 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. As with the Fisheries Mitigation Plan, NYSERDA recognizes that after submission to the agency, the Proposer may change and update the Environmental Mitigation Plan to reflect findings during the environmental reviews conducted by BOEM or New York State. NYSERDA encourages Proposers to consider mitigation measures beyond those that may be legally required by environmental reviews completed under NEPA, SEQRA or other review laws.

6.2.8.3 Stakeholder Engagement Plan (see Appendix E)

Elements of the Stakeholder Engagement Plan are described in detail in Appendix E. The Stakeholder Engagement Plan must address any variance among Proposals. The Submission must include both Confidential and Public Versions of the Stakeholder Engagement Plan. The public version of the Stakeholder Engagement Plan should use language accessible to the public that demonstrates an understanding of New York’s diverse stakeholders, unique coastal and marine resources, and local communities.

The Stakeholder Engagement Plan should describe all stakeholder engagement activities and commitments during the planning, construction, operation, and decommissioning phases of the Project and associated investments. The Stakeholder engagement Plan must also address the Project’s visibility

from shore and mitigation measures to address affected communities. All letters of support for the Project should be attached to the Stakeholder Engagement Plan, with a cover page summarizing how many letters of support and from whom.

6.2.8.4 Disadvantaged Community Impacts (see Appendix B.2)

Guidance related to Disadvantaged Community impacts is provided in Appendix B.2. The Submission must include both Confidential and Public versions of the Disadvantaged Community Impacts.

Proposers are expected to explore how they can design their Project and associated investments to provide benefits to and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order and the [Climate Action Council's Scoping Plan](#). All Proposers are required to fully detail the benefits and burdens associated with the impacts of the Project's development on any Disadvantaged Communities that are hosting a Project or whose local economy, infrastructure, and air, water, and other natural resources are directly impacted by a Project, as identified through engagement with Disadvantaged Communities, and in accordance with the most recent relevant guidance per the [Climate Action Council](#) and [Climate Justice Working Group](#). Proposers are further advised to review the New York State [Disadvantaged Communities Barriers and Opportunities Report](#).

Commitments to Disadvantaged Communities must align or reference those described in the Economic Benefits Plan, according to Appendix B.1 and will be incorporated in Section 6.05 of the Agreement.

6.2.8.5 Visibility Study

The Submission must include both Confidential and Public versions of a visibility study consistent with the Visual Impact Assessment as part of the COP.

The Visibility Study must present visual simulations of the proposed Offshore Wind Generation Facility. Visibility studies must include a map or maps 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). The visibility Study must identify the distance in statute miles between the nearest shoreline point and the nearest Offshore Wind Generation Facility turbines. If the nearest shoreline point is not in New York State, the Proposal should also identify the nearest New York shoreline point and include the nearest New York shoreline point in the viewshed impacts discussion. 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, consistent with the Visual Impact Assessment required through the COP. Proposals must address any mitigative viewshed impacts considered for the closest points to shore and if applicable any sensitive or historic viewpoints. 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.

6.2.8.5.1 Visibility Study GIS Shapefiles

Provide 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).

6.2.9 Energy Resource Assessment

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. 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.

Provide a justification for the selected P10 Annual OREC Exceedance value based on the Wind Resource Data for the Project. Provide the basis for the delivered energy profile presented in Part III of the Offer Data Form relative to the P50 generation profile, including a reasonable assessment of potential/expected curtailment in addition to losses. Describe measures to identify and control the regulatory and operational risks related to the delivery of energy from the Offshore Wind Generation Facility.

6.2.9.1 Wind Resource Data

Provide at least one year of hourly wind resource data in an unlocked Excel file.

6.2.10 Economic Benefits Plan (See Appendix B.1)

The Submission must include both Confidential and Public versions of the Economic Benefits Plan. The Economic Benefits Plan should begin with a two-page summary of the Proposer’s approach to Incremental Economic Benefits, highlighting key expenditures, commitments, and partnerships. Following the summary, the Economic Benefits Plan should present a summary table using the format shown in Table 1 for each Proposal. The next section of the Economic Benefits Plan should present

descriptive and supporting information for *each* of the claims presented in Part V of the Offer Data Form using the template provided in Section B.1.B of Appendix B.1, specifically Table B.1.1.

The purpose of the Economic Benefits Plan is (i) to allow the Proposer to document its approach to fulfilling the claims that are provided in the Offer Data Form, (ii) to allow the 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, and (iv) to allow the Proposer to capture and explain perceived broader impacts and causal sequence of economic benefits that are otherwise not captured in the Offer Data Form.

The Scoring Committee will consider any supporting documentation that the Proposer provides in the Economic Benefits Plan that describes the basis for the values presented (for example, a third-party study from a reputable consulting company) in determining the firmness and credibility of the economic benefits claims. If such documentation is provided, it must be attached to the Economic Benefits Plan. The Economic Benefits Plan must address the New York Supplier Opportunity, and Verification Plan for each claim and further explained in Appendix B.1.

6.2.11 New York Jobs and Workforce Plan (See Appendix G)

Elements of the New York Jobs and Workforce Plan are described in detail in Appendix G. The New York Jobs and Workforce Plan must address any variance among Proposals. The Submission must include both Confidential and Public versions of the New York Jobs and Workforce Plan. The public version of the New York Jobs and Workforce Plan will be made publicly available upon Proposal submission and should therefore utilize language accessible to the public that demonstrates an understanding of New York's diverse stakeholders, unique coastal and marine resources, and local communities.

The New York Jobs and Workforce Plan should describe the Project's impact and benefit to New York's offshore wind workforce with specific focus on recruiting and collaborating with skilled trades / labor unions, members of Disadvantaged Communities, MWBEs and SDVOBs. It is strongly encouraged that Proposers review the latest [New York Clean Energy Industry Report](#).

6.2.12 Exceptions to Agreement

If Proposer is proposing any exceptions to the Agreement, included as Appendix H, Proposer must provide a redlined markup of the Agreement and provide an explanation and justification for each requested change. Proposers are encouraged to submit a description of any potential proposed exceptions in written questions as further described in Section 1.6.

Note that ORECRFP23-1 is a competitive procurement. Competitive procurement rules and the Offshore Wind Orders limit NYSERDA's ability to alter the terms of the Agreement. Should the Project receive an award, NYSERDA will contact the Proposer to schedule a discussion regarding the terms identified in the redlined markup of the Agreement.

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 H) 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, in NYSERDA's discretion, beyond the initial Award Notification Date.

7.2 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." 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 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/new-york-state-regulations>).

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 <https://ogs.ny.gov/acpl>

Proposer must certify that he/she will comply with State Finance Law Sections 139-j and 139-k and provide a 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 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>.

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 Primary 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 Selected 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.

8.8 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, the “Commission on Public Integrity”), and if so, a brief description must be included indicating how any matter before the Commission on Public Integrity was resolved or whether it remains unresolved.

8.9 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.

8.10 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 or apply a program policy factor.

8.11 Executive Order No. 16

Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form noted in Section 2.1.9, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

8.12 Executive Order No. 192

As per Executive Order 192, NYSERDA is required to do business only with responsible entities. As a result, a Vendor Responsibility Review will be conducted for all ORECRFP23-1 Proposers. Proposers are required to complete the [Vendor Responsibility Checklist](#) and submit it with the Proposal. The Vendor Responsibility Checklist requires that the entity answer a series of questions regarding the entity, and the directors, employees and agents of the entity and any affiliate of the entity 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 Vendor Responsibility Checklist will also include the Proposer's attestation regarding the accuracy and truthfulness of the information and documentation provided. NYSERDA will review the responses to the Vendor Responsibility Checklist and reserves the right to make a determination of vendor responsibility if a non-responsibility concern is noted.



P-12 Schools – Clean Green Schools Initiative

Program Opportunity Notice PON 4924

NYSEERDA reserves the right to extend and/or add funding to the Solicitation should other funding be available.

- **Track I: Applications will be accepted on a first come, first served basis dependent on resource availability until December 30, 2025, by 3:00 PM Eastern Time.***
- **Track II: Proposals Round 2 Due: June 6, 2024, by 3:00 PM Eastern Time.***

The goal of NYSEERDA's Clean Green Schools Initiative ("the Program") is to help public schools that traditionally lack resources to invest in infrastructure improvements become healthier, more productive learning environments. This Program aims to improve the environmental sustainability of those schools by reducing school energy loads, decarbonizing their building portfolio, improving indoor air quality (IAQ) and providing clean energy educational opportunities.

Eligibility:

- Track I: All public school districts across NYS that are designated as High-Needs by the [New York State Education Department](#) or have at least one building which is located in a [disadvantaged community](#).
- Track II: All public school districts across NYS that are designated as High-Needs by the [New York State Education Department](#) or school buildings which are located in a [disadvantaged community](#) (see Section V for additional Track II eligibility requirements).
- Track I and Track II provide support for existing buildings, not new construction projects.

Funding: There are two Tracks for participation in the Program. Both Tracks also provide funding to Applicants for services that will engage students, faculty, staff and the surrounding communities in Clean Energy Educational and Professional Development Activities.

- Track I will provide funding on an open enrollment basis, first come first served, to support a variety of professional services which will help schools evaluate, plan for, and facilitate energy reduction projects, clean energy projects, and indoor air quality projects.
- Track II will provide funding on a competitive basis to implement construction projects which will help schools decarbonize their buildings, leading to improved air quality, reduced emissions, and a pathway towards electrification.

New York State Building Aid: Through a provision in the enacted 2022/2023 NYS Budget, this program incentivizes school districts to invest in clean energy and energy efficient projects that will improve indoor air quality and reduce emissions by eliminating the reduction in Building Aid that districts would otherwise face for projects receiving a grant through NYSEERDA's Clean Green Schools Initiative.

Resources: Visit the Clean Green Schools Initiative [website](#) to see the most current list of Program resources, specific to eligibility, template documents, guidance documents and more.

Application and/or Proposal Submission:

- Track I - Completed application packages will be accepted via email to P12Schools@nyserda.ny.gov through December 30, 2025, or until funds are fully committed.

- For ease of identification, all electronic files should be named using the schools' name in the title of the document. Application PDFs should be searchable. Files should not be scanned. NYSERDA will also accept Applications by mail or hand-delivery if online submission is not possible.
- Track II - NYSERDA has created an online portal submission platform for use. Please complete and submit your proposal [here](#).
 - 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. 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 school'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>).
 - Please note: For **Track II** 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 Track II Due Date, 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 funding be available. 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>).

Questions: No communication intended to influence this procurement is permitted except by contacting Hannah Morgan (Designated Contact) at (518) 862-1090, ext. 3606 or by e-mail HannahP12@nyserda.ny.gov or Tim Gilroy (Secondary Contact) at (518) 862-1090, ext. 3523 or by e-mail TimP12@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Thomas Rood at (518) 862-1090, ext. 3621 or Thomas.Solicitations@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 a 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 3 p.m. Eastern Time on the date noted above. Late or faxed Applications will not be accepted.** Incomplete Applications may be subject to disqualification. It is the Applicant's responsibility to ensure that all pages have been included in the Application. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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I. INTRODUCTION

The goal of the Program is to help under-resourced public schools decarbonize their building portfolio and improve indoor air quality (IAQ) across their buildings. Schools participating in the program may also receive funding to support eligible activities that create or further clean energy educational opportunities for students, faculty, staff, and the surrounding community. These activities will help to create healthy, safe, productive and energy efficient learning environments for schools across New York State. This program supports the Climate Leadership and Community Protection Act (Climate Act) by providing funding to schools located in under-resourced communities to reduce their greenhouse gas emissions. A portion of this Program is being funded through the historic \$4.2 billion Clean Water, Clean Air and Green Jobs Environmental Bond Act of 2022.

The Program consists of the following:

Track I Planning – Track I is open-enrollment and provides funding for professional services, such as energy studies, on-site energy manager, and fiscal advisors, to help schools evaluate, plan for, and facilitate comprehensive energy reduction, decarbonization, environmental sustainability and indoor air quality projects. Funding caps are dependent on a school district aggregated annual energy spend. See Table 1 for funding caps and details. Track I may be used towards project planning associated with Track II. **Participation in Track I is not a requirement to participate in Track II, but Applicants must have an energy study or equivalent analysis completed at the time of a Track II application.**

Track II Installation – Track II is competitive and provides funding for schools to implement construction projects that decarbonize their building portfolio, such as comprehensive retrofits that impact energy consumption and overall building load, electrification readiness projects, and conversion of central heating and/or cooling plants to clean energy technologies such as heat pumps. See Section V for funding amounts. Interested Applicants must highlight carbon reduction, resulting improved indoor air quality and a path towards decarbonization. NYSERDA is interested in sharing best practices, lessons learned and showcasing final projects and will work with the Applicant to develop a plan to accomplish this.

Clean Energy Educational and Professional Development Opportunities – NYSERDA is also interested in engaging students, faculty, staff and the surrounding communities in clean energy educational opportunities. This is an optional service in Track I and Track II.

As such, NYSERDA will provide funding to support a range of workforce development and student educational activities for P-12 students that explore, support or promote decarbonization efforts in their schools and communities. These opportunities will help:

- Educate students about clean energy topics and explore clean energy careers.
- Empower faculty to support the integration of clean energy concepts into the curriculum.
- Increase staff understanding of the clean energy systems installed in their buildings.
- Generate awareness in communities and educate them on the clean energy principles taught at the under-resourced school.
- Eligible activity costs include, but are not limited to: Curriculum development, program/license fees, software subscription fees, project supplies/tools/equipment, field trips, promotional material, speakers, teacher stipends, internship wages, textbooks, signage, clean energy toolkits, registration/entrance fees (conferences, camps, workshops), space rental, consultants/trainers fees, professional development fees, food, travel and lodging.

II. PROGRAM DEFINITIONS

- **Applicant** – A school, school district, or representative authorized to act on behalf of the school.
- **Clean Energy** – Energy efficiency, energy conservation and renewable energy.
- **Clean Heating and Cooling Technologies** – Clean heating and cooling technologies can co-produce space and/or water heating or cooling without the use of fossil fuels and include, but are not limited to:
 - **Ground Source Heat Pump System (GSHP)** – Ground-source heat pump systems (also referred to as geothermal heat pumps) provide space heating and cooling, as well as domestic hot water in some cases. The indoor heat pump unit and underground (or underwater) heat exchanging loop transfers thermal energy between and amongst the ground and the building.
 - **Air Source Heat Pump System (ASHP)** – Air source heat pumps provide space heating and cooling, as well as domestic hot water in some cases. These systems transfer heat between inside and outside air while creating a more comfortable indoor environment.
 - **Variable Refrigerant Flow System (VRF)** – Variable refrigerant flow heat pump systems modulate refrigerant flow as needed to maximize compressor efficiency. Where an ASHP systems requires separate refrigerant lines for each indoor unit, VRF systems allows multiple indoor units to connect to a single compressor.
- **Decarbonization** – Reducing or eliminating carbon dioxide emissions from school buildings through Electrification, Energy Load Reduction, and/or the following:
 - Energy efficiency and conservation (e.g., improved building controls, more efficient building shell and insulation)
 - Switching to low carbon fuels (e.g., biofuels)
 - Installation of renewable technologies (e.g., solar)
- **Disadvantaged Community (DAC)** – Disadvantaged communities are defined under the Climate Leadership and Community Protection Act (Climate Act) as those that bear the 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. Pursuant to the Climate Act, the Climate Justice Working Group established criteria to identify disadvantaged communities.
- **Electrification** – A building whose end uses are served entirely by electricity. A core component of decarbonization is a widespread shift to electrification in buildings. Please also see “Clean Heating and Cooling Technologies” listed above.
- **Electrification Ready** - Building improvements that significantly reduce heating/cooling load and/or can enable future electrification such as substantial building envelope improvement measures or conversion of distribution systems (e.g. steam to hot water).
- **Energy Load Reduction** – Energy load reduction refers to reducing the base amount of energy required for regular operation of a facility to meet occupant needs. A focus on energy load reduction serves as a precursor to cost-effective decarbonization.
- **High-Need** – [New York State Education Department](#) categorization of school districts using a need-to-resource capacity (N/RC) index. The N/RC index is a measure of a school district’s ability to meet the needs of its students with local resources, based on a ratio of the estimated poverty percentage to the combined wealth ratio. High-Need categories include High N/RC: New York City, High N/RC: Large City Districts, High N/RC: Urban-Suburban Districts, and High N/RC: Rural Districts.
- **Indoor Air Quality (IAQ) Services** – The services as defined in Section IV that address the quality of indoor breathing air. Good indoor air quality affects occupant health, well-being, productivity, and learning by

reducing the risk of infectious disease transmission, asthma/allergens, sickness and increases the amount of clean air and is paramount to achieving the goals of this Program. For purposes of this Program, IAQ evaluation is focused on ensuring ventilation is considered when recommending or installing decarbonization measures as part of a project and that the resulting conditions will provide adequate outdoor air exchanges and filtration levels.

- **Resiliency** - Strategies to ensure the project, the school itself, and its occupants are resilient to future climate impacts; including strategies ensuring adequate passive survivability; installing new critical system components above flood levels; creating areas of refuge within the building for occupants to shelter in place during heat events, or flooding; or other resilience-enhancing strategies.
- **Under-Resourced Schools** – Schools designated as High-Needs or located in a Disadvantaged Community (DAC).

III. SCHOOL ELIGIBILITY

- All existing public-school buildings across NYS that meet the definition of an under-resourced school per this Program. A list of the schools eligible to participate in the Program is available on the Clean Green Schools Initiative documents and resources [website](#).
 - **Track I projects must include at least one academic building which is designated as High-Needs by the [New York State Education Department](#) or located in a [disadvantaged community](#).**
 - **See Section V for specific eligibility requirements associated with Track II.**

IV. PROGRAM AND APPLICATION REQUIREMENTS – TRACK I

Applications can be for one school or multiple schools in the same district. There is no limit to the number of schools included in an application. There are district funding caps that can be seen in Table 1. All Track I projects shall submit a Program Application (Attachment A), a Scope of Work, and itemized Budget. Further detail is provided below.

- **Eligible Project Types** – Applicants may include one or more of the services listed below in their **Scope of Work. Comprehensive building studies are encouraged.** To see a full list of eligible activities along with definitions, visit the documents and resources [website](#) (see Track I - Eligible Activities).

Eligible services, include, but are not limited to:

- Engineering & Architecture Services
 - Energy Benchmarking
 - Energy Studies *
 - Clean Heating and Cooling Technology Studies (new and existing systems)*
 - Energy Efficiency and Clean Heating and Cooling Design Services*
 - Energy Master Planning and Decarbonization Roadmaps*
 - Energy Performance Contracting Support
 - Community Presentations
 - Sustainability and Resiliency Consulting
 - Clean Transportation Studies
 - Community Solar and Clean Energy Purchasing
 - Indoor Air Quality Evaluation and Management

- **Studies must predominantly focus on developing solutions that improve the performance of energy related building systems.** Analysis shall ensure that there is adequate ventilation, and that ventilation is compliant with applicable code requirements and building system best practices, such as [ASHRAE Epidemic Task Force Core Guidance](#) or **ASHRAE Standard 241 (Control of Infectious Aerosols)**. Examples include but are not limited to:
 - Baselineing
 - Retrocommissioning
 - Continuous Monitoring
 - IAQ Certification Program Participation
- On-Site Energy Manager
 - Building or district level or across districts.
 - On-Site Energy Manager services may be performed by a new permanent hire, contracted staff, or a hybrid arrangement of supplementing permanent staff with contracted staff.
 - On-Site Energy Manager staff must have:
 - Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), or comparable.
 - Past experience related to energy advisor tasks.
 - Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management.
- Clean Energy Educational and Professional Development Activities
 - See Section VII for examples of eligible activities.
 - These activities must be paired with an eligible Track I service above and are ineligible as a standalone project.
 - Clean Energy Educational and Professional Development services may be performed by consultants, existing school employees, contracted staff, P-12 educational organizations or a hybrid arrangement of existing school employees with contracted staff and/or P-12 educational organizations.
 - Only academic buildings may leverage the clean energy educational and professional development funding.
- Services Associated with Clean Energy Projects
 - Grant Writer
 - Fiscal Advisor

***Studies, design and planning services that include envelope and/or HVAC systems are required to evaluate the impacts on infectious disease transmission related to the envelope and/or HVAC improvements and the optimal strategies for mitigating infectious disease transmission in accordance with the current [ASHRAE Epidemic Task Force Core Guidance](#) or ASHRAE Standard 241 (Control of Infectious Aerosols).**

- **Funding Caps** – Applicants may apply to receive a suite of services through Track I up to the caps included in Table 1. In order to know a district’s funding cap, the district’s annual energy spend must be known. The total annual energy spend is the sum of the annual electricity cost, annual natural gas cost and/or annual fuel cost. **School districts are not required to contribute funding to a Track I project unless the project cost exceeds the cap in the table below.** The following funding caps apply to Track I:

Table 1: Track I Funding Caps

Track I NYSERDA Caps		District Annual Energy Spend Less than \$500,000	District Annual Energy Spend \$500,000 - \$2,000,000	District Annual Energy Spend More than \$2,000,000
Maximum District Caps		\$650,000	\$950,000	\$1,250,000
	Metering (hardware costs only) ¹	not to exceed 10% of Track I services		
	Fiscal Advisor and/or Grant Writer ¹	not to exceed \$30,000	not to exceed \$60,000	not to exceed \$90,000
	Clean Energy Educational and Professional Development Activities Cap ¹	\$10,000 per building, not to exceed \$50,000 per district		

1. The cap is included in the Track I NYSERDA District Caps above.

When reviewing and negotiating the Scopes of Work and Budgets, NYSERDA reserves the right to:

- Adjust the district level cap based on the services requested in Track I and their potential impact.
- Review and request additional information to support proposed staffing titles and their associated hourly rates to ensure appropriate alignment of staff to task complexity.
- Utilize comparable NYSERDA-funded projects and contracts to confirm reasonableness of hourly rates commensurate with geographical location, staff titles, and the individual tasks proposed.
- Provide less than 100% funding on a project scope if the scope includes ineligible tasks or if the overall budget exceeds the caps.
- Allow in-kind contributions from the school staff to be part of the Scope of Work on the following:
 - Benchmarking
 - Building Clean Energy Educational and Professional Development Activities

- **Consultant Requirements**

- Schools must utilize a third-party independent consultant to complete the Scope of Work, with the exception of the On-Site Energy Manager, Energy Benchmarking and Clean Energy Educational and Professional Development services (additional details below).
 - For projects where schools are providing in-kind contributions, tasks to be completed in house must be clearly stated in the project’s Scope of Work and NYSERDA may request verification of staff qualifications.
- Schools in need of a consultant may choose from NYSERDA’s FlexTech Consultant [list](#).
- Consultants may undergo additional review before being approved to perform certain services. Examples of such services may include but are not limited to Clean Heating and Cooling Design, Indoor Air Quality (IAQ), On-Site Energy Manager and Financial Services.
 - Consultants not currently qualified under relevant NYSERDA or utility program lists, for example [NYS Clean Heat Contractor](#) lists, may be required to submit examples of two previous successful projects of similar scope as part of the Scope of Work. Project examples

must demonstrate experience, detail the quality of work and evaluation methodology, and include sector served and customer references.

- Consultant qualifications may be also demonstrated through industry accepted credentials specific to appropriate services or design technologies as approved by NYSERDA on a case-by-case basis.
 - Teaming arrangements may be acceptable, but a primary contractor responsible for the team's work must be named.
 - NYSERDA reserves the right to limit the number of projects a consultant can have at any given time.
- **Application and Scope of Work Requirements: Open Enrollment** - Applicants may submit completed Track I application packages to P12Schools@nyserda.ny.gov. In addition to the Program Application (Attachment A), a Scope of Work, and itemized Budget must be provided for all Track I projects. Applicants may submit one Application on behalf of multiple school buildings within a district. Work completed prior to NYSERDA's receipt of an application is ineligible for funding. A complete application package shall include the following:
 - Track I Program Application (Attachment A)
 - Scope of Work
 - Scope of Work – The Scope of Work must provide justification for the funding request based on tasks and deliverables included in the project. Multiple sites, studies, and activities may be included in one Scope of Work if objectives and site similarities and/or differences are clearly accounted for. The Scope of Work must follow the requirements for the program, which includes the project description, tasks and deliverables, and schedule. A sample Scope of Work Template is available on the Clean Green Schools Initiative documents and resources [website](#) (see Track I - Scope of Work Template). While the exact format of the Scope of Work Template is not required, all information requested within the Scope of Work Template must be included in some form in the project Scope of Work.
 - Budget
 - Budget - The Applicant must provide a Budget broken down by individual line-items by task for materials, labor (personnel title and hourly rate), and other costs. A sample Budget Template is available on the Clean Green Schools Initiative documents and resources [website](#) (see Track I - Budget Template). While the exact format of the Budget Template is not required, all information requested within the Budget Template must be included in some form in the project Budget.
- **Deliverable Requirements and Submission** – A final report encompassing all deliverables with an executive summary and lessons learned will be required at project completion. Submit draft and final deliverables as attachments to P12Schools@nyserda.ny.gov. For ease of identification, all electronic files should be named using the school's name in the title of the document. Do not include utility account numbers within or attached to email submission. NYSERDA reserves the right to perform technical review on all submittals. Deliverables found by NYSERDA to not fulfill the approved Scope of Work and/or deliverable requirements may receive a reduced cost-share or may not be reimbursed by NYSERDA.
- **Payment, Procurement and Schedule** - Program funding will be distributed to the Applicant based on time and material invoices in accordance with the Exhibit E in Attachment C – Sample Agreement. Applicants will work with their designated NYSERDA Project Manager to approve interim payments. Interim payment requests may be made in accordance to approved budget and timeline outlined in the NYSERDA

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

School districts must adhere to their own procurement requirements. Unless otherwise negotiated, all work funded under Track I must be completed and invoiced within three (3) years of issuance of the purchase order (PO) which shall include the final agreed to Scope of Work, Budget, and Terms and Conditions (Attachment C).

A high-level overview of the Track I Participation Process is available on the Clean Green Schools Initiative documents and resources [website](#).

V. PROGRAM AND PROPOSAL REQUIREMENTS – TRACK II

- **Overview** – Track II offers funding for schools to improve their environmental sustainability and decarbonize their buildings via capital construction projects, leading to improved air quality, reduced emissions, and a pathway towards electrification. In addition, Track II requires the incorporation of sharing of best practices and lessons learned regarding the project, through technology transfer activities. Schools are encouraged to incorporate Clean Energy Educational and Professional Development Activities into their proposal, but it is not a requirement. Participation in Track I is not a requirement to participate in Track II, but Applicants must have an energy study or equivalent analysis completed at the time of a Track II application. An energy study or equivalent analysis is requested to confirm that the school is aware of the proposed project impacts and will proceed with project implementation promptly.
- **Eligible Project Types** - Any project(s) that meets the objectives of the Overview section above.

Eligible activities include, but are not limited to the following:

- **Clean Heating and Cooling Projects:**
 - Ground Source Heat Pump (GSHP), Air Source Heat Pump (ASHP) and Variable Refrigerant Flow (VRF) installations that provide space heating and/or cooling.
 - Fossil fuel (heating oil, natural gas, steam generated by fossil fuel, etc.) energy consumption must be reduced by the new electric technology or application. The new electric technology or application shall:
 - Be market ready and can meet or exceed applicable minimum utility program efficiency specifications.
- For projects that include Ground Source Heat Pumps:
 - It is recommended that projects should consider the heating and cooling loads when sizing the ground source heat pump system to ensure that the system is balanced. Ground source heat pumps that have a load imbalance can lead to thermal buildup or depletion resulting in reduced performance.
 - It is recommended that projects consider ground source heat pump borehole testing prior to submitting a Track II application to ensure that the project location is suitable for the proposed technology.

- **Capital Projects to Move Towards Decarbonization:**
 - Comprehensive retrofits that impact energy consumption and overall building load
 - Electrification of building systems (e.g., kitchen equipment & domestic hot water heaters)
 - Building electrification readiness projects:
 - High performance building envelope (e.g., air sealing, insulation, window film)
 - Heating/cooling projects
 - Conversion of distribution systems (e.g., steam to hot water) to support potential future electrification
 - **Ineligible Projects:**
 - System conversion to natural gas or other fossil fuel is ineligible.
 - Full system replacements to new fossil fuel-based systems are ineligible.

- **The following supporting upgrades/efforts are eligible when completed in combination with any eligible activities shown above:**
 - Building ventilation system and filtration system capital projects
 - Resiliency measures
 - Building Automation Systems
 - Energy storage systems
 - Renewable energy technologies
 - Clean electricity purchase with emphasis on the use of community solar or “Green” energy service provider
 - Window replacement
 - Upgrading existing electrical infrastructure (e.g., electrical panel upgrades & equipment service infrastructure)
 - Lighting upgrades

- For Projects that include envelope or HVAC system improvements:
 - Infectious disease transmission impacts as a result of the proposed improvements shall conform with [ASHRAE Epidemic Task Force Core Guidance](#) or ASHRAE Standard 241 (Control of Infectious Aerosols).

- For projects that include the installation of refrigerant containing equipment (such as chillers and heat pumps):
 - The feasibility of utilizing equipment that contains a natural or other refrigerant with a global warming potential (GWP) of less than 10 shall be studied and installed if deemed feasible.

- Track II projects must:
 - Have an energy study or equivalent analysis completed at the time of application. The energy study or equivalent analysis must be used to select the Track II project components.
 - **Only include buildings which are high-need or located in a disadvantaged community, with the exception of school district heat pump projects.**
 - Proposed school district heat pump projects in non-high-need districts must include at least one building which is located in a disadvantaged community.
 - Be shovel ready and sited at existing buildings.
 - Leverage additional funding sources such as utility incentives ([NYS Clean Heat](#)), federal funding, or grants where applicable.

- Utilize replicable and commercially viable products and solutions that have already been accepted by the market.
- **Funding** – Applicant project costs are up to 100% funded, net of funding from investor-owned utilities, state aid, federal funding, or any other funding source, with a minimum award of \$500,000. NYSERDA expects projects to seek applicable utility incentives, federal funding, and grants to reduce costs. Participation in other programs does not exclude an application to this Program. The following funding is available to propose for:

One Building:

- \$500,000 - \$5,000,000 for eligible project types and
- Up to \$30,000 for Clean Energy Educational and Professional Development Activities (see Section VII)
 - **Total max funding per school building is \$5,030,000**

Multiple Buildings:

- \$500,000 - \$10,000,000 for eligible project types and
- Up to \$100,000 for Clean Energy Educational and Professional Development Activities (see Section VII)
 - **Total max funding per multiple buildings is \$10,100,000**

If you're interested in exploring competitively-priced, market-based financing options, contact NY Green Bank at info@greenbank.ny.gov or visit <https://greenbank.ny.gov/> for more information.

Proposal Requirements – Applicants may submit completed Track II proposal packages [here](#), no later than 3:00 pm for the applicable Track II Due Date. **Applicants must not have started construction on a Track II project prior to NYSERDA issuing an award letter.**

A complete Track II proposal package shall include the following:

- Completion of the series of questions presented in NYSERDA's online portal submission platform.
- School Authorization Form, if applicable (Attachment B)
- Track II Proposal Template (Attachment D)
- Track II Building Impacts Table (Attachment E)
- Track II Milestone Payment Schedule (Attachment F)
- Energy study or equivalent analysis used to select the Track II project components

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not positively influence the proposal evaluation.

Proposals that grossly exceed what is necessary to describe the project or fail to meet all requirements and format guidelines may be rejected as non-responsive. Each page of the proposal should state the name of the proposing school in the header and the page number in the footer.

- **Awarded Projects Deliverable Requirements** – A final report encompassing all deliverables, with an executive summary and lessons learned will be required at project completion. NYSERDA reserves the right to perform technical review on all deliverables. Deliverables found by NYSERDA to not fulfill the awarded Proposal and/or deliverable requirements may receive reduced funding or may not be reimbursed by NYSERDA.
- **Payment, Procurement and Schedule** - Work completed prior to NYSERDA issuing an award letter is ineligible for funding. Once an award letter is made, NYSERDA reserves the right to issue a pre-agreement letter to allow for work to be completed after an award letter is issued, but before a Track II contract is signed. NYSERDA plans to issue milestone-based contracts to awarded proposals in accordance with the Attachment C – Sample Agreement. This means that structured lump sum payments will be made by NYSERDA upon completion and approval of a Task(s). NYSERDA reserves the right to issue milestone payments that differ from what has been outlined in Attachment F – Track II Milestone Payment Schedule. All invoices complete with the required documentation must be submitted through <https://services.nysesda.ny.gov/Invoices/>.

In order to receive final payment, proof of purchase, installation, and execution of the project are required. Proof of purchase may include, but not be limited to, a copy of a paid in full dated work order, invoice, or receipt including equipment or measures installed, material costs, paid in full or zero balance, quantity installed, manufacturer, installer name (if contractor installed), labor costs, and model number. NYSERDA reserves the right to request additional documentation as needed. Proof of installation and project execution may include photographs of newly installed equipment, demonstration of system operation, as-built construction documents, and/or completion documentation from the commissioning of the new equipment. Upon completion, NYSERDA reserves the right to visit the project site for proof of installation.

School districts must adhere to their own procurement requirements and requirements of the New York State Education Department Facilities Planning Office, the New York City Department of Education or the New York City School Construction Authority. NYSERDA understands and assumes that this work will consist of Public Work and therefore shall be subject to the requirements of Article 8 of the NYS Department of Labor Law. Unless otherwise negotiated, all work funded under Track II must be completed and invoiced within five (5) years of contract execution. Extensions to this timeline must be submitted to NYSERDA for approval. If an awarded project is not able to show substantial progress or commitment within 180 days of grant contract execution, the award may be forfeited at NYSERDA’s discretion. Substantial progress includes, but is not limited to:

- Contractually bound agreement with the architecture and engineering firm designing the project.
- Letter of Intent (LOI) filed with the State Education Department.
- Environmental review process has started for project (e.g., State Environmental Quality Review).

VI. TRACK II – PROPOSAL EVALUATION:

Prior to review by a scoring committee, proposals will be reviewed for completeness and to ensure they meet General Eligibility requirements as detailed below. Proposals that do not meet the listed requirements will not be reviewed by the scoring committee.

The General Eligibility requirements include:

- The project only includes buildings which are high-need or located in a disadvantaged community, with the exception of school district heat pump projects.

- Proposed school district heat pump projects in non-high-need districts must include at least one building which is located in a disadvantaged community.
- Have an energy study or equivalent analysis used to select the project components completed at the time of application.
- The project identified in the proposal is for an existing building.
- The project conforms with the Track II Eligibility Criteria.
- All components of the proposal package requirements have been completed.

Following the initial review, proposals will be evaluated by a Scoring Committee based on their overall responsiveness and specifically based on the Evaluation Criteria below, which are listed in order of importance. **Projects will be evaluated in two separate categories: Clean Heating and Cooling projects and Capital Projects to Move Towards Decarbonization. If a project includes measures from both categories, it will be evaluated under the Clean Heating and Cooling project category.** Evaluation and scoring of each proposal will ultimately be determined in comparison with and relative to the other proposals submitted in each category. After proposals are reviewed, NYSERDA will issue a letter to each Applicant indicating the proposal evaluation results. Applicants receiving favorable evaluations will be invited to enter contract negotiations with NYSERDA.

Evaluation Criteria

Project Impact (65 Points)

The extent to which the proposal demonstrates the following:

- Project includes installation of clean heating and cooling system(s) that will supply a portion of the schools heating and cooling load (Clean Heating and Cooling category) **OR**
- Project includes installation of Capital Projects to Move Towards Decarbonization.
- Reduces schools greenhouse gas emissions related to energy consumption (proposals will be grouped in to tiers).
- Stage of proposed project.
- Appropriate ventilation and filtration as a result of the decarbonization project.
- Resiliency components of proposed project.
- Expanded use of the school(s) to support the community.

Clarity of Budget (15)

The extent to which the proposal demonstrates the following:

- Budget completed and appears reasonable.
- Project leverages additional funding from federal funding, utility incentives or grant opportunities.
- Funding secured covering the entire proposed cost of the project, net the NYSERDA funding requested.

Project Team and Stakeholder Commitment (10 Points)

The extent to which the proposal includes or demonstrates the following:

- Project Team includes relevant parties with the necessary background and experience to ensure project success and likelihood of installation of project as proposed.
- Preference will be given to projects implemented by contractors that are participating in New York State

Department of Labor (NYS DOL) recognized pre-apprenticeship programs or NYS DOL registered apprenticeship programs.

Project Implementation and Schedule (10 Points)

The extent to which the proposal demonstrates the following:

- Includes a detailed description for the proposed school building upgrades and provides dates for the Project Stage and Schedule (see Attachment D - Section Ib and Section III). The dates included in the anticipated schedule demonstrate a realistic understanding of how the proposed project will proceed through implementation.

Program Policy Factors

A Scoring Committee will review and rank all Track II proposals. NYSERDA will review this evaluation and ranking and may consider the following program policy factors in making award selections.

The degree to which:

- A proposal optimizes the use of available funding to achieve programmatic, [Climate Act](#) or [Clean Water, Clean Air and Green Jobs Environmental Bond Act](#) objectives or;
- A proposal optimizes the use of available funding to support resilient buildings, helping the school/community adapt to extreme heat and climate-related risks or;
- There is diversity of project types, school types, technologies, approaches, methods, and districts or;
- There is diversity in geographic location of awardees.

VII. CLEAN ENERGY EDUCATIONAL AND PROFESSIONAL DEVELOPMENT ACTIVITIES

The Educational and Professional Development Activities Pathway document, which is located on the Clean Green Schools Initiative documents and resources [website](#) should be consulted for assistance in designing these activities. If a school is looking to leverage existing programs, tools or resources, an example list of these items is included on the Clean Green Schools Initiative documents and resources [website](#) (see Educational and Professional Development Existing Activities excel).

The following are example activity types that would be supported:

- Activity Type #1: Engage in a Clean Green Schools Initiative Project
 - Activities for K-12 students which explore, support or promote decarbonization efforts in their school and community. For example, a school could form a green team who would identify baseline conditions of their school, and then identify, and implement a project, if practical, to improve and/or educate the school and community about the health, safety, and environmental sustainability of their school. Additional eligible activities include, but are not limited to:
 - Develop a new clean energy course.
 - Coordinate a clean energy research project.
 - Host a faculty training workshop focused around integrating clean energy into the curriculum.
 - Coordinate a series of clean energy field trips.
 - Host a clean energy career fair.
 - Identify existing community-based clean energy education opportunities and leverage these activities through student and staff involvement.
- Activity Type #2: Support Career Pathway Activities

- Career pathway activities for 11th and 12th graders which explore, support or promote decarbonization efforts in their school and community. A team consisting of, for example, students, staff and business partners could propose to develop a program to support a Track II project or leverage the Track II project for project-based learning. Additional eligible activities include, but are not limited to:
 - Participate in activities towards a clean energy certificate or degree credit.
 - Participate in a clean energy internship.
 - Participate in a clean energy pre-apprenticeship program.
 - Offer scholarships to students to support education and professional development in a clean energy field.

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

Contract Award - NYSEDA anticipates making multiple award(s) under this solicitation. For Track I, NYSEDA anticipates a contract duration of **up to three (3) years**, unless NYSEDA management determines a different structure is more efficient based upon proposals received. For Track II, NYSEDA anticipates a contract duration of **up to five (5) years**, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. For Track I and Track II, NYSEDA will issue a Purchase Order and Agreement to contract successful applications and/or proposals. Please see Attachment C – Sample Agreement. 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. Applicants should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. For Track I, NYSEDA expects to notify Applicants in approximately **three (3) weeks** from the receipt of an application whether your application has been selected to receive an award. For Track II, NYSEDA expects to notify Applicants in approximately **four (4) weeks** from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, an Applicant can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting HannahP12@nyserda.ny.gov. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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

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.

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 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 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 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"). 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.

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 Applicants 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 Applicants' 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 Applicants' business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with Applicants' 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

IX. ATTACHMENTS:

- Attachment A – Track I Program Application
- Attachment B – Track II School Authorization Form
- Attachment C – Sample Agreement
- Attachment D – Track II Proposal Template
- Attachment E – Track II Building Impacts Table
- Attachment F – Track II Milestone Payment Schedule



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

Apprenticeship and Pre-apprenticeship Clean Energy Training

Program Opportunity Notice PON 5437

\$15,000,000 Available

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

Applications are accepted in funding rounds with the following due dates, or until funds are exhausted, whichever comes first:

Round 1 – February 7, 2024; Round 2 – April 3, 2024; Round 3 – June 5, 2024;
Round 4 – August 6, 2024; Round 5 – October 8, 2024; Round 6 – December 3, 2024.

Due dates beyond are subject to funding availability.

PROGRAM SUMMARY

Overview

Through this funding opportunity, and in working with labor organizations and registered pre-apprenticeship programs across the State, the New York State Energy Research and Development Authority (NYSERDA) seeks to grow a diverse, equitable, and inclusive pipeline of skilled talent for the clean energy labor market. Projects funded through this solicitation are intended to create and/or expand the capacity of Direct Entry Pre-apprenticeship and Registered Apprenticeship programs as a pathway to high-quality, family supporting jobs. Eligible initiatives must include clean energy technical training in target areas (developing new or expanding existing clean energy training capacity) and hands-on experience for pre-apprentices, apprentices, and/or journey workers, ensuring they have the skills and qualifications required to meet the demands of a clean energy economy.

This solicitation serves as an initial offering of a larger investment of approximately \$45 million to train thousands of pre-apprentices, apprentices, and journey workers over the course of three years.

NYSERDA will accept applications requesting up to \$750,000 per project commensurate with the scale of training proposed. Projects that further include K-12 career awareness and outreach promoting clean energy jobs as part of a training initiative can access up to an additional \$150,000 in NYSERDA funding. The total amount of funding available for a project that expands training capacity, builds new clean energy training, and includes a K-12 career awareness and outreach element is \$900,000. Cost share is not required but is encouraged.

Under this Program, funding is available to bona fide labor organizations, labor management committees and training centers affiliated with bona fide labor organizations, and active New York State Department of Labor [Registered Apprenticeship Programs](#) and [Direct Entry Pre-apprenticeship Programs](#) affiliated with bona fide labor organizations (“Training Providers”). Applicants must be registered to do business in New York State, be in good standing, and have a New York State training location. Applicants must further have a demonstrated history of placing individuals from Disadvantaged Communities or Priority Populations into training programs or jobs in the technology area(s) under consideration. All recruitment, training, and K-12 career awareness and outreach activities must take place in New York State; and all projects must train New York State residents. Applicants may partner with other training entities (e.g., community colleges and universities; veterans programs associated with bona fide labor organizations and apprenticeships; technical schools, community-based and not-for-profit organizations; trade associations; manufacturers; equipment suppliers; [Regional Clean Energy Hubs](#); etc.).

This solicitation will provide funding for projects that address projected workforce needs and prepare pre-apprentices, apprentices, and journey workers for employment in the following clean energy technology areas: Building electrification and energy efficiency technologies and practices to support electrification; renewable energy generation, interconnection, transmission, distribution, and storage; and electric vehicle charging station installation and repair.

Training initiatives eligible for funding include curriculum development; technical training; train-the-trainer training; equipment purchases for hands-on training, virtual reality training, and (mobile) training labs; pre-apprenticeship and apprenticeship training; mentorship programs for new workers; and K-12 career awareness and outreach programs. NYSERDA funding is designed to build new or expand existing training infrastructure and capacity (e.g., by funding equipment purchases).

Additionally, NYSERDA may fund reasonable costs for stipends, workforce preparation activities (e.g., job readiness, coaching/mentoring, financial literacy) and supportive services (e.g., care coordination, transportation, child support services, mental health counseling) for individuals from Disadvantaged Communities or Priority Populations after all other sources have been investigated and exhausted.

For Registered Apprenticeship Programs and journey worker training, a minimum of 50% of training participants must be from Disadvantaged Communities or Priority Populations. Projects that include Direct Entry Pre-apprenticeship Programs must ensure that at least 50% of training participants are from Disadvantaged Communities. Projects that exclusively train individuals from Disadvantaged Communities or Priority Populations will be given higher consideration. For any K-12 career awareness and outreach element, at least 50% of participating schools or afterschool/summer programs must be located in a Disadvantaged Community or serve a majority of students from Disadvantaged Communities.

Application Submission

Applications must be submitted online and are reviewed on a first-come, first-served basis. For detailed instructions on how to submit an application including file requirements, click the link [“Application Instructions and Portal Training Guide \[PDF\]”](#) located on the PON 5437 solicitation page. Should any changes be made to this solicitation, notification will be posted on the [“Funding Opportunities”](#) section of NYSERDA’s website.

Contact Information

For contractual questions regarding this solicitation, please contact Nancy Marucci at 518-862-1090 x3335 or NancySolicitations@nyserda.ny.gov.

For program questions, please contact Gwendolyn Summers, Daniel Mulligan, or Adele Ferranti at WFInfo@nyserda.ny.gov or at (518) 862-1090 x3584, x3141 or x3206, respectively.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts above. 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 the applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

I. INTRODUCTION

a. Background

NYSERDA is the leading authority responsible for advancing New York's clean energy and climate goals. As part of its mission, NYSERDA has committed more than \$170 million in funding for a variety of training activities that support workers entering and working in the clean energy industry. Energy efficiency, building electrification, and large-scale renewables are among NYSERDA's highest priorities, and many of its programs aim to eliminate barriers of marginalized communities in furtherance of the climate equity and just transition goals of the Climate Act. Included in NYSERDA's strategies to deliver benefits to Disadvantaged Communities are access to high-quality jobs and employment opportunities with labor organizations.

b. Objective

Through this funding opportunity, NYSERDA seeks to fortify a diverse, equitable, and inclusive pipeline of skilled talent for the clean energy labor market. Projects funded through this solicitation are intended to create and/or expand the capacity of existing Direct Entry Pre-apprenticeship and Registered Apprenticeship programs as a pathway to high-quality union jobs. Eligible initiatives must include clean energy technical training and hands-on experience for pre-apprentices, apprentices, and journey workers, ensuring they have the skills and qualifications required to meet the demands of a clean energy economy. This initiative is intended to increase the number of workers from Disadvantaged Communities being trained and placed into clean energy careers. Other activities from this investment will enable career awareness and outreach initiatives for K-12 schools promoting clean energy careers.

c. Definitions

Disadvantaged Communities are communities that bear disproportionate burdens of the 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. Members of Disadvantaged Communities include individuals who reside in the areas of New York State that have been identified by the Climate Justice Working Group as meeting the definition of a disadvantaged community pursuant to the criteria established under the Climate Leadership and Community Protection Act. The areas of New York State that meet the criteria to be considered a disadvantaged community are available at <https://climate.ny.gov/Resources/Disadvantaged-Communities-Criteria>.

Labor Organization, as defined by the [National Labor Relations Act](#), means any organization of any kind, or any agency or employee representation committee or plan, in which employees participate and which exists for the purpose, in whole or in part, of dealing with employers concerning grievances, labor disputes, wages, rates of pay, hours of employment, or conditions of work.

Priority Populations include:

- Incumbent or unemployed fossil fuel workers.
- Veterans.
- Individuals with disabilities.
- Low-income individuals, whose household's total income is below or at 60% of the State Medium Income, or whose household has been determined eligible for or is receiving

assistance through the Home Energy Assistance Program (HEAP), Temporary Assistance for Needy Families (TANF), Supplemental Nutrition Assistance Program (SNAP), or other human service benefit programs.

- Previously incarcerated individuals.
- 16- to 24-year-olds who are enrolled in or have completed a comprehensive work preparedness training program such as those offered by Boards of Cooperative Education Services (BOCES), technical high schools, Conservation Corps, YouthBuild, and AmeriCorps. The training program must include a combination of rigorous clean energy education with hands-on technical training.
- Homeless individuals.
- Single parents.

II. PROGRAM REQUIREMENTS

To be eligible for funding, applications must meet the following requirements:

a. Applicant and Project Eligibility Criteria

i) Training Providers

Entities that are eligible for funding under this Program, "Training Providers," must be a bona fide labor organization, a labor management committee or training center affiliated with a bona fide labor organization, or an active New York State Department of Labor [Registered Apprenticeship Program](#) or [Direct Entry Pre-apprenticeship Program](#) affiliated with a bona fide labor organization.

For the purposes of this PON, "bona fide labor organization" means:

- A labor organization:
 - that represents employees in New York State with regard to wages, hours and working conditions,
 - whose officers have been elected by a secret ballot or otherwise in a manner consistent with federal law,
 - that is free of domination or interference by any employer and has received no improper assistance or support from any employer, and
 - that is actively seeking to represent workers in New York State.

Applicants must be registered to do business in New York State, be in good standing, and have a New York State training location. Applicants must further have a demonstrated history of placing individuals from Disadvantaged Communities or Priority Populations into training programs or jobs in the technology area(s) under consideration. All recruitment, training, and K-12 career awareness and outreach activities must take place in New York State; and all projects must serve New York State residents.

Applicants may partner with other training and outreach entities (e.g., community colleges and universities; veterans programs associated with labor organizations and apprenticeships; technical schools, community-based and not-for-profit organizations, trade associations; manufacturers; equipment suppliers; [Regional Clean Energy Hubs](#); etc.). Applicants interested in exploring new partnership opportunities are invited to register on NYSERDA's [Partner Connector website](#).

ii) Technology Areas

This solicitation will provide funding for projects that address projected workforce needs and prepare pre-apprentices, apprentices, and journey workers for expansion or entry into the following clean energy technology areas:

- Building electrification and enabling energy efficiency technologies and practices to support electrification (e.g., heat pumps, geothermal, thermal energy network systems, advanced building controls, high-performance envelope, and weatherization).
- Renewable energy generation, interconnection, transmission, distribution, and storage.
- Electric vehicle charging station installation and repair.

Based on market demand and need, NYSERDA anticipates awarding approximately 40 percent of total funding for this initiative to building electrification and energy efficiency technologies to support electrification; 40 percent to renewable energy generation, transmission, distribution, and storage; and 20 percent to electric vehicle charging station installation and repair.

Additional target areas related to clean energy and energy efficiency may be considered in the future or addressed in other solicitations if a compelling business case is presented. Applications that do not meet the eligible technology areas listed above will be rejected.

iii) Project Requirements

For Registered Apprenticeship Programs and journey worker training, a minimum of 50% of training participants must be from Disadvantaged Communities or Priority Populations. Projects that include Direct Entry Pre-apprenticeship Programs must ensure that at least 50% of training participants are from Disadvantaged Communities. Projects that exclusively train individuals from Disadvantaged Communities or Priority Populations will be given higher consideration.

Additionally, all proposed training projects must:

- Be carried out by experienced and qualified Training Providers.
- Explain the types of jobs/occupations and associated skills that training participants will be prepared for after training is completed.
- Include the delivery of technical training in one or more of the technology areas listed above and prepare workers for expansion or entry into clean energy jobs in New York.
- Provide workforce preparation activities (e.g., job readiness, coaching/mentoring, financial literacy) and wraparound services (e.g., care coordination, transportation, child support services, mental health counseling) and/or stipends to support individuals with barriers to employment.
- Continue training after NYSERDA funding has been exhausted.

For a list of examples of successful training projects, consult the [Example Training Projects page](#) on NYSERDA's Clean Energy Workforce Development website.

iv) Training Initiatives and Activities

Initiatives and activities for which NYSERDA funding may be used include but are not limited to:

- Curriculum development.

- Technical training delivery (online, classroom, on-site, etc.).
- Equipment purchased for hands-on training, virtual reality training, and (mobile) training labs.
- Training of trainers.
- Mentorship programs.
- Development or expansion of pre-apprenticeship and apprenticeship programs. (PON 4000 further provides incentives through internships for pre-apprentices.)
- K-12 career awareness and outreach programs; and
- Marketing and outreach directed to recruiting individuals from Disadvantaged Communities and Priority Populations.

Where resources already exist to support training delivery, NYSERDA funding should be used to build training infrastructure and capacity (e.g., by funding equipment purchases). NYSERDA funds should not be used to replace existing funding for training.

For the purposes of this PON, a K-12 career awareness and outreach program is defined as a program that enables early exposure to clean energy careers. K-12 career awareness and outreach programs benefit students by enhancing their educational experience and making connections between the classroom and real-world careers. An effective education outreach program should establish and/or maintain connections to at least one K-12 school, technical high school, community-based and/or afterschool/summer program, highlight careers in at least one of the eligible technology areas and incorporate innovative learning materials to enhance the student experience. Furthermore, it should provide an understanding of desired learning outcomes as well as methods to evaluate program performance. For any K-12 career awareness and outreach element, at least 50% of participating schools or afterschool/summer programs must be located in a Disadvantaged Community or serve a majority of students from Disadvantaged Communities.

In addition to eligible training initiatives and activities, NYSERDA may fund reasonable costs for stipends, workforce preparation activities (e.g., job readiness, coaching/mentoring, financial literacy) and supportive services (e.g., transportation, childcare) for training participants from Disadvantaged Communities and/or Priority Populations after all other sources have been investigated and exhausted. NYSERDA will typically provide funding for wraparound services to individuals enrolled in technical training on the order of \$2,000-\$4,000 per person, as justified, to supplement existing services.

b. Funding Amount

NYSERDA will accept applications requesting up to \$750,000 in funding, commensurate with the scale of training proposed. Applications that include career awareness and outreach for K-12 and/or technical high schools may access up to \$150,000 in additional funding with a maximum funding amount of \$900,000 per project. This funding may be split between clean energy technical training and K-12 outreach in any way (e.g., \$600,000 in technical training and \$300,000 in K-12 career awareness and outreach or \$800,000 in technical training and \$100,000 in K-12 career awareness and outreach). Additional funding may be awarded to successful projects after the original contract award up to a maximum of \$900,000 if funding is available.

Cost share is not required but may be contributed in the form of “cash” or “in-kind” services. If cost share is contributed, it may be borne by the applicant, other team members, and/or other

government and private resources. Examples of eligible cost share include training fees offset by a third party; contributions of direct labor (for which the laborer is paid as an employee); equipment supplied by manufacturers for hands-on training; and indirect labor or general overhead.

Items that may be considered a cost share element but that are NOT eligible for NYSERDA funding include reasonable costs for:

- Food and refreshments during training hours.
- Computers (as well as related equipment such as tablets, iPads, servers, and, software, etc.) and cell phones. Training Providers should assist training participants in securing materials/services as necessary to enable their ability to fully engage in the program.
- Costs funded by other state, municipal, or federal programs.
- Costs for out-of-state travel, provided they are justified to transport subject matter experts to New York to address a specific market gap.

Items that are neither eligible for NYSERDA funding nor for cost share include:

- Costs for training efforts which have already been undertaken.
- Costs for the development of a training application.
- Labor costs per individual (i.e., hourly wage reimbursements or subsidies) to *participate* in training.

NYSERDA may retain up to 10 percent of funding until project completion, as necessary, to ensure that all applicable project deliverables have been met.

c. Reporting and Tracking Requirements

Effective and regular communication is essential between selected Training Providers (“Contractors”) and the NYSERDA Project Manager. Reporting is required for the Project Manager to measure progress and to assess whether a Contractor’s invoice is eligible to be approved. Each quarter, Contractors will be required to submit a progress report based on a format provided by the NYSERDA Project Manager, documenting training activities and key program performance metrics (e.g., number of training participants who started and completed training, including number of individuals from DACs) over the course of that time frame. Following the conclusion of training activities, Contractors are further required to file a final report summarizing training program outcomes and lessons learned over the course of the project period. Moreover, NYSERDA expects to track the career-related achievements of training participants (e.g., certifications, wage increases, promotions, etc.) for an extended period of time to assess their long-term success in a clean energy career. Additional information will be made available as part of the contracting process.

III. APPLICATION PROCESS

This solicitation employs a short application form (Attachment A) which confirms contact information and eligibility verification. It also requires a brief description of the training and K-12 career awareness and outreach program (if applicable), the amount of funding requested, the expected outcomes (e.g., the total number of individuals trained), and the connection to eligible clean energy technology area(s).

a. Proposal Submission

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

Applications must be submitted via the NYSERDA Portal. Applications must be received by 3pm Eastern time on the date noted above for each round. Applicants may submit MS Word, Excel, or PDF files. Individual files should be 100MB or less in file size. PDF applications 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.

Incomplete applications may be subject to disqualification. It is the applicant's responsibility to ensure that all relevant information has been included in the submission. Applicants are advised to plan for at least 60 minutes to enter/submit applications. The online application system will close promptly at 3pm Eastern Time on the dates noted above for each round. Files in process, attempted edits or submissions after this deadline will not be accepted. **Faxed or emailed proposals will also not be accepted.**

For detailed instructions on how to submit an application (online or paper submission), including file requirements, click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located on the [PON 3981 solicitation page](#). Should any changes be made to this solicitation, notification will be posted on the "[Current Opportunities](#)" section of NYSERDA's website.

b. Contact Information

For contractual questions regarding this solicitation, please contact Nancy Marucci at 518-862-1090 x3335 or NancySolicitations@nyserda.ny.gov.

For program questions, please contact Gwendolyn Summers, Daniel Mulligan, or Adele Ferranti at WFInfo@nyserda.ny.gov or at (518) 862-1090 x3584, x3141 or x3206, respectively.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts above. 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 the applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

IV. EVALUATION PROCESS

a. Process and Timing

Applications that meet solicitation requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff using the Evaluation Criteria below. NYSERDA will inform each applicant of its decision regarding funding following convening of the Scoring Committee. Applications will be

reviewed within four (4) to six (6) weeks of the funding deadline. Following Scoring Committee review, NYSERDA will inform each applicant of its decision for an award within another four (4) to six (6) weeks.

NYSERDA may request an interview or additional information after submission of an application. The interview may be with the Project Manager or with all or part of the Scoring Committee. Additionally, NYSERDA reserves the right to accept or reject any or all applications received, fund an application in full or in part, to negotiate with all qualified sources, or to limit the number of awards per applicant. NYSERDA may also cancel the PON in part or in its entirety if deemed in its best interest.

Accepted Applications:

Once approved for funding, applicants will be asked to provide a scope of work, a budget with breakdown by task, and a schedule outlining their training activities. NYSERDA may award a contract based on applications with or without discussion. See NYSERDA's **Sample Agreement** for the full terms and conditions. Payments for work performed under a contract may be based on milestones or time and materials.

Denied Applications:

Applicants whose applications have been denied will be given the opportunity for a debrief with the option to reapply to this PON, provided funding is still available.

b. Eligibility and Evaluation Criteria

The following questions must be answered in the affirmative for a project to be eligible for funding:

1. Does the applicant meet the PON's definition of an eligible training provider?
2. Does the applicant have a demonstrated history of training and placing individuals from Disadvantaged Communities or Priority Populations into formal training programs or jobs in the technology area(s) under consideration?
3. Will at least 50% of training participants be individuals from Disadvantaged Communities or Priority Populations?
4. Will the training project continue once NYSERDA funding is expended?
5. IF APPLICABLE: Will at least 50% of training participants in a Direct-Entry Pre-Apprenticeship Program be located in a Disadvantaged Community?
6. IF APPLICABLE: Will at least 50% of participant schools or afterschool/summer programs be located in a Disadvantaged Community or serve a majority of students from Disadvantaged Communities?

Applications are evaluated based on their quality and content as well as the requirements outlined in the PON. Applications will be given a numerical score; those that meet the minimum score threshold for an award will be offered funding, subject to availability.

1. Applicant Qualifications

- How well are the applicant (team)'s qualifications and experience described?
- What is the applicant's past performance, especially on NYSERDA projects, if applicable?

2. Description of Training Initiative

- How comprehensive is the proposed training initiative? Will it serve a relevant clean energy

market?

- Has the applicant provided complete metrics for the proposed training project?
- How well are the target audience, specific occupations and associated skills described?
- Did the applicant name the labor organizations, locals, and/or pre-apprenticeship programs that will be served under this project?
- Does the application adequately describe the recruitment process and supportive services provided to individuals with barriers to employment?
- Is the project duration appropriate for the work being proposed?

3. Description of K-12 Career Awareness and Outreach Program (if applicable)

- Does the application include a K-12 career awareness and outreach element?
- Is the envisioned program well described?
- Are schools and/or afterschool/summer programs included that will be engaged with frequency of engagement addressed?
- Does the applicant have a plan for evaluating the learning outcomes and measuring success? If so, how well is the plan described?

4. Budget

- Is the budget, including the breakdown by task, reasonable/competitive based on the number of training participants and complexity of training proposed?
- If requesting funding for training delivery, has the applicant confirmed that it is NOT already supported by existing training infrastructure and resources?
- If requesting funding for supportive services, has the applicant confirmed that all existing sources of stipends, workforce preparation activities, and wraparound supports for training participants with barriers to employment and training have been investigated and exhausted?

5. Preferred Criteria

- Does the application include any cost share?
- Will the project exclusively train individuals from Disadvantaged Communities or Priority Populations?

c. Program Policy Factors

Additionally, NYSERDA reserves the right to accept or reject applications based on the following factors:

- Geographical coverage across New York State to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives.
- Distribution of funds for training in the targeted clean energy technologies and populations trained.
- The degree to which the proposed project optimizes the use of available funding to achieve programmatic objectives.
- The degree to which the project reaches scale commensurate with the funding requested relative to the impact of the applicant's current training budget.

IV. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of an 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 501. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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 in the New York State Office of General Services' [Procurement Lobbying Law Frequently Asked Questions \(FAQs\)](#). 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, [ST-220-TD](#), to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the

Department.

The Department has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See the Department's [Publication 223: Questions and Answers Concerning Tax Law Section 5-a](#) for more information.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of approximately two years, unless NYSERDA management determines a different structure is more efficient based upon applications received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each application should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful applications. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Applicants 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 two (2) to four (4) weeks from the application due date whether an 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 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 similar 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.

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 applicants' 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 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 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"). 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.

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 an application relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in an application. NYSERDA may conduct due diligence on some or all applications based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with applicants to request additional information or clarification regarding their application, including questions regarding applicants' business prospects and resources, whether or not those questions are specifically related to the elements of the application. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any application raised by NYSERDA staff. 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 an application; 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 applicants' business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of an application, or the prospects for commercial success of the applicants' business (whether directly related to, or unrelated to the specific elements in an application). Due diligence may include discussions with applicants' former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors, before, during, or after an internal review process, and prior to finalization of a contract award, any information gleaned in diligence may be used to review an application or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 (EO 16) issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued.

Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the [federal sanctions list](#). There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

V. ATTACHMENTS

Attachment A – Application



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

Clean Hydrogen Innovation PON 5500

Summary of Revisions

The following changes have been made from Round 1 of **PON 5500: Clean Hydrogen Innovation** to Round 2

- Updated challenge areas: removed clean hydrogen production and added hydrogen fuel cell electric vehicles and fueling stations.
- Limited project funding categories to Category A: Product Development and Category B: Pilot & Demonstration Projects.
- Added requirement to provide emission reduction calculation, technoeconomic calculation, and proposer resumes.
- Updated available funding.

Documents affected by these changes are listed below:

- Solicitation Summary
- Attachment A – Proposal Narrative Template
- Attachment B – Statement of Work Template
- Attachment F1 – Metrics Form (for Category A – Product Development)
- Attachment F2 – Metrics Form (for Category B – Pilot & Demonstration)
- Attachment G – Sample Agreement



Clean Hydrogen Innovation

Program Opportunity Notice (PON) 5500

Up to \$11.5 million Available

All, some, or none, of the available funds may be awarded. NYSERDA reserves the right to extend and/or add funding to the solicitation should other program funding sources become available.

Round 1 Proposals: Submission Closed

Round 2 Proposals Due: July 15, 2024 by 3:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$11.5 million for round 2 of PON 5500 to support development and demonstration projects in Clean Hydrogen Innovation in the following five technical challenge areas. NYSERDA reserves the right to add funding to this solicitation.

- Challenge 1. Hydrogen applications to decarbonize industrial process heat
- Challenge 2. Mitigation of nitrogen oxides (NO_x) emissions from hydrogen combustion
- Challenge 3. Hydrogen storage technologies for bulk storage and limited footprint areas
- Challenge 4. Hydrogen-based generation systems for microgrids and grid support services
- Challenge 5. Hydrogen fuel cell electric vehicles

Two categories of projects will be considered for funding. Estimated Technology Readiness Levels (TRLs) for each category and a summary of NYSERDA funding per award and cost share requirements for each category is provided below:

Funding Category	Estimated Technology Readiness Level (TRL)	Minimum Proposer or External Cost Share (non-NYSERDA funding) **	NYSERDA Funding Per Award
Category A: Product Development*	4-6	50% of total project cost	No limit, except for challenge area 5***
Category B: Pilot & Demonstration Projects	7-9	50% of total project cost	No limit, except for challenge area 5***

**Product Development projects will be subject to recoupment requirements.*

***The cost share percentage is based on total project cost (NYSERDA share + proposer/external cost share), not solely NYSERDA's contribution.*

**** Maximum funding per award for challenge area 5 is \$2M*

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>).

Questions? Please see designated contacts below:

- No communication intended to influence this procurement is permitted except by contacting Jennifer Guia or Fernando Villafuerte (Designated Contacts) by e-mail at pon5500@nyserda.ny.gov (for technical questions).
- If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or nancy.solicitations@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>).

Teaming Partners:

Proposers wishing to find and collaborate with colleagues to perform research with and submit proposals may use the Hydrogen and Clean Fuel program's [partnering platform](#).

The platform is intended to help potential proposers find other teams with complementary capabilities when submitting proposals to NYSERDA Program Opportunity Notices issued by the Hydrogen and Clean Fuels Program. Submitting teaming information is completely optional, and not required. By enabling and publishing the teaming partner list, NYSERDA is not endorsing, sponsoring, or otherwise evaluating the qualifications of the individuals and organizations.

I. Introduction

Climate Act and Clean Hydrogen

New York State's [Climate Leadership and Community Protection Act \(Climate Act\)](#) enacts one of the most aggressive climate targets in the United States: 40 percent greenhouse gas (GHG) emissions reductions below 1990 levels by 2030, a carbon-free electricity system by 2040, and an 85 percent reduction in GHG emissions below 1990 levels by 2050. Under the Climate Act, the State must also support a just transition and ensure that at least 35 percent of the benefits of clean energy investments go to disadvantaged communities with a goal of 40 percent.¹

Under the Climate Act, New York State's Climate Action Council was tasked with developing and issuing a Scoping Plan with recommendations for both sector-specific and economy-wide actions to achieve the Climate Act's goals and requirements. The Scoping Plan recommends that New York follow "technological and research developments on the use of hydrogen as a tool to reduce greenhouse gas emissions."² Sector-specific recommendations in the Scoping Plan include evaluating opportunities for clean hydrogen and alternative fuels innovation in critical sectors such as transportation (fuel cell electric medium- and heavy-duty vehicles, non-road equipment), buildings (harder-to-electrify buildings, including those on district steam systems), electricity (emphasizing safety, reliability, resilience, and affordability), industry (high-temperature industrial processes), and other hard-to-electrify end uses or systems, where electrification may be more challenging and/or more expensive.³

Since 2020, NYSERDA has conducted early-stage engagement and educational activities across the New York State stakeholder landscape, including robust discussions with climate and environmental justice advocacy groups to identify priorities, opportunities, and concerns around clean hydrogen in New York. Environmental justice and other stakeholder perspectives were instrumental in shaping focus areas and challenges for this solicitation, including prioritizing research into mitigation of nitrogen oxides (NO_x) emissions resulting from hydrogen combustion, and focusing on clean hydrogen production with renewables. These perspectives are expected to similarly support the shaping of other ongoing and future NYSERDA clean hydrogen activities.

Clean Hydrogen Efforts in New York State

New York has undertaken several key efforts to assess potential roles for clean hydrogen. NYSERDA is currently in the process of commissioning a series of market analyses and studies to assess clean hydrogen as a solution in New York, considering technology needs and risks, supply and demand potential, infrastructure, resiliency, costs, environmental justice, and job impacts. NYSERDA has also convened a series of meetings, listening sessions, and direct discussions with individuals and groups across the stakeholder landscape to better understand diverse perspectives on clean hydrogen in New York and to prioritize investment focus areas. More information about NYSERDA's efforts in clean hydrogen can be found at <https://www.nyserda.ny.gov/hydrogen>.

Alignment with Federal Clean Hydrogen Funding

The federal government also recognizes the importance of hydrogen as a key piece in the decarbonization puzzle in various sectors of the economy. Recognizing the importance of decarbonizing industry, the U.S. Department of Energy (DOE) Industrial Efficiency and Decarbonization Office (IEDO) has released a funding opportunity announcement (FOA) to support subsector-specific decarbonization challenges in energy- and emission-intensive industries.⁴ The FOA solicits pre-Front-End Engineering and Design (pre-FEED) studies for the integration of clean hydrogen as a feedstock for hard to abate industrial processes such as chemical, iron, and steel production.

¹ New York State Climate Law and Community Protection Act. <https://www.nysenate.gov/legislation/bills/2019/S6599>

² New York State Scoping Plan. <https://climate.ny.gov/resources/scoping-plan/>

³ Ibid.

⁴ DE-FOA-0003219: FY24 ENERGY AND EMISSIONS INTENSIVE INDUSTRIES FOA. <https://eere-exchange.energy.gov/Default.aspx#Foald3ff7fb7c-2687-4123-81df-4d1c2cf6bdf1>

Additionally, the DOE Hydrogen and Fuel Cell Technology Office (HFTO) has issued a FOA supporting research, development, and deployment (RDD&D) of hydrogen fueling for medium- and heavy-duty vehicles, refueling standards, hydrogen fuel cell port equipment, hydrogen permitting and safety, and equitable hydrogen community engagement.⁵

Clean Hydrogen Definition in this PON

For the purposes of this solicitation, unless explicitly stated otherwise, references to “hydrogen” and “clean hydrogen” are focused on electrolytic hydrogen produced from renewable energy resources such as solar PV or wind power.

II. Program Funding Areas and Eligibility

A. Program Eligibility

This solicitation is intended to help increase the likelihood of successful New York clean hydrogen development and technology commercialization, furthering NYSERDA’s goals. The proposing entity does not need to be based in or operating in New York, **except for** the conditions noted below for funding category B. Proposals must align with this solicitation’s objectives outlined below in sections II.B. Funding Categories and II.C. Innovation Challenge Areas. An entity is allowed to submit more than one application.

For a proposal to be eligible, a proposer must:

- Fit its proposal into one of the two Funding Categories; and
- Fit its proposal into at least one of the Challenge Areas. Applicants can submit a proposal covering more than one challenge area, but in the proposal narrative file (attachment A), the applicant will have to pick only one challenge area that the proposal belongs to.

B. Funding Categories

Two categories of development and demonstration will be considered for funding. Estimated Technology Readiness Levels (TRLs) for each category are provided below.

Category A: Product Development

- Category A includes efforts that are crucial to the development of a marketable technology product, system, strategy, or service and any testing or validation of an innovation that is not already commercially available and may lead to the commercialization of products manufactured in New York State.
- Estimated TRL: 4-6.

Category B: Pilot and Demonstration Projects

- Category B is aimed at demonstrating and testing innovative 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 or have yet to be significantly deployed in New York State.
- All Demonstrations must take place (1) within New York State, and (2) at a site that pays into the Clean Energy Fund (<https://www.nyserda.ny.gov/About/Funding>) through the electric System Benefits Charge (SBC), unless significant statewide benefits are demonstrated.

⁵ DE-FOA-0003213 Hydrogen and Fuel Cell Technologies Office FOA to Advance the National Clean Hydrogen Strategy. <https://eere-exchange.energy.gov/Default.aspx#Foaldf30521b2-f38e-4525-a8d7-5c68602063b7>

- Estimated TRL: 7-9.

Proposers must select one funding category per project proposal, which must be indicated in the Proposal Narrative (Attachment A). Proposals that do not identify a funding category will not be reviewed and will be deemed ineligible. If the funding category selected does not match the scope of the project, NYSERDA may, in its sole 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 in this solicitation.

Proposals must state the existing Technology Readiness Level (TRL) and Commercial Readiness Level (CRL) of any technology being proposed and what the expected TRL and CRL of that technology will be at the end of the proposed project, as a direct result of having undertaken the project. See Attachment C: TRL/CRL Calculator.

Proposals under challenge areas 1, 4, and 5 are required to quantify the GHG benefits from their projects. This can be achieved by calculating the GHG emissions avoided by deploying the appropriate hydrogen-based technology instead of the fossil fuel counterfactual. When calculating the emissions avoided from displaced fossil fuels, please use the emissions factors for CO_{2e} in Appendix A of the [Fossil and Biogenic Fuel Greenhouse Gas Emissions Factors](#)⁶ report. If the proposed technology also assumes grid electricity input, please calculate the associated emissions in CO_{2e} from this electricity using the average emissions factors, full fuel cycle, on the “Annual Outputs” tab in the [Projected Emissions Factors for New York State Grid Electricity](#)⁷ spreadsheet. Please report the amount of GHG emissions avoided in units of kg CO_{2e}/yr.

Proposals under challenge areas 1, 3, 4, and 5 must present a technoeconomic analysis (TEA) which accounts for the following factors:

- Capital costs (CAPEX)
- Tax credits
- Operating expenses (OPEX)
- Revenue streams (if applicable)
- Operational period

The TEA must culminate in a normalized metric appropriate to the technology space the project occupies to allow for reasonable comparison to existing counterfactual technologies. More details on potential metrics are detailed under the “Additional Requirements” section at the end of the respective challenge areas. The TEA must establish a baseline metric at the beginning of the project, and a projected metric at the project’s end. Proposers are free to choose a TEA methodology of their choice but must cite the source and explain the methodology. Proposed solutions must demonstrate a reduction in the chosen normalized cost metric, driving towards cost parity with existing fossil-fuel powered counterfactuals.

Proposals under challenge area 2 must also demonstrate NO_x emissions reductions beyond already existing New York State regulatory limits, as mentioned in the “Additional Requirements” section of this challenge area.

⁶ NYSERDA. The Fossil and Biogenic Fuel Greenhouse Gas Emissions Factors White Paper. <https://www.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Publications/Energy-Analysis/22-23-Fossil-and-Biogenic-Fuel-Greenhouse-Gas-Emission-Factors.pdf>

⁷ NYSERDA. The Project Emissions Factors for New York State Grid Electricity Spreadsheet. <https://www.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Publications/Energy-Analysis/22-18-Projected-Emission-Factors-for-New-York-Grid-Electricity--Annex.xlsm>

C. Innovation Challenge Areas

Challenge areas for round 2 are explained in detail below. Future revisions of this solicitation may add additional Challenge Areas or update existing ones. Proposals on topics other than those identified below, as per the current revision of the solicitation at the time the proposal is submitted, are not in scope for this solicitation and will be considered non-responsive.

Challenge Area 1: Hydrogen Applications to Decarbonize Industrial Heat

Background

Studies show that industrial activities account for 10% of energy use in New York and for 9% of the state's GHG emissions.^{8,9,10}

Industry presents unique challenges to decarbonization given the variety of processes and grades of heat employed across the entire sector, which will require different approaches.¹¹ Low-temperature ($T < 100^{\circ}\text{C}$) and some mid-temperature ($100^{\circ}\text{C} \leq T \leq 500^{\circ}\text{C}$) industrial heat applications are more amenable to electrification, where existing technologies like heat pumps and electric steam boilers can provide the needed process heat. The higher lifetime costs for technologies like electric boilers are currently due to higher electricity costs compared to fossil fuel costs, but as electricity prices come down due to the growing share of electricity generated from renewables, electric boilers will become a more attractive option.^{12,13}

For other mid-temperature and high-temperature industrial processes ($T > 500^{\circ}\text{C}$) sourcing the necessary heat through electrical means alone will prove difficult.^{14,15} In New York, mid- and high-temperature heat from fossil fuels like natural gas and coal accounts for 62% of the total heat consumed in industry (Figure 1), and of this 62%, approximately 35% is employed for the manufacture of primary metals (e.g., aluminum) and nonmetallic mineral products (e.g., glass) (Figure 2), and another 44% is divided between paper, chemical, and fabricated metal parts manufacturing.¹⁶ Decarbonizing these hard-to-electrify industrial processes will require finding an alternative to fossil fuels can provide the necessary heat and/or serve as a process input, while remaining carbon-neutral and minimally impacting the manufacturing processes employed by key New York industries.

⁸ New York Scoping Plan. <https://climate.ny.gov/resources/scoping-plan/>

⁹ Patterns and Trends – New York State Energy Profile. <https://www.nyserda.ny.gov/About/Publications/Energy-Analysis-Technical-Reports-and-Studies/Patterns-and-Trends>

¹⁰ New York State Profile and Energy Estimates. <https://www.eia.gov/state/?sid=NY#tabs-2>

¹¹ DOE Industrial Decarbonization Roadmap, 2022. <https://www.energy.gov/eere/industrial-decarbonization-roadmap>

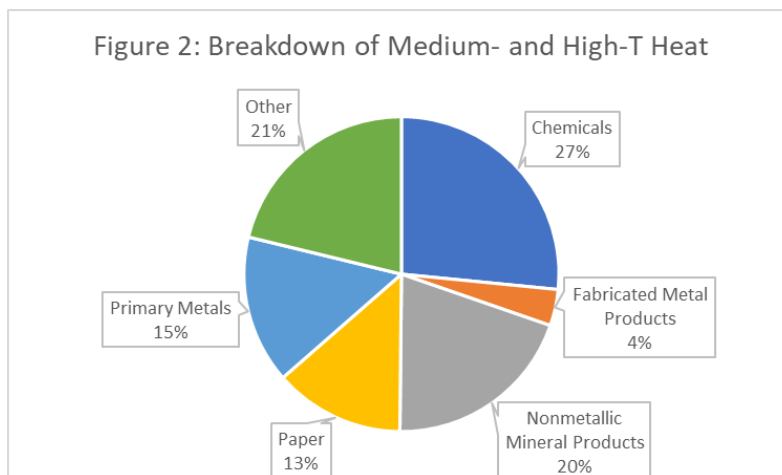
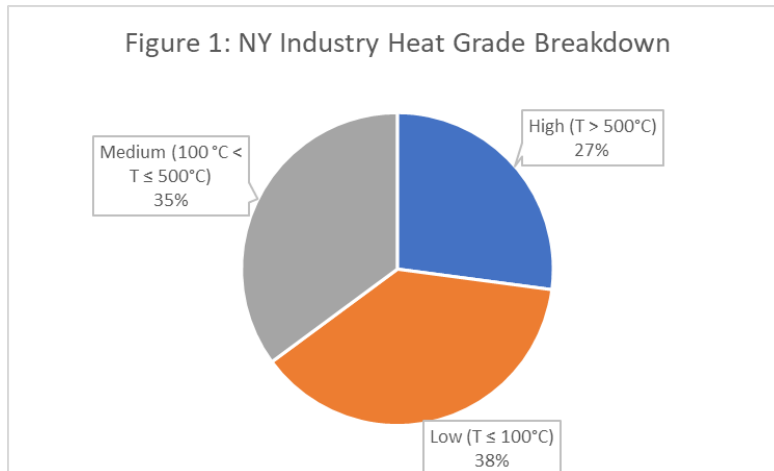
¹² Ibid.

¹³ McKinsey and Company, Plugging In: What Electrification Can Do for Industry, 2020. <https://www.mckinsey.com/industries/electric-power-and-natural-gas/our-insights/plugging-in-what-electrification-can-do-for-industry#/>

¹⁴ Ibid.

¹⁵ DOE National Clean Hydrogen Strategy and Roadmap, 2022. <https://www.hydrogen.energy.gov/clean-hydrogen-strategy-roadmap.html>

¹⁶ Manufacturing Thermal Energy Use in 2014; dataset filtered for New York. <https://data.nrel.gov/submissions/118>.



Clean hydrogen presents a novel opportunity to decarbonize hard-to-electrify process heat. Like natural gas, hydrogen gas combustion can provide the temperatures needed for industrial process heat, while simultaneously producing no carbon emissions.^{17,18} Hydrogen's unique properties, however, preclude its use as a drop-in solution for natural gas in industrial combustion processes. Hydrogen's lower volumetric energy density, coupled with its wider flammability window, higher combustion flame speed, flame invisibility, and poorer radiative heat transfer will require some redesign of kilns and furnaces to allow for safe and efficient management of hydrogen combustion and gas flows.^{19,20} The small size of hydrogen molecules also allows them to diffuse into and through porous materials and even metals, leading to their embrittlement and eventual cracking, necessitating new materials and coatings for hydrogen storage and management.²¹

Clean hydrogen could also decarbonize industrial processes through use as a process input. Industrial steelmaking, for example, already employs direct reduced iron (DRI) in steel manufacturing, which is iron refined

¹⁷ DOE National Clean Hydrogen Strategy and Roadmap, 2022. <https://www.hydrogen.energy.gov/clean-hydrogen-strategy-roadmap.html>

¹⁸ Industrial decarbonization via hydrogen: A critical and systematic review of developments, socio-technical systems and policy options. <https://www.sciencedirect.com/science/article/abs/pii/S2214629621003017?via%3Dihub>

¹⁹ Ibid.

²⁰ DOE Hydrogen Program Plan, 2020. https://www.hydrogen.energy.gov/roadmaps_vision.html

²¹ Industrial decarbonization via hydrogen: A critical and systematic review of developments, socio-technical systems and policy options. <https://www.sciencedirect.com/science/article/abs/pii/S2214629621003017?via%3Dihub>

from iron ore with a reducing agent, typically carbon sourced from coke or natural gas.^{22,23} Hydrogen produced by electrolysis from renewable energy could decarbonize the DRI process by replacing carbon as the reducing agent, and the heat required to make steel from this iron can be sourced through electric arc furnaces (EAF).²⁴ Similar uses for clean hydrogen as a carbon-neutral input in the manufacture of other primary metals or types of materials may exist.

NYSERDA seeks to fund technology development and demonstration projects that leverage innovative technologies and strategies that drive the deployment of clean hydrogen for industrial heat applications in one or more of the following ways:

1. Safely enable and efficiently manage hydrogen combustion for hard-to-electrify medium-temperature ($100^{\circ}\text{C} \leq T \leq 500^{\circ}\text{C}$) and high-temperature ($T > 500^{\circ}\text{C}$) industrial process heat;
2. Use hydrogen as a decarbonizing input in a process that either eliminates the need for high temperature process heat or enables a process that can source such heat through electrification.

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Novel materials and coatings that can withstand hydrogen embrittlement and the high temperatures associated with hydrogen combustion
- Designs for and demonstrations of ovens, kilns, and furnaces that account for hydrogen's properties and allow for the efficient and safe combustion of hydrogen gas
- Sensors that can detect the presence and extent of hydrogen flames
- Studies of hydrogen combustion behavior and gas flow for optimizing system design
- Studies of the kinetics of high temperature hydrogen reduction of metal oxides for metal manufacturing
- Studies of the kinetics of chemical reactions that use hydrogen as a direct input, with or without additional heat, to optimize final product quality in processes that would otherwise employ high temperature heat
- Technologies and processes that use hydrogen to decarbonize fossil-fuel-combustion-based, mid- and high-temperature industrial processes, via combustion or other means (e.g., as a process input)

Examples of projects that will not be considered under this Challenge Area include:

- Any projects that use hydrogen for providing heat at temperatures below 100°C .

Additional Requirements

Proposers will be required to demonstrate and quantify the GHG benefits from their projects, as mentioned in section II.B.

Proposers will also be required to provide a TEA that establishes baseline costs at the beginning of the project, and costs at the end of the project. As mentioned in section II.B, the TEA must account for CAPEX, OPEX, tax credits, revenue streams (if applicable), and operational period. The TEA should culminate in a normalized cost metric appropriate to the proposer's industry, examples of which may include, but are not limited to:

- Cost per unit mass of product produced (e.g. $\$/\text{kg}$)
- Cost per unit volume of product produced (e.g. $\$/\text{L}$ or $\$/\text{m}^3$)
- Cost per unit produced (e.g. $\$/\text{unit}$)

²² DOE Industrial Decarbonization Roadmap, 2022. <https://www.energy.gov/eere/industrial-decarbonization-roadmap>

²³ Reduction of Iron Oxides with Hydrogen – A Review, 2019. <https://onlinelibrary.wiley.com/doi/full/10.1002/srin.201900108>

²⁴ DOE Industrial Decarbonization Roadmap, 2022. <https://www.energy.gov/eere/industrial-decarbonization-roadmap>

The choice of TEA and normalized cost metric should allow for reasonable comparison to the prices associated with products produced using heat from existing fossil-fuel counterfactual technologies. Proposers are free to use a TEA of their choice but must cite it and explain the methodology. Proposed solutions must demonstrate a reduction in the normalized cost metric by 10-30%, driving towards cost parity with existing fossil-fuel powered counterfactuals.

Challenge Area 2: Mitigation of Nitrogen Oxides (NO_x) Emissions from Hydrogen Combustion

Background

Unlike fossil fuels, pure hydrogen (H₂) does not contain carbon or trace amounts of sulfur or mercury, so its combustion does not emit air pollutants such as carbon monoxide (CO), sulfur dioxide (SO₂), particulate matter (PM), or other compounds.²⁵ However, the combustion of hydrogen in air (a mixture of mostly nitrogen and oxygen) occurs at much higher flame temperatures than burning natural gas, and by comparison can potentially emit larger quantities of oxides of nitrogen (NO_x) per unit of energy.²⁶

The Scoping Plan specifically states that “opportunities to further reduce NO_x emissions from hydrogen combustion exist and need to be further studied,” and that RD&D strategies should include “research on emissions controls that reduce/eliminate emissions (e.g., NO_x from hydrogen combustion),” making this a priority for New York State.^{27,28}

NO_x emissions can be controlled or reduced by making changes to the combustion process or by installing post-combustion pollutant emissions control equipment in the exhaust stream (such as selective catalytic reduction (SCR) technologies). Opportunities may exist for reducing NO_x emissions by changing the combustion process when shifting to clean hydrogen as a fuel. Many of the post-combustion control technologies are well understood for fossil fuel combustion but often come with performance and cost trade-offs. For many industrial applications, it is unclear how NO_x emissions would compare if these applications were to shift from the current fossil fuels to hydrogen in a real-world setting. Furthermore, systems designed explicitly for hydrogen combustion, especially for pure hydrogen combustion, can implement features that result in lower NO_x emissions.²⁹

The goal of this challenge area is to fund development and demonstration projects that drive the state-of-the-art, minimizing NO_x emissions from hydrogen combustion. More specifically, this challenge area seeks projects that control or mitigate NO_x emissions from hydrogen combustion to reduce localized air pollution impacts to the extent practicable. Emphasis should be on applications where non-combustion solutions (such as fuel cells) are not practicable.

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Combustor technology (e.g., fuel/air staging, exhaust gas recirculation)
- Advanced combustion controls or optimization
- Post-combustion cleanup and treatment (e.g., selective catalytic reduction (SCR)), including the development of new catalysts or optimization of existing catalysts to improve performance
- Studies showing the cost and performance tradeoffs of minimizing NO_x emissions

²⁵ Hydrogen Fuel Cell Engines and Related Technologies, Module 1: Hydrogen Properties

²⁶ *ibid.*

²⁷ New York State Climate Action Council Scoping Plan, Chapter 8: Public Health

²⁸ New York State Climate Action Council Scoping Plan, Chapter 13: Electricity

²⁹ USDOE. 2022. Webinar: DOE Low NO_x Targets and State-of-the-Art Technology for Hydrogen Fueled Gas Turbines.

<https://www.energy.gov/eere/fuelcells/2022-hydrogen-and-fuel-cell-technologies-office-webinar-archives#09152022>

- Demonstration projects to test the performance and effectiveness of NO_x control and mitigation strategies in real-world hydrogen combustion systems

Additional Requirements

Proposed projects under this challenge area must demonstrate NO_x emissions reductions beyond existing New York State regulatory standards, such as those in NYCRR 227-3.4.³⁰

Challenge Area 3: Hydrogen Storage Technologies for Bulk Storage and Storage in Limited Footprint Areas

Background

As New York moves to decarbonize its grid in accordance with the targets mandated in the CLCPA and outlined in the Scoping Plan, electrification of large parts of the State’s economy and the growing proportion of renewably produced electricity on the grid will result in imbalances of electricity supply and demand on intra-day, inter-day, and seasonal timescales.^{31,32} The ability of renewable production resources like solar and wind to meet this shift in demand on intra- and inter-day timescales will depend heavily on the deployment of short duration energy storage up to 8 hours provided by batteries.

To manage seasonal imbalances on much longer timescales than 8 hours between predicted peak renewable production in the spring, summer, and fall with increased electricity demand in the winter, a zero-carbon, firm dispatchable resource of at least 17 GW would be needed by 2040.³³ This resource could take the form of hydrogen, which could be produced via electrolysis powered during periods of peak renewable electricity generation in the spring through autumn and dispatched during the winter for periods of up to 100 hours in order to ensure grid reliability and stability (See Figure 3).³⁴ Furthermore, this demand will be concentrated in downstate and urban areas generally removed from regions where hydrogen is expected to be produced with renewable electricity.³⁵

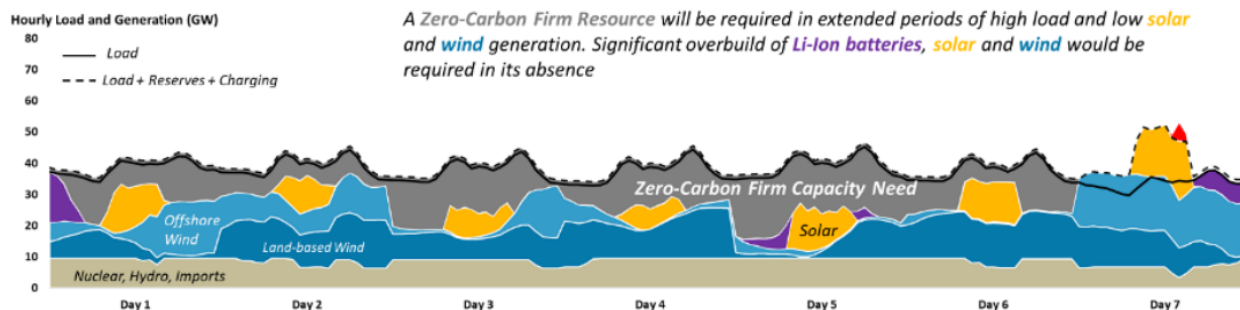


Figure 3. Zero Carbon Firm Capacity Need Over a Challenging Winter Week in 2040.³⁶

³⁰ 6 CRR-NY 227-3.4 Control Requirements.

[https://govt.westlaw.com/nycrr/Document/l23afb5c062d711ea8777f1e457ab6add?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=\(sc.Default\)](https://govt.westlaw.com/nycrr/Document/l23afb5c062d711ea8777f1e457ab6add?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default))

³¹ New York State Climate Action Council Scoping Plan. <https://climate.ny.gov/resources/scoping-plan/>

³² New York State Energy Storage Roadmap. <https://www.nysedda.ny.gov/-/media/Project/Nyserda/Files/Programs/Energy-Storage/ny-6-gw-energy-storage-roadmap.pdf>

³³ Ibid.

³⁴ Ibid.

³⁵ New York State Climate Action Council Scoping Plan, Tech Supplement Annex 2: Key Drivers Outputs. <https://climate.ny.gov/-/media/project/climate/files/IA-Tech-Supplement-Annex-2-Key-Drivers-Outputs-2022-1.xlsx>

³⁶ New York State Energy Storage Roadmap. <https://www.nysedda.ny.gov/-/media/Project/Nyserda/Files/Programs/Energy-Storage/ny-6-gw-energy-storage-roadmap.pdf>

In order to balance both the seasonal and regional imbalances in hydrogen supply and demand, a variety of hydrogen storage solutions will be required. Bulk storage of hydrogen in geologic formations like salt caverns is already deployed to manage large-scale fluctuations in demand for hydrogen in the petrochemical sector^{37,38} and would in theory provide the most cost-effective means of managing New York's seasonal supply and demand imbalance.³⁹ However, assessing the viability of onshore and offshore geologic formations in New York and the costs associated with preparing them for hydrogen storage remain formidable barriers.

Because demand for hydrogen will be concentrated in downstate and urban areas away from zones of hydrogen production, there is also need for compact, limited footprint storage solutions. Though hydrogen has a gravimetric energy density higher than that of gasoline (33.3 kWh/kg vs. 12.2 kWh/kg),⁴⁰ its volumetric energy density is far lower (0.0033 kWh/L for hydrogen gas at ambient pressure,⁴¹ compared to 8.9 kWh/L for liquid gasoline⁴²), necessitating the use of compression tanks for storage in limited space. Cold compressed and liquid hydrogen storage could push volumetric density higher but comes with added energetic and financial costs associated with cooling and the liquefaction of hydrogen gas,^{43,44} in addition to the cost of materials needed for high-pressure tank linings.⁴⁵

Materials-based storage solutions that exploit hydrogen absorption or adsorption into solid materials, or carry hydrogen in a denser chemical form, could provide another avenue to reaching the higher volumetric energy densities needed for small footprint storage. Solid materials like metal hydrides and metal-organic frameworks (MOFs) that can in theory absorb and adsorb large quantities of hydrogen without the need for energy-intensive compression could lead to safer and more compact storage vessels.⁴⁶ These technologies remain hampered, however, by the need to operate them well outside of ambient temperature ranges to store and release hydrogen in sufficient quantities.^{47,48} Storing hydrogen in chemical carriers like ammonia and ammonia borane circumvents the volumetric energy constraint, but also requires the energy intensive application of heat and the use of catalysts to release hydrogen when needed.^{49,50,51}

NYSERDA seeks innovative proposals that address the challenges associated with both bulk storage (i.e., geological storage) and storage in limited footprint areas (i.e., in denser urban areas).

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Studies and surveys assessing the feasibility, potential extent, and costs of hydrogen storage in onshore or offshore geologic formations in New York State

³⁷ DOE National Clean Hydrogen Strategy and Roadmap, 2022. <https://www.hydrogen.energy.gov/clean-hydrogen-strategy-roadmap.html>

³⁸ A Life Cycle Cost Analysis Framework for Geologic Storage of Hydrogen: A User's Tool. <https://www.osti.gov/biblio/1029761>

³⁹ Ibid.

⁴⁰ DOE Hydrogen and Fuel Cell Technologies Office. Hydrogen Storage. <https://www.energy.gov/eere/fuelcells/hydrogen-storage>

⁴¹ Hydrogen Storage Technologies for Stationary and Mobile Applications: Review, Analysis, and Perspectives.

<https://www.sciencedirect.com/science/article/abs/pii/S1364032121005980>

⁴² DOE Hydrogen and Fuel Cell Technologies Office Multi-Year Research, Development, and Demonstration Plan.

<https://www.energy.gov/eere/fuelcells/articles/hydrogen-and-fuel-cell-technologies-office-multi-year-research-development>

⁴³ Hydrogen Storage Technologies for Stationary and Mobile Applications: Review, Analysis, and Perspectives.

<https://www.sciencedirect.com/science/article/abs/pii/S1364032121005980>

⁴⁴ DOE Hydrogen and Fuel Cell Technologies Office Multi-Year Research, Development, and Demonstration Plan.

<https://www.energy.gov/eere/fuelcells/articles/hydrogen-and-fuel-cell-technologies-office-multi-year-research-development>

⁴⁵ Ibid.

⁴⁶ Current Research Trends and Perspectives on Materials-Based Hydrogen Storage Solutions: A Critical Review.

<https://www.sciencedirect.com/science/article/abs/pii/S0360319916335285>

⁴⁷ Ibid.

⁴⁸ DOE Hydrogen and Fuel Cell Technologies Office. Materials-Based Hydrogen Storage.

<https://www.energy.gov/eere/fuelcells/materials-based-hydrogen-storage>

⁴⁹ Ibid.

⁵⁰ DOE Hydrogen and Fuel Cell Technologies Office. Chemical Hydrogen Storage Materials

⁵¹ Hydrogen Carriers. <https://www.nature.com/articles/natrevmats201667>

- Studies of materials-based storage technologies like metal hydrides and metal-organic frameworks that allow for absorption and desorption at ambient temperatures
- The demonstration of physical hydrogen storage media that increase volumetric energy density and reduce costs associated with tank shell materials
- Studies of chemical carriers that can easily and reversibly store and release hydrogen
- Studies assessing the viability of undersea tank storage of hydrogen

Examples of projects that will not be considered under this challenge area include:

- Storage technologies that emit carbon dioxide when separating hydrogen from a chemical carrier

Additional Requirements

Proposers will also be required to provide a TEA that establishes baseline storage costs at the beginning of the project, and hydrogen storage costs at the end of the project. As mentioned in section II.B, the TEA must account for CAPEX, OPEX, tax credits, revenue streams (if applicable), and operational period. The TEA should culminate in a normalized cost metric appropriate to the proposer’s storage medium, examples of which may include, but are not limited to:

- Total installed cost of storage (e.g. \$/kWh)
- Levelized cost of storage (e.g. \$/kWh)
- Cost of storage per unit mass (e.g. \$/kg)

The choice of TEA and normalized cost metric should allow for reasonable comparison to the prices associated with currently available and competing storage technologies, like tanks. Proposers are free to use a TEA of their choice but must cite it and explain the methodology. Proposed solutions must demonstrate a reduction in the chosen normalized storage cost metric.

Challenge Area 4: Hydrogen-based Systems for Microgrids and Grid Support Services

Background

The impacts of climate change are already being felt and are expected to accelerate. Aging infrastructure, extreme weather events, cyber-attacks, and physical attacks pose a growing risk to the electrical grid, which is vital to the provision of human services. New York State is taking equitable action to mitigate these risks through enhanced resilience in energy infrastructure. Chapter 21 of the New York State Climate Leadership and Community Protection Act (CLCPA) Scoping Plan⁵² identifies action steps the state should adopt to enhance resilience in communities and infrastructure. Among the outlined actions, energy infrastructure has been identified as an area that must be strengthened and enhanced to better prepare for, withstand, adapt, and quickly recover from disruptions such as severe weather, natural and man-made disasters.

Resilience is the ability of a system and its component parts to anticipate, absorb, accommodate, or recover from the effects of a hazardous event in a timely and efficient manner, including through ensuring the preservation, restoration, or improvement of its essential basic structures and functions.⁵³ Resilient energy systems must therefore provide uninterrupted electricity and heat during disruptions, with a focus on prioritizing critical infrastructure and minimizing harm to human welfare. Most infrastructure, including critical facilities such as hospitals, emergency shelters, and vehicle fueling stations depend on electricity for operation. The loss of these

⁵² New York State Climate Action Council. 2022. “New York State Climate Action Council Scoping Plan.” [Climate.ny.gov/ScopingPlan](https://climate.ny.gov/ScopingPlan)

⁵³ Intergovernmental Panel on Climate Change. 2012. “Glossary of terms.” In: *Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation* [Field, C.B., V. Barros, T.F. Stocker, D. Qin, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattner, S.K. Allen, M. Tignor, and P.M. Midgley (eds.)]. A Special Report of Working Groups I and II of the Intergovernmental Panel on Climate Change (IPCC). Cambridge University Press, Cambridge, UK, and New York, NY, USA, pp. 555-564.

critical services due to a grid outage can have negative, cascading effects on human health and welfare.⁵⁴ Resilient system designs often include nodes where clusters of critical loads can be islanded from the main electrical grid and powered by distributed generators and energy storage systems.

Currently, most local and facility backup power generation utilizes fossil fuels, such as natural gas or diesel. However, these fossil fuel generations often come with air quality concerns, especially for low-income and underserved communities. New York state has approximately 4.5 GW of active fossil-fired simple cycle combustion turbines (SCCTs), located almost entirely in New York City, Long Island, and the Lower Hudson Valley. Many of these turbines have low utilization, generating electricity less than 5-10% of the year, and are approaching an average age of 50 years.⁵⁵ Clean hydrogen energy storage will allow New York to meet its peak power needs without relying on these oldest and dirtiest peak generation SCCTs. Additionally, independent analysis of New York's power grid has determined the need for 17 GW of dispatchable carbon emission-free resources (DEFERs)⁵⁶ to balance intermittent supply with demand, while also meeting New York's ambitious carbon reduction goals.

Decarbonized resilient hub designs using distributed generation, energy storage, and flexible load technologies must be developed and evaluated. Clean hydrogen, and hydrogen-based fuels, offer an opportunity to be integrated into these designs as the keystone of a multi-energy system. Hydrogen and clean fuels can provide long, multi-day storage, zero emission distributed electric power generation, heat, and vehicle fuel needs.⁵⁷ For example, an integrated vehicle refueling station with hydrogen storage, refueling, and fuel cells could provide both hydrogen fuel and electricity for emergency vehicles during a blackout, without any connection to grid power. Furthermore, transportable systems powered by hydrogen, such as a power barge or trailer, could be transported to a specific location (e.g., a hospital) and provide power during a blackout.

Critical investment in the research, design, development, deployment, and testing of hydrogen-supported microgrids and resiliency hubs will enable New York's energy resilience goals. To mitigate vulnerabilities, planning and RD&D should look to identify communities, both urban and rural/remote, that are the most vulnerable to energy shortages, system and local power outages, cost spikes in delivered energy, and air quality concerns from current fossil fuel backup generators.

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Pilot projects of transportable backup power options for emergency response scenarios, such as a floating power barge or trailer
- Design and testing of a multi-fuel, long-duration, rapidly deployable microgrid system
- Identification of potential communities and/or resiliency hubs for deployment of future microgrid/backup power systems (especially in relation to other social and environmental justice efforts)
- Pilot of electric vehicle recharging stations with hydrogen fuel-cell systems for backup power (or dual-fuel hydrogen electric systems)
- RD&D on trigeneration systems/microgrids with electricity, hydrogen, and heat generation

Examples of projects that will not be considered under this challenge area include:

- Grid support or microgrid projects which rely on batteries, geothermal, hydropower, or other non-hydrogen technology as the primary energy source. Other technologies can be used to supplement hydrogen energy but should not be the primary energy source.

⁵⁴ Pace Energy and Climate Center, 2013. Power Through Storms. Pace Law School. peccpubs.pace.edu/viewresource/62b12fecc0ccdcde/Power+Through+Storms

⁵⁵ New York State Department of Public Service, (December 28, 2022) "New York's 6 GW Energy Storage Roadmap: Policy Options for Continued Growth in Energy Storage", CASE 18-E-0130, pp.23-24.

⁵⁶ New York Independent System Operator, (November 15, 2022), "2022 Reliability Needs Assessment (RNA)", <https://www.nyiso.com/documents/20142/2248793/2022-RNA-Report.pdf>

⁵⁷ U.S. Department of Energy (DOE), 2020. Department of Energy Hydrogen Program Plan.

- Hydrogen based technologies which do not support enhanced grid resilience.
- Projects exclusively focused on integration of systems with the grid and/or the management of grid/system interactions

Additional Requirements

Proposers will be required to quantify the GHG benefits from their projects as mentioned in section II.B.

Proposers will also be required to provide a TEA that establishes baseline costs at the beginning of the project, and costs at the end of the project. As mentioned in section II.B, the TEA must account for CAPEX, OPEX, tax credits, revenue streams (if applicable), and operational period. The TEA should culminate in a normalized cost metric appropriate to the proposer’s resilience solution, examples of which may include, but are not limited to:

- Annualized cost of ownership (e.g. \$/kW-year)

The choice of TEA and normalized cost metric should allow for reasonable comparison to the prices associated with competing resilience and grid support technologies. Proposers are free to use a TEA of their choice but must cite it and explain the methodology. Proposed solutions must demonstrate a reduction in the chosen cost metric over the course of the project, driving towards cost parity with existing fossil-fuel powered resilience and grid support technologies like generators.

Challenge Area 5: Hydrogen Fuel Cell Electric Vehicles

Emissions from the transportation sector account for 28% of New York State’s emissions.⁵⁸ Mitigating these emissions will require the aggressive deployment of zero emissions vehicles to meet New York’s climate goals. Decarbonization of certain segments of the heavy-duty vehicle (HDV) sector, which includes longer distance on-road transportation and equipment like larger cargo-handling equipment (CHE) at ports with battery electric vehicles (BEVs) can be challenging, given that some HDVs require short downtimes and long ranges between refueling, and that the large size of batteries needed to power such vehicles can be prohibitively heavy or take up valuable cargo space. Fuel cell electric vehicles (FCEVs) that use hydrogen could present a more cost-effective option for decarbonizing these HDV use cases, given their comparatively faster refueling times and their more favorable weight profiles.

There remain, however, technical challenges to the adoption of FCEVs in the HDV sector. One challenge is the lack of demonstrations of hydrogen-powered HDVs, both in on-road applications like commercial truck fleets, and off-road applications like construction and port equipment, such as cranes and loaders.⁵⁹ Beyond technology, there is also a need to understand the barriers to permitting, safety, and deployment of hydrogen technologies associated with HD FCEVs, in order to streamline and standardize the regulatory approval processes while ensuring general public safety.

In light of these challenges, NYSERDA seeks proposals that:

1. Develop and demonstrate HD FCEVs both for off-road and on-road applications to enable adoption at scale, **reducing total cost of ownership towards parity with comparable fossil-fueled counterfactuals;**
2. Activities to address the challenges associated with the regulation, safety, and permitting of HDFCEV deployment in New York, such as:
 - a. Safety simulations to expand hydrogen corridors in New York

⁵⁸ [New York State Scoping Plan](#), 2022.

⁵⁹ Ibid.

- b. The evaluation and development of codes and standards needed to enable liquid hydrogen storage and transport in New York City
- c. The development of training modules for first responders, fire marshals, and other code and safety officials

Example Projects and Technologies

Examples of projects that will not be considered under this Challenge Area include:

- Material compatibility studies
- Materials development studies
- On-site hydrogen production equipment and systems
- Safety and permitting studies that duplicate already existing resources
- Demonstrations of long-range HD FCEVs, defined here as HDVs that do not return nightly/daily to the same fleet depot

Additional Requirements

Proposers demonstrating HD FCEV technology will be required to quantify the GHG benefits from their projects as mentioned in section II.B.

Proposers will also be required to provide a TEA that establishes baseline costs at the beginning of the project, and costs at the end of the project. As mentioned in section II.B, the TEA must account for CAPEX, OPEX, tax credits, revenue streams (if applicable), and operational period. The TEA should culminate in a normalized cost metric appropriate to the proposer's project, examples of which may include, but are not limited to:

- Lifetime cost of ownership (e.g. \$/vehicle)

The choice of TEA and normalized cost metric should allow for reasonable comparison to the prices associated with competing fossil-fuel counterfactual technologies. Proposers are free to use a TEA of their choice but must cite it and explain the methodology. Proposed solutions must demonstrate a reduction in the chosen normalized cost metric.

D. Projects Specifically Not of Interest

To further assist proposers on the eligibility of specific projects, below, and in addition to the projects outlined above, is a list of example projects that are specifically not of interest to NYSERDA and not eligible for funding under this PON (NOTE: this is not an exhaustive list and is provided for indicative purposes only):

- Proposed technologies that are not based on sound scientific principles
- Proposed solutions that do not use technologies related to hydrogen (e.g., decarbonizing high temperature industrial manufacturing process with molten salt reactors)
- Proposed hydrogen technologies that will increase greenhouse gas emissions
- Development of hydrogen safety codes and standards
- Funding for hydrogen safety reviews

III. Proposal Requirements

To submit a Proposal, the proposer must submit all attachments listed below. The goal should be to concisely present the information needed to fully address the Proposal Evaluation Criteria (Section IV).

Required Attachments for the Proposal:

- Attachment A – Proposal Narrative Template
- Attachment B – Statement of Work Template
- Attachment C – TRL/CRL Calculator
- Attachment D1 - Milestone Payment Schedule
- Attachment D2 – Budget Form
- Attachment D3 – 3-year Financial Projection Worksheet
- Attachment E – Executive Summary Slide Template
- Resumes/CVs
- Letters of Site Commitment (for Category B – Pilot & Demonstration)

Additional Attachments

- Indirect Cost Rate Supporting Documentation
- Letters of Support or Commitment
- References

For reference only, does not need to be filled:

- Attachment F1 – Metrics Form (for Category A – Product Development)
- Attachment F2 – Metrics Form (for Category B – Pilot & Demonstration)
- Attachment G – Sample Agreement

Proposers must carefully review the required attachments to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive. It is the proposer’s responsibility to ensure that all pages have been included in the proposal and that they have been timely submitted in accordance with the appropriate due date and time.

Proposals that exceed the page limits or fail to follow the format guidelines will 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 V instructions for submitting proprietary material. Each page of the proposal should state the name of the proposer, the PON number (PON 5500), and the page number.

Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprised of internal and external technical experts in accordance with Section IV. Proposal Evaluation. Only the most technically meritorious proposals will be awarded an invitation from NYSERDA to enter into an agreement. Proposals not meriting an award for contracting may be debriefed as requested.

A. Compliance with New York State Finance Law

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

B. Cost Sharing and Recoupment

The proposal should show proposer or external (non-NYSERDA) cost share funding of at least 50% of the total cost of the project. Scoring preference will be given to proposals that best leverage NYSEERDA funding by providing greater amounts of non-NYSERDA cost share funding (see IV. Proposal Evaluation). 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. Total non-NYSERDA cost share is the sum of cash and in-kind contributions from non-NYSERDA sources. NYSEERDA 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.

A summary of NYSEERDA funding per award for each category and cost share requirements is provided below:

Funding Category	Estimated Technology Readiness Level (TRL)	Minimum Proposer or External Cost Share (non-NYSERDA funding)	maximum NYSEERDA Funding Per Award
Category A: Product Development *	4-6	50% of total project cost**	No Limit, except for challenge area 5***
Category B: Pilot & Demonstration Projects	7-9	50% of total project cost	No Limit, except for challenge area 5***

*Product Development projects will be subject to recoupment requirements.

**The cost share percentage is based on total project cost (NYSEERDA share + proposer/external cost share), not solely NYSEERDA's contribution.

*** Maximum funding per award for challenge area 5 is \$2M.

NYSERDA reserves the right to negotiate the funding category, scope of work, budget, and funding levels on all awarded projects. Efforts requesting more than \$250,000 from NYSEERDA may be funded in phases separated by go/no-go milestones.

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

Recoupment

For any new projects exceeding \$100,000 in total NYSEERDA funding that involve **product development, including business development**, NYSEERDA will require a royalty based on sales and/or licensing of the new product developed (Please see Attachment G, Sample Agreement, for specific recoupment obligations).

Recoupment is not required for projects involving demonstration only. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSEERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

- Product Development: efforts to bring a new or improved product to market including business case development, product design, scale, and field testing, but not including earlier stage technical feasibility or proof of concept development. Technologies with a Technology Readiness Level (TRL) exceeding 3 are to be considered Product Development (see Attachment C: TRL/CRL Calculator for additional guidance on TRLs). Field testing or pilot deployments of a non-commercial, non-warranted technology are considered Product Development.

- **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 \$100,000 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.

C. 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 Attachments F1 and F2: Metrics Form for the metrics that you will be expected to provide and the reporting duration. The Contractor shall provide metrics 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.

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 proposal. Proposers will be notified if they are requested to attend an interview.

A. Evaluation Criteria

Project Benefits and Value

- The proposed solution will promote hydrogen innovation in New York State.
- The proposed solution will bring economic benefits to New York State in the form of manufacturing capability, supply chain development, technical services, or other commercial activity. Jobs are expected to be created and/or retained in New York State as a result of this project. Where appropriate, the proposer has quantified the potential benefits.
- The proposer exhibits strong market demand for this solution.
- The proposed solution has potential to significantly reduce GHG emissions from present state-of-the-art systems. For challenge areas 1, 4, and 5 the proposer has calculated emissions benefits according to the guidelines issued in the "Additional Requirements" sections of each of these challenge areas. For

challenge area 2, proposers must show potential to reduce NOx emissions beyond New York State regulatory standard.

- The proposed solution has potential to significantly reduce costs for the hydrogen technologies. For challenge areas 1, 3, 4, and 5, proposer has quantified costs with a preliminary, basic techno-economic analysis using transparent and/or cited methodology, as outlined in the “Additional Requirements” section of these challenge areas.
- The proposed project addresses potential solutions in low-income or historically disadvantaged communities.
- The proposer provides private and/or other sources of cost share funding for the project (with letters of commitment), with greater amounts of non-NYSERDA cost share considered more favorably.
- The project cost is justified and reasonable with respect to the level of effort proposed, the expected benefits, and the potential market or deployment opportunity.

Innovation, State of the Art, and Technical Merit

- The Proposal identifies a solution that is aligned with and is essential to the advancement of the selected Challenge Area.
- The proposed solution addresses a core technical barrier that is not being addressed by others.
- The proposed solution has a high potential for commercialization, replicability, and/or scalability in New York State and if applicable, the Proposal describes a pathway to commercialize the product or service.
- The proposer has demonstrated insightful understanding of the fundamental scientific principles and 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.

Category B – Demonstration project:

- The proposal includes a letter of commitment from a demonstration site.

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 Challenge Area.
- 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 proposal provides letters of commitment from all outside organizations that the team will need to provide data, equipment, support, facilities, etc.
- The business and commercialization or replication plans are appropriate for the type of project and stage of development, and there is a sound plan for measuring progress and success.
- 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.

Category B – Demonstration projects:

- The proposer included information on measurement, evaluation, and validation measures (e.g., energy savings, solution performance to key expectations, customer satisfaction, etc.) and a qualified independent evaluator.

Team Experience and Capabilities

- The proposed team has the necessary expertise and resources to carry out the proposed work, including members with industry and business experience as well as technical skill.
- The proposer has successfully commercialized one or more products or deployed services in the past.
- The proposal team has secured strong commitments from all essential team members and external partners, including letters of support or commitment, and has demonstrated strong support from industry or necessary market actors.
- The proposal clearly demonstrates the team structure and staff roles and responsibilities.
- The proposal includes resumes of key individuals.

Category B – Demonstration projects:

- For demonstration projects relying on entities and jurisdictional authorities such as a state/local/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.

B. Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- Whether the proposed project will accelerate technology advances in areas that industry or the company, by itself, is not likely to undertake.
- The degree to which the proposal expands the portfolio of technical areas and project types (research, development, or demonstration) of NYSERDA. NYSERDA reserves the right not to fund proposals similar to or the same as proposals under consideration by other funding agencies or other funding opportunities.
- 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.

V. General Conditions

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

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

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

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

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

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

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

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. NYSEDA anticipates a contract duration of up to three years, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use Attachment G, 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 twelve 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 / 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 total amount of funds paid by NYSERDA to the Contractor, whichever comes first).

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

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

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

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

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

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions

of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

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

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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted

on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

VI. Attachments:

Required Attachments for the Proposal:

Attachment A – Proposal Narrative Template
Attachment B – Statement of Work Template
Attachment C – TRL/CRL Calculator
Attachment D1 - Milestone Payment Schedule
Attachment D2 – Budget Form
Attachment D3 – 3-year Financial Projection Worksheet
Attachment E – Executive Summary Slide Template
Letters of Site Commitment (for Category B – Pilot and Demonstration)

Additional Attachments:

Indirect Cost Rate Supporting Documentation
Letters of Support or Commitment
References

For Reference Only (Does not need to be Submitted):

Attachment F1 – Metrics Form (for Category A – Product Development)
Attachment F2 – Metrics Form (for Category B – Pilot & Demonstration)
Attachment G – Sample Agreement (for reference only; does not need to be filled)



Clean Hydrogen Innovation (Cost Share for Federal Funding Opportunities)

Program Opportunity Notice (PON) 5712 Up to \$5 Million Available

*All, some, or none, of the available funds may be awarded.
NYSERDA reserves the right to extend and/or add funding to the
Solicitation should other program funding sources become available.*

Proposals accepted on a first come, first serve basis through June 26th, 2025, by 3:00 PM Eastern Time or until funds are fully committed, whichever comes first. Available funding is subject to change. *

*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>)

Program Summary

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$5 million in co-funding for New York-based clean hydrogen research, development, and demonstration (RD&D) projects that are also applying for federal funding opportunities. This funding opportunity can help proposers achieve **federal funding award cost-sharing** requirements (subject to applicable contracting laws, rules, and regulations).

Federal funding sources may include, but are not limited to, funding opportunities through the U.S. Department of Energy (DOE), Advanced Research Projects Agency – Energy (ARPA-E), or U.S. national laboratories. This PON aims to provide NYSERDA co-funding to federally funded projects in New York to increase the likelihood of successful product development and technology commercialization for clean hydrogen RD&D projects in the state. To be eligible for funding, proposers must also have submitted or be in the process of submitting a concept paper or proposal for federal funding related to the solicitation challenge areas outlined below.

Final NYSERDA award is contingent on the proposer successfully executing a federal funding contract. If federal funding is not awarded or a federal funding contract is not successfully executed, the proposer will not be eligible to execute a contract with NYSERDA through this solicitation. NYSERDA is not a partner, grantee, sub-grantee, contractor, or sub-contractor to the federal awardee and NYSERDA is not responsible for meeting the federal awardee’s responsibilities.

Funding in this solicitation focuses on Clean Hydrogen Innovation in the following technical challenge areas:

- Challenge 1. Hydrogen applications to decarbonize industrial process heat
- Challenge 2. Mitigation of nitrogen oxides (NO_x) emissions from hydrogen combustion
- Challenge 3. Hydrogen storage technologies for bulk storage and limited footprint areas
- Challenge 4. Hydrogen-based generation systems for microgrids and grid support services
- Challenge 5. Hydrogen fuel cell electric vehicles and fueling stations

Two categories of projects will be considered for funding. Estimated Technology Readiness Level (TRL) for each category and a summary of NYSERDA funding per award for each category is provided below:

Funding Category	Estimated Technology Readiness Level (TRL)	Maximum NYSERDA Funding Per Award
Category A: Product Development	4-6	\$1,000,000
Category B: Pilot & Demonstration Projects	7-9	\$2,000,000

This solicitation employs a single step application process. Proposers must submit a Proposal Submission as per requirements listed in Section III: Proposal Requirements to be considered.

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

“https://portal.nyserda.ny.gov/resource/1493921589000/NYSERDA_Solicitation_User_GuideApplication_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](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Fundinghttps://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)).

Questions? Please see designated contacts below:

- No communication intended to influence this procurement is permitted except by contacting Jennifer Guia or Fernando Villafuerte (Designated Contacts) by email at pon5712@nyserda.ny.gov (for technical questions).
- If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.Solicitations@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.

Teaming Partners:

Proposers wishing to find and collaborate with colleagues to perform research with and submit proposals may use the Hydrogen and Clean Fuel program's [partnering platform](#).

The platform is intended to help potential proposers find other teams with complementary capabilities when submitting proposals to NYSERDA Program Opportunity Notices issued by the Hydrogen and Clean Fuels Program. Submitting teaming information is completely optional, and not required. By enabling and publishing the teaming partner list, NYSERDA is not endorsing, sponsoring, or otherwise evaluating the qualifications of the individuals and organizations.

I. Introduction

Climate Act and Clean Hydrogen

New York State's [https://www.nyserda.ny.gov/All-Programs/CLCPA/Climate Leadership and Community Protection Act \(Climate Act\)](https://www.nyserda.ny.gov/All-Programs/CLCPA/Climate%20Leadership%20and%20Community%20Protection%20Act%20(Climate%20Act)) enacts one of the most aggressive climate targets in the United States: 40 percent greenhouse gas (GHG) emissions reductions below 1990 levels by 2030, a carbon-free electricity system by 2040, and an 85 percent reduction in GHG emissions below 1990 levels by 2050. Under the Climate Act, the State must also support a just transition and ensure that at least 35 percent of the benefits of clean energy investments go to disadvantaged communities with a goal of 40 percent.¹

Under the Climate Act, New York State's Climate Action Council was tasked with developing and issuing a Scoping Plan with recommendations for both sector-specific and economy-wide actions to achieve the Climate Act's goals and requirements. The Scoping Plan recommends that New York follow "technological and research developments on the use of hydrogen as a tool to reduce greenhouse gas emissions."² Sector-specific recommendations in the Scoping Plan include evaluating opportunities for clean hydrogen and alternative fuels innovation in critical sectors such as transportation (fuel cell electric medium- and heavy-duty vehicles, non-road equipment), buildings (harder-to-electrify buildings, including those on district steam systems), electricity (emphasizing safety, reliability, resilience, and affordability), industry (high-temperature industrial processes), and other hard-to-electrify end uses or systems, where electrification may be more challenging and/or more expensive.³

Since 2020, NYSERDA has conducted early-stage engagement and educational activities across the New York State stakeholder landscape, including robust discussions with climate and environmental justice advocacy groups to identify priorities, opportunities, and concerns around clean hydrogen in New York. Environmental justice and other stakeholder perspectives were instrumental in shaping focus areas and challenges for this solicitation, including prioritizing research into mitigation of nitrogen oxides (NO_x) emissions resulting from hydrogen combustion, and focusing on clean hydrogen production with renewables. These perspectives are expected to similarly support the shaping of other ongoing and future NYSERDA clean hydrogen activities.

Clean Hydrogen Efforts in New York State

¹ New York State Climate Law and Community Protection Act. <https://www.nysenate.gov/legislation/bills/2019/S6599>

² New York State Scoping Plan. <https://climate.ny.gov/resources/scoping-plan/>

³ Ibid.

New York has undertaken several key efforts to assess potential roles for clean hydrogen. NYSERDA is currently in the process of commissioning a series of market analyses and studies to assess clean hydrogen as a solution in New York, considering technology needs and risks, supply and demand potential, infrastructure, resiliency, costs, environmental justice, and job impacts. NYSERDA has also convened a series of meetings, listening sessions, and direct discussions with individuals and groups across the stakeholder landscape to better understand diverse perspectives on clean hydrogen in New York and to prioritize investment focus areas. More information about NYSERDA's efforts in clean hydrogen can be found at <https://www.nyserderda.ny.gov/hydrogen>.

Alignment with Federal Clean Hydrogen Funding

The federal government also recognizes the importance of hydrogen as a key piece in the decarbonization puzzle in various sectors of the economy. Recognizing the importance of decarbonizing industry, the U.S. Department of Energy (DOE) Industrial Efficiency and Decarbonization Office (IEDO) has released a funding opportunity announcement (FOA) to support subsector-specific decarbonization challenges in energy- and emission-intensive industries.⁴ The FOA solicits pre-Front-End Engineering and Design (pre-FEED) studies for the integration of clean hydrogen as a feedstock for hard to abate industrial processes such as chemical, iron, and steel production. Additionally, the DOE Hydrogen and Fuel Cell Technology Office (HFTO) and Vehicle Technology Office (VTO) have both recently issued FOAs focusing on the transportation sector. The HFTO opportunity focuses on supporting research, development, and deployment (RDD&D) of hydrogen fueling for medium and heavy-duty vehicles, refueling standards, hydrogen fuel cell port equipment, hydrogen permitting and safety, and equitable hydrogen community engagement.⁵ The VTO opportunity seeks applications to address outreach, education, technical assistance, workforce training, and other innovative demonstration or deployment projects that advance the mission of an affordable, equitable, and decarbonized transportation system.⁶

Clean Hydrogen Definition in this PON

For the purposes of this solicitation, unless explicitly stated otherwise, references to “hydrogen” and “clean hydrogen” are focused on electrolytic hydrogen produced from renewable energy resources such as solar PV or wind power.

II. Program Funding Areas and Eligibility

A. Program Eligibility

This solicitation is intended to help awardees achieve U.S. Department of Energy (DOE), Advanced Research Projects Agency – Energy (ARPA-E), U.S. National Lab, or other federal funding opportunity cost-share requirements, and to increase the likelihood of successful New York company development and technology commercialization, furthering NYSERDA's goals. This Program provides an opportunity for a NYSERDA co-funding commitment in a proposal submission to a competitive federal funding opportunity. Proposals submitted for this purpose must also align with this solicitation's objectives outlined below in sections II.B. Funding Categories and II.C. Innovation Challenge Areas. An entity is allowed to submit more than one application.

Final NYSERDA award is contingent on the proposer successfully executing a federal funding contract. If federal funding is not awarded or a federal funding contract is not successfully executed, the proposer will not be eligible to execute a contract with NYSERDA through this solicitation.

⁴ DE-FOA-0003219: FY24 ENERGY AND EMISSIONS INTENSIVE INDUSTRIES FOA;

<https://eere-exchange.energy.gov/Default.aspx?Foald3ff7fb7c-2687-4123-81df-4d1c2cf6bdf1>

⁵ DE-FOA-0003213 Hydrogen and Fuel Cell Technologies Office FOA to Advance the National Clean Hydrogen Strategy.

<https://eere-exchange.energy.gov/Default.aspx?Foaldf30521b2-f38e-4525-a8d7-5c68602063b7>

The applicant to PON5712 can be either prime or sub applicant to a federal funding opportunity. For a proposal to be eligible, a proposer must:

- Fit its proposal into one of the two Funding Categories; and
- Fit its proposal into one of the five Challenge Areas; and
- Have submitted a concept paper or proposal or be in the process of submitting a concept paper or proposal for federal funding; and
- Meet one of the New York eligibility criteria* outlined below.

*New York Eligibility Criteria:

- New York-based entities (including for-profit entities, educational institutions, and non-profits) that have a physical location for business operation in New York State are eligible to apply for funding as a prime recipient or subrecipient.
- Non-New York-based entities are eligible to apply as a prime recipient or subrecipient for Funding Category B (pilot and demonstration projects) if the demonstration site is in New York State. NOTE: All Demonstrations must take place (1) within New York State, and (2) at a site that pays into the Clean Energy Fund (<https://www.nyserda.ny.gov/About/Funding>) through the electric System Benefits Charge (SBC), unless significant statewide benefits are demonstrated.
- Non-New York-based entities applying for Funding Category A (product development) must demonstrate significant New York State benefits in their proposal.
- If the entity applying for funding under PON 5712 is applying as a subrecipient for federal funding, the entity should submit a confirmation letter that the federal funding prime recipient is aware of this arrangement and approves it. PON 5712 will only provide the cost share for the scope by the subrecipient, not all of the cost share under the entire federal proposal.

B. Funding Categories

Two categories of research, development, and demonstration will be considered for funding. Estimated Technology Readiness Level (TRL) for each category is provided below.

Category A: Product Development

- Category A includes efforts that are crucial to the development of a marketable technology product, system, strategy, or service and any testing or validation of an innovation that is not already commercially available and may lead to the commercialization of products manufactured in New York State.
- Estimated TRL: 4-6.

Category B: Pilot and Demonstration Projects

- Category B is aimed at demonstrating and testing innovative 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 or have yet to be significantly deployed in New York State.
- All Demonstrations must take place (1) within New York State, and (2) at a site that pays into the Clean Energy Fund (<https://www.nyserda.ny.gov/About/Funding>) through the electric System Benefits Charge (SBC), unless significant statewide benefits are demonstrated.
- Estimated TRL: 7-9.

Proposers must select one (1) funding category per project proposal, which must be indicated in the Proposal Narrative (Attachment A). Proposals that do not identify a funding category will not be reviewed and will be deemed ineligible. If the funding category selected does not match the scope of the project, NYSERDA may, in its sole 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) may be considered in this Solicitation.

Proposals must state the existing Technology Readiness Level (TRL) and Commercial Readiness Level (CRL) of any technology being proposed and what the expected TRL and CRL of that technology will be at the end of the proposed project, as a direct result of having undertaken the project. See *Attachment C: TRL/CRL Calculator*.

Proposals under challenge areas 1, 4, and 5 are required to quantify the GHG benefits from their projects. This can be achieved by calculating the GHG emissions avoided by deploying the appropriate hydrogen-based technology instead of the fossil fuel counterfactual. When calculating the emissions avoided from displaced fossil fuels, please use the emissions factors for CO₂e in Appendix A of the [Fossil and Biogenic Fuel Greenhouse Gas Emissions Factors](#)⁶ report. If the proposed technology also assumes grid electricity input, please calculate the associated emissions in CO₂e from this electricity using the average emissions factors, full fuel cycle, on the “Annual Outputs” tab in the [Projected Emissions Factors for New York State Grid Electricity](#)⁷ spreadsheet. Please report the amount of GHG emissions avoided in units of kg CO₂e/yr.

Proposals under challenge areas 1, 3, 4, and 5 must also present a summary of a proposed technoeconomic analysis (TEA) for their project, which accounts for the following factors:

- Capital costs (CAPEX)
- Tax credits
- Operating expenses (OPEX)
- Revenue streams (if applicable)
- Operational period

Proposers are free to choose a TEA of their choice, but must cite the TEA they plan to use, briefly summarize the methodology and explain how it incorporates the factors listed above. Proposers must also explain how the TEA will culminate in a normalized metric appropriate to the technology space the project occupies to allow for reasonable comparison to counterfactual technologies. The TEA methodology will be important for assessing the baseline metric at the commencement of the project, and the metric at the project’s end, if selected. More details on potential metrics are detailed under the “Additional Requirements” section at the end of each challenge area.

C. Innovation Challenge Areas

This solicitation only seeks proposals to address the specific Innovation Challenge Areas outlined below. Future revisions of this solicitation may add additional Challenge Areas or update existing ones. Proposals for research on topics other than those identified below, as per the current revision of the Solicitation at the time the proposal is submitted, are not in scope for this solicitation and will be considered non-responsive.

Challenge Area 1: Hydrogen Applications to Decarbonize Industrial Heat

⁶ NYSERDA. The Fossil and Biogenic Fuel Greenhouse Gas Emissions Factors White Paper. <https://www.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Publications/Energy-Analysis/22-23-Fossil-and-Biogenic-Fuel-Greenhouse-Gas-Emission-Factors.pdf>

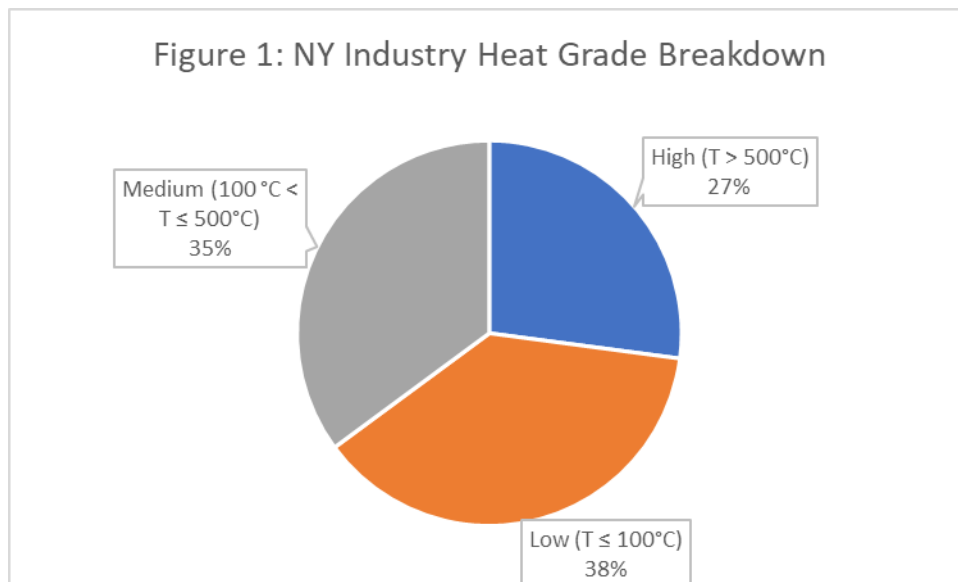
⁷ NYSERDA. The Project Emissions Factors for New York State Grid Electricity Spreadsheet. <https://www.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Publications/Energy-Analysis/22-18-Projected-Emission-Factors-for-New-York-Grid-Electricity--Annex.xlsm>

Background

Studies show that industrial activities account for 10% of energy use in New York and for 9% of the state's GHG emissions.^{8,9,10}

Industry presents unique challenges to decarbonization given the variety of processes and grades of heat employed across the entire sector, which will require different approaches.¹¹ Low-temperature ($T < 100^{\circ}\text{C}$) and some mid-temperature ($100^{\circ}\text{C} \leq T \leq 500^{\circ}\text{C}$) industrial heat applications are more amenable to electrification where existing technologies like heat pumps and electric steam boilers can provide the needed process heat.¹² The higher lifetime costs for technologies like electric boilers are currently due to higher electricity costs compared to fossil fuel costs, but as electricity prices come down due to the growing share of electricity generated from renewables, electric boilers will become a more attractive option.^{13,14}

For other mid-temperature and high temperature industrial processes ($T > 500^{\circ}\text{C}$) sourcing the necessary heat through electrical means alone will prove difficult.^{15,16} In New York, mid- and high-temperature heat from fossil fuels like natural gas and coal accounts for 62% of the total heat consumed in industry (Figure 1), and of this 62%, approximately 35% is employed for the manufacture of primary metals (e.g., aluminum) and nonmetallic mineral products (e.g., glass) (Figure 2), and another 44% is divided between paper, chemical, and fabricated metal parts manufacturing.¹⁷ Decarbonizing these hard-to-electrify industrial processes will require finding an alternative to fossil fuels that can provide the necessary heat and/or serve as a process input, while remaining carbon-neutral and minimally impacting the manufacturing processes employed by key New York industries.



⁸ New York Scoping Plan. <https://climate.ny.gov/resources/scoping-plan/>

⁹ Patterns and Trends – New York State Energy Profile. <https://www.nysersda.ny.gov/About/Publications/Energy-Analysis-Technical-Reports-and-Studies/Patterns-and-Trends>

¹⁰ New York State Profile and Energy Estimates. <https://www.eia.gov/state/?sid=NY#tabs-2>

¹¹ DOE Industrial Decarbonization Roadmap, 2022. <https://www.energy.gov/eere/industrial-decarbonization-roadmap>

¹² Electrification of Boilers in U.S. Manufacturing, 2021. <https://www.globalefficiencyintel.com/electrification-of-boilers-in-us-manufacturing>

¹³ Ibid.

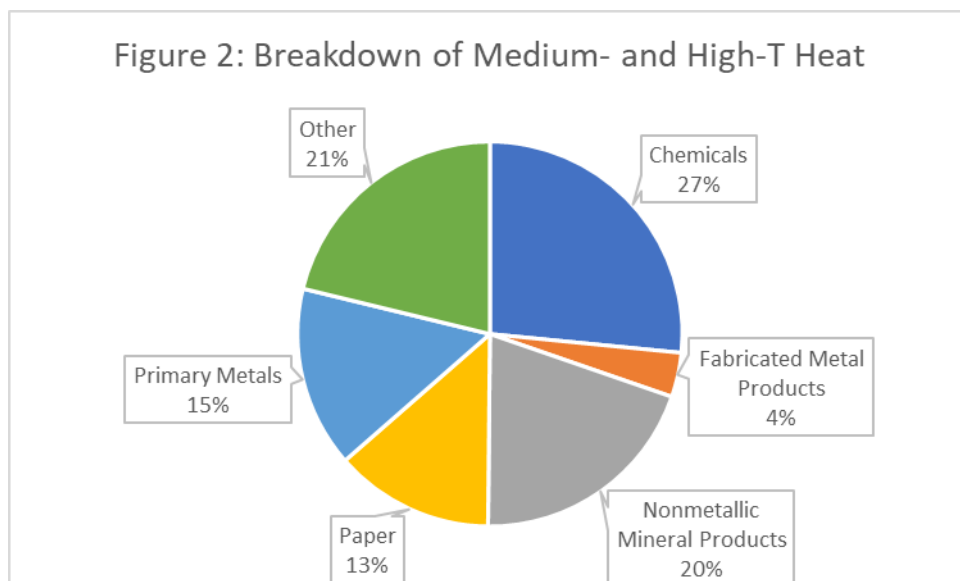
¹⁴ McKinsey and Company, Plugging In: What Electrification Can Do for Industry, 2020. <https://www.mckinsey.com/industries/electric-power-and-natural-gas/our-insights/plugging-in-what-electrification-can-do-for-industry#/>

¹⁵ Ibid.

¹⁶ DOE National Clean Hydrogen Strategy and Roadmap, 2022. <https://www.hydrogen.energy.gov/clean-hydrogen-strategy-roadmap.html>

¹⁷ Manufacturing Thermal Energy Use in 2014. <https://data.nrel.gov/submissions/118>

Figure 2: Breakdown of Medium- and High-T Heat



Clean hydrogen presents a novel opportunity to decarbonize the hard-to-electrify process heat.¹⁸ Like natural gas, hydrogen gas combustion can provide the temperatures needed for industrial process heat, while simultaneously producing no carbon emissions.^{19,20} Hydrogen's unique properties, however, preclude its use as a drop-in solution for natural gas in industrial combustion processes. Hydrogen's lower volumetric energy density, coupled with its wider flammability window, higher combustion flame speed, flame invisibility, and poorer radiative heat transfer will require some redesign of kilns and furnaces to allow for safe and efficient management of hydrogen combustion and gas flows.^{21,22} The small size of hydrogen molecules also allows them to diffuse into and through porous materials and even metals, leading to their embrittlement and eventual cracking, necessitating new materials and coatings for hydrogen storage and management.²³

Clean hydrogen could also decarbonize industrial processes through use as a process input. Industrial steelmaking, for example, already employs direct reduced iron (DRI) in steel manufacturing, which is iron refined from iron ore with a reducing agent, typically carbon sourced from coke or natural gas.^{24,25} Hydrogen produced by electrolysis from renewable energy could decarbonize the DRI process by replacing carbon as the reducing agent, and the heat required to make steel from this iron can be sourced through electric arc furnaces (EAF).²⁶ Similar uses for clean hydrogen as an carbon-neutral input in the manufacture of other primary metals or types of materials may exist.

NYSERDA seeks to fund technology research, development, and demonstration projects that leverage innovative technologies and strategies that drive the deployment of clean hydrogen for industrial heat applications in one or more of the following ways:

¹⁸ DOE Office of Industrial Technologies, Roadmap for Process Heating Technology, 2001. https://www.energy.gov/sites/prod/files/2014/05/f15/process_heating_0401.pdf

¹⁹ DOE National Clean Hydrogen Strategy and Roadmap, 2022. <https://www.hydrogen.energy.gov/clean-hydrogen-strategy-roadmap.html>

²⁰ Industrial decarbonization via hydrogen: A critical and systematic review of developments, socio-technical systems and policy options. <https://www.sciencedirect.com/science/article/abs/pii/S2214629621003017?via%3Dihub>

²¹ Ibid.

²² DOE Hydrogen Program Plan, 2020. https://www.hydrogen.energy.gov/roadmaps_vision.html

²³ Industrial decarbonization via hydrogen: A critical and systematic review of developments, socio-technical systems and policy options. <https://www.sciencedirect.com/science/article/abs/pii/S2214629621003017?via%3Dihub>

²⁴ DOE Industrial Decarbonization Roadmap, 2022. <https://www.energy.gov/eere/industrial-decarbonization-roadmap>

²⁵ Reduction of Iron Oxides with Hydrogen – A Review, 2019. <https://onlinelibrary.wiley.com/doi/full/10.1002/srin.201900108>

²⁶ DOE Industrial Decarbonization Roadmap, 2022. <https://www.energy.gov/eere/industrial-decarbonization-roadmap>

- Safely enable and efficiently manage hydrogen combustion for hard-to-electrify medium-temperature ($100^{\circ}\text{C} \leq T \leq 500^{\circ}\text{C}$) and high-temperature ($T > 500^{\circ}\text{C}$) industrial process heat;
- Use hydrogen as a decarbonizing input in a process that either eliminates the need for high temperature process heat or enables a process that can source such heat through electrification.

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Novel materials and coatings that can withstand hydrogen embrittlement and the high temperatures associated with hydrogen combustion
- Designs for and demonstrations of ovens, kilns, and furnaces that account for hydrogen's properties and allow for the efficient and safe combustion of hydrogen gas
- Sensors that can detect the presence and extent of hydrogen flames
- Studies of hydrogen combustion behavior and gas flow for optimizing system design
- Studies of the kinetics of high temperature hydrogen reduction of metal oxides for metal manufacturing
- Studies of the kinetics of chemical reactions that use hydrogen as a direct input, with or without additional heat, to optimize final product quality in processes that would otherwise employ high temperature heat
- Technologies and processes that use hydrogen to decarbonize fossil-fuel-combustion-based, mid- and high-temperature industrial processes, via combustion or other means (e.g., as a process input)

Examples of projects that will not be considered under this Challenge Area include:

- Any projects that use hydrogen for providing heat at temperatures below 100°C .

Additional Requirements

Proposers will be required to demonstrate and quantify the GHG benefits from their projects, as mentioned in section II.B.

Proposers will also be required to cite, summarize, and explain the methodology of a TEA they will use to establish baseline costs at the beginning of the project, and costs at the end of the project, as outlined in section II.B. The proposed TEA should culminate in a normalized cost metric appropriate to the proposer's industry, examples of which may include, but are not limited to:

- Cost per unit mass of product produced (e.g. $\$/\text{kg}$)
- Cost per unit volume of product produced (e.g. $\$/\text{L}$ or $\$/\text{m}^3$)
- Cost per unit produced (e.g. $\$/\text{unit}$)

As noted in II.B, the choice of TEA and metric should allow reasonable comparison to the prices associated with products made using heat from existing fossil-fuel counterfactual technologies.

Challenge Area 2: Mitigation of Nitrogen Oxides (NO_x) Emissions from Hydrogen Combustion

Background

Unlike fossil fuels, pure hydrogen (H_2) does not contain carbon or trace amounts of sulfur or mercury, so its combustion does not emit air pollutants such as carbon monoxide (CO), sulfur dioxide (SO_2), particulate matter (PM), or other compounds.²⁷ However, the combustion of hydrogen in air (a mixture of mostly nitrogen and oxygen) occurs at much higher flame temperatures than burning natural gas, and by comparison can potentially emit larger quantities of oxides of nitrogen (NO_x) per unit of energy.²⁸

²⁷ [Hydrogen Fuel Cell Engines and Related Technologies, Module 1: Hydrogen Properties](#)

²⁸ *ibid.*

The Scoping Plan specifically states that “opportunities to further reduce NO_x emissions from hydrogen combustion exist and need to be further studied,” and that RD&D strategies should include “research on emissions controls that reduce/eliminate emissions (e.g., NO_x from hydrogen combustion),” making this a priority for New York State.^{29,30}

NO_x emissions can be controlled or reduced by making changes to the combustion process or by installing post-combustion pollutant emissions control equipment in the exhaust (such as selective catalytic reduction (SCR) technologies). Opportunities may exist for reducing NO_x emissions by changing the combustion process when shifting to clean hydrogen as a fuel. Many of the post-combustion control technologies are well understood for fossil fuel combustion but often come with performance and cost trade-offs. For many industrial applications, it is unclear how NO_x emissions would compare if these applications were to shift from the current fossil fuels to hydrogen in a real-world setting. Furthermore, systems designed explicitly for hydrogen combustion, especially for pure hydrogen combustion, can implement features that result in lower NO_x emissions.³¹

The goal of this challenge area is to fund development and demonstration projects that drive the state-of-the-art toward minimizing NO_x emissions from hydrogen combustion. More specifically, this challenge area seeks to fund RD&D projects that control or mitigate NO_x emissions to the extent practicable. Emphasis should be on applications where non-combustion solutions (such as fuel cells) are not practicable.

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Combustor technology (e.g., fuel/air staging, exhaust gas recirculation)
- Advanced engine controls or optimization
- Post-combustion cleanup and treatment (e.g., selective catalytic reduction (SCR)), including the development of new catalysts or optimization of existing catalysts to improve performance.
- Studies showing the cost and performance tradeoffs of zero- or near-zero-NO_x emissions.
- Demonstration projects to test the performance and effectiveness of NO_x control and mitigation strategies in real-world hydrogen combustion systems

Additional Requirements

Proposed projects under this challenge area must demonstrate NO_x emissions reductions beyond existing New York State regulatory standards, such as those in NYCRR 227-3.4.³²

Challenge Area 3: Hydrogen storage technologies for bulk storage and limited footprint areas

Background

As New York moves to decarbonize its grid in accordance with the targets mandated in the CLCPA and outlined in the state scoping plan, electrification of large parts of state’s economy and the growing proportion of renewably produced electricity on the grid will result in imbalances of electricity supply and demand on intra-day, inter-day, and seasonal timescales.^{33,34} The ability of renewable production resources like solar and wind to meet this shift in

²⁹ New York State Climate Action Council Scoping Plan, [Chapter 8: Public Health](#)

³⁰ New York State Climate Action Council Scoping Plan, [Chapter 13: Electricity](#)

³¹ USDOE. 2022. *Webinar: DOE Low NO_x Targets and State-of-the-Art Technology for Hydrogen Fueled Gas Turbines.* <https://www.energy.gov/eere/fuelcells/2022-hydrogen-and-fuel-cell-technologies-office-webinar-archives#09152022>

³² 6 CRR-NY 227-3.4 Control Requirements.

[https://govt.westlaw.com/nycrr/Document/l23afb5c062d711ea8777f1e457ab6add?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=\(sc.Default\)](https://govt.westlaw.com/nycrr/Document/l23afb5c062d711ea8777f1e457ab6add?viewType=FullText&originationContext=documenttoc&transitionType=CategoryPageItem&contextData=(sc.Default))

³³ New York State Climate Action Council Scoping Plan. <https://climate.ny.gov/resources/scoping-plan/>

³⁴ New York State Energy Storage Roadmap. <https://www.nysersda.ny.gov/-/media/Project/Nyserda/Files/Programs/Energy-Storage/ny-6-gw-energy-storage-roadmap.pdf>

demand on intra- and inter-day timescales will depend heavily on the deployment of short duration energy storage up to 8 hours provided by batteries; New York anticipates the need for at least 17 GW of this kind of battery storage by 2050.³⁵ To manage seasonal imbalances on much longer timescales than 8 hours between predicted peak renewable production in the spring, summer, and fall with increased electricity demand in the winter, a zero-carbon, firm dispatchable resource of at least 18 GW would be needed by 2050.³⁶ This resource could take the form of hydrogen, which could be produced via electrolysis powered during periods of peak renewable electricity generation in the spring through autumn and dispatched during the winter for periods of up to 100 hours in order to ensure grid reliability and stability (See Figure 3).³⁷ Furthermore, this demand will be concentrated in downstate and urban areas generally removed from regions where hydrogen is expected to be produced with renewable electricity.³⁸

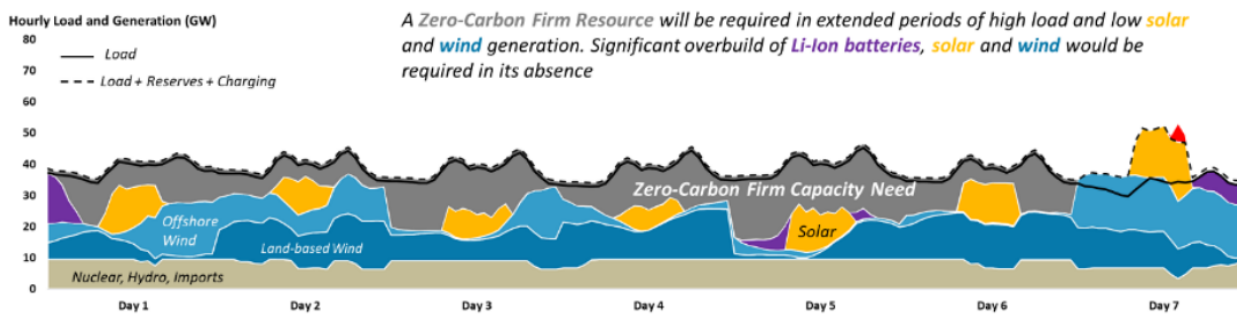


Figure 3. Zero Carbon Firm Capacity Need Over a Challenging Winter Week in 2050.³⁹

In order to balance both the seasonal and regional imbalances in hydrogen supply and demand, a variety of hydrogen storage solutions will be required. Bulk storage of hydrogen in geologic formations like salt caverns is already deployed to manage large-scale fluctuations in demand for hydrogen in the petrochemical sector^{40,41} and would in theory provide the most cost-effective means of managing New York’s seasonal supply and demand imbalance.⁴² Currently existing brine fields used for solution mining in New York present the most direct opportunity, as they However, assessing the viability of salt cavern formations in New York and the costs associated with preparing them for hydrogen storage remain formidable barriers. Because demand for hydrogen will be concentrated in downstate and urban areas away from zones of hydrogen production, there is also need for compact, limited footprint storage solutions. Though hydrogen has a gravimetric energy density higher than that of gasoline (33.3 kWh/kg vs. 12.2 kWh/kg),⁴³ its volumetric energy density is far lower (0.0033 kWh/L for hydrogen gas at ambient pressure,⁴⁴ compared to 8.9 kWh/L for liquid gasoline⁴⁵), necessitating the use of compression tanks for storage in limited space. Cold compressed and liquid hydrogen storage could push volumetric density

³⁵ Ibid.

³⁶ Ibid.

³⁷ Ibid.

³⁸ New York State Climate Action Council Scoping Plan, Tech Supplement Annex 2: Key Drivers Outputs. <https://climate.ny.gov/-/media/project/climate/files/IA-Tech-Supplement-Annex-2-Key-Drivers-Outputs-2022-1.xlsx>

³⁹ New York State Energy Storage Roadmap. <https://www.nysed.gov/-/media/Project/Nyserda/Files/Programs/Energy-Storage/ny-6-gw-energy-storage-roadmap.pdf>

⁴⁰ DOE National Clean Hydrogen Strategy and Roadmap, 2022. <https://www.hydrogen.energy.gov/clean-hydrogen-strategy-roadmap.html>

⁴¹ A Life Cycle Cost Analysis Framework for Geologic Storage of Hydrogen: A User’s Tool. <https://www.osti.gov/biblio/1029761>

⁴² Ibid.

⁴³ DOE Hydrogen and Fuel Cell Technologies Office. Hydrogen Storage. <https://www.energy.gov/eere/fuelcells/hydrogen-storage>

⁴⁴ Hydrogen Storage Technologies for Stationary and Mobile Applications: Review, Analysis, and Perspectives. <https://www.sciencedirect.com/science/article/abs/pii/S1364032121005980?via%3Dihub>

⁴⁵ DOE Hydrogen and Fuel Cell Technologies Office. Hydrogen Storage. <https://www.energy.gov/eere/fuelcells/hydrogen-storage>

higher but comes with added energetic and financial costs associated with cooling and the liquefaction of hydrogen gas,^{46,47} in addition to the cost of materials needed for high-pressure tank linings.⁴⁸

Materials-based storage solutions that exploit hydrogen absorption or adsorption into solid materials, or carry hydrogen in a denser chemical form, could provide another avenue to reaching the higher volumetric energy densities needed for small footprint storage. Solid materials like metal hydrides and metal-organic frameworks (MOFs) that can in theory absorb and adsorb large quantities of hydrogen without the need for energy-intensive compression could lead to safer and more compact storage vessels.⁴⁹ These technologies remain hampered, however, by the need to operate them well outside of ambient temperature ranges to store and release hydrogen in sufficient quantities.^{50,51} Storing hydrogen in chemical carriers like ammonia and ammonia borane circumvents the volumetric energy constraint, but also requires the energy intensive application of heat and the use of catalysts to release hydrogen when needed.^{52,53,54}

NYSERDA seeks innovative proposals that address the challenges associated with both bulk and small footprint hydrogen storage and bring the New York closer to realizing the technological advances needed to meet its climate and energy goals.

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Studies assessing the feasibility and potential extent of hydrogen storage in salt caverns and other geologic formations in New York State
- Studies of materials-based storage technologies like metal hydrides and metal-organic frameworks that allow for absorption and desorption at ambient temperatures
- The demonstration of physical hydrogen storage media that increase volumetric energy density and reduce costs associated with tank shell materials
- Studies of chemical carriers that can easily and reversibly store and release hydrogen

Additional Requirements

Proposers will also be required to cite, summarize, and explain the methodology of a TEA they will use to establish baseline storage costs at the beginning of the project, and storage costs at the end of the project, as outlined in section II.B. The proposed TEA should culminate in a normalized cost metric appropriate to the proposer's industry, examples of which may include, but are not limited to:

- Total installed cost of storage (e.g. \$/kWh)
- Levelized cost of storage (e.g. \$/kWh)
- Cost of storage per unit mass (e.g. \$/kg)

As noted in II.B, the choice of proposed TEA and metric should allow reasonable comparison to the prices associated with currently available and competing storage technologies, like tanks.

⁴⁶ [Hydrogen Storage Technologies for Stationary and Mobile Applications: Review, Analysis, and Perspectives.](https://www.sciencedirect.com/science/article/abs/pii/S1364032121005980?via%3Dihub)
<https://www.sciencedirect.com/science/article/abs/pii/S1364032121005980?via%3Dihub>

⁴⁷ DOE Hydrogen and Fuel Cell Technologies Office Multi-Year Research, Development, and Demonstration Plan.
<https://www.energy.gov/eere/fuelcells/articles/hydrogen-and-fuel-cell-technologies-office-multi-year-research-development>

⁴⁸ Ibid.

⁴⁹ Current Research Trends and Perspectives on Materials-Based Hydrogen Storage Solutions: A Critical Review.
<https://www.sciencedirect.com/science/article/abs/pii/S0360319916335285?via%3Dihub>

⁵⁰ Ibid.

⁵¹ DOE Hydrogen and Fuel Cell Technologies Office. Materials-Based Hydrogen Storage.
<https://www.energy.gov/eere/fuelcells/materials-based-hydrogen-storage>

⁵² Ibid.

⁵³ DOE Hydrogen and Fuel Cell Technologies Office. Chemical Hydrogen Storage Materials

⁵⁴ Hydrogen Carriers. <https://www.nature.com/articles/natrevmats201667>

Challenge Area 4: Hydrogen-based Systems for Microgrids and Grid Support Services

Background

The impacts of climate change are already being felt and are expected to accelerate, aging infrastructure, extreme weather events, cyber-attacks, and physical attacks pose a growing risk to the electrical grid, which is vital to the provision of human services. New York State is taking equitable action to mitigate these risks through enhanced resilience in energy infrastructure. Chapter 21 of the New York State Climate Leadership and Community Protection Act (CLCPA) Scoping Plan⁵⁵ identifies action steps the state should adopt to enhance resilience in communities and infrastructure. Among the outlined actions, energy infrastructure has been identified as an area that must be strengthened and enhanced to better prepare for, withstand, adapt, and quickly recover from disruptions such as severe weather, natural and man-made disasters.

Resilience is the ability of a system and its component parts to anticipate, absorb, accommodate, or recover from the effects of a hazardous event in a timely and efficient manner, including through ensuring the preservation, restoration, or improvement of its essential basic structures and functions.⁵⁶ Resilient energy systems must therefore provide uninterrupted electricity and heat during disruptions, with a focus on prioritizing critical infrastructure and minimizing harm to human welfare. Most infrastructure, including critical facilities such as hospitals, emergency shelters, and vehicle fueling stations depend on electricity for operation. The loss of these critical services due to a grid outage can have negative, cascading effects on human health and welfare.⁵⁷ Resilient system designs often include nodes where clusters of critical loads can be islanded from the main electrical grid and powered by distributed generators and energy storage systems.

Currently, most local and facility backup power generation utilizes fossil fuels, such as natural gas or diesel. However, these fossil fuel generations often come with air quality concerns, especially for low-income and underserved communities. New York state has approximately 4.5 GW of active fossil-fired simple cycle combustion turbines (SCCTs), located almost entirely in New York City, Long Island, and the Lower Hudson Valley. Many of these turbines have low utilization, generating electricity less than 5-10% of the year, and are approaching an average age of 50 years.⁵⁸ Clean hydrogen energy storage will allow New York to meet its peak power needs without relying on these oldest and dirtiest peak generation SCCTs. Additionally, independent analysis of New York's power grid has determined the need for 17 GW of dispatchable carbon emission-free resources (DEFRRs)⁵⁹ to balance intermittent supply with demand, while also meeting New York's ambitious carbon reduction goals.

Decarbonized resilient hub designs using distributed generation, energy storage, and flexible load technologies must be developed and evaluated. Clean hydrogen, and hydrogen-based fuels, offer an opportunity to be integrated into these designs as the keystone of a multi-energy system. Hydrogen and clean fuels can provide long, multi-day storage, zero emission distributed electric power generation, heat, and vehicle fuel needs.⁶⁰ For example, an integrated vehicle refueling station with hydrogen storage, refueling, and fuel cells could provide both hydrogen fuel and electricity for emergency vehicles during a blackout, without any connection to grid power.

⁵⁵ New York State Climate Action Council. 2022. "New York State Climate Action Council Scoping Plan." [Climate.ny.gov/ScopingPlan](https://climate.ny.gov/ScopingPlan)

⁵⁶ Intergovernmental Panel on Climate Change. 2012. "Glossary of terms." In: *Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation* [Field, C.B., V. Barros, T.F. Stocker, D. Qin, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattner, S.K. Allen, M. Tignor, and P.M. Midgley (eds.)]. A Special Report of Working Groups I and II of the Intergovernmental Panel on Climate Change (IPCC). Cambridge University Press, Cambridge, UK, and New York, NY, USA, pp. 555-564.

⁵⁷ Pace Energy and Climate Center, 2013. *Power Through Storms*. Pace Law School. peccpubs.pace.edu/viewresource/62b12fecc0ccdcde/Power+Through+Storms

⁵⁸ New York State Department of Public Service, (December 28, 2022) "New York's 6 GW Energy Storage Roadmap: Policy Options for Continued Growth in Energy Storage", CASE 18-E-0130, pp.23-24.

⁵⁹ New York Independent System Operator, (November 15, 2022), "2022 Reliability Needs Assessment (RNA)", <https://www.nyiso.com/documents/20142/2248793/2022-RNA-Report.pdf>

⁶⁰ U.S. Department of Energy (DOE), 2020. *Department of Energy Hydrogen Program Plan*.

Furthermore, transportable systems powered by hydrogen, such as a power barge or trailer, could be transported to a specific location (e.g., a hospital) and provide power during a blackout.

Critical investment in the research, design, development, deployment, and testing of hydrogen-supported microgrids and resiliency hubs will enable New York's energy resilience goals. To mitigate vulnerabilities, planning and RD&D should look to identify communities, both urban and rural/remote, that are the most vulnerable to energy shortages, system and local power outages, cost spikes in delivered energy, and air quality concerns from current fossil fuel backup generators.

Example Projects and Technologies

Example projects that may be considered under this Challenge Area include, but are not limited to:

- Pilot projects of transportable backup power options for emergency response scenarios, such as a floating power barge or trailer.
- Design and testing of a multi-fuel, long-duration, rapidly deployable microgrid system
- Identification of potential communities and/or resiliency hubs for deployment of future microgrid/backup power systems (especially in relation to other social and environmental justice efforts).
- Pilot of electric vehicle recharging stations with hydrogen fuel-cell systems for backup power (or dual-fuel hydrogen electric systems).
- RD&D on trigeneration systems/microgrids with electricity, hydrogen, and heat generation.

Examples of projects that will not be considered under this challenge area include:

- Grid support or microgrid projects which rely on batteries, geothermal, hydropower, or other non-hydrogen technology as the primary energy source. Other technologies can be used to supplement hydrogen energy but should not be the primary energy source.
- Hydrogen based technologies which do not support enhanced grid resilience.
- Projects exclusively focused on integration of systems with the grid and/or the management of grid/system interactions

Additional Requirements

Proposers will be required to quantify the GHG benefits from their projects as mentioned in section II.B.

Proposers will also be required to cite, summarize, and explain the methodology of a TEA they will use to establish baseline costs at the beginning of the project, and costs at the end of the project, as outlined in section II.B. The proposed TEA should culminate in a normalized cost metric appropriate to the proposer's industry, examples of which may include, but are not limited to:

- Annualized cost of ownership (e.g. \$/kW-year)

As noted in II.B, the choice of proposed TEA and metric should allow reasonable comparison to the prices associated with competing resilience and grid support technologies.

Challenge Area 5: Hydrogen Fuel Cell Electric Vehicles and Fueling Stations

Emissions from the transportation sector account for 28% of New York State's emissions.⁶¹ Mitigating these emissions will require the aggressive deployment of zero emissions vehicles to meet New York's climate goals. Decarbonization of certain segments of the heavy-duty vehicle (HDV) sector, which includes longer distance on-

⁶¹ [New York State Scoping Plan](#), 2022.

road transportation and equipment like larger cargo-handling equipment (CHE) at ports with battery electric vehicles (BEVs) can be challenging, given that some HDVs require short downtimes and long ranges between refueling, and that the large size of batteries needed to power such vehicles can be prohibitively heavy or take up valuable cargo space. Fuel cell electric vehicles (FCEVs) that use hydrogen could present a more cost-effective option for decarbonizing these HDV use cases, given their comparatively faster refueling times and their more favorable weight profiles.

There remain, however, technical challenges to the adoption of FCEVs in the HDV sector. A substantial barrier is the lack of refueling technology and infrastructure that can ensure safe and rapid refueling similar to that of gas- and diesel-powered HDVs currently in use and do so at reasonable cost.⁶² Another challenge is the lack of demonstrations of hydrogen-powered HDVs, both in on-road applications like commercial trucks, and off-road applications like construction and port equipment, such as cranes and loaders.⁶³ Beyond technology, there is also a need to understand the barriers to permitting, safety, and deployment of hydrogen technologies associated with HD FCEVs, in order to streamline and standardize the regulatory approval processes while ensuring general public safety.

In light of these challenges, NYSERDA seeks proposals that:

1. Develop and demonstrate HD FCEV refueling technology and infrastructure that **demonstrably drive towards fueling flowrates of 10 kg H₂/min over a 100 kg H₂ fill and costs at the pump of \$4/kg H₂**;⁶⁴
2. Develop and demonstrate HD FCEVs both for off-road and on-road applications to enable adoption at scale, **reducing total cost of ownership towards parity with comparable fossil-fuel counterfactuals**;
3. Address the challenges associated with the regulation, safety, and permitting of HD FCEV deployment in New York, such as:
 - a. Safety simulations to expand hydrogen corridors in New York
 - b. The evaluation and development of codes and standards needed to enable liquid hydrogen storage and transport in New York City
 - c. The development of training modules for first responders, fire marshals, and other code and safety officials

Example Projects and Technologies

Example of projects that will not be considered under this Challenge Area include:

- Material compatibility studies
- Materials development studies
- On-site hydrogen production equipment and systems
- Safety and permitting studies that duplicate already existing resources
- Projects demonstrating light-duty or medium duty-vehicles or associated infrastructure

Additional Requirements

Proposers demonstrating HD FCEV technology will be required to quantify the GHG benefits from their projects as noted in section II.B.

Proposers will also be required to cite, summarize, and explain the methodology of a TEA they will use to establish baseline costs at the beginning of the project, and costs at the end of the project, as outlined in section II.B. The

⁶² DOE Hydrogen and Fuel Cells Technology Office. [DE-FOA-0003213](#). Issued 12/15/2023.

⁶³ Ibid.

⁶⁴ Ibid.

proposed TEA should culminate in a normalized cost metric appropriate to the proposer's project, examples of which may include, but are not limited to:

- Hydrogen cost at the pump (e.g. \$/kg)
- Lifetime cost of ownership (e.g. \$/vehicle)

As noted in II.B, the choice of proposed TEA and metric should allow reasonable comparison to the prices associated with competing fossil-fuel counterfactual technologies.

D. Projects Specifically Not of Interest

To further assist proposers on the eligibility of specific projects, below, and in addition to the projects outlined above, is a list of example projects that are specifically not of interest to NYSERDA and not eligible for funding under this PON (NOTE: this is not an exhaustive list and is provided for indicative purposes only):

- Proposed technologies that are not based on sound scientific principles
- Proposed solutions that do not use technologies related to hydrogen (e.g., decarbonizing high temperature industrial manufacturing process with molten salt reactors)
- Proposed hydrogen technologies that will increase greenhouse gas emissions
- Development of hydrogen safety codes and standards
- Funding for hydrogen safety reviews

III. Proposal Requirements

To submit a Proposal, the proposer must submit all attachments listed below. The goal should be to concisely present the information needed to fully address the Proposal Evaluation Criteria (Section IV). In addition, the proposer should also attach the concept paper as submitted or as to be submitted to the federal funding agency. If the proposer's concept paper was encouraged by the federal agency for proposal submission, or the project has been awarded, additional proof of a federal funding status or decision should be submitted as well.

Required Attachments for Proposal:

- Attachment A – Proposal Narrative
- Attachment B – Executive Summary Slide
- Attachment C – TRL/CRL Calculation Worksheet
- Concept Paper Prepared for Federal Funding Agency
- Proof of Federal Funding Status*
- Supporting Documents (maximum 10 pages, see Att. A – Proposal Narrative Template for details)

*Federal Funding Status Information Required:

- Has your concept paper been submitted?
- Have you been encouraged by the federal funding agency to submit a full proposal?
- Have you secured federal funding for this project?

If yes to any of the questions above, please provide proof of status of federal funding – e.g., proof of submission, encouragement letter, funding decision letter, etc.

Proposers must carefully review the required attachments to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive. It is the proposer's responsibility to ensure that all pages have been included in the proposal and that they have been timely submitted in accordance with the appropriate due date and times.

Proposals that exceed the page limits or fail to follow the format guidelines will be rejected as nonresponsive. 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 V instructions for submitting proprietary material. Each page of the proposal should state the name of the proposer, the PON number (PON 5712), and the page number.

Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprising internal and external technical experts in accordance with Section IV. Proposal Evaluation. Only the most technically meritorious Proposals will be awarded an invitation from NYSERDA to enter into an agreement. Proposals not meriting an award for contracting may be debriefed and resubmitted, ideally addressing NYSERDA's assessment of strengths and weaknesses. Only one such resubmittal will be considered during the term of this solicitation.

A. Compliance with New York State Finance Law

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

B. Cost Sharing and Recoupment

There is no minimum proposer cost share requirement in this solicitation. However, scoring preference will be given to proposals that best leverage NYSERDA funding by providing greater amounts of non-NYSERDA cost share funding (see IV. Proposal Evaluation). This non-NYSERDA cost share includes the federal funding amount requested in the proposer's federal funding application, and any additional cost sharing contributions such as 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. Total non-NYSERDA cost share is the sum of cash and in-kind contributions from non-NYSERDA sources. 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.

A summary of NYSERDA funding per award for each category is provided below:

Funding Category	Estimated Technology Readiness Level (TRL)	Maximum NYSERDA Funding Per Award
Category A: Product Development*	4-6	\$1,000,000
Category B: Pilot & Demonstration Projects	7-9	\$2,000,000

**Product Development projects will be subject to recoupment requirements*

NYSERDA reserves the right to negotiate the project category, scope of work, budget, and funding levels on all awarded projects. Efforts requesting more than \$250,000 from NYSERDA may be funded in phases separated by go/no-go milestones.

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

Recoupment

For any new projects exceeding \$100,000 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 D: Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

- **Product Development:** efforts to bring a new or improved product to market including business case development, product design, scale, and field testing, but not including earlier stage technical feasibility or proof of concept development. Technologies with a Technology Readiness Level (TRL) exceeding 3 are to be considered Product Development (see Attachment C: TRL CRL Calculator for additional guidance on TRLs). Field testing or pilot deployments of a non-commercial, non-warranted technology are considered Product Development.

- **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 \$100,000 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.

C. 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). The Contractor shall provide metrics 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.

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 proposal. Proposers will be notified if they are requested to attend an interview.

A. Evaluation Criteria

Project Benefits and Value

- The proposed solution will promote hydrogen innovation in New York State.
- The proposed solution will bring economic benefits to New York State in the form of manufacturing capability, supply chain development, technical services, or other commercial activity. Jobs are expected to be created and/or retained in New York State as a result of this project. Where appropriate, the proposer has quantified the potential benefits.
- The proposer exhibits strong market demand for this solution.
- The proposed solution has potential to significantly reduce GHG emissions from present state-of-the-art systems. For challenge areas 1, 2, and 5, the proposer has calculated emissions benefits according to the guidelines issued in the "Additional Requirements" sections of each of these challenge areas. For challenge area 2, proposers must show potential to reduce NOx emissions beyond New York State regulatory standard.
- The proposed solution has potential to significantly reduce costs for the hydrogen technologies. These benefits should be quantified with a preliminary, basic techno-economic analysis using transparent and/or cited methodology, as outlined in the "Additional Requirements" section of challenge areas 1, 3, 4, and 5.

- The proposed project addresses potential solutions in low-income or historically disadvantaged communities.
- The proposer leverages NYSERDA funding with federal funding, with higher ratios of federal funding to NYSERDA funding considered more favorably.
- In addition to federal funds, the proposer provides private and/or other sources of cost share funding for the project (with letters of commitment), with greater amounts of non-NYSERDA cost share considered more favorably.
- The project cost is justified and reasonable with respect to the level of effort proposed, the expected benefits, and the potential market or deployment opportunity.

Innovation, State of the Art, and Technical Merit

- The Proposal identifies a solution that is aligned with and is essential to the advancement of the selected Challenge Area.
- The proposed solution addresses a core technical barrier that is not being addressed by others.
- The proposed solution has a high potential for commercialization, replicability, and/or scalability in New York State and if applicable, the Proposal describes a pathway to commercialize the product or service.
- The proposer has demonstrated insightful understanding of the fundamental scientific principles and 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.

Project Plan, Scope, Risks, and Challenges

- The proposer has secured or shared sufficient detail about intended Federal co-funding for the project and the status of the funding. If applicable, the proposer's federal concept paper has been reviewed and the proposer has been encouraged to submit a full proposal for federal funding.
- The proposed task list and forecasted timeline are reasonable for the project at this stage.
- Technical and programmatic risks are understood and disclosed, with associated mitigation measures to ensure project success.
- 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.
- If applicable, the proposer has explained the proposed demonstration site and/or outside organizations that the team will need to provide data, equipment, support, facilities, etc. Letters of commitment and support from these organizations are not required but viewed favorably.

Team Experience and Capabilities

- The proposed team has the necessary expertise and resources to carry out the proposed work, including members with industry and business experience as well as technical skill.
- The proposal describes the team structure and staff roles and responsibilities.

B. Program Policy Factors

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- Whether the proposed project will accelerate technology advances in areas that industry or the company, by itself, is not likely to undertake.
- The degree to which the proposal expands the portfolio of technical areas and project types (research, development, or demonstration) of NYSERDA. NYSERDA reserves the right not to fund proposals similar to or the same as what's under consideration by other funding agencies or other funding opportunities.

- 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.

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

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

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

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

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

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

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

Tax Law Section 5-a – NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of

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

Contract Award – NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of up to three years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial proposals without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Attachment D: 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 to twelve 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 / 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 total amount of funds paid by NYSERDA to the Contractor, whichever comes first).

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

Limitation – This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information 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 Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Commission on Ethics and Lobbying in Government. 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 rescore a proposal or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

VI. Solicitation Attachments

- Attachment A – Proposal Narrative Template (required)
- Attachment B – Executive Summary Slide Template (required)
- Attachment C – TRL/CRL Calculation Worksheet (required)
- Attachment D – Sample Agreement
- Federal Funding Agency Concept Paper (required)
- Proof of federal funding status (required)
- Supporting Documents (required, maximum 10 pages)

National Offshore Wind Research and Development Consortium (NOWRDC)
Up to \$5,000,000 Available

NOWRDC reserves the right to extend and/or add funding to this solicitation should other program funding sources become available. Challenge Area topics and submission due dates are subject to change. For the most up-to-date solicitation documentation and submission schedule, please refer to the NOWRDC website at nationaloffshorewind.org.

National Offshore Wind Research and Development Consortium
Innovation in Offshore Wind Solicitation 3.0

Program Opportunity Notice 5610

***Open: Solicitation 3.0 – Improving Offshore Wind Reliability,
Operations & Maintenance, and Approaches to Ocean Area
Coexistence***

Proposal Submissions Due: January 10, 2024

***Proposal submissions accepted until: 3:00pm Eastern on January 10,
2024***

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I. INTRODUCTION

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.

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 all U.S. offshore regions. 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 June 2023, NOWRDC released its “Research and Development Roadmap 4.0” (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/wp-content/uploads/NOWRDC-Research-Development-Roadmap-4.0.pdf>.

Focusing on the research and development priorities identified in the Roadmap, available research funds are distributed through a series of competitive solicitations. These competitive solicitations address challenges associated with the three Research Pillars described in the original U.S. DOE funding opportunity announcement (DOE FOA 1767):

Pillar #1: Offshore Wind Plant Technology Advancement

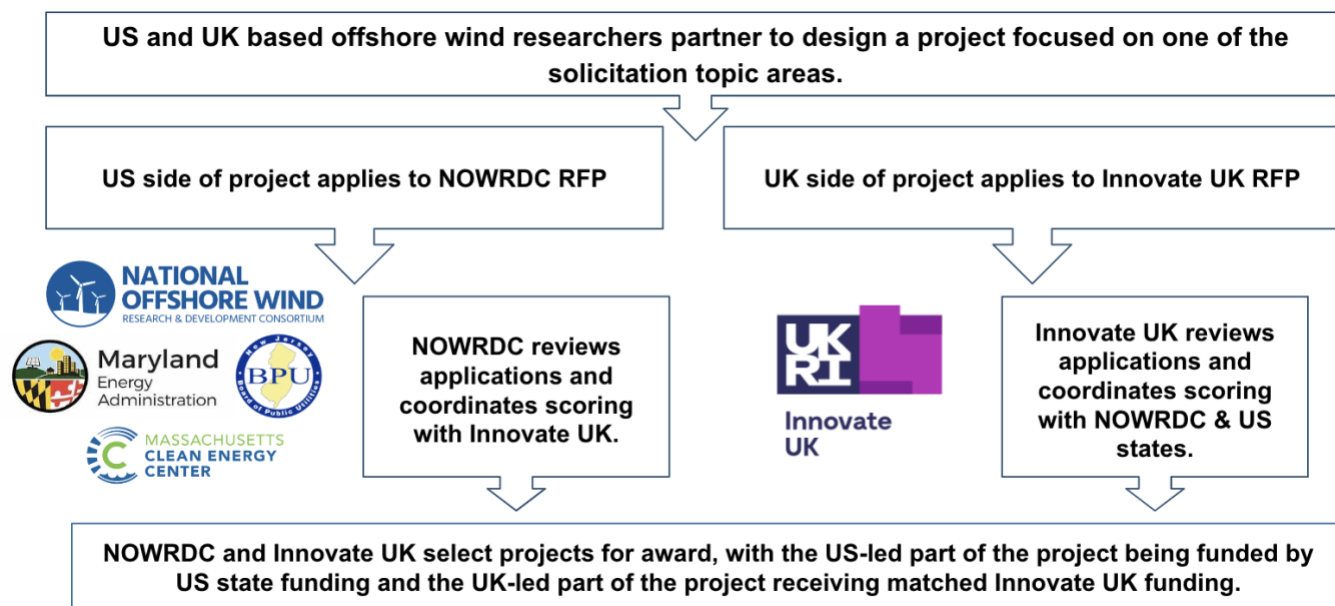
Pillar #2: Offshore Wind Power Resource and Physical Site Characterization

Pillar #3: Installation, Operations and Maintenance, and Supply Chain

This solicitation (Solicitation or RFP) seeks proposals that fall within Pillar #1, Pillar #2, 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.

Joint Funding Structure: This Solicitation is partnering U.S. states (Maryland, Massachusetts, and New Jersey) with InnovateUK to leverage funding and solicit collaborative proposals. Projects formed in response to this solicitation must contain both a US-led scope and a UK-led scope, funded by NOWRDC and InnovateUK, respectively. The US-led portion of the project scope will apply to this *Innovation in Offshore Wind Solicitation 3.0* program opportunity notice. The UK-led portion of the scope will apply to [the InnovateUK RFP](#). Applicants should apply for approximately equal parts funding from NOWRDC and InnovateUK. Projects will be evaluated based on their full US and UK conducted scope, and according to the criteria listed in Section IV: Proposal Evaluation Criteria.



NOWRDC intends to support projects in partnership with the best research organizations to achieve maximum impact. Proposals are welcomed from all geographic locations within the United States, with additional eligibility parameters outlined in Section III: Proposal Requirements.

To encourage collaboration and partnership formation, NOWRDC and InnovateUK encourage applicants to register on [the B2Match platform](#). On this platform, applicants can find potential UK and US collaboration partners by posting a profile about their innovation, their project idea, and the type of organization they would like to collaborate with. Applicants can also arrange 1-2-1 online meetings to take their discussions forward.

The InnovateUK application portal is [linked here](#).

All prospective applicants (Applicant) for this challenge are encouraged to seek input 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 and/or state 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 up to three unique proposals as a prime applicant, provided that each proposal concerns a separate and distinct topic. Online submission is required. Proposers may submit Word, Excel, or PDF files (acceptable file formats include .csv, .doc, .docx, .gif, .jpeg, .jpg, .pdf, .png, .ppt, .pptx, .pps, .ppsx, .tif, .txt, .xls, .xlsx, and .zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](https://www.nyscrda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" located in the "Current Opportunities" section of NYSEDA's website (<https://www.nyscrda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence the final decision of this procurement is permitted following submission of proposals. For technical questions about this proposal please email info@nationaloffshorewind.org. Emails will be reviewed daily, and responses provided as warranted.

RFP questions or questions about NOWRDC's processes and policies regarding this Solicitation should be directed to info@nationaloffshorewind.org with the subject line "Solicitation 3.0 Inquiry." 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): (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

Scoring Rounds:

Proposal submissions will be accepted at any time up until the due date noted in Section II. Full proposals will be evaluated by Scoring Committees. There will be one or more Scoring Committees per Challenge Area. 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. Full proposals not selected for award can be updated based on feedback and can be resubmitted in later solicitations if appropriate under that later solicitation.

All proposals must be received by 3 p.m. Eastern Time on the dates noted, via the means indicated above. 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: during 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 progress 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):

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.

Additional Proposal Submission instructions are provided in Section III, Proposal Requirements.

II. SOLICITATION TOPICS AND REQUIREMENTS

The following 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.

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 input 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 (12-15MW) in near term projects. Therefore, proposals under all rounds are encouraged to propose technical innovations consistent with the design specifications of these larger turbine classes. NOWRDC encourages references to the NREL/IEA 15MW reference turbine (information provided below) in order to credibly establish the applicability and cost effectiveness of the proposed innovations to future turbines of that scale or larger.

Some innovations may be applicable to any size of commercial offshore turbine planned for installation in U.S. waters. However, concepts 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.

CHALLENGE AREAS:

Challenge Area 1: Solutions to facilitate offshore wind resiliency and transmission coordination

Challenge Area 2: O&M Systems Development

Challenge Area 3: Innovation to facilitate ocean area coexistence with the marine biosphere

1. SOLUTIONS TO FACILITATE OFFSHORE WIND RESILIENCY AND TRANSMISSION COORDINATION

- **Development and demonstration of solutions that improve offshore wind power reliability (i.e. addressing intermittency of generation), such as:**
 - Voltage control;
 - Frequency response;
 - Production forecasting and grid integration;
 - Black-start and grid forming capability.
- **Development and demonstration of innovations in coordinated transmission solutions that optimize efficiency across multiple large projects, minimize environmental impacts, and conform to onshore grid constraints, such as:**
 - Improved cable routing (e.g. shared cable landfall);
 - Offshore backbone or meshed grid or multi-terminal HVDC;
 - Dynamic array cables at 132 kilovolt (kV) and/or dynamic export cables.
- **Development and demonstration of solutions for integration of long duration energy storage with offshore wind, such as:**
 - Feasibility studies on the techno-economic analysis of differing energy storage solutions with offshore wind (e.g., H₂, thermal storage, pumped storage);
 - Joining up the physical requirements of the offshore wind-energy storage system with policy, market, dispatchability and digital arrangements;
 - Energy systems-level modeling for offshore wind-energy storage integration and consideration of demand side response;
 - Energy storage integration technologies with offshore wind development, considering turbine, farm and onshore network options.
- **Out of scope – Energy Storage:**

We will not fund:

 - Energy Storage R&D for solutions which have a duration of less than 10 hours;
 - R&D which is not specifically related to the optimisation and/or integration of energy storage with offshore wind;
 - R&D of core energy storage technology components and systems (whether existing or novel), for example R&D on:
 - Electrochemical energy storage components & systems, such as R&D on flow battery chemistries, hydrogen electrolyser cells, modules & stacks, hydrogen storage devices, other electrochemical devices (including battery electrode and electrolyte chemistries), etc;
 - Mechanical energy storage components & systems including pumped hydro, Compressed/Liquid Air/Gas, Gravity, & Geo-mechanical, etc;
 - Thermal energy storage components & systems including pumped heat, thermophotovoltaic, phase change materials/systems, etc.
 - Energy storage system balance of plant will not be funded, unless this R&D is specifically related to optimizing and/or integrating existing long duration energy storage systems with offshore wind.

2. O&M SYSTEMS DEVELOPMENT

- **Technologies and strategies that advance the effectiveness, cost efficiency, and safety of O&M, such as:**
 - Comparative assessments of O&M requirements and considerations associated with different substructure designs;

- Technologies to improve offshore wind turbine component health monitoring, including corrosion monitoring and management;
- Offshore wind turbine digital twin development and application in-practice;
- Technological innovations to facilitate wind farm maintenance (e.g. Robotic inspection technologies and integration into practice, LiDAR, drone, sensor);
- Innovations and or assessment of opportunities to address technical and efficiency challenges associated with large-scale OSW buildout in deeper water and at greater distances from shore;
- Operational safety (e.g., safety vessels, electrical safety at substation, fire safety, novel uses of drones/autonomous vehicles);
- Innovation in simulated workforce training.
- **Technologies and strategies that advance O&M supply chain development and flexibility, such as:**
 - Programmatic assessment for implementation of ocean-based testing and validation of approaches and technologies for O&M;
 - Technoeconomic analysis of port and vessel upgrades specifically for O&M purposes.

3. INNOVATION TO FACILITATE OCEAN AREA COEXISTENCE WITH THE MARINE BIOSPHERE

- **Technology concepts that reduce offshore development and operational impacts on the marine biosphere, such as:**
 - Technologies that attenuate adverse impacts on marine life (e.g. reduce noise impacts, reduce siting conflicts and the impacts of installation practices);
 - Structural alternatives or deployment methods that avoid or mitigate noise generation;
 - Mooring line sensors for detection of secondary entanglement, marine growth, and line failure;
 - AI tools and other technology (e.g. sonar, hydrophones, camera systems) that improves detection/monitoring of fisheries/wildlife or improves marine navigation in and around offshore wind areas;
 - Technology solutions that mitigate and reduce interactions with federally managed, protected, and endangered species and their habitats;
 - Process or technology solutions to coordinate and integrate fisheries/wildlife monitoring and assessment, including database/data sharing capacity building.
- **Out of scope:**

We will not fund:

 - Baseline environmental data collection, surveys, or studies.

*Research projects in this category are encouraged to follow the Regional Wildlife Science Collaborative (RWSC) and the Responsible Offshore Science Alliance (ROSA) recommendations for regional research coordination by providing, when appropriate, project updates to appropriate RWSC and ROSA advisory groups, including project information in regional research and technology databases (e.g., RWSC Offshore Wind & Wildlife Database, ROSA Regional Framework Database and Fish FORWRD), and drafting data management and sharing plans that support regional collaborative research.

A. Funding Categories

Three (3) categories of research will be considered for funding:

- A. **Technical Feasibility Studies:** 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 \$360,000. 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:** 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 \$970,000. 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:** 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. Funding for projects in this category will be limited to \$1,815,000. 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.
- a. ***Important note for Category C** - All projects proposed under Category C must have the U.S. portion of the innovation demonstration take place in Maryland, Massachusetts, and/or New Jersey.

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 Applicant must demonstrate its progress in meeting the technical and commercial milestones of the prior Phase. The Applicant 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.

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.

Note that, in addition to the budget maximums for each funding category, it is the Consortium's policy to provide a maximum indirect cost rate of up to 15 percent of direct project costs on all project grants. More information on this policy is available on the Consortium's website here: <https://nationaloffshorewind.org/wp-content/uploads/NOWRDC-Indirect-Cost-Policy.pdf>

B. 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 United States. 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 that 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.

Proposer Candidacy: Any individual or entity qualified in the solicitation topic matter is welcome and encouraged to submit a proposal for consideration. Note:

- Prior or current project awardees under prior NOWRDC solicitations are welcome to submit concepts intended to continue their awarded work to date, provided said concepts meet the general criteria of the solicitation, including subject matter.
- Proposers may only submit three proposals as prime applicant in any single NOWRDC solicitation round. There are no such limitations for project partners or sub-awardees (non-prime).

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

- Projects are expected to begin as soon as 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.
- To enhance the likelihood of successful commercialization, Teaming Agreements that include an end user such as an offshore wind developer or a key member of the offshore wind supply chain are strongly encouraged. Teams may include offshore wind developers, turbine manufacturers, supply chain members, research organizations, universities, national laboratories, end-users, or other stakeholders. It is expected that all team members named in the proposal will be “work-ready,” with any requisite agreements in place no later than one month following award announcements.
- 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 based upon their prospective benefit to offshore wind energy development in the United States. 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 a proposed innovation’s TRL, 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 following sections provide information on potential approaches. Regardless of 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 Levelized Cost of Energy

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 *2021 Cost of Wind Energy Review* (see <https://www.nrel.gov/docs/fy23osti/84774.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:

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. LCOE calculations may be used where applicable.

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 to the project scope being proposed to take place in the U.S., a letter from that organization describing its planned participation and financial commitment must be included. If the project is dependent on data provided by one or more offshore wind developers, a letter of commitment from the developer clearly describing the applicant's authority to use the data, how the data will be used, and for what purposes must accompany the application.

Applicants should 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 concerns 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, 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 Program Opportunity Notice, 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 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.

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 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 General Counsel 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

Full Proposal Submissions

Full Proposals are subject to the requirements and Evaluation Criteria detailed below. The mandatory Full Proposal package must be submitted by 3:00PM EST on January 10, 2024.

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 Full 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). Full 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 Full Proposal should state the name of the proposer, the PON number, and the page number. All Full Proposals must include, at minimum, the following documents:

- Attachment A: Proposal Narrative (with required attachments)
- Attachment B1: Statement of Work
- Attachment B3: TRL/CRL Calculator
- Attachment C1: Milestone Payment Schedule
- Attachment D: Budget Justification
- Attachment 2: Applicant Assumption of Risk Form

Instructions for all Full Proposal 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.

	Funding Category A	Funding Category B	Funding Category C
Att. A.I – Executive Summary	✓	✓	✓

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Att. A.II – Problem Statement and Proposed Solution	✓	✓	✓
Att. B2 – Business Model Canvas (Funding Category B & C Projects ONLY)		✓	✓
Att. A.III – State of Research and Technology Targets	✓	✓	✓
Att. B3 – TRL/CRL Calculator	✓	✓	✓
Att. A.IV – Commercialization Potential of Proposed Solution (Funding Category B & C Projects ONLY)		✓	✓
Att. B4 – Three-Year Financial Projections Worksheet (Funding Category B & C Projects ONLY)		✓	✓
Att. A.V – Demonstration Site and Product (Funding Category C Projects ONLY)			✓
Att. A.VI – Replication Potential of Proposed Demonstration (Funding Category C Projects ONLY)			✓
Att. A.VII – Feasibility Study Information (Funding Category A Projects ONLY)	✓		
Att. A. VIII – Statement of Work (Att. B1) and Schedule	✓	✓	✓
Att. A.IX – Additional Project Benefits	✓	✓	✓
Att A.X – Budget incl. Milestone Payment Schedule (Att. C1) & Budget Justification (Att. D)	✓	✓	✓
Att. A.XI – Proposer Qualifications	✓	✓	✓
Att. A.XII – Letters of Support	✓	✓	✓
Att. A.XIII – Applicant Assumption of Risk Form (Att. 2)	✓	✓	✓
Att. A.XIV – Attachments	✓	✓	✓

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Program Opportunity Notice 5610
Up to \$5,000,000 Available

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. 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 July 1st for the previous calendar year's activities (i.e. reporting period). The Applicant 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.

C. Publication

The results of all research projects funded by NOWRDC must be published. If awarded, the proposer must agree to presentation of the results at symposia, national, or regional professional meetings and other forums and to publication in journals, theses, or dissertations, the methods and results of all projects.

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.

- Demonstrates a clear justification for this proposed work in tandem with the Innovate UK proposed work.
- 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 possible 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 full US-UK collaborative project is awarded by InnovateUK.
- 2) Whether the proposed project will accelerate technology advances in areas that industry or the company, by itself, is not likely to undertake.
- 3) The degree to which the project addresses an identified state or regional need.
- 4) The degree to which the proposed project optimizes the use of available funding to achieve programmatic objectives.
- 5) The degree to which the proposal expands the geographic diversity of NOWRDC's R&D efforts.
- 6) The degree to which the proposal expands the technical portfolio of NOWRDC.
- 7) The degree to which the proposed project has leveraged award funds to expand their project scope and value attained with non-award resources.
- 8) The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- 9) Past performance of the proposer on other projects with NOWRDC and NOWRDC Member organizations.
- 10) 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.

MassCEC Notice of Public Disclosure - As a public entity, MassCEC is subject to Massachusetts Public Records Law, codified at Chapter 66 of the Massachusetts General Laws. Thus, any documentary material, data, or other information received by MassCEC is presumed to be a public record subject to disclosure. Proposers acknowledge that they will carefully consider what documents, material, data, and other information they submit to MassCEC and shall not submit to MassCEC any confidential or sensitive information in response to this RFP. In the event that any such confidential or sensitive information is submitted to MassCEC, MassCEC shall have sole discretion to determine whether any particular document, material, data, or other information is exempt from or subject to public disclosure.

The administration of this solicitation is made possible by a partnership between NOWRDC and the New York State Energy Research and Development Authority (“NYSERDA”), which includes requirements for NOWRDC to provide information to NYSEDA which is included in your proposal. 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/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 NYSERDA. 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

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 [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/st220cafyllin.pdf>). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

E. RFP 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 B1, SOW-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 with respect to the terms of the Sample Agreement. While minor modifications may be considered in limited circumstances, the Sample Agreement is generally non-negotiable. 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.

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 [list state funding sources] (State Funders), or with any current or former employee, officer, or director of NOWRDC or the State Funders, 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 Applicant 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.

I. ATTACHMENTS

Attachment A – Proposal Narrative Template

Attachment B1 – NOWRDC Cover Letter, Statement of Work & Form of Agreement

Attachment B2 – Business Model Canvas Template

Attachment B3 – TRL/CRL Calculation Worksheet

Attachment B4 – Three-Year Financial Projections Worksheet

Attachment C1 – Milestone Payment Schedule

Attachment D – Budget Justification

Attachment E – Scoring Rubric (Full Submission)

Attachment 1 – Applicant Assumption of Risk Form

National Offshore Wind Research and Development (NOWRDC)
Program Opportunity Notice 5610
Up to \$5,000,000 Available

**Purchase of New York Tier 1 Eligible
Renewable Energy Certificates (RECs)
Request for Proposals (RFP) No. RESRFP23-1
RFP Release Date: November 30, 2023**

**Step One Eligibility Applications Due:
December 28, 2023, by 3:00 p.m. Eastern Time (ET)
Step Two Bid Proposals Due:
January 31, 2024, by 3:00 p.m. ET**

**NYSERDA SEEKS TO ACQUIRE NEW YORK TIER 1 ELIGIBLE
RENEWABLE ENERGY CERTIFICATES**

The New York State Energy Research and Development Authority (NYSERDA) seeks to procure Tier 1 eligible Renewable Energy Certificates (RECs) from Bid Facilities that meet the eligibility requirements described in this Request for Proposals (RFP or RESRFP23-1).

RESRFP23-1 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 NYSERDA will: (1) examine Bid Proposals to determine whether they demonstrate that the Bid Facility and Proposer meet the Minimum Threshold Requirements; and (2) for Bid Proposals that meet those Minimum Threshold 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 Threshold Requirements will be evaluated under Step Two.

Step One Eligibility Application: Step One Eligibility Applications must be **received by NYSERDA by 3:00 p.m. ET on Thursday, December 28, 2023 via electronic submission on the [solicitation website](#).**

NYSERDA staff will be available to support Proposer inquiries regarding Step One Eligibility Applications prior to the deadline. 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](#)

¹ <https://www.nyserda.ny.gov/ces/rfp>

[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 **January 5, 2024**. 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, January 31, 2024, 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” or “Proprietary” in any submission made to NYSERDA pursuant to this RFP. Further information regarding confidentiality is set forth in Section 9.1.

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 the External Facility Electricity Delivery Requirements in the RES Standard Form Agreement, and 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

Prior to the opening of the [solicitation website](#) and the Step One Eligibility Application, all questions regarding RESRFP23-1 must be directed to res@nyserda.ny.gov.

All general questions about this RFP may be submitted in writing 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 to the Messages feature on the solicitation website.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Questions about this solicitation should be directed to the RESRFP23-1 Designated Contacts in writing through the options detailed above. NYSERDA reserves the right to conduct meetings with any Proposer, and any question posed to NYSERDA, as well as any response provided by NYSERDA to a Proposer, may be publicly posted on the solicitation website. The Designated Contacts for RESRFP23-1 are: Mac Farrell, Bram Peterson, Abbey DeRocker, Marci Brunner, John Bernecker, Brian Newton, Jeremy Wyble, Liz Hanna, Jenn Phelps, Nathalie Simoes, Georges Sassine, Anthony Fiore, Doreen Harris, Alex Stein, Nate Chumley, and Beata Raczynska. Contacting anyone other than the

² <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

³ <https://www.nyserda.ny.gov/ces/rfp>

⁴ See Section 11 of the [NYGATS Operating Rules](#).

⁵ The Q&A page is intended for general questions which are suitable for public review.

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 non-responsible 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.

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 RFP responses will not be accepted by hand delivery at any NYSERDA location. Proposers will be notified of Bid Proposals deemed ineligible before evaluation of Bid Proposals begins. Bid Fees submitted for late or incomplete submittals will be returned to the Proposer.

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 Large-Scale Renewables Email List Sign-Up Page](#).⁷ It is the Proposer's responsibility to check for, and conform to, any solicitation changes prior to submittal.

⁶ Unless otherwise agreed to by NYSERDA. Contact a Designated Contact for more information if needed.

⁷ <https://www.nysERDA.ny.gov/all-programs/clean-energy-standard/renewable-generators-and-developers/large-scale-renewables-email-list>

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ACRONYMS AND DEFINITIONS

94-c – Section 94-c of the New York State Executive Law, which consolidates the environmental review and permitting of major renewable energy facilities in New York State under the Office of Renewable Energy Siting (ORES).

Actual Annual Eligible Production – The amount, in MWh, of the Actual Eligible Production that (a) the new Bid Facility produces during a Contract Year or (b) the Upgrade or Repowering Bid Facility produces during a Contract Year after completion of the Upgrade/Repowering.

Actual Eligible Production – For new Bid Facilities, equal to the Actual Production. For Upgrade Bid Facilities, the product of (a) the Actual Production, multiplied by (b) the Incremental Upgrade Percentage. For Repowering Bid Facilities, the product of (a) the Actual Production multiplied by (b) the Tier-1 Percentage for the applicable period.

Actual Production – The amount, in MWh, of the total electric energy production of the Bid Facility during any period within the Contract Delivery Term as measured at the Injection Point.

AGM – New York State Department of Agriculture and Markets.

Agreement – RES Standard Form Agreement, provided as Attachment A, including Exhibits if applicable.

Agricultural Co-Utilization Plan – A plan developed by the Proposer that proposes a viable co-utilization of a Bid Facility site with the agricultural production of “crops, livestock, or livestock products,” as that phrase is defined by New York State Agriculture and Markets Law (AML) § 301(2) for the duration of the Contract Delivery Term.

Agricultural Mitigation Payment – A one-time “Mitigation Fund Payment” for a Bid Facility, as defined in and calculated as set forth in Appendix 2 to this RFP, which amount for the Bid Facility will not exceed the estimated Mitigation Fund Payment in Proposer’s Bid Proposal, unless the Bid Facility layout is substantively revised or expanded to increase the Bid Facility area’s footprint in MSG 1-4 lands.]

Annual REC Cap – An amount of Tier-1 RECs equal to the product of (x) the Bid Quantity and (y) one and two-tenths (1.2), rounded down to the nearest whole REC.

Applicable Zone – The NYISO load zone that includes the Delivery Point.

Authority Having Jurisdiction (AHJ) – The town(s) or city(ies) within which the Bid Facility is located.

Annual REC Cap – The maximum number of RECs that NYSERDA is obligated to purchase from Seller in any Contract Year as defined in the Agreement.

Applicable REC Price Method – The method employed by NYSERDA in each month for determining the Monthly REC Price as determined in Article IV of the Agreement.

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

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

Bid Capacity – An amount equal to (i) the gross generating capacity of the entire Bid Facility as bid to NYSERDA (after completion of the Upgrade/Repowerings, where applicable) in MWac multiplied by (ii) the Bid Quantity Percentage and (iii) (x) for Upgrades, further multiplied by the Incremental Upgrade Percentage and (y) for Repowerings, further multiplied by the applicable Tier 1 Percentage.

Bid Facility – An electric generating station that has been submitted by the Proposer for consideration in response to this RFP.

Bid Price – The price per REC offered by Proposer, offered either as a Fixed REC Price or an Index REC Price.

Bid Proposal – Documents submitted by Proposer in response to this RFP.

Bid Quantity – The amount stated in the **Bid Proposal** of Tier-1 RECs the Bid Facility expects to proffer as performance under the Agreement during each Contract Year during the Contract Delivery Term.

Bid Quantity Percentage – The percentage of the Bid Facility’s Actual Annual Eligible Production that will be committed by the Proposer to performance under the Agreement. The Bid Quantity Percentage must be at least 30% and may not exceed 100% of the Annual Production.

CES – Clean Energy Standard.

Climate Act – Climate Leadership and Community Protection Act.

Climate Justice Working Group (CJWG) – An advisory group in the Climate Action Council process, responsible for providing strategic advice for incorporating the needs of Disadvantaged Communities.

Commercial Operation – A state of operational readiness of the Bid Facility under which (i) the Bid Facility has been mechanically constructed and interconnected, (ii) generating capacity is available to physically produce and deliver electric energy to the Injection Point and associated Tier-1 RECs, and (iii) all rights, abilities, permits and approvals to schedule and deliver energy to the Injection Point have been obtained.

COMD – Commercial Operation Milestone Date, as further defined in the Agreement.

Construction Activities – The physical activities associated with the construction of any on-site structure or civil site works including, but not limited to, the clearing, grubbing, grading, staging, installation, erection and placement of the Bid Facility and electrical interconnection, as well as start-up and commissioning of the Bid Facility.

Contract Delivery Term – The period commencing on the first day of the month after the month in which the Bid Facility commences Commercial Operation. For Bid Facilities in Commercial Operation as of the Award Notification Date, unless otherwise agreed to in writing by NYSERDA, the Contract Delivery Term shall commence on the first day of the month after the Effective Date of the Agreement. The Contract Delivery Term shall extend for the term of the Contract Tenor.

Contract Security – Security delivered to NYSERDA by Proposer for its performance under the terms of the Agreement, in the form of cash, certified funds, or a Letter of Credit, as described in Article XV of the Agreement.

Contract Tenor – The duration, in years, of the Contract Delivery Term.

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 Bid Facilities located within the NYCA, 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 Bid Facility. For Bid Facilities located outside of the NYCA, the generator bus or location where the NYISO measures energy delivery from the Bid Facility into the NYCA.

Disadvantaged Communities: Has the meaning established by the Climate Act in § 75-0101(5) of the New York Environmental Conservation Law. The Climate Act directs the [Climate Justice Working Group](#) (CJWG) to establish criteria for identifying Disadvantaged Communities. The CJWG finalized the Disadvantaged Communities criteria on March 27, 2023. Communities meeting the criteria can be identified with the map found on the NYSERDA Disadvantaged Communities [webpage](#) and a list of census tracts that meet the disadvantaged community criteria can be found on the [Climate Act Website](#) under the “Disadvantaged Communities Criteria Documents” section.

Disadvantaged Community Commitments – Shall be those commitments contained in the Seller’s Bid Proposal and described in Section 6.10 of the Agreement.

Economic Benefits Start Date – June 2, 2017.⁸

End of Useful Life Bid Capacity – With respect to a Repowering, means the Bid Capacity of such Repowering after the end of the Existing Facility’s useful life.

End of Useful Life Installed Capacity – With respect to a Repowering, means the Installed Capacity of such Repowering after the end of the Existing Facility’s useful life.

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 Production by a Bid Facility, consistent with the delineation of attributes set forth in the Agreement.

EO 16 – Executive Order No. 16, Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia, issued and effective March 17, 2022.

⁸ The date NYSERDA issued its 2017 Renewable Energy Standard Request for Proposals (RESRFP17-1).

Existing Facility – With respect to a Repowering, the facility prior to the implementation of such Repowering.

Expected Dollars/MW – The total dollar amount of Incremental Economic Benefits per MW of (a) for new Bid Facilities and Upgrades, Bid Capacity, or (b) for Repowerings, End of Useful Life Bid Capacity, as presented in the Bid Proposal and accepted by NYSERDA, expected to accrue to New York as a result of the development, construction, modification and operation of the Bid Facility from the Economic Benefits Start Date through the end of the first three (3) Contract Years.

Expected MWBE and SDVOB Dollars/MW – The total amount of Expected Dollars/MW, as presented in the Bid Proposal and accepted by NYSERDA, expected to accrue specifically to New York State Certified Minority or Women-Owned Business Enterprises (MWBE) and Service-Disabled Veteran-Owned Businesses (SDVOB). MWBE businesses must be certified by the Division of MWBE and SDVOB businesses must be certified by NYS Office of General Services.

Expected U.S. Iron and Steel Dollars/MW – The total dollar amount per MW of (a) for new Bid Facilities and Upgrades, Bid Capacity, or (b) for Repowerings, End of Useful Life Bid Capacity, associated with expenditures for iron and steel components of the Bid Facility manufactured in the United States using iron or steel from steel mills located in the United States.

Facility Area – All land occupied during the commercial operation of the generation facility, the associated interconnection equipment as verified through the Operational Certification process. Generally, this will include all areas within the facility’s perimeter security fence(s) and the applicable facility related improvements outside of fenced areas. The Facility Area shall include the area “inside the fence” of the project including all fencing inclosing the mechanical equipment such as the solar arrays, inverters, location of any combiner boxes, fuses, switches, meters, distribution boards, monitoring systems such as balance of systems components, interconnection equipment, and stormwater controls. The Facility Area shall additionally include improvements of the project “outside of the fence” including access roads, parking areas, stormwater controls and other permanent facilities, or structures installed at the Facility Area, except vegetative landscape screenings or appropriately buried utilities such as electrical conductors or conduit(s) that do not impact Forest Land during installation.

Fixed REC Price – An as-bid price in dollars per Tier-1 REC as described in Section 4.02 of the Agreement.

FOIL – New York’s Freedom of Information Law, [Public Officers’ Law Article 6](#).

Host Community Benefit Program – A Program providing benefits to utility customers in Host Communities in which future Major Renewable Energy Facilities are located.

Incremental Economic Benefits: Incremental Economic Benefits are financial expenditures benefitting New York State within the categories specified in Section 4.4 of this RFP that a Seller can demonstrate: (1) were incurred on or after the Economic Benefits Start Date, and (2) would not have accrued but for an award under a NYSERDA competitive solicitation to procure Tier-1 RECs or in anticipation of the potential for such an award. Economic benefits previously claimed with respect to a Bid Facility that are subject to a pending award under a previous solicitation or that is the subject of a current NYSERDA Agreement are not Incremental Economic Benefits.

Incremental Upgrade Percentage – For Upgrade Bid Facilities, the percentage of the Actual Production that is Tier-1 eligible resulting from the Upgrade as initially established through the NYGATS Provisional

Statement of Qualification process, and as may be updated through the submission of engineering documentation during the Statement of Qualification and Operational Certification processes, in accordance with NYSERDA's New York State Clean Energy Standard RES Tier-1 Certification Submission Instructions and Eligibility Guidelines.

Index REC Price – An adjustable price in dollars per REC that nets the Index REC Strike Price monthly against a reference price expressed in a market index pursuant to Section 4.01 of the Agreement.

Index REC Strike Price: The as-bid value for each Contract Year as submitted in the Bid Proposal and as stated in the Agreement, subject to adjustment pursuant to Article V of the Agreement.

Injection Point – For Bid Facilities located within the New York Control Area, the Injection Point shall be the Delivery Point. For Bid Facilities located outside of the New York Control Area, the Injection Point shall be the generator bus or location where the administrator of the local control area measures energy delivery from the Bid Facility into the local market.

Installed Capacity – An amount equal to (i) the gross generating capacity of (a) a new Bid Facility or, (b) for a Bid Facility that is the subject of an Upgrade or a Repowering, such Bid Facility, after completion of such Upgrade or Repowering, in MWac in accordance with its Statement of Qualification (SoQ) and Operational Certification, multiplied by (ii) the Bid Quantity Percentage, and (iii) (x) for Upgrades, further multiplied by the Incremental Upgrade Percentage, or (y) for Repowerings, further multiplied by the applicable Tier-1 Percentage.

Key Permit – For a Bid Facility located within the NYCA, “Key Permit” means (i) for Sellers seeking approval for the Bid Facility under Article 10 of the New York Public Service Law, a Certificate of Environmental Compatibility and Public Need, (ii) for Sellers seeking approval for the Bid Facility under Section 94-c of the New York State Executive Law, a New York State Office of Renewable Energy Siting permit, or (iii) for all other Sellers, the required discretionary (non-ministerial) land use permit or approval by the applicable municipality for the development, construction, operation, and/or maintenance of the Bid Facility which permit or approval incorporates a determination under SEQRA. For a Bid Facility located outside of the NYCA, “Key Permit” means such required discretionary (non-ministerial) land use permit or approval reasonably analogous to those set forth in the foregoing sentence issued by the state or local authority having jurisdiction over the Bid Facility. Notwithstanding the foregoing, for hydroelectric Bid Facilities, “Key Permit” means the Bid Facility’s FERC license.

Levelized Net REC Cost (LNRC) – A means of comparing Proposals with different Bid Prices, Bid Quantities, and Commercial Operation Dates, as described in Section 5.4.

Major Renewable Energy Facility – Any renewable energy system with a nameplate generating capacity of twenty-five thousand kilowatts or more, and any co-located system storing energy generated from such a renewable energy system prior to delivering it to the bulk transmission system, including all associated appurtenances to electric plants as defined under Section 2 of the New York State Public Service Law, including electric transmission facilities less than ten (10) miles in length in order to provide access to load and to integrate such facilities into the state’s bulk electrical transmission system.

Mineral Soil Groups (MSG) 1-4 – Soils with a mineral soil group value of 1, 2, 3, or 4 as assigned by the New York State Department of Agriculture and Markets in the Agricultural Land Classification System for New York. For the purposes of this Agreement, MSG 1-4 have been established in ‘NYSERDA 2023 Soils Data.’ A map of MSG 1-4 is available on NYSERDA’s Solicitations for Large-scale Renewables webpage.

Mitigation Fund Payment (Mitigation Payment) – The Mitigation Fund Payment acts as the estimated benchmark that the Proposer would expect to pay based on the proposed site configuration (Facility Area), knowledge of on-site conditions and before any other action to decrease this payment amount. Payment amounts may be adjusted through consultations with the New York State Department of Agriculture and Markets (AGM) regarding co-agricultural opportunities, and based on the final site configuration (reduced or expanded facility occupied acreage).

Monthly REC Price – A price in dollars per REC determined by NYSERDA for each month of the Contract Delivery Term. If the Applicable REC Price Method is the Index REC Price, the Monthly REC Price shall be calculated pursuant to Section 4.01 of the Agreement. If the Applicable REC Price Method is the Fixed REC Price, the Monthly REC Price shall be calculated pursuant to Section 4.02 of the Agreement.

MW or MWac – A megawatt of alternating current electric energy generating capacity.

MWdc – A megawatt of direct current electric energy generating capacity.

MWh – A megawatt-hour of electric energy.

Nameplate Capacity – The gross generating capacity of the entire Bid Facility in MW. For Upgrade and Repowering Bid Facilities, this value represents the gross generating capacity of the entire Bid Facility after completion of the Upgrade or Repowering.

New York Control Area (NYCA) – The control area 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 Tier 1 RECs. NYGATS will create exactly one Tier 1 REC per MWh of RES eligible generation.

NYGATS Forward Certificate Transfer – An automated monthly transfer of Tier 1 RECs to NYSERDA as described in Section 9.3 of the [NYGATS Operating Rules](#).

New York Independent System Operator (NYISO) – Administrator of the wholesale power markets in New York and manages the physical electrical operations of the NYCA.

OATT – NYISO’s Open Access Transmission Tariff.

Operating Rules – The NYGATS Operating Rules, the General Terms of Use and other guidelines posted to the NYGATS website at: <https://www.nyserda.ny.gov/All-Programs/nygats/registration-documents>.

Operational Certification – Verification by NYSERDA that the Bid Facility has been constructed and/or will operate in accordance with the Bid Proposal, as further defined in the Agreement.

Orders – August 1, 2016 CES Framework Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Adopting a Clean Energy Standard,” issued and effective August 1, 2016), January 16, 2020 Tier 1

Modification Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Modifying Tier 1 Renewable Procurements,” issued and effective January 16, 2020), October 15, 2020 CES Modification Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Adopting Modifications to the Clean Energy Standard,” issued and effective October 15, 2020), January 20, 2022 PGS Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “[Order on Power Grid Study Recommendations](#),” issued and effective January 20, 2022), and November 20, 2023 Reference Capacity Price Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Addressing Capacity Accreditation Rules,” issued and effective November 20, 2023).

ORES – New York State Office of Renewable Energy Siting, website is <https://ores.ny.gov/> and the regulations can be found at <https://ores.ny.gov/regulations>.

Quantity Obligation — For any period during the Contract Delivery Term, the number of Tier-1 RECs equal to the product of (a) the Bid Quantity Percentage multiplied by (b) the Actual Production.

Prevailing Wage – Shall have the meaning set forth at and shall be interpreted in accordance with Section 18.10 of the Agreement.

Price Structure – Either a Fixed REC or Index REC price.

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

PSoQ – NYGATS Provisional Statement of Qualification.

Reference Capacity Price: An amount based on an index of NYISO Capacity Market prices for the Applicable Zone calculated as set forth in Section 4.01 of the Agreement.

Reference Energy Price – An amount based on an index of NYISO Energy Market prices for the Applicable Zone calculated as set forth in Section 4.01 of the Agreement.

Repowering – The physical improvements made to the existing Bid Facility that meet the repowering requirements of the 2020 CES Order, as proposed by Seller in the Application for Qualification and Bid Proposal in response to RESRFP23-1 and confirmed through the Statement of Qualification and the Operational Certification process.

Tier-1 Percentage – For a Repowering, the quantity of generation from the Bid Facility, expressed as a percentage associated with specific date ranges, that meets the Repowering requirements of the 2020 CES Order.

Tier-1 Renewable Energy Certificate (REC) or Tier-1 REC — The electronic record of generation data created by NYGATS and representing all of the attributes of one MWh of electricity generation from a RES Tier-1 Bid Facility registered with NYGATS. The attributes represented in each Tier-1 REC include all environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, and allocations, however characterized, denominated, measured or entitled, attributable to the generation of Actual Eligible Production by a Bid Facility, 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 (SOx),

nitrogen oxides (NOx), 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.

Renewable Energy System – As defined in the Climate Act, and for purposes of this RFP, a system that generates electricity through use of the following technologies: solar thermal, photovoltaics, on land and offshore wind, hydroelectric, geothermal electric, geothermal ground source heat, tidal energy, wave energy, ocean thermal, and fuel cells which do not utilize a fossil fuel resource in the process of generating electricity.

Seller – A Proposer selected by NYSERDA who has executed an Agreement to sell Tier 1 RECs to NYSERDA pursuant to this RFP.

SEQR – New York State Environmental Quality Review Act.

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

SoQ – NYGATS Statement of Qualification.

Technical Evaluation Panel (TEP) – Members of NYSERDA staff, New York State Department of Public Service (DPS) Staff, and competitively-selected Independent Evaluators (outside reviewers who possess proficiency in the evaluation of energy generation projects) responsible for evaluating Bid Proposals received through this RFP.

Upgrade – The physical improvements made to the existing Bid Facility that cause an increase in renewable generation incremental to a historical baseline level of generation by the Bid Facility, as proposed by Seller in the Application for Qualification and Bid Proposal in response to RESRFP23-1 and confirmed through the Statement of Qualification and the Operational Certification process.

NEW ITEMS & IMPORTANT NOTES

1. Commercial Operation Milestone Date

The initial Commercial Operation Milestone Date (COMD) for RESRFP23-1, the date by which Bid Facilities must enter commercial operation, is May 31, 2026, which may be extended through May 31, 2029.

2. Solicitation Target and Resource Mix

Per the CES Modification Order, NYSERDA is authorized to procure approximately 4.5 million Tier 1 RECs annually through 2026. NYSERDA will assess this non-binding target quantity prior to determining an award group to account for any forecasted shortfalls to achieving a 70% renewable electric grid by 2030. The RESRFP23-1 non-binding procurement target is intended to be comprised of a diverse resource mix that will complement the existing fleet of operating renewable energy generators in New York and the portfolio of under development large-scale renewable energy projects contracted by NYSERDA, with the goal of maintaining a pipeline of large-scale renewable projects that will support the goal to achieve a 70% renewable electric grid by 2030. Proposers are encouraged to review past and recent reports and Orders that detail the resource mix that will best enable New York to achieve a 70% renewable electric grid by 2030, including the [CES White Paper Appendix](#),⁹ the [Final Climate Action Council Scoping Plan](#)¹⁰ (see Appendix G. Integration Analysis Technical Supplement),¹¹ and the most recent draft [NYISO System & Resource Outlook Report](#).¹²

3. Tier 1 REC agreement termination, contract security and eligibility to submit proposals

To be eligible to submit a proposal in RESRFP23-1, a Proposer cannot have an active agreement with NYSERDA or another entity with respect to the Tier-1 RECs being offered in that solicitation at the time of submission of the Step One Eligibility Application. Section 2.2 sets forth NYSERDA's policy regarding Tier 1 REC agreement termination, contract security and eligibility to submit proposals into RESRFP23-1 and RESRFP24-1.

⁹ <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={DCA9763C-D2DA-4FD1-9801-D859E7ED8FE3}>

¹⁰ <https://climate.ny.gov/-/media/project/climate/files/NYS-Climate-Action-Council-Final-Scoping-Plan-2022.pdf>

¹¹ <https://climate.ny.gov/-/media/Project/Climate/Files/Draft-Scoping-Plan-Appendix-G-Integration-Analysis-Technical-Supplement.pdf>

¹² https://www.nyiso.com/documents/20142/32663964/2021-2040_System_Resource_Outlook_Report_DRAFT_v15_ESPWG_Clean.pdf/99fb4cbf-ed93-f32e-9acf-ecb6a0cf4841.

Additional information on the System & Resource Outlook, including more recent drafts if available, can be found in the [meeting materials for the NYISO Electric System Planning Working Group](#) (<https://www.nyiso.com/espwg>).

4. Minimum Threshold Requirements & Non-Price Evaluation

The Step Two Bid Proposal Minimum Threshold Requirements include updated requirements for the Interconnection and Permitting subcategories, and have otherwise retained or lightened the Minimum Threshold Requirements for all other categories. See Sections 4.3 for requirement-specific details.

5. Agricultural and Forested Land Requirements

NYSERDA adopted an approach starting under the RESRFP20-1 solicitation to address concerns relating to solar development on, and the protection of, agricultural lands in Agricultural Districts. Under this approach, awardees may be responsible for making an agricultural mitigation payment to a designated fund (e.g., NYSFL § 99-pp Agricultural and farmland viability protection fund) based on the extent to which the solar project footprint overlaps with Mineral Soil Groups (MSG) classifications 1-4. For the RESRFP23-1 solicitation, all Proposers of solar Bid Facilities are required to provide a complete Appendix 2 RESRFP23-1 Smart Solar Siting Scorecard by submitting the Scorecard Workbook in Exhibit 1 to Appendix 2 RESRFP23-1 Smart Solar Siting Scorecard. Proposers may also indicate their intent to defer this payment to the extent that the Seller elects to adopt agricultural co-utilization measures in their Step Two Bid Proposal. Proposers are advised to reference Section 4.3.6 of the RFP, Section 6.11 of the Agreement, and Appendix 2 RESRFP23-1 Smart Solar Siting Scorecard (the Scorecard) to understand the approach in full and assess the applicability of a potential Agricultural Mitigation Fund Payment to their Bid Facility(ies). As in previous solicitations, in addition to a potential Mitigation Fund Payment, all solar awardees are to adopt and employ the provisions of the [Guidelines for Solar Energy Projects - Construction Mitigation for Agricultural Lands](#) document (see Exhibit E to the Agreement).

6. Economic Benefits to New York State

Proposers are strongly encouraged to explore innovative ways in which short- and long-term economic benefits can be provided to New York State. The Inflation Reduction Act of 2022 has provided tremendous opportunities for renewable energy growth and Proposers are asked to utilize this monumental investment in the clean energy transition to their creative advantage, in particular relative to New York State job creation, manufacturing, and economic growth opportunities. Please be advised: the timeframe for economic benefits evaluation under this solicitation has been expanded to include all eligible expenditures beginning from the Release Date of the first CES RFP, June 2, 2017 (see Section 4.4).

The economic benefits category “Investments & Commitments to Economic and Workforce Development” (Category 3) has been removed from RESRFP23-1. Proposers who wish to submit incremental economic benefits that will address economic and workforce development should do so using Category 1 and Category 2 economic benefits commitments.

Proposers are also encouraged to familiarize themselves with the updated requirements and guidance related to directing incremental economic benefits to Disadvantaged Communities. On March 27, 2023, the Climate Justice Working Group voted to approve and adopt the final disadvantaged communities criteria for New York State. Only incremental economic benefits to Disadvantaged Communities that meet the final Disadvantaged Communities criteria set by the Climate Justice Working Group will be eligible for RESRFP23-1. 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 development of the Bid Facility. Under RESRFP23-1, incremental economic benefits to New York State that will be realized in part or in full by MWBE and SDVOB will be more favorably evaluated. Benefits afforded to

Disadvantaged Communities, MWBE, and SDVOB that are committed to as part of the Step Two Bid Proposal will be treated as a separate category of incremental economic benefits in the Agreement.

7. Climate Resiliency

A new Minimum Threshold component for Climate Resiliency has been added to RESRFP23-1. Proposers are required to demonstrate how the impacts of climate change have been considered in Bid Facility design and incorporated into the reliability (the extent to which the system provides output and avoids temporary disruptions) and expected performance (ability of the system to provide expected output of energy over its useful life) of the Bid Facility.

8. Modifications to RESRFP23-1 Submission Requirements

RESRFP23-1 incorporates several modifications to reduce the scope of submitted Bid Proposals due to both the increased project maturity of the Bid Facilities eligible to bid and the truncated timeline under which the solicitation is being conducted, in light of the Public Service Commission (Commission) Order Denying Petitions to Preserve Competitive Renewable Energy Market and Protect Consumers issued on October 12, 2023 (the October 2023 Order) and New York’s 10-Point Action Plan.¹³ These modified requirements include, but are not limited to, the removal of pairing Bid Proposals with Energy Storage facilities and the removal of multiple studies required from Proposers under previous Tier 1 Solicitations. See Section 4.3 for requirement-specific details.

9. RES Standard Form Agreement

The RES Standard Form Agreement (the “Agreement”) associated with RESRFP23-1 is published as Attachment A to this solicitation. The Agreement is a legally binding document; Proposers are advised to consult with an attorney, and all Proposers should familiarize themselves with the structure, terms and conditions of the Agreement prior to participating.

¹³ <https://www.nyseda.ny.gov/-/media/Project/Nyserda/Files/Programs/Offshore-Wind/10-point-plan.pdf>

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)¹⁴ which stated the goal to achieve 50% of the State's electricity generated from renewable resources by 2030 (50x30 goal).

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)¹⁵ associated with new renewable energy resources.

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 (Climate Act), 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.¹⁶

RES Tier 1 procurements were further amended on January 16, 2020 by the [Order Modifying Tier 1 Renewable Procurements](#) (Tier 1 Modification Order), whereby the PSC directed NYSEDA to offer bidders an Index REC price option in future RES solicitations, beginning with RESRFP20-1.

The Accelerated Renewables Act became law on April 2, 2020, and made 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.¹⁷

On October 15, 2020, the PSC issued its [Order Adopting Modifications to the Clean Energy Standard](#) (CES Modification Order) in Case 15-E-0302. In the CES Modification Order, the PSC adopted several modifications to the CES to align it with the Climate Act mandates. Modifications affecting Tier 1 solicitations include setting annual procurement targets to achieve the 70 by 30 target, allowing rejection of projects that are not presently viable, combining of the Project Viability and Operational Flexibility and Peak Coincidence evaluation factors, approving the development of portfolio risk factors, and clarifying the CES delivery requirements.

On January 20, 2022, the PSC issued its [Order on Power Grid Study Recommendations](#) (PGS Order) in Case Nos. 20-E-0197, 18-E-0071, and 15-E-0302. The PGS Order concurs with the Power Grid Study finding that energy storage on Long Island and New York City will play an important role in integrating

¹⁴ 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>

¹⁵ 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.

¹⁶ [New York State Senate Bill S6599](https://www.nysenate.gov/legislation/bills/2019/s6599), <https://www.nysenate.gov/legislation/bills/2019/s6599>

¹⁷ [New York State Announces Passage of Accelerated Renewable Energy Growth and Community Benefit Act as Part of 2020-2021 Enacted State Budget](#)

offshore wind generation. The coordinated planning process undertaken in the Power Grid Study proceeding will allow the PSC to anticipate system needs and respond to them in a timely manner, including implementation of local transmission upgrades and invocation of the NYISO's Order 1000 process where bulk solutions are necessary.

On September 9, 2021, the PSC addressed the Utilities' proposed policy recommendations in its Order on Local Transmission and Distribution Planning Process and Phase 2 Project Proposals (Phase 2 Order).¹⁸ Among other things, the Phase 2 Order found the Utilities' proposed investment criteria required certain modifications, and directed additional work to develop a coordinated grid planning process (which includes a revised benefit cost analysis framework, enhanced stakeholder engagement and a participant funding agreement to share CLCPA project costs across the state on a volumetric load ratio share basis). In addition, the Phase 2 Order adopted DPS Staff's recommended modifications to the calculation of headroom and directed the investor-owned utilities to provide updated headroom data to stakeholders.

On December 19, 2022, New York's Climate Action Council adopted a Final Scoping Plan to outline recommended policies and actions to help meet the climate action requirements of the Climate Act. The Scoping Plan indicated that 7 to 15 gigawatts of land-based wind energy and 32 to 43 gigawatts of solar energy in New York may be necessary by 2040 to achieve the Climate Act's greenhouse gas emission-reduction requirements and carbon neutrality goals.

On October 12, 2023, the PSC issued the [Order Denying Petitions Seeking to Amend Contracts With Renewable Energy Projects](#), which denied a Petition submitted by the Alliance for Clean Energy New York, Inc. seeking price adjustments to Tier 1 REC agreements with NYSERDA to address inflationary pressures and supply chain disruptions impacting project economics. The Order supported NYSERDA's continued efforts to meet the Climate Act mandates through subsequent competitive offshore wind solicitations, potentially on an expedited basis. The same day, New York State released a new [10-Point Action Plan](#) to expand and support the growing large-scale renewable energy industry in the State, which included a plan to launch an accelerated procurement process for Tier 1 land-based renewables and offshore wind.

On November 20, 2023, the PSC issued its [Order Addressing Capacity Accreditation Rules](#) (Reference Capacity Price Order) in Case 15-E-0302 and Case 18-E-0071. In the Reference Capacity Price Order, the PSC addressed NYSERDA's petition to adjust the Reference Capacity Price formulas in index renewable energy certificate and offshore wind renewable energy certificate purchase and sales agreements. The PSC approved certain changes to the Reference Capacity Price formula to address the impact of the new NYISO Capacity Accreditation Rules.

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.¹⁹ For

¹⁸ LT&D Planning Proceeding, Order on Local Transmission and Distribution Planning Process and Phase 2 Project Proposals (September 9, 2021) (Phase 2 Order).

¹⁹ 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

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.²⁰

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](#).²¹ 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, RESRFP19-1, RESRFP20-1, and RESRFP21-1, can be found on [NYSEDA's RES Solicitation website](#).²²

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](#).²³

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 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, a division of NYSEDA, is a \$1 billion specialized financial investment fund working with the private sector to increase investments into New York's clean energy markets, creating a more efficient, reliable and sustainable energy system. NY Green Bank steps in to fill gaps in the market where financing might not be available from conventional lenders, potentially due to barriers such as limited precedent, small deal sizes, challenges in evaluating technology risk, asset structures and/or business

March 24, 2017, the November 17, 2017 [Order Approving the Phase 2 Implementation Plan](#) and the [Final Phase 2 Implementation Plan](#) filed by NYSEDA on December 18, 2017, and the December 14, 2018 [Order Approving the 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.

²⁰ 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.

²¹ <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

²² <https://www.nyserda.ny.gov/ces/rfp>

²³ <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Important-Orders-Reports-and-Filings/Renewable-Portfolio-Standard/Past-Main-Tier-Solicitations>

models unfamiliar to banks and institutional investors, and/or deal structuring and underwriting complexities.

Supporting the expansion of large-scale renewables in New York is a strategic priority for NY Green Bank. NY Green Bank is prepared to support project developers and investors with 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.

In the context of providing financing, NY Green Bank would evaluate contracted revenues, including various NYSERDA incentive payments, as well as wholesale power and capacity sales to support long-term financing.

1.3 Schedule

The schedule for RESRFP23-1 is as follows (all times ET):

Table 1. RFP Schedule

RFP Release Date	Thursday, November 30, 2023
NYSERDA opens Step One Eligibility Application	Thursday, November 30, 2023
Proposers' Webinar	Thursday, December 7, 2023
Deadline to complete an application requesting a Resource Eligibility Determination in NYGATS	Wednesday, December 13, 2023
Deadline for Step One Eligibility Application Submission	Thursday, December 28, 2023 by 3:00 p.m.
NYSERDA responds with Notice of Qualification Determinations	Friday, January 5, 2024
Deadline for Bid Fee Submission	Tuesday, January 30, 2024
Deadline for Step Two Bid Proposal Submission	Wednesday, January 31, 2024 by 3:00 p.m.
NYSERDA notifies Proposers receiving Awards	Expected April 2024

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 NYSEDA's RESRFP23-1 [solicitation website](#).

1.4 Eligibility & Contractual Requirements

Information on Bid Proposal eligibility and contractual requirements is detailed in Section 2 below. This includes details regarding Tier 1 eligibility guidelines and contractual provisions made mandatory in New York State's FY 2022 enacted budget.

1.5 Bid Fee

The Step Two Bid Proposal for a Bid Facility must be accompanied by a single 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 in accord with Table 2. The submission of Alternate Bid Proposal(s) does not require multiple Bid Fee payments – Bid Fee requirements are only submitted once for the Bid Facility.

Table 2. Bid Fees by Nameplate Capacity

Nameplate Capacity (MW)	Bid Fee
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 4.2 for additional details and instructions for submitting the Bid Fee.

1.6 Proposers' Webinar and Inquiries

NYSERDA will [hold a webinar for Proposers](#) on Thursday, December 7, 2023 at 10:00 a.m. ET (Albany, NY time). During the webinar, NYSERDA will review the Step One Eligibility Application and Step Two Bid Proposal requirements, the Agreement, and highlight changes to the 2023 solicitation process.

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 NYSERDA's RES website.²⁴

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 NYSERDA during the Proposers' Webinar. All questions regarding the RFP documents or the process must be directed as indicated. 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. Questions should not be submitted to DPS Staff, or to individuals working for or on behalf of NYSERDA that are not listed as Designated Contacts.

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.

²⁴ To sign up for the Proposers' Webinar please register here: [RESRFP23-1 Proposers' Webinar](#)

1.7 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 NYSEDA's RESRFP23-1 solicitation via the solicitation website. Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news.

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 NYSEDA.

1.8 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 NYSEDA'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 NYSEDA's request under Section 1.9. These requests are for informational purposes only and will not be treated by NYSEDA as a change or revision to the submission. However, if there are any material events that affect the validity of a submission, Proposers must promptly notify NYSEDA in writing.

1.9 Requests for Additional Information and/or Interview

Following the submission of Proposals, NYSEDA and the Technical Evaluation Panel may request clarification and additional information from Proposers at any time throughout the duration of the evaluation process. Such information will be subject to protection of proprietary information as described in Section 9, consistent with other Proposal submission materials. If the Proposer does not respond promptly to such information requests or does not provide adequate information, the affected Proposal(s) will be evaluated based on the information as originally submitted.

1.10 Coordination with Non-Jurisdictional Load-Serving Entities

The Order Adopting a Clean Energy Standard provides for NYSEDA to conduct regularly scheduled solicitations for the procurement of Tier 1 RECs on behalf of the State's jurisdictional LSEs. The New York Power Authority (NYPA) and/or the Long Island Power Authority (LIPA) may choose to issue their own solicitations and/or contract with NYSEDA for a long-term commitment to purchase a percentage of the Tier 1 RECs that may be procured under this solicitation to fulfill their proportional shares of the statewide Tier 1 targets.

1.11 Coordination with NYSEDA's T4RFP21-1

On January 13, 2021, NYSEDA issued T4RFP21-1, a solicitation to procure the unbundled environmental attributes in the form of Tier 4 RECs for renewable energy delivered into New York City (NYISO Zone J) pursuant to the CES Modification Order. On November 30, 2021, NYSEDA submitted contracts with the Clean Path NY and Champlain Hudson Power Express projects to the PSC for approval and public comment. The PSC approved the contracts on April 14, 2022, subject to limited contract clarification and

similar requirements as laid out in its [Order Approving Contracts for the Purchase of Tier 4 Renewable Energy Certificates](#). The selected projects will deliver renewable energy sourced from wind, solar and hydropower to New York City. Information about the projects is available on [NYSERDA's Tier 4 website](#).²⁵

Facilities that do not have a Tier 1 agreement and are included as a component of an awarded Tier 4 proposal (or subsequently added to an awarded Tier 4 project through modification of the Tier 4 Agreement) may participate in RESRFP23-1 and/or future Tier 1 solicitations subject to Tier 1 eligibility requirements.

For facilities participating in RESRFP23-1 that are included in a Tier 4 contract, economic benefits claimed under the awarded Tier 4 proposal may also be claimed as part of a Tier 1 Bid Proposal. Should a Bid Facility be awarded under both solicitations, NYSERDA will work with the awarded Proposer to ensure that claims are not double counted under the contractual economic benefits claims (See Expected Dollars/MW definition in the Agreement).

1.12 Forced Labor Prevention

In order to ensure an ethical and sustainable supply chain for renewable energy, NYSERDA is requiring all RESRFP23-1 awardees to sign SEIA's [Forced Labor Prevention Pledge](#) (Pledge), opposing forced labor practices and heightening awareness of human rights abuses against Uighurs, an ethnic minority living in the Xinjiang region of China. Companies that sign the Pledge agree to conduct their business in an ethical manner. Proposer's will be required to evidence that they have signed the Pledge as part of their Step Two Bid Proposal submission.

²⁵ <https://www.nyseda.ny.gov/All-Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Tier-Four>

2 STEP ONE & STEP TWO COMPONENTS; ELIGIBILITY & EVALUATION

RESRFP23-1 will be implemented through a two-step process. Submissions for both steps are required for all participating Bid Facilities and must be made via the [solicitation website](#). The solicitation website will open for submissions on October 12, 2022. 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 3** 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 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 4** for detailed instructions about how to prepare and submit a Step Two Bid Proposal.

Table 3. Submission Requirements

Step One Eligibility Application	Step Two Bid Proposal
Due Date: Thursday, December 28, 2023 by 3:00 p.m.	Due Date: Wednesday, January 31, 2024 by 3:00 p.m.
<p>Requirements for Submission:</p> <ul style="list-style-type: none"> • Tier 1 eligibility certification (PSoQ or SoQ), obtained via NYGATS. • Key Proposer and Bid Facility characteristics (location, point of interconnection, capacity, <i>etc.</i>). • Executive Order No. 16 certification forms • Executive Order No. 192 certification forms 	<p>Requirements for Submission:</p> <ul style="list-style-type: none"> • Expanded project characteristics and details, interconnection and environmental mitigation cost estimates. • Binding Bid Price and Bid Quantity data. • Overview of how Bid Facility meets all Minimum Threshold Requirements • Minimum Threshold Requirements documentation (Site Control, Interconnection, <i>etc.</i>) • Expected benefits and burdens to Disadvantaged Communities. • Community Engagement Plan • Operational Flexibility and Peak Coincidence documentation (P(50) 8760, <i>etc.</i>). • If applicable, Incremental Economic Benefits claims, including identification of specific claims that will benefit Disadvantaged Communities. • Non-Disclosure Agreement • 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 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 Threshold Requirements apply only to items within the Project Viability, Operational Flexibility and Peak Coincidence (Project Viability and OpFlex) category. There are no minimum requirements for Incremental Economic Benefits to New York State.

The 30% non-price evaluation component is divided into two categories:

- 1) 20% Project Viability, Operational Flexibility and Peak Coincidence (beyond the Minimum Threshold Requirements); and
- 2) 10% Incremental Economic Benefits to New York State.

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, 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, authorities, and subject-matter experts to inform the non-price evaluation conducted by the TEP. The Bid Price evaluation will be conducted by NYSERDA.

Non-Price Minimum Threshold Requirements and determinations, and the Non-Price evaluation are detailed in Section 4. Price evaluation is detailed in Section 4.4.5.

Instructions and requirements on how to submit a Step One Eligibility Application and Step Two Bid Proposal are detailed in Sections 3 and 4, respectively.

2.1 Eligibility & Evaluation

To be eligible, a Bid Facility must be a Tier 1 RES eligible resource technology type qualifying under the updated Clean Energy Standard Tier 1 eligibility requirements outlined in the CES Modification Order and described herein.²⁷ Pursuant to the CES Framework 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 January 1, 2015, or (3) must produce new, incremental energy and Tier 1 RECs from new Bid Capacity above a historical baseline.

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-Orders-Reports-and-Filings/Filings-Orders-and-Reports>

²⁷ Proposers should note that the Climate Act definition of renewable energy systems as adopted by the CES Modification Order excludes certain resources previously eligible under the CES Framework Order, including biomass, biogas, liquid biofuels, fuel cells using natural gas and anaerobic digesters, among others, and should review the RFP and Agreement prior to commencing a request for a Provisional Statement of Qualification.

Upgrade Bid Facilities are eligible to the extent that they produce incremental generation that exceeds the Bid Facility’s historical generation levels as verified by a third-party engineering report.

The full generation produced by a Repowering Bid Facility is eligible if the Bid Facility has reached the end of its useful life (e.g., 20 years for wind and solar Bid Facilities, 50 years for hydroelectric Bid Facilities) and has met the requirements to (i) replace each prime mover,²⁸ resulting in an overall increase of 15% or more in the production of the generation unit, and (ii) make capital expenditures in excess of 80% of the Repowering Bid Facility’s tax basis (not including its property and tangible assets). Proposers are encouraged to reference Section 7.6 Repowering Project of the [New York State Clean Energy Standard RES Tier 1 Certification Submission Instructions and Eligibility Guidelines](#) to review the full scope of requirements for Tier 1-eligible Repowering Bid Facilities and the requirements for third-party engineering reports needed to demonstrate provisional Tier 1 eligibility.

Bid Facility that have not reached the end of its useful life may be eligible for a portion of its generation to be Tier 1 eligible prior to the end of the useful life based on the results of the required third-party engineering report. Prior to the end of the Bid Facility’s useful life, the percentage increase in generation attributable to the Repowering will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 eligible. See Table 4 below for an illustrative example of a Repowering Bid Facility that will be partially Tier 1 eligible prior to the end of the 20-year useful life.

Table 4. Illustrative Example of Pre-End of Useful Life Tier 1 Eligible Generation

Calendar Date	Useful Life	Original Project (Projected Generation)	Repowering Bid Facility (Projected Generation)	% Increase in Generation	Tier 1 % Applicability	Non-Tier 1 % Applicability	Tier 1 Eligibility Applicable to Generation Dates
7/1/22-6/30/23	17	762,120	914,544	20%	20%	80%	
7/1/23-6/30/24	18	744,600	914,544	23%	23%	77%	4/1/24-6/30/24
7/1/24-6/30/25	19	727,080	914,544	26%	26%	74%	7/1/24-6/30/25
7/1/25-6/30/26	20	709,560	914,544	29%	29%	71%	7/1/25-6/30/26
7/1/26-6/30/27	21	n/a	914,544	n/a	100%	0%	7/1/26-6/30/27

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 RESRFP22-1 solicitation, are not eligible under this RFP. Additionally, Proposers that are seeking or have secured funding through a separate NYSERDA incentive program (e.g., NY-Sun for solar facilities, NYSERDA funding for geothermal facilities) are not eligible to participate under this RFP.

²⁸ For purposes of this requirement, “prime mover” is defined as follows: for wind Bid Facilities, the wind turbine, including the generator, gearbox (if any), rotor and blades; and for solar PV Bid Facilities, the modules and inverters. Hydroelectric Bid Facilities are not subject to the requirement to replace the prime mover, but must meet the other Repowering eligibility requirements.

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.

2.2 Policy Regarding Tier 1 REC Agreement Termination, Contract Security and Eligibility to Submit Proposals into RESRFP23-1 and RESRFP24-1

NYSERDA's current policy regarding Tier 1 REC agreement termination, contract security and eligibility to submit proposals into RESRFP23-1 and RESRFP24-1 is described below. **Please note, the policy described herein is based on special and unique current circumstances and is not expected to apply to future solicitations and has been updated since the original policy was published on November 16, 2023.**

Eligibility and Timing of Termination: To be eligible to submit a proposal in RESRFP23-1 or RESRFP24-1, a proposer cannot have an active agreement with NYSERDA or another entity with respect to the Tier-1 RECs being offered in that solicitation at the time of submission of the Step One Eligibility Application.

For Bid Facilities that utilize the mutual termination agreement form prepared by NYSERDA described below, the Bid Facility will satisfy this eligibility criteria if (i) the mutual termination agreement form provided by NYSERDA is signed by the Seller and submitted to NYSERDA prior to submission of the Step One Eligibility Application and the only remaining condition to effectiveness is execution by NYSERDA and delivery by Seller of replacement contract security (whether in the form of a letter of credit or cash deposit) and (ii) the replacement contract security (whether in the form of a letter of credit or cash deposit) is delivered by the Seller to NYSERDA prior to submission of the Step Two Bid Proposal.

Mutual Termination Agreement: NYSERDA has prepared an updated [form of mutual termination agreement](#) released with this RFP, **which has been updated since the original version was published on November 16, 2023**, that can be utilized by eligible Sellers with a Tier-1 REC agreement in place with NYSERDA (an "Existing NYSERDA Agreement") that elect to submit proposals into RESRFP23-1 or, if ineligible for RESRFP23-1, into RESRFP24-1 (if eligible).

Only Sellers that have **not** yet issued a notice to proceed for the Bid Facility and have concluded that the Bid Facility is not economically feasible under the pricing agreed to and set forth in the Existing NYSERDA Agreement are eligible to enter into the mutual termination agreement.

For this purpose, notice to proceed is defined as a notice from Seller to its general contractor (or in the event that there is no general contractor to all material internal construction unit(s) and/or third-party contractor(s)) to proceed with the construction of the Bid Facility, at a minimum of eighty percent (80%) of the Bid Capacity, other than a limited notice to proceed only with site preparation and/or site civil work.

[Attachment I. Mutual Termination Agreement is available here](#) and includes the following key terms:

1. The contract security provided pursuant to the Existing NYSERDA Agreement (the "Posted Contract Security") will temporarily **not** be drawn by NYSERDA pending the outcome of RESRFP23-1.

2. If the same Bid Facility that was subject to the terminated Existing NYSERDA Agreement is awarded in RESRFP23-1, the Posted Contract Security will be **added** to the amount of contract security required to be posted in connection with the RESRFP23-1 award and will be drawable in accordance with the same terms and conditions that apply to such award (including the resulting Tier-1 REC agreement).
3. If the Bid Facility that was the subject of the terminated Existing NYSERDA Agreement is eligible for RESRFP23-1 but no proposal is submitted for the Bid Facility, or if a proposal for the Bid Facility is submitted into RESRFP23-1 but is not awarded, NYSERDA reserves the right to draw on the Posted Contract Security at that time.
4. Only if the Bid Facility that was the subject of the terminated Existing NYSERDA Agreement is **ineligible for RESRFP23-1** (and provides reasonably satisfactory evidence to NYSERDA of such ineligibility by the RESRFP23-1 Step Two Bid Proposal submission deadline), the terms described above will apply to such Bid Facility for RESRFP24-1.

Additional key terms not included in the version published on November 16, 2023:

5. For purposes of the Mutual Termination Agreement, a Bid Facility proposed into RESRFP23-1 or RESRFP24-1 will be considered the “same” Bid Facility if it (i) retains the same technology type (e.g., a solar project cannot be changed to a wind project), (ii) retains the same Delivery Point, and (iii) remains in materially the same physical location. Two Bid Facilities combined into a single Bid Facility will also be considered the same Bid Facility so long as the combined Bid Facility fulfills the characteristics above with respect to the two Bid Facilities as a whole.
6. If the Bid Capacity of the Bid Facility proposed into RESRFP23-1 or RESRFP24-1 is less than the Bid Capacity under the Existing NYSERDA Agreement(s), NYSERDA will draw on and permanently retain the portion of the contract security that is proportional to the percent reduction in the proposed Bid Capacity compared with the Bid Capacity under the Existing NYSERDA Agreement(s).

To ensure that any terminations of Existing NYSERDA Agreements can be processed prior to the deadline for submission of Step One Eligibility Applications to RESRFP23-1, Sellers that wish to proceed with mutual termination are requested to execute the Mutual Termination Agreement and submit it to NYSERDA no later than **Thursday, December 14, 2023**.

Updates on the land-based renewable energy project pipeline, including any contract terminations, will be available in [NYSERDA’s Large-Scale Renewables Open NY database](#) in periodic updates: the next update will be posted no later than Friday, December 8, and the following update will be posted no later than Thursday, December 28. NYSERDA is required to update Open NY at least quarterly.

2.3 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, 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.

2.4 Conformance with NYGATS Operating Rules

If awarded under RESRFP23-1, Proposers must maintain a valid NYGATS ID, obtain a Statement of Qualification, achieve Operational Certification, and operate in conformance with the [NYGATS Operating Rules](#).²⁹ 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.

For Bid Facilities located in adjacent control areas, Proposers must ensure that if awarded under a Tier 1 solicitation that the electricity associated with their RECs is (1) scheduled, transmitted, delivered, and settled in the NYISO energy market on an hourly basis, and (2) accompanied by documentation of a unit-specific contract path between the injection point in the control area of origin to the delivery point in New York.

Documentation of a unit-specific contract path must indicate the provision of transmission rights for delivering the generation via the NYISO using the North American Electric Reliability Corporation (NERC) tag fields "Sending and Receiving Control Areas," "Purchasing/Selling Entity Name," and "Number." For imported RECs to be flagged as eligible for Tier 1, projects located in an adjacent control area will need to continuously demonstrate the delivery of energy and RECs into New York State through the requirements laid out in the Final Phase 1 Implementation Plan. Tier 1 eligible energy scheduled and delivered from external control areas must be accompanied by the NERC tag information from an outside organization such as the Open Access Technology International (OATI) System identifying the importing project as the source for the scheduled and transmitted electricity into the NYISO, which NYSERDA uses to ensure that the requirements set forth in the Final Phase 1 Implementation Plan have been satisfied.

All Bid Facilities located in adjacent control areas (known as Import projects or External Bid Facilities) must apply for Provisional Eligibility and provide a sample tag. Once approved as Operational, NERC tag information must be emailed to res@nyserdera.ny.gov directly in its original unaltered form from OATI or a similar system.

2.5 Alternate Bid Proposals

Proposers may elect to submit Alternate Bid Proposals for a Bid Facility that includes a different Nameplate Capacity or inflation adjustment. Step Two Bid Proposals may contain one or more of the components that comprise an Alternate Bid Proposal. In order to submit an Alternate Bid Proposal, Proposers must indicate this election in the Step One Eligibility Application and provide a populated Attachment D. Bid Data Form with the Step Two Bid Proposal.

²⁹ [New York Generation Attribute Tracking System \(NYGATS\)](#)

2.5.1 Alternate Nameplate Capacity Bid Proposal

Bid Facility configurations representing different Nameplate Capacities may be submitted as Alternate Bids under Step Two of RESRFP23-1. Proposers electing to submit with a different Nameplate Capacity for the same Bid Facility must select the option for an Alternate Bid Proposal with a different Nameplate Capacity in the Step Two Bid Proposal. Neither a separate Step One Eligibility Application in the solicitation website or a separate PSoQ is not required, but all Bid Facility Nameplate Capacities must be equal to or less than the Nameplate Capacity associated with the evidence provided that the Bid Facility has achieved the Minimum Threshold Criteria. Proposers must enter information representing both the Base Bid and the Alternate Bid Proposal(s) with a different Nameplate Capacity in Attachment D. Bid Data Form.

2.5.2 Inflation Risk Adjusted Bid Proposal

Proposers may submit an Alternate Bid Proposal with a price structure where the Index REC Strike Price or Fixed REC Price would be subject to a one-time adjustment to reflect changes in a pre-determined price index subsequent to the Step Two Deadline for Submission of Proposals. Proposers electing to submit with an Inflation Risk Adjusted Bid Proposal must select the option for an Inflation Risk Adjusted Bid Proposal in the Step Two Bid Proposal. Additional details on this adjustment mechanism are provided in Section 5.2.1 of this RFP and in Section 5.03 of the Agreement. Proposals that include this adjustment will be evaluated using a price adder reflecting NYSERDA's inflation expectation as further described in Section 5.4 of this RFP.

2.6 Contractual Commitments

2.6.1 Prevailing Wage Requirement

In accordance with Labor Law § 224-d (2), and NYSERDA's requirements as contained in the Agreement, and unless otherwise provided in a Project Labor Agreement (PLA) covering the construction of the Bid Facility that complies with the requirements of Labor Law § 222, all laborers, workmen and mechanics (within the meaning of those terms under New York State Labor Law Article 8) performing Construction Activities with respect to the Bid Facility, including, but not limited to, the assembly, staging, installation, erection, and placement of the Bid Facility as well as those construction activities related to start-up and commissioning of the Bid Facility, 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 New York State Labor Law § 220). No less than six months prior to the commencement of Construction Activities, Seller must notify NYSERDA of its intent to commence construction activities, and in cooperation with the New York State Department of Labor, generate a prevailing wage determination for the Bid Facility, as will be updated from time to time. Unless relieved of such requirements by entering into a duly executed PLA in accordance with New York State Labor Law § 222 & 224-d(2), Seller will be responsible for complying with all prevailing wage requirements (including but not limited to reporting requirements) under New York State Labor Law §§ 220, 220-b, and 224-d. For more, see Section 18.10 of the Agreement and New York State Labor Law § 224-d.

2.6.2 Project Labor Agreement

As referenced herein, a Project Labor Agreement (PLA) refers generally to a single collective bargaining agreement (including a pre-hire agreement) covering both contractors in the construction industry working on a Bid Facility and a bona fide building and construction trade labor organization representing

the craft workers on that Bid Facility. Bid Facilities constructed under a PLA that meets the requirements of Labor Law §222 and the Agreement, specifically, Exhibit J to the Agreement, are not subject to the aforementioned prevailing wage requirements. For more, please see Sections 18.10 and 18.12 of the Agreement, Exhibit J to the Agreement, and Labor Law §§ 220, 220-b, 222 and 224-d.

2.6.3 Labor Peace Agreement

New York State Public Service Law § 66-r (3) requires that the Agreement include a stipulation that the Seller, as owner of the Bid Facility, or a third party acting on the Seller's behalf, stipulate that it will enter into a Labor Peace Agreement (LPA) where a bona fide labor organization is actively representing, or attempting to represent, employees providing operations and maintenance services for the Bid Facility. As described more fully in Section 18.13 of the Agreement, pursuant to and to the extent legally required by New York State Public Service Law § 66-r (3), the maintenance of such an LPA shall be an ongoing material condition of any continuation of payments under the Agreement.

2.6.4 U. S. Iron and Steel (Buy-American)

New York State Public Service Law (PSL) § 66-r (4) (a) (the Buy-American Act) requires public entities to include within the terms and conditions of any covered contracts a contractual requirement that "iron and structural steel used or supplied in the performance of the Contract or any subcontract thereto[,] and that is permanently incorporated into the public work, [be] produced or made in whole or substantial part in the United States, its territories or possessions." However, PSL § 66-r (4) (b) provides that the Buy-American requirement "shall not apply if the head of the department or agency constructing the public works, in his or her sole discretion, determines that the provisions would not be in the public interest, would result in unreasonable costs, or that obtaining such steel or iron in the United States would increase the cost of the contract by an unreasonable amount, or such iron or steel, including without limitation structural iron and structural steel cannot be produced or made in the United States in sufficient and reasonably available quantities and of satisfactory quality." The Buy-American Act requires the soliciting agency to make such determination in each RFP.

In the context of RESRFP23-1, NYSERDA finds that "structural" iron and steel subject to PSL §66-r includes the following components. For onshore wind, NYSERDA determined that the following were "structural" iron and steel components: (1) the tower supporting the turbine, inclusive of any platforms, transition pieces, or other similar structural elements permanently affixed to the tower ("tower"); and (2) elements incorporated into or comprising the foundation supporting the tower, including reinforcing iron or steel ("rebar"). Similarly, NYSERDA determined that the following components are operational by nature and are therefore not "structural" iron or steel components that are "permanently incorporated" into an onshore/land-based wind project, and therefore are not subject to the PSL §66-r: (1) rotor hub; (2) main shaft; (3) main frame (transition from nacelle to tower); (4) yaw system; (5) rotor blades; (6) rotor bearings; (7) gearbox; (8) generator; (9) pitch system; (10) power converter (11) transformer; (12) brake system; (13) nacelle housing; (14) electrical equipment; and (15) cables, screws, and other fasteners.

For utility-scale solar, NYSERDA determined that the following were "structural" iron and steel components: (1) the iron or steel piers, piles, or ground screws that are driven into the ground to provide support to the solar system racking; and (2) the solar system racking that is mounted to the system foundation and provides support to the solar photovoltaic modules and other electrical systems. Similarly, NYSERDA determined that the following components are operational by nature and are

therefore not “structural” iron or steel components that are “permanently incorporated” into a utility-scale solar project, and therefore are not subject to the PSL §66-r: (1) solar modules; (2) wiring; (3) trackers systems; (4) inverters; (5) transformers; (6) electrical equipment; and (7) cables, screws, nuts, bolts, clamps, and other fasteners.

In accordance with the objectives of the Buy-American Act, NYSEDA has undertaken a study to examine the implications of the Buy-American Act as applied to the Large-Scale Renewables Facilities and associated Bid Facility components anticipated to be the subject of Proposals submitted in response to this RFP (RESRFP23-1). On the basis of this study, NYSEDA has determined that due to the potential for increased costs, schedule delay, current market dynamics, manufacturer availability, and steel availability, including the requirement in RESRFP23-1 would not be in the public interest.³⁰ Requiring all structural iron or steel to be sourced domestically would not be in the public interest, as it may result in unreasonable increased costs and schedule delays. The study also examined the feasibility of contractual requirements to use domestic structural iron and steel. The study found that a contractual requirement for a reasonable minimum amount of U.S. iron and steel to be used in each Bid Facility would align with New York State’s policy goals to incentivize utilization and growth of the renewable energy supply chain, including the U.S. steel industry that supports it, and reduce embodied carbon. The study commenced for RESRFP23-1 evidenced that an increase in the minimum amount of U.S. iron and steel to be procured for each Bid Facility is warranted for this RFP, reflecting recent market dynamics including increased cost and greater domestic availability of major structural elements.

Accordingly, the President and CEO of NYSEDA hereby determines to not require all structural iron or steel to be produced in the United States for utility-scale solar PV and onshore wind energy generation systems; however, use of iron and steel that is produced in New York, and in the United States, is valued by NYSEDA. Accordingly, as a matter of procurement policy in promoting the intent of the New York Buy American Act, any onshore wind Bid Facility awarded a contract in RESRFP23-1 is required to establish that it expends a minimum of \$58,000 per MWac on iron and/or steel components that are manufactured in the U.S. with iron and steel produced by U.S. steel mills for use in the Bid Facility. Any solar Bid Facility awarded a contract in RESRFP23-1 is required to establish that it expends a minimum of \$32,000 per MWdc on iron and/or steel components that are manufactured in the U.S. with iron and steel produced by U.S. steel mills for use in the Bid Facility. The applicable minimums noted above for U.S. iron and Steel per MW of Bid Capacity will be entered in the Agreement as Expected U.S. Iron and Steel Dollars/MW. For Upgrades and Repowering Bid Facilities of utility-scale solar PV and onshore wind, the Expected U.S. Iron and Steel Dollars/MW will be determined by NYSEDA in cooperation with Proposers prior to the Step Two Bid Proposal deadline.

To the extent a Bid Facility falls short of the minimum dollar requirement determined for the project, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the Agreement.

For Bid Facilities that utilize technology other than utility-scale solar PV or onshore wind, and have yet to be constructed, NYSEDA will determine the compliance obligation in cooperation with Proposers in advance of the Step Two Bid Proposal deadline.

³⁰ For more, see Appendix 3. RESRFI22-1 Preliminary Determination Memorandum, Public Service Law (PSL) § 66-r (the New York “Buy-American” law), revised September 2022, available at <https://nyserda.ny.gov/-/media/Project/Nyserda/Files/Programs/Clean-Energy-Standard/NYSEDA-Buy-American-Supplemental-Study-Onshore-Wind-UtilityScale-Solar.pdf>

2.6.5 Disadvantaged Communities Economic Benefit Commitments

Proposers are encouraged to make elective commitments in their Step Two Bid Proposals that will commit the Proposer to a certain dollar amount of expenditures that will accrue to Disadvantaged Communities. Such commitments will be evaluated favorably and be incorporated into the Agreement as Disadvantaged Community Commitments. To the extent a Bid Facility falls short of the minimum dollar requirement set forth in the Agreement, any shortfall will be addressed through the remedy provided in Section 6.10 of the Agreement.

2.6.6 MWBE and SDVOB Economic Benefit Commitments

Proposers are also encouraged to make elective commitments in their Step Two Bid Proposals that will commit the Proposer to a certain dollar amount of expenditures per MW of nameplate capacity that will accrue to MWBE and SDVOB. Such commitments will be evaluated favorably and be incorporated into the Agreement as Expected MWBE and SDVOB Dollars/MW. To the extent a Bid Facility falls short of the minimum dollar requirement set forth in the Agreement, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the Agreement.

2.6.7 Host Community Benefit Program

In [Public Service Commission Case 20-E-0249](#), In the Matter of a Renewable Energy Facility Host Community Benefit Program, the [PSC Ordered](#) 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 will be provided by the owners of 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 Facilities 25 MW and larger sited within New York State to RESRFP23-1 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.³¹ Proposers are encouraged to include these Program Fees in their Incremental Economic Benefits submission.

³¹ PSC February 11, 2021 Order Adopting a Host Community Benefit Program, <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={DFD69D2F-A16F-404F-9A7C-283F0C79D1DB}>

3 STEP ONE ELIGIBILITY APPLICATION AND DETERMINATION

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. 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 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 NYGATS Operating Rules, 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.

Proposers are advised that the Tier 1-eligible technology types have been amended per the CES Modification Order, and include the following technologies:

Table 5. Eligible Tier 1 Technology Types

Technology	Source	Other Requirements
Solar Photovoltaics and Thermal		
On-land and offshore wind	Wind turbines	
Hydroelectric	Low-Impact Run-of-River Hydroelectric; Upgrades	No new storage impoundments; eligibility for Upgrades limited to the incremental production associated with the upgrade.
Fuel Cells	Solid Oxide Fuel Cells (SOFC) Molten Carbonate Fuel Cells (MCFC) Proton Exchange Membrane Cells (PEM) Phosphoric Acid Fuel Cells (PAFC)	Must utilize a non-fossil fuel resource, such as hydrogen (or other fuel), that has been produced using a “renewable energy system” ³² as a primary source.
Tidal/Wave/Ocean	Tidal and Ocean Wave or Current (turbines and other rotary motion devices); Ocean Thermal Pumped Storage Hydro Powered by Tidal	
Geothermal Electric		
Geothermal Ground Source Heat		

Proposers are advised that the Tier 1 eligibility requirements regarding Repowering have also been updated pursuant to the CES Modification Order, as discussed in Section 3.3.

Proposers should ensure that each proposed Bid Facility meets the Tier 1 eligibility requirements to participate in RESRFP23-1, and each Bid Facility is registered in the New York Generation Attribute

³² A system that generates electricity through use of the following technologies: solar thermal, photovoltaics, on land and offshore wind, hydroelectric, geothermal electric, geothermal ground source heat, tidal energy, wave energy, ocean thermal, and fuel cells which do not utilize a fossil fuel resource in the process of generating electricity.

Tracking System (NYGATS) as early as possible to ensure that the facility is eligible to submit a Step One Eligibility Application.

Interested Proposers may access [the Tier 1 Certification Submission Instructions and Eligibility Guidelines here](#), and are strongly encouraged to register each Bid Facility in NYGATS by following the instructions posted on the Clean Energy Standard website: [RES Tier 1 Certification](#). Interested Proposers may register their facilities in NYGATS at any time (open, rolling enrollment), including prior to the issuance of RESRFP23-1 and no later than Wednesday December 13, 2023.

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) The Step One Eligibility Application electronic form on the solicitation website providing required information about the Proposer and the Bid Facility for which the SoQ/PSoQ was granted. This will include Proposer contact information, and Bid Facility name, nameplate capacity, expected annual generation, interconnection location (e.g., NYISO Zone), host community or communities, and intended pricing structure (Fixed REC or Index REC; not binding).

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.

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, December 28, 2023**.

Incomplete Step One Eligibility Applications 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 submissions will not be accepted. 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. NYSERDA will attempt to contact any Proposers with deficient Step One Applications prior to issuing a notice that the Bid Facility is not eligible to submit Step Two Bid Proposal.

3.1 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 a 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.³³ 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 must 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 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 new Resource Eligibility Determination must be completed in NYGATS by 3:00 p.m. ET on Wednesday, December 13, 2023. This will enable NYSERDA to complete the Tier 1 eligibility determination and issue the SoQ/PSoQ 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](#).³⁴ Training materials for using NYGATS to apply for an eligibility determination may be found on the [NYGATS website](#).³⁵

3.2 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 RESRFP23-1 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@nyserdera.ny.gov with a subject line "SoQ/PSoQ Assistance."

3.3 Upgrade and Repowering Bid Facilities

Prior to the end of an existing Bid Facility's useful life (20 years for wind and solar Bid Facilities, 50 years for hydroelectric Bid Facilities), only incremental generation can qualify for Tier 1 as an Upgrade Bid

³³ See <https://www.nyserdera.ny.gov/All-Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Certification>

³⁴ <https://www.nyserdera.ny.gov/All-Programs/Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Eligibility>

³⁵ <https://www.nyserdera.ny.gov/All-Programs/Programs/NYGATS/Registration-Documents>

Facility, to the extent it exceeds the Bid Facility's historical generation levels as verified by a third-party engineering report.

After the existing Bid Facility has reached the end of its useful life, the entire capacity can be eligible as a Repowering Bid Facility if the following requirements are met:

- The Repowering must include replacement of each prime mover, and result in an overall increase of 15% or more in the production of the generation unit compared to its projected future output. For purposes of this requirement, "prime mover" is defined as follows: for wind Bid Facilities, the wind turbine, including the generator, gearbox (if any), rotor and blades; and for solar PV Bid Facilities, the modules and inverters. Hydroelectric Bid Facilities are not subject to the prime mover replacement requirement but are subject to the 15% production increase requirement.
- The Repowering must have the result that 80% of the tax basis per Generally Accepted Accounting Principles (GAAP) from the completed Repowering Bid Facility (not including its property and tangible assets) is derived from capital expenditures made on or after October 15, 2020. An independent audit and verification will be required. Certification will be required and submitted at the time of the resource eligibility determination under Tier 1 of the RES.

Additionally, Bid Facilities that have not reached the end of their useful life may be eligible for a portion of their generation to be Tier 1 eligible prior to the end of their useful life based on the results of the required third-party engineering report. Prior to the end of the Bid Facility's useful life, the percentage increase in generation attributable to the Repowering will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 eligible.

Proposers seeking to participate in RESRFP23-1 with an Upgrade or Repowering Bid Facility are strongly encouraged to contact the Large-Scale Renewables team at res@nyserda.ny.gov prior to starting a Tier 1 request in NYGATS. NYSERDA also strongly encourages submitting a Tier 1 request as soon as possible if seeking to participate in RESRFP23-1. Proposers must submit a Tier 1 request for a Provisional Statement of Qualification (PSoQ), if under development, or Statement of Qualification (SoQ), if operational. Proposers seeking to submit a Step Two Bid Proposal for an Upgrade or Repowering Bid Facility must submit a Tier 1 request for PSoQ if the upgraded or repowered actions have not yet been constructed for the Bid Facility. In Attachment E. P(50) 8760 Template that will be submitted as part of the Step Two Bid Proposal, Proposers will enter the Bid Facility's full generation profile and annual Tier 1 Upgrade Percentage to calculate estimated Tier 1 RECs. Proposers should also re-submit the historical generation data submitted with the request for PSoQ with the Step Two Bid Proposal to verify the application of the Tier 1 eligibility percentage in Attachment E.

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 both the Step One Eligibility Application and Step Two Bid Proposal to ultimately determine a Bid Facility's Bid Quantity.

Upgrade Bid Facilities require a PSoQ, not an SoQ, if the proposed Upgrade Bid Facility is not yet in operation.

To obtain a PSoQ for a project already in commercial operation planning an Upgrade, the Proposer will need to register a new provisional project and submit a request for a PSoQ for the incremental Upgrade

and associated production. The provisional Nameplate Capacity (MW-AC) entered by the Proposer should indicate the total capacity of the Bid Facility after the Upgrade. After the provisional project registration is approved, the applicant can submit a PSoQ request for the incremental production associated with the Upgrade. See Section 7.3 of the [New York State Clean Energy Standard RES Tier 1 Certification Submission Instructions and Eligibility Guidelines](#) for information on technology-specific PSoQ requirements for Upgrade Bid Facilities.

Repowering Bid Facilities require a PSoQ, not an SoQ, if the proposed Repowering Bid Facility has not yet undergone the required capital improvements to qualify as Tier 1. Proposers are advised to consult the CES Modification Order for the full requirements to qualify a repowered facility as Tier 1 eligible.

For all technologies except Hydroelectric, the Repowering must include replacement of each prime mover. The Repowering must result in an overall increase of 15% or more in the production of the generation unit compared to its projected future output. A third-party engineering report will be required to verify the projected generation through the Tier 1 certification process. The third-party engineering report must include:

- For the original project:
 - Commercial Operation date – Month/Year
 - Description of age and useful life or prime mover, equipment, and other project specific details (Nameplate Capacity in MWac, Capacity Factor, etc.)
 - Useful life end date of the original project – Month/Year
 - All available historical generation associated with the original project – MWh/year
 - If applicable, the projected generation for each year of remaining useful life of original project – MWh/year —
- For the Repowering Bid Facility:
 - Actual or anticipated Repowering Date – Month/Day/Year
 - Description of prime mover replacement, equipment, and other project specific details (Nameplate Capacity in MWac, Capacity Factor, etc.) as planned or completed
 - Projected generation for the repowered project for each year of remaining useful life (e.g., P(50) 8760, Resource Assessment and Energy Production Estimate in MWh)

The data provided in the third-party engineering report will assist NYSERDA in determining Tier 1 Eligible generation associated with Repowering Bid Facilities on a 12-month basis, starting the first of the month after the actual or anticipated Repowering date. Generation beyond what has been projected in the engineering report for each year of remaining useful life will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 Eligible.

Bid Facilities that have not reached the end of their useful life may be eligible for a portion of their generation to be Tier 1 eligible prior to the end of the useful life based on the results of the required third-party engineering report. Prior to the end of the Bid Facility's useful life, the percentage increase in generation attributable to the Repowering will be Tier 1 eligible. Once the useful life of the original project is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 Eligible. The Repowering must have the result that 80% of the GAAP tax basis from the completed Repowering Bid Facility (not including its property and tangible assets) is derived from capital expenditures made on or after the October 15, 2020 issuance of the CES Modification Order. An independent audit and verification will be required. Certification will be required and submitted at the time of the resource eligibility determination under Tier 1 of the RES. Proposers are encouraged to reference Section 7.6

Repowering Project of the [New York State Clean Energy Standard RES Tier 1 Certification Submission Instructions and Eligibility Guidelines](#) to review the full scope of requirements for Tier 1-eligible Repowering Bid Facilities and the requirements for third-party engineering reports needed to demonstrate provisional Tier 1 eligibility.

3.4 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 generation unit, 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. The entire output of a Bid Facility that does not meet the Threshold Eligibility Date (TED) requirements (i.e., was placed into service prior to January 1, 2015) can qualify as a Return to Service generation unit and be eligible for Tier 1 if the applicant can demonstrate to NYSERDA that the project has not been in commercial operation for at least 48 consecutive months prior to the return to service date noted in the PSoQ or SOQ request. The applicant must submit written documentation of the applicable dates in and out of service, such as an engineering report, formal letter, and/or data from NYISO or the local utility.

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. A relocated project is a generation project whose prime mover was used on or before the TED to generate electrical energy outside of the New York Control Area.

For a Repowering Bid Facility, the maximum contract tenor shall be the 20 years from the date at which the Repowering Bid Facility re-enters commercial operation (i.e., not 20 years following the end of the original facility's Useful Life).

Proposers should consult the [New York State Clean Energy Standard RES Tier 1 Certification Submission Instructions and Eligibility Guidelines](#) for more information and detailed requirements regarding Upgrade, Return to Service, Relocated Facility, and Repowering Bid Facilities.

Table 6 lists the Useful Life by resource for use in the calculations of Maximum Contract Tenor for this RFP.

Table 6. Default Values for Useful Life used to determine Maximum Contract Tenor

Resource	Useful Life (years)
Fuel Cell (non-fossil fuel)	20
Hydroelectric (New or Upgrade)	50
Geothermal Electric	20
Geothermal Ground Source Heat	20
Solar PV	20
Tidal/Ocean	10
Wind	20

4 STEP TWO BID PROPOSAL REQUIREMENTS AND NON-PRICE EVALUATION

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. Proposers will also be required to provide a Bid Fee payment for each Bid Facility. See Section 4.2 for additional details and instructions for submitting the Bid Fee.

Should a Proposer wish to submit a Step Two Bid Proposal which 1) modifies the Nameplate Capacity of the Bid Facility, and/or 2) utilizes the Inflation Risk Adjusted Bid Proposal mechanism, the Proposer should complete one Base Proposal and indicate in the Step Two Bid Proposal which of these two Alternate Bid Proposals they would like to submit. The Submission of Alternate Bid Proposals will require additional details to be entered in Attachment D. Bid Data Form. The submission of Alternate Bid Proposal(s) does not require multiple Bid Fee payments – only one Bid Fee is required for each Bid Facility.

Following the submission of a Step Two Bid Proposal, NYSERDA may request in-person and/or videoconference interviews with Proposers, to be scheduled at a mutually convenient time following the Step Two submission deadline.

Only those Proposers qualified through the Step One Eligibility Application process will be permitted to submit a Step Two Bid Proposal.

Under Step Two, NYSERDA will: (1) examine each Step Two Proposal to determine whether the Proposal demonstrates that the Bid Facility and Proposer meet all Minimum 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 will contact Proposers regarding any instances where it is unclear if a Minimum Threshold Requirement has been achieved and may provide the Proposer with a one-time opportunity to cure the deficiency. Proposers that submit a Step Two Bid Proposal that does not meet all the Minimum Threshold Requirements will be removed from consideration and will not be eligible for an award.

A Proposer may not condition the acceptance of one Step Two Bid Proposal based on the withdrawal or acceptance of other Proposals.³⁶ A Step Two Bid Proposal may not be contingent on the receipt of any federal tax credits or incentives.

RESRFP23-1 is a competitive procurement. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney. The CES Framework Order, subsequent Implementation Plans and 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

³⁶ NYSERDA will award at most one Bid Proposal per Bid Facility.

conditions that the Proposer wishes to clarify or negotiate prior to execution. When constructing the memorandum, please identify the Section 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.

The complete Step Two Bid Proposal package must be **received** by NYSERDA no later than **3:00 p.m. ET on Wednesday, January 31, 2024**, 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 online, 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.

NYSERDA recommends that Proposers mark materials provided to NYSERDA as Confidential as needed (see Section 9.1). 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 C. Bid Data Form.

The information and supporting documentation provided with the Step Two Bid Proposal will be evaluated by NYSERDA to determine whether the Minimum Threshold Requirements have been met and/or exceeded.

4.1 Step Two Bid Proposal Form

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. Documents required to be uploaded include:

- 1) Payment and proof of the provision of a Bid Fee, such as a receipt of transfer confirmation;
- 2) Non-Disclosure Agreement;
- 3) Binding Bid Price and Bid Quantity, submitted via Attachment D. Bid Data Form;
- 4) Step Two Bid Proposal Minimum Thresholds Narrative (Attachment F);
- 5) Supporting documentation associated with the Project Viability and OpFlex categories described in Section 4.3, including Attachment D. Bid Data Form;
- 6) Public-facing documents to be posted to NYSERDA's website following the receipt of bids, including:
 - a. Attachment B. Public Release of Bid Facility Information;
 - b. Community Engagement Plan;
- 7) If applicable, supporting documentation to substantiate claims of Incremental Economic Benefits to New York State; and

- 8) Other information required by NYSERDA as referenced in the Step Two Bid Proposal Form.

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, *etc.*).

The Proposer must identify potential fatal flaws and most critical impacts for the Bid Facility. Risks should be ranked by priority and level of impact to the Bid Facility site viability to proceed under the proposed schedule.

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 (see Section 3.44).
- 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, which is equal to the P(50) Energy Production Estimate multiplied by the annual Tier 1 eligibility percentage as determined in the PSoQ and entered in Attachment E (default value of 100% except in the case of Upgrade and Repowering Bid Facilities). In the case of Upgrade and Repowering Bid Facilities, see Section 3.3 for applicable guidelines.

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 5.1.2.

Bid Facility Interconnection Description and Preliminary Cost Estimate

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), what type(s) of real property agreement(s) or land agreement(s) the Proposer has entered to gain interconnection site control, and any rights that must be obtained by the Proposer or interconnecting utility for the interconnection. The Proposer will be required to provide a thorough description of the interconnection assumptions for the Bid Facility and the rationale that lead to the proposed point of interconnection configuration (e.g., usage of a ‘single line tap’ vs. a ‘three-breaker station’ connection POI configuration).

Proposers must provide a preliminary estimate regarding the expected cost, pursuant to the applicable OATT Interconnection Procedure, to interconnect the Bid Facility. Estimated costs should be separated into the following categories: expected costs to obtain Energy Resource Interconnection Service (“ERIS”) rights, expected costs to obtain Capacity Resource Interconnection Service (“CRIS”), and any other associated interconnection costs (e.g., Headroom payments, elective system upgrade facilities, etc.) not captured in the previous categories and total aggregate of estimated interconnection costs.

Table 7 provides average interconnection costs by project types based on a non-exhaustive sample of interconnection costs as published in publicly available NYISO studies.³⁷

Table 7. Average Interconnection Costs by Project Type

Facility Type / kV Level of POI	Sample Size	Average Nameplate Capacity (MW)	Average Interconnection Cost per MW (\$000) ³⁸
Small Generator, Local Low Voltage (13.8-46 kV)	8	19	\$103
Small Generator, Local High Voltage (69-115 kV)	23	20	\$153
Large Generator, Local High Voltage (69-115 kV)	25	101	\$124
Large Generator, Bulk Transmission (230-345 kV)	13	214	\$111
Total/ Average	69	86	\$129

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

³⁷ Costs available via <https://www.nyiso.com/regulatory-viewer>. Interconnection costs are for benchmarking purposes only- individual project interconnection costs may vary significantly from these average costs based on project- and point-of-interconnection-specific characteristics. Proposers are strongly encouraged to consult with the NYISO and connecting transmission owner (CTO) prior to estimating a Bid Facility’s interconnection costs and submitting a bid to RESRFP23-1.

³⁸ Highly variable dependent upon the project location, electrical topology (e.g., single line tap, three breaker ring bus, five breaker ring bus), and voltage level of the POI. In addition to consulting with the NYISO and CTO, additional resources including each CTO’s electrical service bulletin for the applicable generator type may be of service to Proposers.

interconnecting utility that will own the interconnection facilities, clearly explain this in the description. Proposers should 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 (including costs), and identify the closest Bulk Power Transmission Facility (BPTF) to the Bid Facility site.

Impacts on Disadvantaged Communities Description

The Proposer must provide a complete description of the benefits and burdens associated with the development of the Bid Facility on any host communities or proximate communities designated as Disadvantaged Communities.

Department of Commerce Antidumping/Countervailing Duty Investigation (if applicable)

Proposers bidding Solar Bid Proposals must describe how the U.S. Department of Commerce investigation³⁹ has affected the timing and expected costs of equipment for their Bid Facility. This description should include what equipment Solar bidders intend to use, and whether their original procurement plan has changed after the announcement of the U.S. Department of Commerce investigation and in what ways their procurement plan has changed. For the avoidance of doubt, the content of this section of the Proposal is informational only and will not affect the scoring of the Bid Proposal.

Bid Facility Project Schedule

If the Bid Facility 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 Project Schedule tab, Section VI of Attachment D. Bid Data Form.

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

All Proposers will be required to submit an executed Non-Disclosure Agreement as part of the Step Two Bid Proposal. The Non-Disclosure Agreement will be provided to eligible Step Two Proposers and will require confidentiality during any pre-award contracting discussions commenced at NYSERDA's sole discretion during the period of time between the Step Two Bid Proposal submission and award notifications. In the event that the Proposer receives an award for a Bid Facility, this Non-Disclosure Agreement will also cover the period of time between award notification and contract execution.

The Step Two Bid Proposal allows the Proposer to indicate whether the 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

³⁹ Department of Commerce, International Trade Administration, [A-570-979, C-570-980], "[Antidumping and Countervailing Duty Orders on Crystalline Silicon Photovoltaic Cells, Whether or Not Assembled Into Modules, From the People's Republic of China: Final Scope Determination and Final Affirmative Determinations of Circumvention With Respect to Cambodia, Malaysia, Thailand, and Vietnam](#)"

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 (CEII) 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.

4.2 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 Tuesday January 30, 2024** (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 Proposal 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 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, except in instances of Bid Fees submitted for late or incomplete Bid Proposal submittals which are not evaluated. Waivers will not be provided for Bid Fees. Funding received from an entity like New York Green Bank will not suffice as a Bid Fee payment. Required Bid Fee amounts are shown in Table 888 based on the highest Nameplate Capacity in megawatts (MWac) submitted for the eligible generator.⁴⁰

Table 88. Bid Fees by Nameplate Capacity

Nameplate Capacity (MWac)	Bid Fee
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_RESRFP23-1, or PROXXXXX_RESRFP23-1, or IMPXXXXX_RESRFP23-1. Bid Fees provided via electronic wire must have this unique identifier included within the Payment Details/Description. Bid

⁴⁰ 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).

Fees provided via cashier’s check must have this unique identifier clearly labeled within the Memo or elsewhere on the check.

4.3 Project Viability, Operational Flexibility and Peak Coincidence

This category is intended to reward renewable resources that are more advanced through project development, demonstrate project feasibility/a high likelihood of bringing the project to commercial operation, provide grid services that contribute to cost minimization and/or grid reliability by addressing integration issues resulting from increased penetration of intermittent renewables, better match generation to load, and dispatchable resources to balance the electric system, optimize generation dispatch, minimize operating reserve requirements, and address grid congestion and constraints.⁴¹

Using Attachment F, available on the solicitation website, the Proposer must provide narrative descriptions detailing how the Bid Facility meets and/or, if applicable, exceeds the Minimum Threshold Requirements in each applicable category as described in this section. In addition to providing narrative descriptions detailing how the Bid Proposal meets the Minimum Threshold Requirements, the Proposer should provide any additional information that supports the viability of the Bid Proposal, including, to the extent not described elsewhere in the Bid Proposal, justification for any economic or regulatory assumptions and identification of economic, permitting and/or regulatory risks and mitigation plans. Proposers should characterize their analysis of basis risk and shape risk to estimate what the Bid Facility will receive for energy revenue relative to the Reference Energy Price.

Bid Proposals that demonstrate progress exceeding the Minimum Threshold Requirements will be eligible to receive points under the 20% Project Viability, Operational Flexibility and Peak Coincidence category (Viability & OpFlex), as shown in Table 999. Points will be awarded in selected subcategories. As an example, for Interconnection, the Minimum Threshold Requirement is Facilities Study (or equivalent) in progress. Evaluation points are available to the extent that the Bid Proposal is at a more advanced step of the interconnection process such as the Facilities Study completed.

Table 99. Project Viability, Peak Coincidence and Operational Flexibility Subcategories

Subcategory	Use in Evaluation
Interconnection	Minimum Threshold and Evaluation
Permitting Viability	Minimum Threshold and Evaluation
Energy Deliverability	Minimum Threshold and Evaluation
Peak Coincidence	Minimum Threshold and Evaluation
Agricultural and Forested Land	Minimum Threshold and Evaluation
Project Development, Financing and Creditworthiness	Minimum Threshold and Evaluation
Site Control	Minimum Threshold Only
Community Engagement	Minimum Threshold Only
Resource Assessment and Energy Production Estimate	Minimum Threshold Only
Emissions and Embodied Carbon	Minimum Threshold Only
Climate Resiliency	Minimum Threshold Only

⁴¹ See the CES Final Phase 1 Implementation Plan: <https://www.nyscrda.ny.gov/-/media/Project/Nyscrda/Files/Programs/Clean-Energy-Standard/2017-03-24-Phase-1-Implementation-Plan.pdf>.

A full description of the Minimum Threshold Requirements and the considerations upon which the TEP may award evaluation points are detailed below by subcategory. The supporting documentation for each Minimum Threshold Requirement should be uploaded as attachments as described in detail below. **If a Bid Facility exceeds the Minimum Threshold Requirement in any category, documentation should be provided.**⁴²

Operating Facilities will only need to demonstrate that the Minimum Threshold Requirement for the Energy Deliverability, Peak Coincidence, Resource Assessment and Energy Production Estimate sub-categories have been met and will otherwise receive full non-price evaluation points for the remaining scored sub-categories.

4.3.1 Interconnection

Submission Requirements: The Proposer must demonstrate that the Bid Facility meets the Minimum Threshold Requirements for interconnection progress by providing a summary and other evidentiary documentation from the Interconnecting entity confirming the extent of interconnection activities. Evidentiary documentation can include:

For Bid Facilities proceeding through the FERC-jurisdictional NYISO interconnection process or an equivalent process, evidence that the Facilities Study (or equivalent) for the Bid Facility is in progress. Proposers are advised that CEII-confidential information may not be submitted to NYSERDA as part of the Step Two Bid Proposal to demonstrate that the Bid Facility has achieved the Interconnection Minimum Threshold Requirements.

Proposers must provide the anticipated interconnection cost for the Bid Facility, including utility system improvements. An estimate must be provided for each Alternate Bid Proposal associated with the Bid Facility.

If applicable and/or available, the Proposer should provide the following documents:

- Copies of associated study and/or interconnection agreements or other evidence 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 4.3.3.
- If available, a one-line diagram.

Minimum Threshold: The Proposer must have a valid, submitted Interconnection Request with NYISO or the Bid Facility's interconnecting control area or utility and have a Facilities Study (FS), or equivalent, for the Bid Facility in progress with the NYISO or equivalent system operator.

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

⁴² 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 Threshold Requirement consists of a draft SRIS/SIS 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 Threshold Requirement and will also be considered as a part of the evaluation conducted by the TEP.

proposed may be rejected.⁴³ 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.

Exceeding the Threshold: Evaluation will be based on the demonstration of progress in the relevant interconnection process beyond the Minimum Threshold Requirements, as evidenced through documentation from NYISO, Utility or other applicable interconnection authority, such as a completed Facilities Study, or evidence that an interconnection agreement (IA) has been furnished and/or executed. Bid Proposals that have advanced to more mature stages of the applicable interconnection process will be preferentially evaluated compared to earlier stage Bid Proposals.

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 preferentially evaluated by the TEP based on the reasonableness of the costs provided and modeled assumptions.

4.3.2 Permitting Viability

Submission Requirements: The Proposer must demonstrate that the Bid Facility meets the Minimum Threshold Requirements and submit other information for the Bid Facility that includes the following components:

For all Bid Facilities:

- 1) Evidence that the application for the Key Permit for the Bid Facility have been submitted and such application is either under review by, or has been issued by, the applicable jurisdictional permitting authority.
- 2) Regardless of expected permitting process and status of Key Permit, 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.
- 3) For solar Bid Facilities: 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 of solar Bid Facilities 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). All solar Bid Facilities seeking permits through the Office of Renewable Energy Siting (ORES) will be required to comply with all ORES requirements.
- 4) If applicable, include any initial review of any physical and economic impacts that the Bid Facility's development may have on Disadvantaged Communities.

If applicable and/or available, the Proposer should provide the following documents:

⁴³ The Bid Facility's Bid Capacity must be at maximum the capacity submitted with the Interconnection Request.

- 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.
- If applicable, evidence that the Lead Agency for the SEQR process has been designated.
- If available, applications for construction permit(s) and/or road use permit(s) that have been submitted to local authority(ies) with approval jurisdiction.
- If available, any applicable field studies (*e.g.*, Environmental Site Assessment⁴⁴ Phase 1, Archaeological Phase 1, Geotechnical) and surveys (*e.g.*, ALTA, topography, water bodies/wetlands, or other), and/or the status of un-started/not yet commenced 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.⁴⁵

Minimum Threshold: Proposers must provide proof that the application for the Key Permit for the Bid Facility has been submitted and such application is either under review by, or has been issued by, the applicable jurisdictional permitting authority. If the Bid Facility is not fully permitted, the Proposer must demonstrate that the Bid Facility can be fully permitted within a 12-month timeline by populating Part II of the Attachment D. Bid Data Form with the remaining permits and their anticipated date of completion.

Exceeding the Threshold: Evaluation will be based on the Bid Facility's demonstrable progress through its applicable permitting process and the completeness and credibility of the Proposer's schedule for successfully obtaining necessary permits within the proposed development schedule. Bid Facilities that are fully permitted or have secured relatively more permits needed to construct and operate, have performed more exhaustive permitting activities, and/or have greater knowledge of the Bid Facility site, its permitting requirements, and any planned and/or required mitigation activities will be preferentially evaluated by the TEP.

NYSDERDA may coordinate with the NYS DEC, acting as a specialist reviewer to inform the evaluation, under which proposals for Bid Facilities that have not yet secured their Key Permits, but are identified as having a more feasible pathway to securing all necessary permits to construct the Bid Facility may be preferentially evaluated compared to proposals that have more material challenges that have not yet been addressed with planned mitigation measures.

4.3.3 Energy Deliverability

Submission Requirements: All Proposers must submit key proposed interconnection data for the Bid Facility and a P(50) 8760 delivered energy profile consistent with the contract tenor proposed in the

⁴⁴ 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>.

⁴⁵ 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 NYS DEC 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.

form requested by NYSERDA for evaluation purposes. Proposers should indicate whether the P(50) 8760 delivered energy profile is normalized based on historical output from a given weather year.

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 2022 System and Resource Outlook Report study and outputs](#),⁴⁶ the Final Climate Action Council Scoping Plan,⁴⁷ [Appendix G. Resource Integration Technical Supplement](#),⁴⁸ 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.

Minimum Threshold: The Proposer must provide all required interconnection data as part of the Step Two Bid Proposal to enable NYSERDA to coordinate with the NYISO, Distribution Utilities, and other subject matter experts to assess each Bid Facility's estimated energy deliverability potential for the current grid and future states of the grid based on reasonable assumptions of a 70x30 electric grid. Required interconnection data to be provided via the electronic Step Two Bid Proposal form will include the Bid Facility's:

- Point of Interconnection (POI) name and voltage
- POI location, physical address (if available) and latitude/longitude
- Nameplate Capacity (MWac and MWdc)
- Expected Annual Generation (MWh) and Bid Quantity (MWh)
- Net Capacity Factor
- Maximum Net Export Capability at POI (MW)
- Assumed Operating Power Factor
- 20-year 8,760 hourly generation profile, provided via Attachment E. P(50) 8760 Template

As part of the Resource Assessment and Energy Production Estimate submitted with the Step Two Bid Proposal, any generation bid to NYSERDA under Step Two of RESRFP23-1 must be substantiated by the Proposer as deliverable. Proposers are encouraged to review the [Utilities' Revised Headroom Calculations](#), filed in NYPSC Case No. 20-E-0197 on August 1, 2023.⁴⁹

Exceeding the Threshold: In this category, the TEP will evaluate Bid Proposals based on the benefits afforded and risks avoided to the electric grid by the proposed Bid Facility 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 (e.g., Bid Quantity as proposed to NYSERDA) to the electrical system without adversely impacting

⁴⁶ See the meeting materials for NYISO's Electric System Planning Working Group at <https://www.nyiso.com/espwg>.

⁴⁷ <https://climate.ny.gov/Our-Climate-Act/Draft-Scoping-Plan>

⁴⁸ <https://climate.ny.gov/-/media/Project/Climate/Files/Draft-Scoping-Plan-Appendix-G-Integration-Analysis-Technical-Supplement.pdf>

⁴⁹ <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={7031B289-0000-C33E-8330-2AE34FC790A0}>

the generation of large-scale renewable projects currently operating, at an advanced stage of development (i.e., meets the NYISO inclusion rules per the NYISO Reliability Planning Process), and/or under contract to deliver energy for end use in New York State.

Proposers should familiarize themselves with NYISO's proposed energy deliverability metric that has been approved by FERC in tariff updates to enhance the Economic Planning Process. The energy deliverability metric "will provide information about the ability of each Resources, individually and taken collectively with other Resources, to be able to deliver its fully energy capability to the system and the degree of, and the conditions that are expected to lead to, any curtailment thereof."⁵⁰

In consultation with subject matter experts, NYSERDA and the TEP will evaluate Bid Proposals based on the estimated benefits to the grid and future estimated energy deliverability potential based on reasonable assumptions of a 70x30 electric grid. Bid Facilities that will interconnect to the electric grid in areas where congestion and curtailment is less likely to occur will be preferentially evaluated compared to 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. The TEP may also consider interconnection studies and/or any 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, at an advanced stage of development (i.e., meets the NYISO inclusion rules per the NYISO Reliability Planning Process), 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 may be assessed in part based on current conditions and in part based on forecasted grid limitations that may materialize for future states of the grid. NYSERDA may coordinate with NYISO, the distribution/transmission owners, and/or third parties to employ relevant analyses to estimate potential congestion and curtailment impacts resultant from the portfolio of bids submitted to RESRFP23-1. These analyses may also inform the decision to employ Portfolio Risk Factors authorized under the CES Modification Order (See Section 6.2).

Proposers are 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 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. Bid Facilities that can exhibit to NYSERDA that the project is energy-deliverable under clear and reasonable assumptions may be preferentially evaluated by the TEP.

Proposers are also 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 [New York Power Grid Study](#), inclusive of Distribution and Local Capital Plans and a Bulk Transmission Investment Plan, the

⁵⁰See NYISO tariff section 31.3.1.3.5.7 as filed and approved in FERC Docket No. ER21-1074-000.

[System & Resource Outlook study](#) and outputs,⁵¹ 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 available data and modelling assumptions available for evaluation purposes to assess energy deliverability. 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 (AREGCBA).⁵²

Bid Facilities located outside of the NYCA or NYISO Market Zone (External Facilities) are not eligible for evaluation in this category.

4.3.4 Peak Coincidence

Submission Requirements: See Energy Deliverability submission requirements in Section 4.3.1.

Minimum Threshold: The Proposer must provide all required interconnection data as part of the Step Two Bid Proposal as noted for the Energy Deliverability Minimum Threshold Requirements.

Exceeding the Threshold: The TEP will evaluate Bid Proposals based on how closely the Bid Facility's expected generation profile matches future estimates of NYISO load net of the portfolio of already operating and contracted, under development renewable and zero-emissions generation in New York State. Future expected load shapes (e.g., 2030, 2040) for evaluation purposes will be based on the most recent available NYISO Resource & System Outlook Study. Bid Facilities that complement the existing portfolio of operating/under development projects more significantly will be preferentially evaluated compared to Bid Facilities that do not afford the same level of complementary generation compared to future load.

4.3.5 Agricultural and Forested Land

Submission Requirements: Proposers must include a description in their Bid Proposal of any agricultural land that the planned project footprint of their Bid Facility is sited on. This description should include owned, rented, or leased farmland. Proposers must also include a description of any recent agricultural activity occurring on the planned project footprint in the five years prior to the release of RESRFP23-1.

Proposers of Solar facilities must complete and submit the NYSERDA Agricultural Mitigation Payment Estimate Calculator, which will calculate the estimated mitigation payment required for the Bid Facility based on the Facility Area overlap with MSG 1-4. An Agricultural Mitigation Payment will not be required if the Facility Area of the as-built Bid Facility overlap with MSG 1-4 is less than 30 acres.

Proposers of Solar facilities must also complete and submit the [Appendix 2. RESRFP23-1 Smart Solar Siting Scorecard](#), which will score projects based on their expected impacts to active agricultural land

⁵¹ The System & Resource Outlook study is the new name for the CARIS Phase 1 study under the proposed changes to NYISO's Economic Planning Process.

⁵² 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>

and Mineral Soil Groups 1 through 4 (MSG 1-4) and additional measures. NYSERDA is not intending to use the Scorecard as a screening tool to preclude Proposers from receiving a NYSERDA award based on agricultural impacts, nor contractually require avoidance and/or minimization measures submitted via the Scorecard, however NYSERDA will make the Scorecards for awarded projects publicly available such that the applicable permitting body may reference the Scorecard as part of the permitting process for the project.

Projects that include co-utilization measures will be viewed favorably in proposal evaluation. Proposers that intend to pursue such agricultural co-utilization are required to (1) describe such agricultural co-utilization in their Scorecard, and (2) submit a completed Agricultural Mitigation Payment Deferral Request Form with their Step Two Bid Proposal. For more details on agricultural co-utilization practices, deferred Agricultural Mitigation Payment requirements, and agricultural co-utilization plans, please see the Scorecard and Section 6.11 of the Agreement.

Minimum Threshold: Proposers must include in their Bid Proposal a description of any agricultural land that the planned project footprint of their Bid Facility is sited on. This description should include owned, rented, or leased farmland. Proposers will also include a description of any recent agricultural activity occurring on the planned project footprint in the five years prior to the release of RESRFP23-1. Non-Solar Bid Facilities will be awarded full points for the Agricultural and Forested Land category.

Proposers of Solar facilities will be required to complete and submit the Appendix 2 RESRFP23-1 Smart Solar Siting Scorecard, which will allow NYSERDA to score Bid Proposals based on the Bid Facilities expected impacts to active agricultural land and Mineral Soil Groups 1 through 4 (MSG 1-4), forested land, and additional measures. NYSERDA is not intending to use the Scorecard as a screening tool to preclude Proposers from receiving a NYSERDA award based on agricultural impacts, nor contractually require avoidance and/or mitigation measures submitted via the Scorecard, however NYSERDA may make the Scorecards for awarded projects publicly available such that the applicable permitting body may reference the Scorecard as part of the permitting process for the Bid Facility.

For solar Bid Facilities inclusive of parcels located in a New York State Agricultural District, Proposers are also required to provide preliminary information to estimate an Agricultural Mitigation Payment based on the Bid Facility impacts described in the Scorecard.

NYSERDA will allow Proposers to request deferral and reduction or elimination of an otherwise applicable Agricultural Mitigation Payment requirement if the Proposer is awarded under this RESRFP23-1 and elects to incorporate active agricultural uses into the operation of the Bid Facility in accordance with Section 6.11 of the Agreement and this RESRFP23-1. Regardless of Proposers' intent to submit an Agricultural Mitigation Payment Deferral Request Form, any Proposers that intend to pursue such agricultural co-utilization will be required to (1) describe such agricultural co-utilization in their submitted Scorecard, and (2) if applicable, submit a completed Agricultural Mitigation Payment Deferral Request Form (Attachment H to RESRFP23-1) with their Step Two Bid Proposal. For more details on agricultural co-utilization practices, deferred Agricultural Mitigation Payment requirements, and agricultural co-utilization plans, please see the Scorecard and Section 6.11 of the Agreement.

Exceeding the Threshold: Proposed Bid Facilities will be evaluated based on their verified Scorecard total score, with respect to expected impacts to active agricultural land, Mineral Soil Groups 1 through 4 (MSG 1-4), and forested lands, as well as any avoidance, mitigation, and/or co-utilization measures that the Proposer is willing to commit to in their Step Two Bid Proposal. Projects that commit to co-

utilization measures in their Scorecard, and Agricultural Mitigation Payment Deferral Request Form will be preferentially evaluated by the TEP. Project sites that demonstrate extensive forested land conversions as part of pre-development, such as clearing a portion of the proposed Facility Area while under site control prior to obtaining the appropriate permits, may be viewed less favorably in evaluation.

4.3.6 Project Development, Financing and Creditworthiness

Submission Requirements: The Proposer must demonstrate it meets the Minimum Threshold Requirements for Project Development, Financing and Creditworthiness 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 and financial arrangements to the Proposer’s parent company or affiliate.
- A management chart that lists the key personnel dedicated to the Bid Facility.
- A list of up to 15 specific projects successfully developed and/or financed, specifying the nameplate capacity, technology,⁵³ commercial operation date, and location using Attachment D. Bid Data Form, including the largest project developed and the largest project developed in New York State using the same technology.
- A Financing Plan that demonstrates the financial capability to complete construction by the proposed commercial operation date. The Financing Plan should be limited to 25 pages and 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 total capital expenditures for the Bid Facility, including to the extent

⁵³ Resource and prime mover, *e.g.*, solar or wind. Not meant to distinguish between different solar technologies, for example.

- possible the anticipated capital expenditures for:
- Solar Bid Facilities: photovoltaic modules, inverters, racks and mounting hardware, electrical collection system / transformers;
 - Wind Bid Facilities: turbines and towers / foundations;
 - All Bid Facilities: site acquisition, substation / switchyard construction, transportation / delivery, installation / labor costs, site survey and civil work, tree clearing costs, agricultural mitigation and any other installation costs;
- The total anticipated Engineering, Procurement and Construction cost for the Bid Facility;
 - For solar Bid Facilities, the module unit price assumption, whether panels have been procured and how the Proposer plans to provide the panels at the pricing assumed;
 - Inflation rate assumptions, if not an inflation-adjusted Bid Proposal;
 - 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;
 - Information concerning the Proposer's (and other equity partners) financial condition and evidence of creditworthiness; and
 - 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 should provide the following Financial statements, if applicable and available, 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.
- A declaration of intent to use the Production Tax Credit (PTC) or Investment Tax Credit (ITC) and any available adders made available as part of the Inflation Reduction Act of 2022. Proposers should include their assumption of the percentage of their energy production or project costs that will be compensated under the PTC or ITC and how the Bid Facility will qualify for the PTC or ITC.

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.

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.

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 including construction and term financing. **Error! Reference source not found.** Proposers should include a description of their intention to own and operate the Bid Facility, or if the Proposers intends to sell the Bid Facility to another party.

Proposers must declare whether and to what extent they intend to utilize Production Tax Credit (PTC) or Investment Tax Credit (ITC) as part of their project financing. Proposers should include their assumption of the percentage of their energy production or project costs that will be compensated under the PTC or ITC, including any expanded tax credit eligibility afforded under the Inflation Reduction Act of 2022.

Exceeding the Threshold: Evaluation will be based on the relative level of project development and financing experience demonstrated, particularly with respect to facilities of comparable scale⁵⁴ and similar technology⁵⁵ and location.⁵⁶ Proposals for Bid Facilities that are similar to those projects provided and successfully brought to commercial operation by the Proposer will be preferentially evaluated by the TEP. Aggregated portfolios of generation facilities will not be considered as a “project” under this category. Proposers with relatively higher credit ratings or with relatively more assets (or higher asset/debt ratio) will be preferentially evaluated by the TEP.

4.3.7 Site Control

Submission Requirements: The Proposer must provide the following documents:

- Detailed map of site plan/layout indicating the project and parcel boundaries, to scale, with parcel designation by owner. At a minimum, the map should include the preliminary layout of the Bid Facility within the parcel boundaries, including the major generating equipment and limits of disturbance. 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.
- Fully populated Description of Control Status by Parcel with parcel designation within Attachment D. Bid Data Form, aligned with the submitted site map. Proposers are encouraged to carefully read all instructions contained within Attachment D.
- For solar Bid Facilities, a GIS Data Mapping Files capturing the Bid Facility parcel boundaries, the Bid Facility Area boundary, and the Bid Facility array footprint, and if applicable, the preliminary proposed site layout for any agricultural co-utilization measures.

For all Bid Facilities, the Proposer must also provide a GIS Data Mapping File. Applications that do not provide complete GIS files for the Bid Facility will be deemed incomplete. The GIS data file must be in .shp or .kmz format, and .shp files are preferred. Please provide one file or separate and distinct files for each of the following:

- The parcel boundaries that the Bid Facility will occupy;
- The Bid Facility Area boundary/impact area; and
- The Bid Facility array footprint (solar), Bid Facility site plan (other technologies).

If applicable and/or available, the Proposer should also provide the following documents:

- If available, a more detailed 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.*).

⁵⁴ Comparable scale is 50% or more of the proposed capacity.

⁵⁵ Similar technology is the same resource and prime mover, *e.g.*, solar, wind. It is not meant to distinguish between different solar technologies, for example.

⁵⁶ Similar location is the same interconnecting entity.

- If available, GIS data containing the parcel boundaries that the project will occupy (SHP file preferred, KML/KMZ files permitted).

Minimum Threshold for Generation Facility: 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.

Minimum Threshold for Interconnection Right of Way: 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.

4.3.8 Community Engagement

The public and local governments play an important role in the process of evaluating and advancing renewable energy project 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 learning more about the project's development.

Submission Requirements: 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 RESRFP23-1. 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 applicable stakeholders at the local level.

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, limited to 25 pages, including planned engagement activities associated with the Bid Facility 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 Climate Act 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. 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.

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 RESRFP23-1. Proposers will also be responsible for submitting a complete Community Engagement Plan as described above to be publicly posted following the receipt of Step Two Bid Proposal packages.

4.3.9 Resource Assessment and Energy Production Estimate

Submission Requirements: 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. The Proposer will be required to detail the full extent of the curtailment assessments performed to demonstrate the deliverability of the Bid Facility and clarify explicitly what the curtailment and degradation assumptions are for the equipment proposed for the Bid Facility.

Detailed instructions regarding the supporting documentation required to meet the Minimum Threshold Requirements for a Resource Assessment and Energy Production Estimates, by technology, are provided in Appendix 1.

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 must estimate the Bid Facility’s ability to convert the renewable resource to electric power at the P(50)⁵⁷ 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, as proposed to NYSERDA. The Bid Quantity may not exceed the P(50) long-term Energy Production Estimate. The Resource Assessment and Energy Production Estimate must detail the full extent of the curtailment assessments performed to demonstrate the deliverability of the Bid Facility and clarify explicitly what the degradation assumptions are for the equipment proposed for the Bid Facility. System loss factors must be detailed, and include auxiliary and parasitic loss, availability loss, curtailment, and operational loss due to Utility or Transmission Operator requirements (e.g., deliverability limitations, VAR/Power Factor support, or other losses) and grid-mandated curtailments due to congestion or emergency. If applicable, the expected efficiency as a result of bifacial panels must be detailed.

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.

4.3.10 Carbon Emissions and Embodied Carbon

Submission Requirements: The Proposer should describe the efforts that have or can be undertaken to understand the “embodied carbon” impact of renewable development and minimize the Bid Facility’s embodied carbon intensity. To the extent discernable at the current stage of development, Proposers

⁵⁷ 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.

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, 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.

Minimum Threshold: Proposers must describe how the Bid Facility will actively support the outcomes envisioned by the Climate Act, including a description of the efforts that have or can be undertaken, 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 Bid Facility. 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.

The Proposer should also propose the methodology by which such reduction activities will be considered and integrated into the Bid Facility's design as the project evolves. Proposers should describe and explain the proposed process by which the Proposer will 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, 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 project component equipment recycling and/or carbon mitigation efforts in collaboration with New York State manufacturing sources.

The evaluation will not consider avoided emissions associated with the Bid Facility itself.

4.3.11 Climate Resiliency

Submission Requirements: The Proposer should describe the efforts that have or can be undertaken to understand the climate resiliency of the Bid Facility and minimize the Bid Facility's risk of being impacted by climate impacts. To the extent possible, Proposers should include additional detail on cascading impacts as a result of a climate event and a change management strategy in the event that climate science evolves over the course of project development.

Minimum Threshold: Proposers will demonstrate how the impacts of climate change have been considered and incorporated into the reliability (the extent to which the system provides output and avoids temporary disruptions) and expected performance (ability of the system to provide expected output of energy over its useful life) of the Bid Facility.

- **Reliability:** The Proposer must explain how climate change adaptation and resilience is incorporated into the Bid Facility's siting, design, technology selection, construction, and operation. The Proposer must identify the Bid Facility's climate hazard exposure and clearly describe the adaptation and resilience measures that will be incorporated to mitigate risk.

- **Performance:** The Proposer will identify anticipated impact, if any, on the Bid Facility's performance (energy output) that may result from climate impacts projected to occur within the Bid Facility's useful life (for example, potential reduction in solar efficiency during anticipated increased number of heat waves and higher ambient temperatures in 2040). Proposers should identify how this anticipated impact on the Bid Facility's performance has been incorporated into the Resource Assessment and Energy Production Estimate. Proposers will demonstrate how the Bid Facility will maintain expected performance over the full useful life and identify, as needed, the design or operational measures incorporated beyond current codes and standards to achieve this performance.

The level of exposure to climate hazards will be project specific. Main climate hazards in NYS include extreme storms including hail, sea level rise, extreme heat and cold, increased temperature, and increased rainfall. Proposers can reference existing resources for climate risk and resiliency assessment and adaptation, including NYSERDA's Responding to Climate Change in New York State (ClimAID), NYS DEC Flood Risk Management Guidance, NYS DOH Heat Vulnerability Index, NYS Future Coastal Floodplain Mapper, Northeast Regional Climate Center intensity-duration-frequency curves for heavy precipitation, Columbia's Hudson River Flood Map, NYSIO's Climate Change Impact and Resilience Study and others.

4.3.12 Non-Viability Determination

The CES Modification Order authorizes NYSERDA to reject a Bid Proposal based upon a unanimous determination by the TEP that the project is not presently viable. If a Bid Proposal is rejected based on the evaluation of viability, NYSERDA will notify the Proposer of the determination following the submission of the Step Two Bid Proposal and the receipt of responses to any clarifying questions and provide an explanation. Proposers with Bid Proposals that are rejected in this manner will remain eligible to re-apply in future RES solicitations and will be evaluated again without prejudice. Reasons for a determination of non-viability may include:

- 1) The Bid Proposal is immature to such an extent that it would be impossible to ascertain whether it is viable;
- 2) The Bid Proposal is predicated on unrealistic economic or regulatory assumptions; or
- 3) The Bid Proposal is subject to serious economic, permitting and/or or regulatory risks without a sufficient mitigation plan.

Examples of why a Bid Proposal could be determined to be non-viable include, but are not limited to, failing to meet one or more Minimum Threshold Requirements, a Bid Facility at an early stage of development with a Bid Price that is determined to be insufficient to cover project costs, an unfounded interconnection or permitting mitigation cost estimate and/or a materially high risk of not receiving permits due to the Bid Facility's site impact on natural resources.

NYSERDA may seek additional information from any Proposers deemed to have submitted a non-viable Bid Proposal prior to removing the Bid Proposal for consideration. Non-viability determinations will only be recommended for a clear, objective case that the Bid Facility is non-viable based upon the consensus of NYSERDA, TEP, and Specialist Reviewers' assessment of the Bid Facility. If NYSERDA raises a potential non-viability concern for a Bid Facility, the Proposer will be given the opportunity to respond. The time to respond will depend on the nature of the potential non-viability determination but will not be less than five business days.

4.4 Incremental Economic Benefits to New York State Including Disadvantaged Communities

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 after the Release Date of the first CES RFP, June 2, 2017, and (2) would not have accrued but for the issuance of the CES solicitations or award of a contract under this RFP.

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 two categories:

- 1) Long-Term Economic Benefits to New York State; and
- 2) Short-Term Economic Benefits to New York State.

The TEP will award a maximum of 10 points between the two sub-categories. Within each category, points will be awarded 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). Only direct Incremental Economic Benefits within these categories, 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.

Claims associated with MWBE and SDVOB will receive greater weight in scoring. Claims associated with Disadvantaged Communities will also receive greater weight in scoring, particularly to the extent that they are included in the Disadvantaged Community Commitments recorded in Section 6.10 of the Agreement.

All other New York Economic Benefits will receive a baseline scoring weight (total value of eligible claims, normalized by dividing each Bid Facility's eligible claims by that Bid Facility's Bid Capacity (\$/MW)). If a specific claim falls under multiple criteria, such as a MWBE/SDVOB claim benefitting a Disadvantaged Community or a MWBE/SDVOB claim occurring after the third year of the Contract Delivery Term, both weights will be applied.

For this RFP, as discussed in Section 2.6.4, NYSERDA requires a minimum value of iron or steel purchased for the Bid Facility to be manufactured in the United States. The amount of Expected U.S. Iron and Steel Dollars that will be entered in the Agreement will be calculated based on the minimum value per MW of Offer Capacity that corresponds to the Bid Facility technology type: \$58,000/MWac for onshore wind and \$32,000/MWdc for solar. For Upgrades and Repowering Bid Facilities of utility-scale solar PV and onshore wind, the Expected U.S. Iron and Steel Dollars/MW will be determined by NYSERDA in cooperation with Proposers prior to the Step Two Bid Proposal deadline. For Bid Facilities that utilize technology other than utility-scale solar PV or onshore wind, and have yet to be constructed, NYSERDA will determine the compliance obligation in cooperation with Proposers in advance of the Step Two Bid Proposal deadline.

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 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.

Proposers are encouraged to work with the AHJs hosting the Bid Facility to determine if there are economic benefits opportunities that could be uniquely afforded to the town/city/county/school district/census tract.

Proposers interested in exploring new opportunities for investments/commitments to local economic and workforce development benefits are also encouraged to consult with the New York State Empire State Development (ESD) Cleantech and Renewable Energy program, which may provide other resources and information as to potential opportunities in the Proposers' region of interest. Interested Proposers are encouraged to reach out directly to ESD at: CleanTech@esd.ny.gov.

4.4.1 Disadvantaged Communities

Through this solicitation, NYSERDA seeks to actively support investments that will provide benefits to and reduce burdens on Disadvantaged Communities, in accordance with the 2020 CES Modification Order. Proposers and their contractors/sub-contractors/other partners are strongly encouraged to pursue sourcing of laborers, workmen, mechanics, and operations and maintenance workers from Disadvantaged Communities throughout New York State as defined by the Climate Action Council in accordance with the Climate Act.⁵⁸ Only incremental economic benefits to Disadvantaged Communities that meet the final Disadvantaged Communities criteria set by the Climate Justice Working Group will be eligible for RESRFP23-1.

All Proposers are required to fully detail the benefits and burdens associated with the impacts of the Bid Facility's development on any hosting and/or proximate Disadvantaged Communities, as identified through engagement with Disadvantaged Communities, and in accordance with the most recent relevant guidance per the [Climate Justice Working Group](#). Benefits of Bid Facility development may include establishment of education and training opportunities, the hiring of residents from Disadvantaged Communities, or other investments identified as priorities for the community.

It is incumbent upon Proposers to clearly identify which Economic Benefits claims and to what extent the benefits will be realized by Disadvantaged Communities, how these claims meet the criteria for Disadvantaged Communities, and how the Proposer will substantiate that any Incremental Economic Benefits claimed as being directed to Disadvantaged Communities have accrued to those communities via interim reporting requirements and a final audit of the Proposers' Incremental Economic Benefits claims following the third of year of commercial operation of the Bid Facility. Commitments made by Proposers to benefit Disadvantaged Communities will be incorporated into the Agreement for awarded Proposers. See Section 6.10 of the Agreement. Proposers are also strongly encouraged to work with their development partners, including NYSERDA and the NYS Department of Labor, to prioritize the hiring of laborers, working persons, mechanics, other specialized labor, and long-term operations and maintenance staff from Disadvantaged Communities.

⁵⁸ The Climate Act directs the [Climate Justice Working Group](#) (CJWG) to establish criteria for defining Disadvantaged Communities. On March 27, 2023, the CJWG voted to finalize Disadvantaged Communities criteria. Additional resources for identifying Disadvantaged Communities are located on the [New York Climate Act website](#).

Proposers are also encouraged to consult the following resources maintained by NYSERDA, the New York State Department of Labor (DOL), and other entities in New York State that are actively supporting the development and sourcing of trained workforce participants (including laborers, workmen, mechanics, electricians, and operations and maintenance workers) from Disadvantaged Communities.

- NYSERDA [On-the-Job Training \(OJT\) program](#) for clean technology businesses seeking to recruit new hires.
 - Browse [examples of previously supported training projects](#), including multiple partnerships that have trained workers from Disadvantaged Communities to prepare the clean energy workforce.
 - For questions, contact PONOJT@nyserda.ny.gov
- [NYSERDA Clean Energy Training Services](#) is available to contractors seeking to provide targeted training and workforce development resources.
 - For questions, contact wfinfo@nyserda.ny.gov
- [NYSERDA Internship & Pre-Apprenticeship Program](#)
- [DOL Apprenticeship Program](#)
 - For questions, contact the appropriate [local apprenticeship representative](#) or contact ATCO@labor.ny.gov
- [DOL Career Center Events & Recruitment program](#) also supports regularly scheduled job fairs where employers can actively source workforce participants from Disadvantaged Communities.

The TEP will preferentially evaluate Bid Proposals that demonstrate that the associated Incremental Economic Benefits to New York State will be realized in part or in full by Disadvantaged Communities. Proposers that commit to directing economic benefits to Disadvantaged Communities will be materially preferred during the evaluation of Incremental Economic Benefits.

4.4.2 MWBE and SDVOB

Proposers and their contractors/sub-contractors/other partners are strongly encouraged to pursue partnership with MWBE and SDVOB. Proposers are required to state the amount of Incremental Economic Benefits that will accrue to MWBE and SDVDB contractors and subcontractors in Categories 1 and 2. It is incumbent upon Proposers to clearly identify which Economic Benefits claims and to what extent the benefits will accrue to MWBE and SDVOB and how the Proposer will substantiate that any Incremental Economic Benefits claimed as being directed to MWBE and SDVOB have accrued to those entities via interim reporting requirements and a final audit of the Proposers' Incremental Economic Benefits claims following the third year of commercial operation of the Bid Facility.

The TEP will preferentially evaluate Bid Proposals that demonstrate that the associated Incremental Economic Benefits to New York State will be realized in part or in full by New York State certified MWBE and SDVOBs⁵⁹ in the renewable energy industry and clean energy economy. Commitments made by Proposers to benefit MWBE and SDVOB will be incorporated into the Agreement. See Sections 5.02 (f) and 18.14 of the Agreement.

In evaluating proposals, the TEP will favorably consider programs that invest in the development of local businesses and provide quantifiable metrics to assess the Proposer's capacity building efforts, including

⁵⁹ Businesses certified by entities other than New York State will not warrant preferential evaluation.

number and value of contracts completed, number of employees, wages/salaries paid, increase in trade specialties, customer base, and increased revenue.

4.4.3 Long-Term Economic Benefits to New York State (Category 1)

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;
 - Employment of workers from Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits. All Proposers siting projects in or near Disadvantaged Communities are strongly encouraged to explore what employment resources are available to establish targeted hiring practices to support residents of Disadvantaged Communities.
- 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;
 - New or increased tax payments and/or PILOT agreements that will clearly benefit Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits.
 - A percentage of new or increased tax payments and/or PILOT agreement payments will be credited in evaluation as providing incremental economic benefits to Disadvantaged Communities in proportion to the percentage of land parcels located in Disadvantaged Communities.
- 5) Host community payments, Community Benefits agreements (separate from PILOT or Host Community Benefit utility bill credit 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.*);
 - Programs established in host towns or proximate communities to specifically direct benefits to Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits.
- 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/census tract.

4.4.4 Short-Term Economic Benefits to New York State (Category 2)

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) Other funding that will directly benefit the host community for less than three years, such as Proposer-funded projects that will not be linked to the Bid Facility (*e.g.*, a renewable energy career fair, sponsorship of a community event, etc.);
 - Programs established in host towns or proximate communities to specifically direct benefits to Disadvantaged Communities will be given materially greater weighting in evaluation of short-term benefits.
- 6) 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.

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/census tract.

4.4.5 Independent Audit and Verification of Incremental Economic Benefits

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 Dollars/MW, 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.

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.⁶⁰

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 of a certain Bid Capacity and a Bid Proposal for the same Bid Facility with a different Bid Capacity, the two Step Two Bid Proposals may employ different pricing structures, either fixed or index.

NYSDA cannot adjust the binding Fixed or Index REC Bid Price submitted by awarded Proposers. 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:

$$\text{Monthly REC Price} = SP^{\text{Index}} - REP - (RCP \times MF)$$

where:

⁶⁰ See Section 3.4.

SP^{Index} = Index REC Strike Price (\$/MWh)

REP = Reference Energy Price (\$/MWh)

RCP = Reference Capacity Price (\$/MWh)

MF = Mitigation Factor (%), defined in Section 4.01 of the Agreement

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's Delivery Point is physically located.⁶¹ 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.⁶² 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:⁶³

$$RCP = \frac{RUP \times IC \times 1,000 \times CAF}{\text{Total RECs} \times BQP}$$

where:

RUP = Reference UCAP Price (\$/kW-month) described in Section 4.01(a).

⁶¹ 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>.

⁶² 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.

⁶³ Because the Relative UCAP Production Factor (rUPF) value will be set to 1 for the duration of the contract tenor, no reference to the rUPF is needed.

IC = Installed Capacity (MW)

Total RECs = Total amount of Tier-1 RECs produced by the Bid Facility in the subject month.

BQP = Bid Quantity Percentage

1,000 = kW to MW conversion factor

CAF = Capacity Accreditation Factor for the Selected Project's CARC⁶⁴

5.2 Pricing for Alternate Bid Proposals

5.2.1 Inflation Risk Adjusted Bid Proposal

For Alternate Bid Proposals in which Proposers opt to include an Inflation Adjusted Bid Proposal, the Index REC Strike Price or Fixed REC Price will be adjusted to account for inflation between the Bid Proposal Submission Deadline and the commencement of Construction Activities related to the Bid Facility. This adjustment, governed by the formula below and Exhibit L of the Agreement, will be based on the PPI All Commodities index.⁶⁵ The Index REC Strike Price or Fixed REC Price for the Inflation Adjusted Bid Proposal will be calculated as:

$$REC_{adj} = REC_{bid} \times \left(0.25 + 0.75 \times \frac{Index_T}{Index_B} \right)$$

where:

REC_{adj} is the Index REC Strike Price or Fixed REC Price after inflation adjustment

REC_{bid} is the Index REC Strike Price or Fixed REC Price as submitted with the Bid Proposal

$Index_B$ is the value of the PPI All Commodities index established and published by NYSERDA prior to the Bid Proposal Submission Deadline

$Index_T$ is the value of the PPI All Commodities index established at the commencement of Construction Activities

0.75 is the share of the Index REC Strike Price or Fixed REC Price to which the inflation adjustment will be applied. The remainder of the Index REC Strike Price or Fixed REC Price (25%) will not be adjusted.

⁶⁴ For Upgrade Bid Facilities and Repowering Bid Facilities, the total amount of Tier-1 RECs produced by the Bid Facility, as used in this instance, is adjusted to reflect the Actual Eligible Production.

⁶⁵ U.S. Bureau of Labor and Statistics (<https://www.bls.gov/data/>), Series ID WPU00000000, PPI Commodity data for All commodities, not seasonally adjusted.

$Index_B$ will be the average of the last six months or two quarters of published data available prior to the Bid Proposal Submission Deadline, which will be published by NYSERDA at least 15 business days prior to the Bid Proposal Submission Deadline. For informational purposes only, as of the date of RESRFP23-1 issuance, this value is 255.560. NYSERDA will publish the final $Index_B$ value that will be used in the Agreement on or before January 3, 2024.

$Index_T$ will be calculated as the average of the monthly or quarterly values for the six-month period comprising the three months prior to and following the commencement of Construction Activities. REC_{adj} will therefore be calculated when the published monthly prices or indices become available, but no earlier than 6 months after the commencement of Construction Activities.⁶⁶

If a Bid Proposal using the Fixed REC price structure is submitted with inflation adjustment, the adjustment will be applied based only on the Fixed REC price.

5.3 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. Proposers should reference Article IV. Pricing and Payment of the RESRFP23-1 Standard Form Agreement for the full settlement mechanism.

5.4 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.

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 month of January 2026 therefore a $COMD_p$ of January 2026, and Bid Proposals for Bid Facilities currently operating will be evaluated with a Contract Delivery Term commencement month of July 2024 and therefore a $COMD_p$ of July 2024.

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.

⁶⁶ There is a lag of two months or more from the end of a month to the issuance of a BLS PPI index. The PPI indices are considered preliminary and may be updated by BLS up to four months after publication. The adjusted Index REC Strike Price or Fixed REC Price will not be finalized until the final PPI values are published by BLS.

$$LNRC_{p,f} = PVNRC_{p,f} / PVRQ_p$$

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), as provided in Attachment E – P(50) 8760 Template

$RPE_{m,y}^{Pred}$ = 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 month 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 7.25% per year and a long-term inflation rate assumption of 2.36% per year will be used in the LNRC calculation procedure.⁶⁷

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.

For evaluation of Alternate Bid Proposals that include Inflation Adjustment, a multiplier representing NYSERDA's expectation of the inflation for the identified indices between the Bid Proposal Submission Deadline and the estimated date of Notice to Proceed for a Bid Facility with a *COMD_p* of 2024 or 2026 (depending on whether the Bid Facility is existing or new) will be applied to the Index REC Strike Price or Fixed REC Price to determine the total price used in the evaluation.

5.5 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 designed to cause the scores of higher LNRCs to be sufficiently dispersed below the maximum of 70 points such that the final score aggregating Bid Price, Project Viability and OpFlex, and Incremental Economic Benefits retains the intended scoring emphasis on the LNRC to a reasonable extent.

⁶⁷ The discount rate (DISCO Discount Rate or DDR) and inflation rate for Bid Price evaluation were established by the DPS Office of Accounting, Audits and Finance, revised February 8, 2023.

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 consensus TEP scores for each non-price category (Project Viability and OpFlex and Incremental Economic Benefits), and the points awarded for the Levelized Net REC Cost as a result of the Bid Price evaluation.

6.2 Portfolio Risk Factors

Following the development of the preliminary rank order, NYSERDA may recommend modifying the award group, in consultation with DPS, to make adjustments to the final recommended award group. NYSERDA may consult with subject matter experts, including DPS Staff, NYISO, and the distribution utilities to assess the portfolio of received bids to inform the potential employment of a Portfolio Risk Factor(s).

NYSERDA, in consultation in DPS, may recommend adjustments to the final award group to (1) remove Bid Proposals from the final award group to avoid material risks to the portfolio (as described in factors 1-4 below), and/or (2) add Bid Proposals to the final award group that provide material benefits to the portfolio (as described in factors 1-4 below). Any additions will be made in accordance with the order of the initial preliminary ranking. NYSERDA, in consultation with DPS, may make such adjustments if the adjustments result in:

- 1) A decrease in a heavy concentration of renewable generation in a location within the award group and/or among previously contracted projects;
- 2) A decrease in a heavy concentration of any one technology comprising the award group;
- 3) A portfolio that results in lesser estimated levels of physical curtailment to itself and/or the existing portfolio of contracted renewable projects to New York State and/or to other proposed RESRFP23-1 awardees, and/or that includes projects/project configurations that reduce incremental curtailment and/or electric systemwide production costs; and/or
- 4) A portfolio that results in materially lesser risk of project attrition that includes projects/project configurations with low permitting feasibility risk.

These modifications may be made if comparable projects based on price and non-price factors are available in the preliminary ranking of Bid Proposals and material benefits or avoidance of material risks to the final award group are identified.

6.3 Final Award Group

After determining whether any of the Portfolio Risk Factors should be employed to modify the final rank order, 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 one hundred and twenty (120) 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 a Proposer in response to requests for additional information in accordance with Section 9

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). In accordance with the Non-Disclosure Agreement submitted by Proposers in the Step Two Bid Proposal, Proposers awarded a REC Agreement under RESRFP23-1 will be required to maintain the confidential nature of the award prior the public announcement of the RESRFP23-1 final award group. 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. As a reminder, NYSERDA cannot adjust the Fixed or Index REC Bid Price and other settlement-related terms submitted by Proposers following the notification of an award, either upon award or during the Contract Tenor, unless such adjustment is explicitly defined in the RESRFP23-1 Standard Form Agreement. NYSERDA will not entertain requests for material modifications to the Standard Agreement.

7 POST-AWARD PROCESS

7.1 Award Notifications and 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. Proposers will be required to execute a Non-Disclosure Agreement as part of the Step Two Bid Proposal, covering the period of time between award notification and contract execution. If the Proposer wishes to contact the press regarding the award, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the Director of Communications to prepare any press release and/or to plan for any announcement. NYSERDA will inform Proposers whether or not they are selected for award. Upon receipt of this notification, a Proposer may request to schedule a debrief on the selection process and the strengths and weaknesses of its Proposal by contacting res@nyserdera.ny.gov.

7.2 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 RESRFP23-1 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 the next NYSERDA Tier 1 solicitation and may forfeit the initial Contract Security referenced in Section 7.3 below.

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 the Agreement, specifically the Bid Price.

7.3 Provision of Contract Security

Unless otherwise agreed to by NYSERDA in writing, Contract Security in the amount of the product of the Bid Capacity (MWac) (or End of Useful Life Bid Capacity for Repowerings) and \$20,000 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 an owner bank of The Clearing House,⁶⁸ 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.

⁶⁸ Please see the owner bank membership for The Clearing House available from <https://www.theclearinghouse.org/about/owner-banks>

NYSERDA has included a standard form of letter of credit in the RES Standard Agreement (Attachment A). 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.

7.4 Documents Required for Contracting Purposes

NYSERDA requires the following documents prior to contract execution:

- 1) Contracting 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.
- 5) Updated EO 16 Certification and/or Vendor Responsibility Questionnaire, if applicable.

7.5 Department of Agriculture and Markets Section 305 Notice Information (NOI)

For awarded solar 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 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).⁶⁹

7.6 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

⁶⁹ 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>

will not redact any information provided on the updated Attachment B, in order to ensure transparency with the public.

7.7 Non-disclosure Agreement/Waiver for Interconnecting Authority

The Proposer shall waive confidentiality with the pertinent Interconnecting Authority after the RES Agreement has been executed.

7.8 In the Matter of a Renewable Energy Facility Host Community Benefit Program (Case Number 20-E-0197)

Upon Agreement execution, NYSEDA is required to inform impacted Utilities serving residential customers proximate to the Bid Facility's location and file with PSC in case 20-E-0249 pursuant to the PSC's Order in Case Number 20-E-0249. Prior to Agreement execution, Sellers will confirm the Utility(ies) for residential customers in the project area (i.e., City(ies) and Town(s)) where projects are located for the purpose of compliance with PSC Host Community Benefit Program in DPS DMM Case Number: 20-E-0249. NYSEDA will include the Facility Name, Nameplate Capacity (MWac), Utility, NYISO Queue Position, and Potential Host Community(ies) in the communication. Note that these towns are not AHJs, but the city(ies) and town(s) associated with the physical location of the project as bid to NYSEDA.

8 RES STANDARD FORM AGREEMENT

NYSERDA recommends that Proposers review the Standard Form Agreement (Agreement), Attached hereto as [Attachment A](#), and all associated Exhibits prior to participating in RESRFP23-1. Proposers that were previously awarded a Tier 1 REC Agreement are also recommended to closely review Section 2.2 of RESRFP23-1 and [Attachment I. Mutual Termination Agreement](#). The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney prior to submitting a Step Two Bid Proposal. NYSERDA cannot adjust the binding Fixed or Index REC Bid Price or other settlement-related terms submitted by Proposers as part of a Step Two Bid Proposal.

8.1 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.

8.2 Material Changes to Bid Proposal/Agreement Terms

NYSERDA will not make material adjustments or adjust any award to accommodate changes unforeseen by the developer, including the Index REC Strike Price or Fixed REC Price. Bid Facilities awarded under RESRFP23-1 that do not execute an Agreement may be barred from future participation in RES Solicitations. For Upgrades, Repowerings, Return To Service generation units and other special circumstances, depending on the scope of such Proposals, NYSERDA may require additional modifications to the Standard Form Agreement to assure consistency among the basic commercial terms contained therein.

9 GENERAL CONDITIONS

9.1 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 (<https://www.nyserda.ny.gov/about/new-york-state-regulations>).

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.

9.2 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 <https://ogs.ny.gov/acpl>.

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.

9.3 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>.

9.4 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

9.5 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.

9.6 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.

9.7 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.

9.8 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, the "Commission on Public Integrity"), and if so, a brief description must be included indicating how any matter before the Commission on Public Integrity was resolved or whether it remains unresolved.

9.9 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. 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. NYSEERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

9.10 Due Diligence

NYSEERDA, 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. NYSEERDA may conduct due diligence on some or all proposals based on NYSEERDA's current guidelines at the time of a review. NYSEERDA 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 NYSEERDA 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 NYSEERDA 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 or apply a program policy factor.

9.11 Executive Order No. 16

Pursuant to Executive Order No. 16 (EO 16) issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form noted in Section 3, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSEERDA's sole discretion and are final decisions. NYSEERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to EO 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

9.12 Executive Order No. 192

As per Executive Order 192, NYSERDA is required to do business only with responsible entities. As a result, a Vendor Responsibility Review will be conducted for all RESRFP23-1 Step One Proposers. The Vendor Responsibility Checklist 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 Vendor Responsibility Checklist will also include the Proposer's attestation regarding the accuracy and truthfulness of the information and documentation provided by the Proposer. The NYSERDA Large-Scale Renewables program team will review the responses to the Vendor Responsibility Checklist and reserves the right to make a determination of vendor responsibility if a non-responsibility concern is noted.



Proposals Due: February 5, 2024 by 3:00 p.m. Eastern Time*

NY Green Bank (“**NYGB**”), a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), seeks to engage a vendor to perform a climate risk assessment of the projects supported by NYGB’s cumulative investment activity. The focus of this solicitation is the first phase of a potential two-phased scope of work. The objective of Phase I is to evaluate, quantify, and summarize the physical climate risks to which projects supported by NYGB investments are exposed. The approximate engagement timeline for Phase I is as follows:

Engagement Timeline (approximate)

- February 5, 2024: proposals received
- Mid-to-late February 2024: proposals scored, and top three organizations invited to give presentations
- Late February / early March 2024: presentations from top three organizations
- Mid-March 2024: proposal awarded
- Late March to late May 2024: Phase I
- Late May 2024: final presentation and Phase I work product delivered to NYGB

Proposal Submission: Proposers must submit proposals via the online portal located at <https://greenbank.ny.gov/Work-with-Us/Open-Solicitations>. **Faxed or emailed proposals will not be accepted.** Proposers may submit Word, Excel, and/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 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 in the title of the document.

All proposals must be received by 3 p.m. Eastern Time on the date noted above. The online proposal system will close promptly at 3 p.m. Eastern Time, and any files in process or attempted edits or submission thereafter will not be accepted. Incomplete proposals may be subject to disqualification. Please note: You should allot at least 60 minutes to enter/submit your proposal because there are required questions that must be answered before you can enter/submit your proposal. In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), you must make certain required certifications under the State Finance Law and disclose any Prior Findings of Non-Responsibility.

No communication intended to influence this procurement is permitted except:

- For technical questions: contact **Ben Goodwin (Designated Contact)** by emailing questions to RFP24@greenbank.ny.gov no later than 5 p.m. Eastern Time on January 26, 2024. Technical questions received after this date will not be guaranteed a response.
- For contractual questions concerning this solicitation: contact **Gregory Frank (Designated Contact)** at (518) 862-1090 ext. 3510 or Gregory.Solicitations@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.

If changes are made to this solicitation, notification will be posted on the “[Current Opportunities](#)” section of NYSERDA’s website.

I. Overview of NYGB

NY Green Bank is a New York State-sponsored investment fund dedicated to accelerating an equitable clean energy transition by collaborating with the private sector in transforming financing markets. Through its transactions, NYGB leverages public funds to mobilize greater private investment in the deployment of clean energy and sustainable infrastructure in NYS in support of the State's ambitious energy and climate goals outlined in the Climate Leadership and Community Protection Act ([Climate Act](#)). The Climate Act requires New York to reduce economy-wide greenhouse gas emissions 85 percent by 2050 from 1990 levels with a minimum of 35 percent of benefits from clean energy investments going to Disadvantaged Communities (DACs).

In its first decade of operation since being established in 2013, NY Green Bank has committed more than \$2 billion through 127 transactions and has mobilized up to \$6.1 billion in total capital for sustainable infrastructure projects in New York State.¹ NYGB's investments support projects across every region of the State and across multiple technology segments, including solar, wind, clean transportation, community distributed generation, energy storage, controlled environment agriculture, bioenergy, and energy efficiency in buildings. To finance these different types of projects, NYGB offers a variety of loan products such as construction, construction-to-term, term, bridge, interconnection bridge, pre-development/development, credit revolvers, and warehouse facilities. NYGB's typical investment size is \$10-50 million.

Going forward, NYGB will continue to fill gaps in the market where financing might not be available from conventional lenders, especially in our target market segments such as clean transportation, energy storage, green affordable housing, and the decarbonization of buildings in and/or serving DACs.

II. Required Proposer Qualifications

If your firm is interested in responding to this RFP (as such, a "Respondent") please first ensure that all the following minimum eligibility criteria are met. Respondents that do not meet eligibility criteria will not receive further consideration. Respondents must demonstrate:

1. Ability to conduct a physical climate risk assessment of projects supported by NYGB's cumulative investment activity using climate data;
2. A minimum three-year track record and substantial volume of business with respect to project-level climate risk assessments;
3. Broad access to domestic (specifically, New York State) climate data and other relevant data sets and the ability to develop risk assessment models based on such data;
4. A minimum of two client references to whom you have provided similar services to those requested here; and
5. Processes and infrastructure controls around data and IT security (e.g., systems access, data security and records retention, secure file exchange portal, etc.).

III. Scope of Work

[The Scoping Plan](#), issued under the direction of the Climate Action Council in December 2022, includes recommendations to meet the Climate Act's goals and requirements. Within the Scoping Plan, the Climate Action Council recommended that NYS should identify options for financing resilience and adaptation actions and reducing climate-related risk. As part of NYGB's efforts to implement relevant recommendations from the Scoping Plan into its own processes, NYGB seeks to retain a third-party to complete a physical climate risk assessment of projects financed by NYGB. While NYGB foresees two potential phases of this project, each of which are described below, the goal of this solicitation is to partner with a vendor to complete Phase 1.

¹ Cumulative transaction data is up to date as of September 30, 2023.

1. **Phase 1 Climate Risk Assessment:** The Respondent will perform a physical climate risk assessment of completed projects supported by NYGB investments to evaluate, quantify and summarize the physical climate risks to which such projects are exposed. To enable the Respondent to conduct the assessments, at a minimum, the Respondent can expect to receive the following data from NYGB for each of its investments:
 - the address or physical location
 - (~20,000 specific locations including residential solar installations, ~1,000 project sites not including residential solar)
 - the project type and the equipment installed
 - the amount of the loan
 - the start and projected end date for each investment
 - approximate project cost

Please reference Section IV.2 Technical Proposal for further detail regarding what type of information NYGB is looking to see in the vendor's proposal for Phase 1. The Respondent should incorporate into this task a cost estimate for ongoing, annual updates to the assessment. Additional information about NYGB's metrics, reporting and evaluation plan is [available here](#) and Transaction Profiles of NYGB's cumulative investment activity can be [found here](#).

While the focus of this RFP is for Phase 1, the Respondent can read NYGB's vision for a potential Phase 2 below to help inform the Respondent as to how NYGB would eventually like to use the insights and outputs received from the Phase 1 assessment. The Respondent is encouraged to add 1-2 paragraph(s) to their Executive Summary that highlight how their proposed work products for Phase 1 have enabled clients similar to NYGB pursue the vision and goals similar to those outlined in Phase 2.

2. **Phase 2 Resilience and Adaptation Framework Development:** Using the knowledge gained from the climate risk assessment, a contractor would work to develop a resiliency framework for NYGB to utilize when evaluating future investments. This framework would take into consideration existing frameworks and NYGB's mission and role within clean energy ecosystems. NYGB's goal is for this framework to be replicable, consistent with the best practices of investing and lending institutions and easily maintained. Part of this phase would include a review of NYGB's existing underwriting process, focusing primarily on data collection opportunities within existing investment diligence. The objective of this phase would be to prepare a standardized approach to organize resiliency and adaptation data so that NYGB could explore how such data could be used to influence or inform future investment decision-making. More information about NYGB's existing operations can be found in the [Operational Summary](#) hosted on its website.

IV. Proposal Requirements

This Section discusses the general terms and guidelines for submitting a Proposal. **Respondents should carefully read and follow the procedures required by this RFP as any deviation from these instructions may be cause for rejection without the submitted proposal being further considered or reviewed by NYGB.**

Proposals should not be excessively long (more than 20 pages excluding attachments and any required forms) or submitted in an elaborate format. Any attachments beyond those sufficient to present a complete, comprehensive, and effective response are unnecessary and will not influence the evaluation of the proposal. The proposal should include the four following sections:

Section IV.1: Executive Summary

Provide a brief description of the overall approach and work effort and explain how you satisfy the qualifications outlined in Section II: Required Proposal Qualifications. **Note that proposals not clearly meeting all criteria will not be considered for further evaluation.**

Section IV.2: Technical Proposal

This section should describe the proposed approach to performing the work and accomplishing the objectives identified in Section III. The approach should address, at a minimum, the following:

- A. The vendor's process and ability to conduct physical climate risk assessments for sustainable infrastructure projects including:
 - i. a description of activities the Respondent will undertake to perform the climate risk assessment, including when and to what extent inputs or collaboration will be required from NYGB
 - ii. the types of climate hazards or perils assessed (i.e., flood, wind, heat, etc.), the granularity of the data (i.e., degree of spatial resolution), the timescales and increments of the assessments, and the methodology for establishing a baseline / benchmark level of resilience or risk exposure;
 - iii. the types of output(s) and delivery method(s) of the completed assessments provided to NYGB and/or a description of the proposed final work product. Please provide an example of the proposed output(s) as an attachment to the RFP response;
 - iv. the qualifications of the personnel involved in conducting physical climate risk assessments for NYGB;
 - v. the minimum amount of data the vendor needs from NYGB in order for the vendor to perform the requested assessment, as well as the preferred data (i.e., project or equipment specifications, financial information, etc.) from NYGB in order to perform an optimal assessment;
 - vi. the database(s) or source(s) the vendor uses to conduct physical climate risk assessments;
 - vii. any limitations to the vendor's ability to perform climate risk assessments on sustainable infrastructure projects such as utility-scale clean energy projects, distributed energy systems (e.g., solar PV, battery energy storage, wind), residential solar, electric vehicles and EV infrastructure, bioenergy projects, and buildings (multi-family residential, commercial, industrial);
 - viii. any essential components, processes, or factors to account for when conducting physical climate risk assessments that you believe NYGB has omitted in this solicitation;
 - ix. any limitations of use of the outputs by NYGB (i.e. how and in what form will NYGB be able to publish, share, or promote findings?); and
 - x. a cost estimate for NYGB to conduct annual, ongoing updates to its physical climate risk assessments based on vendor's initial output(s) and delivery method(s).
- B. Ongoing updates or improvements made to the vendor's climate database or software and/or the process to make such changes or improvements.
- C. Reference information (name, position, phone number and email address) of at least two (2) clients who resemble NYGB's business model and are currently using your firm's product or service in a manner similar to that proposed by NYGB and reflected in this RFP.
- D. Use of Subcontractors: NYGB prefers to make an award for Climate Risk Assessment to a firm capable of providing all or substantially all required solutions and services. However, Respondents may propose to use a subcontractor(s) to provide a complete submission meeting all requirements, provided that the respondent team is considered organized and effective at providing solutions to NYGB in a seamless manner. Any permitted subcontractors will be subject to all the Terms and Conditions outlined in Section 5 of this RFP. Any proposal involving the use of subcontractors must provide a clear and detailed delineation of the proposed roles and responsibilities of all the parties required to meet NYGB's needs as set out herein, including a designated day-to-day single point-of-contact for overall administration.

Section IV.3: Fee Proposal

The Fee Proposal must describe the nature, extent, calculation, and incidence of fees for performing the

work and providing the solutions and services described in this RFP for Climate Risk and Resilience. At a minimum, the Fee Proposal should include the total estimated cost of the project broken down by specific categories including:

- i. Cost of resources used, such as:
 - i. Cost to access climate data or subscriptions to data providers
 - ii. Price differences for varying analyses such as different levels of special resolution and/or amount of data inputs included in the assessments
 - iii. Fee per project or location assessed (if applicable)
- ii. Cost of labor and estimated number of project hours;
- iii. Cost of travel (i.e., to NYGB office for presentations and any other foreseen travel needs)
- iv. Any other types of costs that are material to the total estimated project cost
- v. Any recurring costs and schedule or estimate of those costs

Section IV.4: Services Agreement

Please see Attachment A to this RFP for the Sample Agreement that will serve as the basis for negotiations between NY Green Bank and the eventual contracted party.

V. Proposal Evaluation Criteria

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.

- A. Quality and scope of the assessment work product, how and the extent to which it addresses the components set out in Section II, III and Section IV.2
- B. Experience in conducting physical climate risk assessments for clients similar to NYGB or for projects similar to those that received NYGB investment support;
- C. Qualifications and experience of the Respondent's personnel involved in working on the Climate Risk Assessment with NYGB;
- D. Flexibility, competitiveness, and transparency of the fee proposal;
- E. Overall organization and quality of the proposal, including cohesiveness, conciseness, and clarity of response

Note: NYGB reserves the right to correct any arithmetic errors; to accept or reject any of a Respondent's employees assigned to provide services on this project and to require their replacement at any time; and to reject any proposal containing false or misleading statements or that provides references that do not support an attribute or condition claimed by the Respondent.

VI. General Requirements

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYGB 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. NYGB is keenly aware that commercial markets and market players value non-disclosure highly and seek to protect confidential transaction terms and other competitive information, but although NYGB remains highly sensitized to usual and customary confidentiality practices, the NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYGB 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 NYGB that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or

"Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYGB 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 - NYGB 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 - NYGB is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYGB 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 [2 months] with [1] four-month option to extend 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 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.

NYGB expects to notify proposers in approximately [6] weeks from the Proposal due whether their Proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting [RFP24Contracting@greenbank.ny.gov]. NYGB may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYGB or NYSERDA agreement.

Limitation - This solicitation does not commit NYGB or NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYGB and NYSERDA reserve the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYGB or NYSERDA's best interest. NYGB and NYSERDA reserve 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 NYGB or NYSERDA after the award of a contract, NYGB may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

Vendor Assurance of No Conflict of Interest or Detrimental Effect - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYGB or SERDA, 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 NYGB and 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 NYGB or NYSERDA may neither appear nor practice before NYGB or NYSERDA, nor receive compensation for services rendered on a matter before NYGB or NYSERDA, for a period of two years following their separation from NYGB or NYSERDA service. In addition, former NYGB and 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 NYGB or 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. NYGB or 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. NYGB and 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. NYGB and 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 – NYGB and NYSERDA, at their 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. NYGB and NYSERDA may conduct due diligence on some or all proposals based on NYGB's and NYSERDA's current guidelines at the time of a review. NYGB and 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 NYGB staff or 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 NYGB or 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYGB and NYSERDA reserve the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia

are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.



New York State BOCES On-Site Energy Manager Services
Request for Proposal (RFP) 5206
*NYSERDA reserves the right to extend and/or add funding to the
Solicitation should other program funding sources become available*

Proposals accepted through December 31, 2024 by 3:00 p.m. Eastern Time*

Summary: The New York State Energy Research and Development Authority (NYSERDA) requests proposals from individual New York State Boards of Cooperative Educational Services (BOCES) to provide On-Site Energy Manager (OSEM) services to schools and school districts across New York State. On-Site Energy Managers are responsible for creating energy efficient processes that decrease cost and waste. Schools can lower operational costs, reduce maintenance time, and create comfortable, healthy, and safe environments by hiring or assigning a dedicated On-Site Energy Manager.

NYSERDA believes BOCES can leverage their existing relationships with schools to provide On-Site Energy Manager (OSEM) services effectively and efficiently. BOCES are in regular contact with and typically provide services to their constituent schools, positioning them to streamline the enrollment and fulfillment process for OSEM services. On-Site Energy Manager services must be provided by a New York State BOCES and will be in alignment with NYSERDA's P-12 Schools Initiative (the Program). The goal of these efforts is to help schools to become healthier, more productive learning environments. They aim to improve environmental sustainability by reducing school energy loads, decarbonizing their building portfolio, and improving indoor air quality (IAQ).

Proposal Submission: NYSERDA has created an online portal for submission. Please complete and submit your proposal here: https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0r8z000000A5GK.

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. 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 school'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>).

No communication intended to influence this procurement is permitted except by contacting Adam DeSio (Designated Contact) at (212) 971-5342, ext. 3009 or by e-mail AdamOSEM@nyserda.ny.gov or Hannah Morgan (secondary contact) at (518) 862-1090, ext. 3606 or by e-mail HannahP12@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or Venicesolicitations@nyserda.ny.gov. Contacting anyone other than 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. 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>).

Section I - Introduction

NYSERDA seeks to enter into agreements with one or multiple BOCES to provide On-Site Energy Manager (OSEM) services to eligible schools for up to a three-year period at each school or school district. BOCES are welcome to propose a service model based on their current offerings where they align with the purpose of the Program. Therefore, BOCES are encouraged to propose services that both align with and differ from Section IV – Services based on their experience and the needs of their schools. BOCES proposing should plan to market their OSEM services to eligible public schools and enroll participants. BOCES may also request funding for applicable costs related to administering the program, such as costs of enrolling participants, reporting to NYSERDA, etc. The awarded agreements will allow BOCES to streamline participation in NYSERDA OSEM offerings as well as provide space to modify services to best serve enrolled participants. BOCES awarded under this RFP will be marketed on NYSERDA's website. Partnerships and cooperation between BOCES are encouraged.

Section II - Proposer Eligibility

Eligible proposers must be a New York State Board of Cooperative Educational Services (BOCES).

BOCES must currently offer or plan to offer CO-SER #7450 (Energy Management) or a CO-SER similar in services. Should a proposer be awarded an agreement under this RFP, the proposer must confirm applicable SED CO-SER approval within a reasonable timeline, at NYSERDA's discretion, and are not permitted to enroll any participants or submit any project applications until this approval is obtained

BOCES may propose to provide On-Site Energy Management services only to eligible public schools as per Section III - Eligible Schools.

BOCES may enlist permanent hires, contracted staff, or a hybrid arrangement of supplementing permanent staff with contracted staff to provide services.

Section III - Eligible Schools

BOCES can propose to provide On-Site Energy Manager services to the following schools:

- Public under-resourced schools who are eligible to participate in [PON 4924](#). These schools are eligible for up to 100% cost-sharing for BOCES On-Site Energy Management services.
 - The list of eligible schools can be found [here](#).
- Public schools that contribute to the Systems Benefit Charge (SBC) on their electric utility bill. These schools are eligible for up to 75% cost-sharing for BOCES On-Site Energy Management services.

Section IV – Services

On-Site Energy Managers are responsible for creating energy efficient processes that decrease cost and waste. Schools can lower operational costs, reduce maintenance time, and create comfortable, healthy and safe environments by hiring or assigning a dedicated On-Site Energy Manager. NYSERDA believes BOCES can leverage their existing relationships with schools to provide On-Site Energy Manager services effectively and efficiently.

On-Site Energy Manager activities that awarded BOCES can provide under the Program are outlined below. Proposers are not required to provide all of these services or only these services. Proposals should describe what services will be offered to participating schools and how they will be provided. Proposers are encouraged to modify the On-Site Energy Manager activities if it leads to an improvement in enrollment numbers, efficiency of providing services, or increased value.

Ancillary services such as outreach, training, benchmarking, or others may also be proposed under this RFP.

Eligible OSEM activities that may be provided at the school, district, or multiple district level may include, but are not limited to:

- Initiate and develop an energy management plan that is a living document that is updated throughout the engagement and works towards the facility provided energy goal.
- Develop and/or maintain an energy tracking and monitoring system including facility benchmarking.
- Develop and/or maintain a cross-functional energy team and hold monthly meetings.
- Develop a strategy for energy savings Measurement & Verification.
- Conduct walkthrough audits and reports that identify savings opportunities (Capital Expenditure (CapEx), Operation & Maintenance (O&M), etc.) for further investigation; provide reports to NYSERDA and the facility for review and comment.
- Review maintenance operational schedules and procedures to identify operational savings opportunities and develop preventative (rather than reactive) maintenance plan; schedule employee training sessions to address the identified operational issues that impact energy.
- Develop and propose energy and productivity projects, including developing the business case.
- Development of marketing materials highlighting and promoting projects.
- Sustainability Activities (as part of a larger OSEM project):
 - Coordinate a variety of sustainability activities and projects to help students and staff reduce waste, reduce energy use, reduce water consumption, improve air quality and increase green space.
 - Coordinate with students, staff, administration, food service and facilities/custodial staff, and parent volunteers on the implementation of in-school sustainability activities and initiatives.
 - Facilitate ongoing meetings with designated teacher teams and provide coaching and support to existing staff around new sustainability curriculum and culture change within the school.
 - Hold periodic all-staff sustainability meetings at assigned school to coordinate conservation efforts.
 - Measure, track and assess sustainability data to support reporting projects.
 - Communicate the sustainability projects and results to the school community.
- Energy Performance Contracting (EPC) support including but not limited to:
 - Procurement oversight and assistance
 - Scope of work review
 - Review of savings calculations

Services provided under this RFP are not required to be limited to the constituent school districts of the proposers. That is, BOCES may provide OSEM services statewide, or to a greater subset of districts beyond their constituent districts, provided a BOCES has the necessary approvals to do so.

After agreements are awarded, BOCES will be able to enroll schools as participants to receive OSEM services under the agreements. All Task Work Orders awarded to contractors qualified under this RFP must meet the following eligibility criteria:

- Services may be provided to any eligible public schools or school district in New York State per Section III - Eligible Schools.
- On-Site Energy Manager services are preferred to be at the district level (or across districts), however individual buildings may receive On-Site Energy Manager services.
- In order to fully realize the benefit of the On-Site Energy Manager, the term of the On-Site Energy Manager engagement will be a minimum of 12 months¹.
 - Schools must not have an existing dedicated full time Energy Manager on-site.
 - The awarded BOCES will need to effectively demonstrate the school's need for an On-Site Energy Manager.
- On-Site Energy Manager engagements must:
 - Include regular engagement with the facilities covered.
 - Use funds for On-Site Energy Manager services only and not for implementation or equipment purchase. Costs for metering and/or data collection are permissible and capped at 10% of the engagement cost.

Section V - Funding

On-Site Energy Manager costs are funded up to 75% or 100%, net of funding from investor-owned utilities, state aid, federal funding, or any other funding source. School participation in other programs does not disqualify an application to this effort.

¹ Proposers may advocate for a shorter engagement length with an explanation why it is beneficial and supports Program goals.

Schools meeting the under-resourced definition from [PON 4924](#) may receive up to 100% funding up to the below caps. All other public schools that contribute to the Systems Benefit Charge on their electric utility bill may receive up to 75% funding up to the below caps.

- **Up to \$100,000** for projects with an annual energy spend less than \$500,000
- **Up to \$200,000** for projects with an annual energy spend greater than \$500,000

The total annual energy spend is the sum of the annual electricity cost, annual natural gas cost and/or annual fuel cost. Individual On-Site Energy Manager engagements may be up to three years in length. Funding caps apply to the entire engagement, regardless of length.

Program funding will be distributed to BOCES based on time and material invoices in accordance with the Attachment C – Exhibit E- Project Personnel and Rate Schedule. BOCES will work with their designated NYSERDA Project Manager to approve interim payments. Interim payment requests may be made in accordance with the agreement, approved budget, and timeline outlined in the NYSERDA approved Agreement (see Section VI - Contracting). Upon approval of final deliverables, a final invoice must be submitted to NYSERDA. BOCES invoice(s) will include labor and nonlabor costs, staff titles, hourly rates, dates and hours for all work invoiced. If using subcontracted staff, third party paid invoices including labor and nonlabor costs, staff titles, hourly rates, dates and hours for all work completed must also be submitted. All invoices complete with the required documentation must be submitted through <https://services.nyserderda.ny.gov/Invoices/>.

Section VI - Contracting

Awarded Proposers:

NYSERDA will enter into an umbrella agreement with awarded proposers that may include umbrella services (such as outreach, training, etc.) in addition to the description of project-specific OSEM services to be offered to enrolled schools after the umbrella agreement has been awarded. Approved umbrella services that are not tied to individual project enrollment may be invoiced per the agreement on a time and materials basis without further contracting activity, after the agreement has been executed. Project-specific OSEM services to individual schools will be outlined in a Work Plan for each school.

Enrolling a School/District for On-Site Energy Manager Services:

Upon successfully executing an umbrella agreement with NYSERDA, individual projects and their project-specific services will be contracted and funded as each school/school district is enrolled. If selected under this RFP, the following will be required to be submitted with each project enrolled under awarded agreements:

1. Program Application (Attachment D)
2. Work Plan – a Work Plan will be required for each enrolled school under approved agreements. Work Plans should include the following:
 - a. Justification for enrollment of the school/district(s) based on needs
 - b. List of facilities included in the work plan
 - c. Services to be provided – may be only a portion of all services approved under the agreement. Services should be tailored to the needs of the school.
 - d. Weekly hourly commitment
 - e. Length of engagement
 - f. Proposed energy savings target
 - g. Staff assigned to the approved OSEM role(s)
 - h. Deliverables to be submitted
 - i. Schedule of services and deliverables submission
3. Budget – a project budget will be required showing the hourly rate of staff proposed (per the approved rate schedule – Attachment C), the amount of hours, expenses, and the total cost of the project.

Individual project applications should be submitted via email to P12Schools@nyserderda.ny.gov and clearly labeled with the BOCES agreement number awarded under this RFP. After review and approval, NYSERDA will issue a Task Work Order, Notice to Proceed, and corresponding Purchase Order for all approved Work Plans submitted by the BOCES. NYSERDA will entertain individual project applications on a first-come, first-served basis until funding is exhausted.

Reporting and Administration Tasks Required

1. Engagement Reporting (per project)
 - a. Quarterly savings reports must be submitted that document results from both capital upgrades and operational changes, in addition to a narrative discussion of work conducted during the quarter.
 - b. Project management check-ins with NYSERDA via conference call or memo at least once per month.
 - c. Case Study, including savings metrics, for online publishing
 - d. Final report that documents overall effort and progress against facility energy goal, including lessons learned.
2. Annual Metrics Report (per agreement), including, at a minimum:
 - a. Number of projects enrolled
 - b. Total funding committed and expended
 - c. Measures and energy savings identified/recommended by the On-Site Energy Manager, by fuel type
 - d. Measures and energy savings implemented/installed that the On-Site Energy Manager oversaw and/or supported, by fuel type
3. Agreement Management (per agreement)
 - a. Coordination of work under the Agreement
 - b. Ensuring control over the project budget and adherence to the project schedule
 - c. Project management check-ins with NYSERDA via conference call
 - d. Provision of all project reporting to NYSERDA as specified in the Agreement

Section VII - RFP Response Requirements

Proposals are accepted daily through the due date and will be evaluated as they are received. Awarded proposers will then enter contract negotiations. Complete proposals shall be a maximum of (30) pages, not including staff resumes (per 4.b. below), and include the following:

1. Background/Objectives – Include a description of the BOCES providing the proposal and what OSEM-like services (e.g. CO-SER #7450), if any, are currently offered, and for how long they have been offered.
 - a. If OSEM-like services are already being provided by your BOCES, provide a description of the work done with the districts participating in the program (e.g. number of schools, type of services provided, energy savings achieved, how long the services have been offered, etc.).
 - b. If OSEM-like services are not currently offered, the BOCES shall explain the services to be offered should an agreement be issued.
 - c. Outline the target market and geographic territory(ies) where services are to be provided. Proposals must state if the intent is to serve constituent districts within the specific BOCES network or beyond the BOCES network to additional schools/school districts in New York State.
 - i. If proposing to go beyond the BOCES's specific geographic territory, state what cross-contract and/or partnership arrangements with other BOCES currently exist or will need to be made to support the expansion of services beyond the BOCES network.
2. Scope of Services – Describe the services that will be offered under the umbrella agreement. BOCES are encouraged to propose services that both align and differ from the list of eligible OSEM services outlined in Section IV – Services in order to best serve their schools and districts.
 - a. List all ancillary services that support the OSEM work such as administrative efforts, outreach, training, student engagement, etc. (if applicable).
 - b. Discuss the plan to communicate with and enroll participant schools and districts in the Program; communicate participation goals in terms of number of districts and schools enrolled.
 - c. List all services that may be provided by the OSEM. Services can be pared down and customized based on the needs of individual schools when enrolling schools/school districts, but all potential services offered must be described.
 - i. Include weekly hourly commitment planned for each school. Weekly commitment may vary based on school/district size.
3. Management/Staffing Plan– Discuss the plan for the overall management of the agreement.
 - a. Include an Organizational Chart showing the proposed team members who will work on the contract along with their titles. The organizational chart should highlight those who will directly perform the OSEM roles.

Discuss how staffing needs will be met, either through existing staff or through the acquisition of staff (e.g. permanent hires, contracted staff or a hybrid arrangement) Initial staffing may be expanded as needed during the course of the agreement.

4. Qualifications – Provide qualifications that demonstrate an ability to provide all services being proposed.
 - a. BOCES should have a history of success implementing cross-district offerings of a technical nature.
 - b. Include resumes of all staff proposed. Do not include personal information on staff resumes.
 - c. If staff has not yet been selected, include a list of qualifications, such as a job posting and/or a staffing plan, that will be used to assign/contract personnel to fulfill the OSEM roles, and an expected timeline for staffing acquisition.
5. Agreement Management – Discuss scope of Agreement management including:
 - a. Coordination of work under the Agreement.
 - b. Ensuring control over the project budget and adherence to the project schedule.
6. Rate schedule per Attachment C including hourly rates of all personnel involved.
7. Budget – an estimated budget should be submitted that includes the following:
 - a. Hours, personnel, and rates by title for each ancillary service (items 2.a. and 2.b) that is not billed on a per-project basis, including agreement management (item 5) and required reporting and administrative tasks per Section VI – Contracting.
 - b. Expenses related to ancillary services.
 - i. Include a discussion of how travel expenses will be limited, especially if proposing to serve schools outside of the BOCES immediate territory.
 - c. Sum of the total costs related to ancillary services.

Section VIII - Response Deadline

Proposals are accepted on an open enrollment basis through December 31, 2024 by 3:00 p.m. Eastern Time.

Section IX - Response Evaluations

Proposals will be reviewed for completeness and to ensure they meet the General Eligibility requirements. Proposals that do not meet the requirements will not be reviewed and will be returned for completion.

The General Eligibility requirements include:

1. Proposer is a New York State Board of Cooperative Educational Services (BOCES).
2. Proposer currently offers or plans to offer CO-SER #7450 (Energy Management) or a CO-SER similar in services, where applicable.
3. All components of the proposal requirements have been submitted.

Following the initial review, proposals will be evaluated based on their overall responsiveness and specifically based on the Evaluation Criteria below, which are listed in order of importance. After proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter contract negotiations with NYSERDA.

Evaluation Criteria:

1. Proposal Scope of Services – the proposal includes the following:
 - a. Scope of Services aligns with the general definition of OSEM services per Section IV,
 - b. Services include activities needed to complete an OSEM engagement.
2. Proposer Experience – the proposal outlines the proposer's experience providing similar services:
 - a. Example(s) of previous successful OSEM services are provided.
3. Project Team – the proposal demonstrates the following:
 - a. Proposed staffing is sufficient to fulfill the services being proposed.
4. Rate Schedule and Budget – the proposal demonstrates the following:
 - a. Pricing and hourly rates are in line with average market rates.

Proposers that are rejected may reapply one additional time.

Section X - Timeline

NYSERDA anticipates awarding one or multiple contracts within approximately 8 weeks of receiving a proposal. Proposals will be accepted through December 31, 2024.

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

Contract Award - NYSERDA anticipates making one or multiple award(s) under this solicitation. NYSERDA anticipates an initial contract duration of four (4) years with one (1) option to renew for (2) years for a total contract length of 6 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. NYSERDA reserves the right to conduct a biannual (every two (2) years) review process and discontinue the agreement at NYSERDA's discretion. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Attachment B - 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) to (8) weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting Adam DeSio at AdamOSEM@nyserda.ny.gov. 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 on the [Doing Business with NYSERDA page](#) or download [NYSERDA's Accessibility Requirements \[PDF\]](#).

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

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

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

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State

Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

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

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

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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

Section XII - Attachments

Attachment A – Application Form

Attachment B – Sample Agreement

Attachment C – Exhibit E- Project Personnel and Rate Schedule

Attachment D – Project Application



Conceptual Design Services to Support Tier 4 Verification and Settlement

Request for Proposal RFP 5481

Up to \$500,000

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

Proposals Due: April 2, 2024, by 3:00 p.m. Eastern Time*

Program Summary

The New York State Energy and Research Development Authority (NYSERDA) seeks a firm with experience and expertise in business requirements definition, needs assessment, conceptual design, information technology (IT) architecture, dynamic data acquisition and analysis to support the Large-Scale Renewables (LSR) team with the development of key aspects of the Tier 4 Implementation Plan. The objectives are to: identify key business requirements, create a data inventory, develop a conceptual design, facilitate stakeholder engagement, and develop a functional specifications document. The requested conceptual design and functional specifications will be suitable to support design-build decision-making and the development of a subsequent Request for Proposals (RFP) for services to develop a streamlined settlement process using a digital, automated Tier 4 Renewable Energy Certification (REC) contract compliance and verification system.

NYSERDA is seeking an accelerated schedule to complete this Scope of Work (SOW), not to exceed 8 months from contract execution.

Proposal Submission: Online submission is preferable. The Proposal Submission file should be 100MB or less in file size and may be a Word or PDF document (file formats include: csv, doc, docx, pdf, and zip). Proposal Submissions should be searchable and include navigation. If a PDF file is submitted, it should be created by direct conversion from MS Word, or other, using conversion utility. Files should not be scanned. The Budget Form (Attachment A) shall be submitted separately in Excel format, and the filename shall include the proposer's name, and the RFP number. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. All questions about this RFP must be submitted via email to Tier4@nyserda.ny.gov to the Designated Contact, Mikel Shakarjian or Dave Crudele. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 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. Please see [Solicitation Proposal and Vendor Responsibility Questions.pdf](#) for a complete list of the questions proposers must answer as part of a submission. 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>).

Bidder’s Conference: A Q&A for this solicitation will be held via WebEx on Wednesday, **Thursday, March 7, 2024, at 12pm Eastern Time**. The ~60-90-minute session will be an opportunity to review the contract structure, discuss the evaluation criteria, and most importantly, answer any questions that you may have.

To register for this event, please use the following [link](#).

If you intend to join the call, you are strongly encouraged to attend from the beginning.

To make the most of this Q&A, all interested parties are encouraged to submit questions to Tier4@nyserda.ny.gov by 11:59 PM on **March 4, 2024**. Each question should begin by referencing the RFP page number and section number to which it relates. 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.

Proposal Instructions

Contractor Eligibility to Propose

NYSERDA anticipates awarding one contract through this RFP that covers all services requested in the SOW. Proposers may be a single company or team of companies. The RFP response must clearly identify the prime contractor, subcontractor, and key employees proposed to fulfill the scope of work. If the proposal includes a partnering arrangement, the prime contractor will be clearly identified as such and will retain sole responsibility for the successful completion of the work.

It is the policy of the NYSERDA to foster and promote the participation of Minority Business Enterprises and Women-Owned Business Enterprises (MWBE) and Service-Disabled Veteran-Owned Businesses (SDVOBs) in its procurements. NYSERDA endeavors to facilitate a fair share of procurement contracts for such enterprises. The MWBE rules and regulations that apply to a State Contract as specifically applied to NYSERDA can be found in Article 15-A of New York State Executive Law.¹ The SDVOB rules and regulations that apply to NYSERDA can be found in Article 17-B Section 369-h(6)(d) of New York State Executive Law.

NYSERDA seeks to award a contract for the work described herein to a single, eligible contractor. It shall be noted that proposals or teaming arrangements that are led by or include registered MWBE or SDVOBs as designated by the New York State Division of Minority and Women-Owned Business Development² or a SDVOB, as designated by the New York State Office of General Services, will be favored in proposal evaluations.

¹ See: <https://esd.ny.gov/sites/default/files/ReauthorizedExecutiveLawArticle15A-021120.pdf>

² See: <https://esd.ny.gov/doing-business-ny/mwbe-or-ny.newnycontracts.com>



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1 Introduction

NYSERDA seeks a contractor with experience and expertise in business requirements definition, needs assessment, conceptual design, IT architecture, dynamic data acquisition, and analysis to support the LSR team with the development of key aspects of the Tier 4 Implementation Plan.³ The objectives are to: identify key business requirements, create a data inventory, develop a conceptual design, facilitate stakeholder engagement, and develop a functional specifications document. **The requested conceptual design and functional specifications will be suitable to support design-build decision-making and the development of a subsequent RFP for services to develop a streamlined settlement process using a digital, automated Tier 4 REC contract compliance and verification system.**

The conceptual design will build upon and integrate NYSERDA's existing tools to the extent practicable, and the selected contractor will examine current settlement processes to identify areas for integration, efficiency, and improvement. The contractor, working with program staff, will be tasked with the development of a conceptual design and functional specifications to achieve Tier 4 Implementation Plan requirements, focused specifically on pre-settlement processes, including data acquisition, verification, and analysis, as required, so that such processes comply with the Tier 4 delivery verification plan⁴ and enable REC invoicing and payments for the life of the 25-year Tier 4 contracts. While this document provides a summary of relevant guiding principles, proposers are expected to demonstrate familiarity with the contents and requirements of the documents cited herein. Proposers shall demonstrate familiarity with established Tier 4 program requirements and the policies they are intended to achieve.

1.1 Background

In support of the Climate Leadership and Community Protection Act (CLCPA)⁵ and the Accelerated Renewable Energy Growth and Community Benefit Act, NYSERDA is supporting the active development of New York State's clean energy industry, including through the procurement of sizable quantities of large-scale wind and solar generation, as well as transmission to ensure clean energy delivery. NYSERDA releases solicitations for the purchase of New York RECs and Offshore Wind RECs (ORECs) in furtherance of the CLCPA's mandate requiring that New York generate 70 percent of its electricity from renewable sources by 2030, reaching nine gigawatts of offshore wind nameplate capacity by 2035, and generate 100 percent of the state's electricity from emissions-free sources by 2040.

1.2 Tier 4

Reaching New York State's CLCPA goals will require a major shift in electricity generation in our nation's largest urban center, New York City. Upstate New York's power mix is approaching 90% emission-free, whereas New York City's power is almost 90% fossil fuel-based and nearly one-third of New York State's annual electric demand. In 2022, two purchase and sale agreements were approved for the Tier 4 program to bring clean electricity to New York City to help reverse this trend and optimize the deliverability of renewable resources throughout the State. The Public Service Commission (PSC) approved the Tier 4 contracts by an Order issued on April 14, 2022, and directed NYSERDA to develop a Tier 4 Implementation Plan to effectuate the contracts.⁶

³ See: <https://www.nyserda.ny.gov/All-Programs/Large-Scale-Renewables/Tier-Four>

⁴ See Schedule 3.01 of Appendix A (CPNY Contract) and Appendix B (HQUS Contract) of the Tier 4 Approval Order: <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId=%7B0D95B63F-8059-4A7E-96A7-4E18CF89F31A%7D> and <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId=%7BBEF5BDE7-C199-4D97-B898-6E724DB26641%7D>

⁵ See: <https://www.nyserda.ny.gov/All-Programs/CLCPA>

⁶ See: <https://www.nyserda.ny.gov/-/media/Project/Nyserda/Files/Programs/Clean-Energy-Standard/2020/October-15-Order-Adopting-Modifications-to-the-Clean-Energy-Standard.pdf>

The Tier 4 program is the largest programmatic clean energy commitment issued by NYSERDA's LSR program to date. Embodied by two transformative projects, the Champlain Hudson Power Express (CHPE)⁷ and Clean Path New York (CPNY)⁸, the Tier 4 contracts include new, innovative approaches to ensure that Tier 4 delivers over 18 million megawatt hours (MWh) of clean energy to New York City, Load Zone J under the New York Independent System Operator (NYISO). Energy delivery must be verified before REC settlement via the processes and terms outlined in each contract. CHPE is expected to reach commercial operation by June 2026 and CPNY by July 2027.

2 Program Requirements: Scope of Work

The following SOW delineates each task required as part of this solicitation. Tasks described in this document are to be aligned with terms outlined in the Tier 4 contracts and amendments and the PSC Approval Order. The SOW is the primary document that outlines work activities and expected deliverables. A contractor's approach to task completion will be used as the basis for a draft Agreement between NYSERDA and the contractor. Proposers shall address the SOW in their proposals, including any additional tasks and deliverables, if needed or as recommended. All additional scope offered by a proposer shall be clearly marked as "new" work scope along with anticipated deliverables and accompanied by a discussion of its importance. Each proposer's Statement of Work (see Section 3.3) shall not exceed 8 pages.

The SOW is focused on the assessment of existing business processes, cross-functional stakeholder engagement and characterizing new functionality required to support the development of an automated system necessary to support the Tier 4 Implementation Plan, verification processes, and REC settlement. Proposers should note that all aspects of project scoping cannot be exhaustively defined at this stage, and further scoping work will constitute a portion of the project work itself. NYSERDA is seeking an accelerated schedule to complete this SOW, not to exceed 8 months from contract execution. At present, we have identified the following tasks:

1. Project Management – Develop and maintain a schedule/work plan, perform biweekly status reporting on tasks and budget for the proposed work.
2. Stakeholder Engagement – Facilitate diverse internal and external stakeholder groups through technical discussions on verification requirements to reach consensus on proposed processes as necessary to complete Tasks 3-6.
3. Define Business Objectives and Requirements – Identify major workstreams for monthly, annual, and rolling Tier 4 verification, contractual obligations, and settlement processes. Develop use cases and a Business Requirements Document.
4. Inventory Data Inputs – Document initial data requirements, availability, characteristics, and sources as required to perform contract verification and required calculations.
5. Conceptual Design – Prepare a conceptual design, using the data inputs, to diagram automated data acquisition, warehousing, analytics and methods which capture/summarize process flows necessary to validate contractual obligations including monthly, annual, and multi-year/seasonal and rolling metrics, as well verify deliverables (i.e., settlement statements) as needed to verify requirements met and generate monthly invoices. The design will outline import and export data transfers and incorporate must-have data delivery into existing enterprise systems.
6. Functional Requirements – Develop a Functional Requirements Document that maps back to the business requirements and describes functional expectations to support Tier 4 verification. Such

⁷ See: <https://chpexpress.com/>

⁸ See: <https://www.cleanpathny.com/>

requirements will be detailed and presented at a level to support design-build decision-making and the development of an RFP.

2.1 Task 1 – Project Management

The contractor shall develop a draft work plan, a schedule, and a budget to be integrated into the master schedule. The work plan shall describe the use of best practices that allow for frequent deliverables, feedback loops, and insight into the status of each task and sub-task, and communication tools to be used to keep the program and cross-functional stakeholders/teams informed of project status and priorities.

The work plan shall clearly describe:

- the work being performed, planned and critical path activities, milestones and dependencies;
- the communication management practices and products;
- stakeholder management and scheduling;
- change management approaches to be used during this engagement; and
- the contractor's lead and assigned resources.

Anticipated deliverables include:

- schedule/Work Plan in MS Project (mpp format), including a continuously updated Work Breakdown Structure and percent complete or similar best-of-class documentation to be agreed upon by NYSERDA.
- development and maintenance of project documentation and tools, including action item lists, flowcharts, and biweekly updates on task status, work completed, and work planned.
- monthly reports, submitted with invoice, including budget and schedule assessment.

2.2 Task 2 – Stakeholder Engagement

The contractor will be responsible for coordinating with NYSERDA to ensure access to internal cross-functional teams including legal, administrative, financial, information technology, data governance and programmatic, as well as external entities, including CPNY or CHPE (the "Sellers"), possible data providers, and other third parties, such as vendors that maintain cloud-based systems used by NYSERDA, as needed to complete Tasks 3-6. The contractor will facilitate stakeholder meetings and is responsible for vetting feedback received and integrating it, as directed, into the tasks and deliverables on an on-going basis. Organizing meetings, facilitating, and communicating outcomes, decision points, and open items with key stakeholders will be a critical component for the success of this effort.

Deliverables to be proposed by respondent.

2.3 Task 3 – Define Business Objectives and Requirements

The contractor will facilitate and document the business objectives and requirements that will drive the functional specifications and a conceptual design for contract compliance, energy delivery verification, and financial settlement as required by the Tier 4 purchase and sale agreements. This task will define foundational system capabilities, data transfers to integrated systems, and priority use cases.

The contractor will document monthly, annual, seasonal, and rolling Tier 4 verification and settlement requirements including, but not limited to, energy delivery (e.g., MWh hourly matching, injection, delivery), grid operations (e.g., curtailment or derating, dispatch operations), system and/or portfolio production (e.g., Supplier GHG Baseline), energy transactions (e.g., day-ahead scheduling, energy dispatch), and demand side management or mitigation. Work under this task will also define integrations/data transfers required to support REC minting, tracking, and retirement in the New York Generation Attribute Tracking



System (NYGATS), and invoicing settlement processes using Salesforce and/or other internal NYSERDA financial accounting software.

The contractor is not expected to determine what constitutes compliance or a suitable verification process, as this will be driven by NYSERDA. NYSERDA will assist with the development of use cases (what-if scenarios) to test verification processes and align business objectives. The contractor will document major requirements and data needs while actively considering challenges to automation and integration. As part of this process, a Use Case Prioritization Matrix may be necessary to vet must-have solutions versus those that can be easily satisfied in the future.

The deliverables should include, at a minimum, a Business Requirements Document (written report) with figures, tables, and business process flowcharts, as needed.

2.4 Task 4 – Tier 4 Inventory Data Inputs

Working with NYSERDA and external stakeholders, undergo a thorough assessment of the data inputs required to support business cases defined under Task 3. The contractor will prepare an inventory of the data required and its frequency, availability, and potential sources mapped to its use case(s). Contract requirements can be found in Schedule 3.01 of the Tier 4 contracts as well as contract terms that detail calculations, metrics, and statistics to be used in the verification process.

The final deliverable is expected to be a Data Inventory of raw data inputs, intermediate inputs, and algorithms, as necessary.

2.5 Task 5 – Conceptual Design

The contractor will develop a conceptual design that represents the overall structure of a system required to support the Tier 4 business requirements independent of any software or data storage structure. The design shall provide a comprehensive view from a business and relational database standpoint (i.e., the business requirements that the model/database will solve for) of the automated system necessary to support the Tier 4 Implementation Plan, verification processes, and REC settlement. It should incorporate the data inventory in the processes as well as the 'must-have' exports for enterprise operations (i.e., the business processes it has to support). It will also characterize the scope of the database/algorithms to be created and define the general rules and known processes that need to be incorporated. The design will provide a blueprint, via a visual chart(s), that ensures interpretive consistency and that no elements have been missed. The conceptual design is intended to provide a process overview without consideration of the details of how it will be implemented.

The draft conceptual design will be used to consult with stakeholders and obtain input. The design will be reviewed for business process alignment, testing use cases, identifying faulty assumptions, risks, and potential implementation issues.

The contractor, working with NYSERDA's subject matter experts (SMEs), will also assess existing cloud-based platforms (i.e., Salesforce, NYGATS, etc.) currently used for portions of the settlement lifecycle. This will include evaluating manual, automated, and semi-automated processes used to settle Tier 1 REC contracts that align with Tier 4 settlement requirements. This may include identifying opportunities for efficiency improvements and process alignment across Tiers.

It is anticipated that the contractor will work with stakeholders to update and revise an initial draft design before reaching a final draft design.

Deliverables should include a Conceptual Design, or similar industry standard document, suitable for interpretation by a diverse audience that conveys the proposed process framework that can be incorporated into a Functional Specifications Document (see Task 6).



2.6 Task 6 – Functional Specifications

The contractor will prepare a Functional Specification Document that provides detailed information on how the system solution should ultimately function. The document will be created based on the Business Requirements Document (Task 3) and incorporate, and directly reference, the Conceptual Design (Task 5). It will also provide traceability on the functional specifications back to the business requirements. The Functional Specification Document should include a comprehensive logging of the end system's use cases, system inputs and outputs, data conversion, data quality control, integration needs/dependencies, process flows, diagrams, dependencies, cross-check functions, and assumptions. In addition, non-functional requirements shall be outlined, such as reporting requirements, performance needs and metrics, reliability, redundancy, interfaces, system recovery, data backup and archiving, security levels, and accessibility.

NYSERDA will use the Functional Specifications Document (deliverable) to identify and segment any in-house design-build elements from a detailed subsequent RFP that will externally source the system necessary to support Tier 4 settlement over the long term.

3 Proposal Requirements

Proposers must submit their proposal by the due date. Proposals should not be excessively long. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Proposals that are excessively long or fail to follow the format guidelines may be rejected as non-responsive. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section 4). Each page of the proposal shall state the name of the proposer, the RFP number, and the page number. Each response shall reference the RFP section(s) and/or Task(s) for which the response is provided.

The successful proposal must demonstrate a clear understanding of the SOW as described in this RFP. Proposers must demonstrate the ability to provide, at a minimum, all relevant services as outlined in this RFP. The awardee will provide NYSERDA with a dedicated team of high-quality professionals who will support this project. Proposers must identify one qualified team member as the project lead who will be responsible for leading the initiative outlined in this RFP, and this designated project lead cannot be replaced without consulting NYSERDA.

3.1 Introduction and Proposal Narrative

The proposer/prime contractor should expressly identify themselves as an eligible proposer and, if applicable, as an MWBE/SDVOB and provide sufficient backup to prove their eligibility.

This section shall briefly identify key information about their organization and any proposed subcontractors. Proposers shall describe why they believe that they are qualified to perform and complete the services requested.

Proposers must include the following information in their response:

- prime Contractor firm or organization name;
- identification of any subcontractors and/or partners, key personnel and general comments regarding what their role would be;
- address;
- telephone number; and
- primary contact person's telephone and e-mail address.

Proposers shall demonstrate their knowledge of New York State's CLCPA, the Tier 4 contracts, and Tier 4 Petition and Award Order. The proposal introduction shall summarize the proposer's understanding of the Tier 4 Program including the unique requirements for Tier 4 settlement. It should identify potential

tradeoffs or challenges that could impact the proposed SOW and/or the project schedule while also highlighting the attributes of the proposer and/or how its approach may help overcome them.

3.2 Approach

Proposers shall provide a narrative of the proposed approach to the services requested under the RFP while also addressing the goal of obtaining the best overall value for New York State. Proposers shall align their approach with tasks detailed in their Statement of Work and describe how such tasks will be performed, managed, and monitored to ensure success.

Each proposers' overall approach shall describe the following:

The project management strategy and best practices that will be utilized to ensure all requirements within scope are met within budget and schedule. These may include:

- project management techniques, tracking tools, and standard documentation proposed to streamline tasks, identify, and reduce risk, and communicate task status and resolution;
- the change management methods as well as what resources and practices will be required from NYSERDA to make these approaches work; and
- the approach for working with diverse, multi-disciplinary teams to evaluate and reach consensus on new processes and methods that may directly affect them as stakeholders.

Describe the approach to be used to identify, categorize, prioritize, and track business requirements critical for the conceptual design and functional specifications, including:

- identifying and conveying complex time series data acquisition and their parameters from diverse systems to meet the project requirements;
- characterizing required interfaces and must-have data transfer requirements;
- identifying and prioritizing use cases;
- what existing industry standards/methods will be used to standardize, communicate, and facilitate the use cases and prioritization;
- translating use cases into a conceptual design and requirements;
- communicating the design priorities, and
- identifying and resolving issues arising from disparate stakeholder interests regarding priorities and proposed process solutions.

Strategies for maximizing the likelihood of meeting task deadlines and/or accelerating the work schedule. This may include (but is not limited to) ideas related to:

- promoting productive stakeholder engagement and expediting the process;
- use case and/or development prioritization; and
- process acceleration and/or work sequencing opportunities.

Describe the primary challenges anticipated in the project, how the selected team members have successfully dealt with those challenges before, and the resources and practices that would be required from NYSERDA to make these approaches work.

3.3 Statement of Work

The Statement of Work will delineate each step required to deliver the services. The Statement of Work is the primary contractual document that outlines work activities and will specify deliverables.

The proposer shall outline a preliminary Statement of Work that includes all tasks and deliverables necessary to meet the needs described in Section 2. It shall fully describe any proposed new tasks including interim, draft, and final deliverables. The proposer's Statement of Work and task descriptions

will be used as the basis for the draft Agreement between NYSERDA and the awarded contractor. All additions to the preliminary Statement of Work shall be clearly marked as new, recommended content, and the budget for those items shall be clearly separated in the Budget Proposal.

3.4 Schedule/Work Plan

Proposers shall submit a schedule along with a work breakdown structure and proposed durations for completing the Statement of Work in a Gantt chart or similar format in terms of weeks and months from contract award. The schedule may be updated in consultation with NYSERDA following contract award. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget and Statement of Work.

3.5 Budget Proposal

A total project budget, covering all services included in the proposal, must be provided using the attached Budget Form (see Attachment A). A not-to-exceed (NTE) budget for the work scope proposed must be provided, along with the total hours estimated. If a proposer believes that they do not have sufficient information to present a NTE proposal, a projected budget may be presented. Any projected costs must be accompanied by a detailed explanation of what clarifying information could allow for more certainty if obtained. Detailed assumptions shall be included with every budget to explain how values were derived. 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 necessary financial information can be made at NYSERDA's discretion. Please provide Attachment A, the Budget Form in xls format, as a separate document, from the main Proposal Submission.

3.6 Staffing Plan

Proposers shall provide an organizational chart and a Staffing Plan that facilitates effective leadership and quality staff services delineating roles and lines of authority, including the relationship among all personnel and any subcontractors. The Staffing Plan shall propose the sole primary point of contact, or project lead, and other key participants in the project. It will describe their individual expertise and explain how each will contribute to the work, including each staff's responsibilities in relation to each task as listed in the Statement of Work. It will also describe the team's management, technical expertise and relevant experience with similar projects.

The plan shall identify the staff duration for proposed role/responsibilities (1 month, 3 months, on-going) or a similar document (e.g., work breakdown structure). To maintain project continuity and a smooth transition, the awarded contractor may make changes to key personnel subject to consultation with and approval by the designated NYSERDA Project Manager.

The proposal shall also clearly demonstrate the project team's experience and competency in the following areas:

- business requirements analysis;
- identifying, defining, and prioritizing use cases by synthesizing input from stakeholders;
- experience with IT project management, software development and implementation, including requirements gathering through conceptual design, functional specifications development, RFP development; and
- managing complex and/or novel data projects including Critical Energy/Electric Infrastructure Information (CEII), automated dynamic data acquisition, quality control, storage, and algorithm development.

3.7 Qualifications

Describe how the proposer's staff and other team members meet the required experience, skills, and abilities to perform the services described in the RFP. State the individual and combined expertise that

would enable successful completion of the objectives outlined in this project. Provide relevant background information demonstrating the ability to successfully complete the required services, including prior experience in managing the design and implementation of complex big data access projects, incorporation of stakeholder/user feedback, scheduling, and budget management. Describe how in similar projects, the proposer was able to successfully work across multi-disciplinary, intra-organizational teams, especially in delivery environments involving extensive coordination and collaboration with non-team entities. The resumes of key personnel highlighting their relevant experience shall be included with the proposal as appendices.

Cite specific examples of previous successful relevant projects. Include the name and telephone number of at least two (2) references for whom your organization has completed relevant projects.

3.8 Letters of Commitment

If proposers are relying on any other organization to do some of the work or provide services or resources, a letter of commitment must be included from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer has not secured a firm commitment from the subject parties.

In compliance with §139-j and §139-k of the State Finance Law (see Section 5, 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.

4 Proposal Evaluation

Proposals that meet eligibility and solicitation requirements will be reviewed by a Scoring Committee based on the Evaluation Criteria 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 clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. NYSERDA anticipates that interviews may start as soon as Monday, April 15, 2024.

EVALUATION CRITERIA

- 1. Project Management, Facilitation, and Stakeholder Engagement:** Demonstrate a project management approach that utilizes best practices, understanding of the underlying program framework, and relevant experience.
- 2. Conceptual Design Development:** Demonstrated ability to produce the requested conceptual design; to design, document, and communicate via visual diagramming core data requirements and processes; and demonstrates Proposer's skill and technical competencies to conceptualize complex data integration.
- 3. Functional Specifications:** Proposer has substantial and relevant experience developing functional and nonfunctional specifications that map back to the business requirements for a software solution that incorporates automation, dynamic data, and algorithm development.
- 4. Requirements Gathering and Use Case Prioritization:** Outlines a clear method to identify business use cases; ability to document, iterate, and track evolution of system requirements; and understanding of how existing and new requirements converge with Tier 4 needs.
- 5. Project Schedule:** Project schedule reflects desired timeline and includes a detailed breakdown of tasks, durations, and deliverables.
- 6. Proposal Quality:** Demonstrated understanding of the project needs in a well-organized and -written manner.



7. **Proposal Cost:** In the evaluation of the Budget Proposal, firm costs and cost efficiencies evidencing lower costs accompanied by detailed explanation of the assumptions will be given more weight.
8. **Proposer's Qualifications:** Demonstrates Team's ability to execute complex data integration projects involving large amounts of both structured and unstructured data and proposed staff have significant experience with similar scope and size projects.
9. **MWBE/SDVOB** will be evaluated preferentially.

5 General Conditions

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

5.2 Omnibus Procurement Act of 1992

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

Information on the availability of New York State 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

5.3 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).

5.4 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>.

5.5 Contract Award

NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of 1 year, with an option to renew, if applicable. 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 your proposal has been selected for an interview. In approximately 4-7 weeks from the proposal due date, NYSERDA expects to notify proposers whether your proposal has been selected to receive an award. Upon receipt of this notification from NYSERDA, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting iedr@nyserdan.ny.gov. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Milestone	Weeks											
	1	2	3	4	5	6	7	8	9	10	11	
RFP Release	■											
Bidder's Conference		■	■	■	■	■	■					
Proposal Submission		■	■	■	■	■	■*					
Proposal Evaluation - Initial Screen								■	■	■		
Proposer's Interview								■	■			
Selected Awardee & Negotiations										■	■	■



5.6 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.

5.7 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.

5.8 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.

5.9 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 State 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 State 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.

5.10 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 or apply a program policy factor.

5.11 EQ 16 Protocols

Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing

contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

5.12 Information Security

The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as "ITS Security Policies") for State Entities, including NYSERDA. Contractors, vendors, and solution providers conducting work on behalf of NYSERDA including, but not limited to, application development, web development, hosting, or managing NYSERDA's sensitive data are required to comply with the NYS requirements. These requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities, and accepted behaviors to establish and maintain a secure environment and achieve the State's information security objectives. Contractors that manage NYSERDA's data outside of NYSERDA's systems with a High or Moderate rating as per the NYS ITS Information Asset Identification Worksheet must comply with the following requirements.

High Rating	Moderate Rating
<ul style="list-style-type: none"> • Maintain up-to-date SOC 2 Type 2 Assessment Report and provide to NYSERDA upon request. • Maintain Cyber Security Insurance • Provide a signed self-attestation on an annual basis for multiyear contracts 	<ul style="list-style-type: none"> • Maintain Cyber Security Insurance • Provide a signed self-attestation on an annual basis for multiyear contracts

6 Attachments

Attachment A – Budget Form (xls)

Attachment B – Sample Agreement



Regional Fund Administrator for an Offshore Wind
Fisheries Mitigation Fund
Request for Proposals
(RFP) 5554

Proposals Due: March 26, 2024 by 3:00 p.m. Eastern Time.

Disclaimer: Multiple entities from various jurisdictions have been involved in robust and complex engagement behind the concepts of this RFP. To reduce confusion and to preserve the integrity of the competitive solicitation process, it is advised that all questions concerning this RFP should be directed to the NYSEDA designated contacts listed below. All bids will be evaluated based on the criteria in this RFP and ideas presented by contacts outside of this RFP may or may not be viewed favorably by the Scoring Committee and could unintentionally lead to bids that do not meet the needs or criteria specifically outlined in this solicitation.

This Request for Proposals (RFP) is being advanced by the New York State Energy Research and Development Authority (NYSEDA) and with input, guidance, and financial commitments from a group of stakeholders which includes the states of Maine, New Hampshire, Massachusetts, Rhode Island, Connecticut, New York, New Jersey, Delaware, Maryland, Virginia, and North Carolina (the "States"), representation from the commercial fishing community, and offshore wind developers. Through this RFP NYSEDA is seeking a qualified entity to serve as the Regional Fund Administrator (RFA) that would design and develop an offshore wind energy related comprehensive fisheries compensatory mitigation fund (hereafter referred to as the "Fund") and associated claims processes to serve states, the fishing community, and offshore wind developers along the East Coast of the United States.

The Consensus Building Institute (CBI) and the Special Initiative on Offshore Wind (SIOW) have facilitated an extensive two-year consensus-based engagement process made up of the States, commercial fishermen, and offshore wind developers, (hereafter referred to as the "Multi-Sector Stakeholder Group" or "MSSG"). With additional input from federal agencies and relevant groups such as the Atlantic States Marine Fisheries Commission and the Coastal States Organization, the MSSG developed a detailed description of the need, interim governance structure, and a list of potential compensable costs and losses to be considered by the selected RFA. Details of this effort are outlined in the document entitled *Framework for Establishing a Regional Fisheries Compensation Fund Administrator for Potential Impacts to the Fishing Community from Offshore Wind Energy Development* (hereinafter referred to as the "Scoping Document"). The Scoping Document is available at <https://offshorewindpower.org/fisheries-mitigation-project>.

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. Each page of the proposal should state the name of the proposer, "RFP 5554" and the page number. NYSEDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Morgan Brunbauer (Designated Contact) at (518) 862-1090, ext. 3368 or by e-mail FisheriesAndOffshoreWind@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) 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. Questions must be raised in writing no later than **February 21, 2024, 3:00 PM ET**. Responses to questions raised in writing will be prepared and posted on the RFP website no later than **February 28, 2024, 3:00 PM ET**.

Proposals must be received by 3 p.m. Eastern Time March 26, 2024. Late, faxed, or emailed proposals will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note that for 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/FundingOpportunities/Current-Funding-Opportunities.aspx>).

I. INTRODUCTION

Requirements under the National Environmental Policy Act (NEPA) are intended to ensure all branches of government give proper consideration to the environment prior to undertaking any major federal action that significantly affects the environment. In the case of offshore wind (OSW) projects, potential impacts are assessed and the mitigation hierarchy is followed. The mitigation hierarchy prioritizes (in this order) avoidance, minimization, and mitigation measures, before acting on compensatory mitigation. NEPA further requires that compensatory mitigation be considered as a last step after other reasonable options are implemented and otherwise exhausted. While the mitigation hierarchy is paramount to follow, the States, federal agencies, commercial fishing industry, and offshore wind developers have concluded that compensatory mitigation will likely be necessary to ensure coexistence between offshore wind energy and fishing industries. As outlined in the Scoping Document, experience to date with siting and developing offshore wind energy in the region indicates that there would be value in an independent coastwide Fund that would provide a consistent, equitable, and transparent framework for compensation, subject to the establishment of a formal governance structure and compensation claims process.

The MSSG has concluded that to successfully advance the design and development of such a Fund, an independent party should be identified to design and develop, with significant stakeholder input, how the Fund process would operate and ultimately be implemented. The funding associated with this RFP is intended to provide support to the successful proposer for the development of the Fund and associated claims process. If successful, the proposer may ultimately serve as the entity to implement and manage the Fund.

Assuming that compensatory mitigation moves forward, the total Fund value that the RFA will eventually manage and disburse is currently unknown and NYSERDA can provide no guarantees. Based on the value of current fishery compensation plans from Vineyard Wind 1 and South Fork Wind Farm and fisheries exposure estimates from the National Marine Fisheries Service, the current slate of OSW projects in development and East Coast development goals – that the Fund could potentially reach hundreds of millions of dollars. However, the actual value will depend on a number of variables that are still unclear, including the number of OSW projects constructed, their assessed potential impact to fisheries, and which mechanism for identifying funds will ultimately be utilized. Currently these mechanisms include

NEPA assessments and are built into BOEM's Record of Decision for each project, however other future sources may include potential bid or lease stipulations as a means to identify funds.

Although there currently exists no requirement to establish and utilize a centralized fisheries compensatory mitigation fund, most OSW developers expressed¹ an interest in using such an entity contingent upon it having a robust and defensible process, administration capabilities, and support of both state and fisheries stakeholders. In addition, members of the fishing community have expressed an interest in using a centralized claims process and have presented their position on the subject in a white paper that was released by the Responsible Offshore Development Alliance (RODA) in December 2021². Building on the partnership established by the MSSG will help to ensure that the design and development of a Fund supports the needs of the stakeholders and builds the acceptance for the implementation of the Fund.

II. TERMS OF REFERENCE FOR A FISHERIES COMPENSATION FUND AND CLAIMS PROCESS

This section details some of the key elements to be considered by proposers for the design and development of the Fund and claims process. More detail can be found in the [Scoping Document](#).

Initial Mission: The RFA is established to design and develop a Fund and associated claims process to compensate fishermen for potential losses and/or increased costs incurred by individual fishing industry entities from impacts resulting from offshore wind energy development during construction and at least for the first five (5) years of wind project operation.

Design and Development Phase: This is the first phase of a planned two phased approach to establish an independent coastwide Fund to promote a consistent, equitable, and transparent framework for compensation, and form a proper governance structure to manage and disburse coastwide fisheries compensation claims as it relates to offshore wind construction and operations. This phase shall include, at minimum, a robust engagement approach to inform the process, policies, and procedures needed and create the governance, review, management, payments of claims, and necessary appeals processes for the Fund.

Compensation: While potential losses and/or increased costs have been identified for further evaluation in the Scoping Document, there is considerable need to assess the amount of compensation available to individual fishermen and the appropriateness of those identified potential losses and or costs. It is also expected that the RFA will need to consider and evaluate how these funds and final claims determinations fit into the context of each offshore wind project's Record of Decision from Bureau of Ocean Energy Management (BOEM), those funds developed through the NEPA review, and the operational impacts and terms included in BOEM's draft fisheries mitigation guidance³.

Organizational and Operational Structure: An interim governance structure must be established to help ensure the RFA is completing its tasks and objectives in a transparent and equitable manner. During the Design and Development Phase, the successful proposer will be obligated to work with a multi-sector Design Oversight Committee (DOC) which shall guide the work of the RFA. The DOC will operate on a consensus basis to provide advice and guidance collectively to the RFA. The RFA shall take the DOC's guidance under considerable advisement as it develops the Fund and claims process. In preparation for times of divergent advice from the DOC, the RFA shall propose an appropriate conflict resolution mechanism to settle the identified issue. It is also expected that the RFA, with the support of the DOC, shall develop a long-term governance strategy for the implementation and operation of the Fund and claims process.

¹ - during the Scoping Document public comment period

² https://rodafisheries.org/wp-content/uploads/2021/12/RODA-Impact-Fees-Report_Dec21.pdf

³ https://www.boem.gov/sites/default/files/documents/renewable-energy/DRAFT%20Fisheries%20Mitigation%20Guidance%2006232022_0.pdf

Engagement Components: The fishing industry is a complex industry that varies by state, species, gear type, port, vessel type and size, and business model. In a sense, there is no one “fishing industry” but rather a complex and interwoven set of industries. Due to this complexity, the RFA shall endeavor to advance, with support of the DOC, a robust “bottom up” fisheries stakeholder process that is equitable across regions and fisheries that includes broad engagement across the industry, both formal and informal forums for input, and direct engagement for advice and guidance from fishing industry members on the DOC. The RFA shall also use an iterative approach throughout all phases to ensure fisheries engagement feedback and advice and guidance from the DOC is being effectively incorporated into the development of the claims process.

Implementation Phase: The Implementation phase will commence after the completion of the Design and Development Phase and will be contingent upon the receipt of funds from OSW developers pursuant to federal or state project determinations. This phase shall include at minimum, the acceptance, review, management, payments of claims, and necessary appeals processes identified from the Design and Development Phase. Please note that the Implementation Phase is not part of this RFP. Based on performance during the Design and Development Phase, the successful bidder from this RFP may continue serving as the RFA for the Implementation Phase by way of cross sector letters of support or through other contracting mechanisms.

The following table briefly describes the role of key participants during the design and development process.

Entity	Primary Roles
Regional Fund Administrator (RFA)	The selected proposer who shall be responsible for designing and developing the Fund and claims process; establishing a robust commercial and recreational fisheries engagement plan; applying advice and guidance from the DOC throughout the Design and Development Phase and establishing a formal long-term governance structure for the Fun.
Contracting Entity (NYSERDA)	The RFA will be contractually bound during this phase to NYSERDA and all contractual and performance related matters will be managed by NYSERDA as per the negotiated contract. While NYSERDA is the procuring agent, the Design Oversight Committee (DOC) will be responsible for providing the advice and guidance to the RFA for inclusion in the design and development of the Fund and claims process.
Contracting Entity (SIOW)	SIOW will act solely as a fiscal agent for the funds provided by the offshore wind developers and private foundations for the Design and Development Phase of this effort. These funds will be held in escrow and a contract will be executed with the RFA detailing terms and conditions to access these funds. This contract will match the contract developed with NYSERDA to ensure an efficient and transparent process. SIOW shall also work with NYSERDA for contractual and performance related matters and shall not provide advice or guidance to the RFA.
Multi-Sector Stakeholder Group (MSSG)	This is the foundational working group made up of the eleven states, offshore wind developers, and diverse fisheries advisors who have collaboratively developed the baseline operational conditions needed for the RFA and associated claims-based process. The MSSG will play the role of a larger stakeholder body that may be utilized to inform the DOC on topical areas that are being considered to promote cross-sector consensus. The MSSG shall be informed by the DOC on the decisions made and progress RFA. Please note under the proposer’s advisement, the MSSG could cease existence in a formal capacity once the RFA is selected, and the DOC is established.

Design Oversight Committee (DOC)	The DOC will be identified by the MSSG and consist of representatives from three key sectors: commercial fishing, offshore wind development, and states. Representation will include six commercial fishing interests, three states plus the state contracting entity, and three offshore wind development interests. The DOC shall advise on the NYSERDA-approved contracted work and engagement plans; advise and guide the RFA throughout the decision points in the Design and Development Phase; relay RFA performance to the contracting agent(s), caucus with the sectors and actively attend all meetings. The DOC will follow established and agreed upon policies and procedures to ensure its objectives are clear and carried out during the Design and Development Phase for the establishment of the Fund and selection of the RFA. The DOC's governance role will conclude once the Design and Development Phase is complete, and a long-term governance structure is identified by the RFA.
DOC Steering Committee	A subset of the DOC, identified by the DOC membership, that works with RFA to provide efficient support and communications relating to the development of meeting agenda topics, information gaps or other issues for the RFA to bring to the DOC for further advice and guidance.
RFA Fiscal Agent (s)	As determined by the successful bidder, this may be an organization external to the RFA or the RFA itself. The role of the Fiscal Agent shall be to conduct and provide oversight for the key financial functions for the RFA at a reasonable overhead cost. The RFP Fiscal Agent shall provide infrastructure to execute administrative and financial duties to administer both operational (e.g., payroll) and administrative funding services (e.g., developing contracts for specific services, and aggregating funding, as needed). This organization does not direct the substance of the RFA's work but ensures all fiscal responsibilities are being met under the identified terms and conditions of all identified funding sources.
Facilitation/ Coordination Team (CBI)	The RFA shall seek to coordinate with CBI to facilitate the DOC; the state or industry sector meetings, and other ad hoc meetings and events as needed
Recreational Fishing Sub-Committee (RFSC)	Recreational for-hire fishing entities are expected to account for significantly less of overall costs and losses (based on data used for direct state-specific fisheries compensation programs). They are not represented on the DOC and the RFA shall initiate and execute an engagement process, based on DOC guidance, to involve the recreational for-hire fishing sector in developing the Fund and claims processes. This effort should focus on gathering pertinent information to understand the potential impacts and needs of the for-hire recreational industry. The RFA shall seek advice and guidance from members of the DOC to determine appropriate representation on this sub-committee and how best to incorporate this feedback into the overall Fund and claims process. The RFSC a sub-unit of the DOC in the overall governance structure.
Fishing Industry Stakeholders	Regional fishing industry members will be involved in the engagement process to provide meaningful input in the design and development of the Fund and claims process. The RFA shall develop an engagement plan for involving commercial and recreational fishing industry stakeholders that is equitable across fisheries, accessible, and sensitive to time commitments, meeting locations, and fishing seasons. This approach to engaging with the fishing industry shall be presented to the DOC for advice and guidance prior to implementation of any outreach.

III. PROGRAM REQUIREMENTS

A. Services Requested

Pursuant to the Scoping Document, the MSSG have identified the following key activities for the successful bidder:

- 1) Develop and document all details around the Fund and associated claims and appeals processes, with support from the DOC;
- 2) Design and document the administrative and financial functions needed to manage the Fund effectively and efficiently; and
- 3) Conduct robust engagement with stakeholders in the processes above to best position the Fund as the consensus-based, trusted path forward for efficient, equitable, and transparent regional fisheries compensatory mitigation.

Proposers must describe in detail how they propose to approach and complete the following tasks, each of which is envisioned to be needed for successful design, development, and ultimately implementation of the Fund and claims process. If there are tasks that are not included below but deemed valuable or necessary based on experience of the proposer, those shall also be described with a supporting explanation about why they are needed, how they add value and the associated timing and estimated costs.

Phase 1A: Initial Program Design and Stakeholder Outreach. During this phase, the selected entity shall:

- Convene the DOC to gather information and align on a path forward based on topical areas detailed outlined in the Scoping Document;
- Design and draft a “Work Plan” to outline the work in terms of the key tasks, steps, and milestones to establish a functioning regional claims process.
- Design and draft a “Stakeholder Engagement Plan” to robustly and actively consult commercial and recreational fishermen from Maine through North Carolina with advice and approval from the DOC, including on topics such as eligibility and compensation criteria for affected fisheries;
- Design and draft a “Conflict Management Plan” for endorsement by the DOC to be utilized in the event that divergent advice is given by members of the DOC;
- Engage with the DOC regularly, including an initial onboarding meeting, to create trust and transparency in the proposed process;
- Engage experts, individual fishing groups, individual offshore wind developers, states, NOAA, BOEM, ASMFC, fiduciaries (sources of compensatory mitigation monies) for advice, guidance and support on an ongoing basis; and
- Identify avenues by which offshore wind projects that are in an intermediary phase of establishing a project-specific fund could transition to using the regional claims process.

Phase 1B: Program Development. During this phase, the selected entity shall, in coordination with the DOC:

- Execute the Approved Work Plan, Stakeholder Engagement Plan, and Conflict Management Plan, including:
 - Design and develop the necessary systems including backend databases, public facing web sites, and associated claims portals;
 - Create program manuals, policies and procedures, and quality control materials for all identified project stages from claim application to appeal of final decision;
 - Develop and document baseline eligibility and compensation criteria for affected fisheries (consulting existing OSW project compensation approaches for reference);
 - Establish claims processes, appeals procedures, and standard final determination policies;
 - Work with fiduciaries and developers to identify the fiscal and administrative mechanisms and controls needed for receiving compensatory mitigation funds for distribution through

- the claims process;
- Design and document a long-term governance structure for the Implementation Phase of the Fund;
- Meet with DOC and stakeholders regularly to vet and test options and approaches, and;
- Provide appropriate project management including documenting accountable fiscal procedures and controls, invoicing, budgeting, contracting, and auditing.

Optional Phase 2: Implementation of the Fund.

Based upon the consultations and developments in Phases 1A and 1B, the selected RFA should be in a very strong position to implement the Fund and associated claims processes. While the activities associated with Phase 2 are outside of the scope of funding associated with selection under this RFP, and upon a decision that compensatory mitigation is necessary and approved, the expectation is that the selected bidder will:

- Execute on the implementation of the full claims process within 24 months of contract execution;
- Provide appropriate project management as outlined in the established policies and procedures developed during Phase 1A and 1B including clear, accountable fiscal procedures and controls, invoicing, budgeting, contracting, and auditing;
- Conduct necessary public reporting requirements on the status of the Fund;
- Regularly meet with the established long-term governing body; and
- Use an iterative approach to evolve the Fund and claims processes accordingly with advice and guidance from the DOC or other appropriately established stakeholder oversight mechanism.

B. Program Eligibility

NYSERDA, working in coordination with other states and sectors, is open to a variety of arrangements from prospective proposers including individuals, entities, teams, or partnerships. Proposers may include:

- Entities that are for, or not-for-profit.
- Entities that design, develop, and administer claims funds.
- Law firms, claims firms, non-governmental organizations, government-affiliated entities (commissions, authorities, etc.) or others.
- Single entities or partnerships across organizations if there is a prime and lead bidder.
- Entities that design and develop claims funds but do not administer them.

C. Proposer Qualifications

The selected bidder is expected to have the following characteristics and capacities to undertake the tasks noted above. These qualifications may be as part of the prime bidder itself, or within a team among a prime and its partner sub-contractors. The capabilities sought include (in no particular order):

- Established fiscal controls, legal incorporation (LLC, LLP, S or C Corp, or 501(c)3)); and a governance structure, if applicable (Manager(s), Board of Directors, etc.);
- Experience designing, developing, and launching claims-based funds, which may include programs established beyond pre-determined court-mandated programs;
- Experience and expertise with managing large, regional, and complex compensation funds with political implications and dynamics and preferably working directly with claimants in claims process design;
- Experience in developing or have an established conflict management plan to effectively resolve divergent stakeholder approaches;
- Experience in supporting and guiding multi-sectoral collaboration and working across sectors and organizations, private, non-governmental, and public, and state to federal agencies;
- Experience or expertise in working with the commercial and recreational fishing or related sectors and/or working with regional coalitions of states and/or offshore wind or other energy markets;
- Experience partnering and managing agreements with Federal, state, and non- governmental marine resource management agencies; and
- Preferably have a principal office located in one of the states on the East Coast working to establish this program (Maine to North Carolina).

D. Awards, Contractual Arrangements, and Responsibilities

In total, up to \$2,360,000 is available to the selected entity to provide services identified within the RFP. These funds have been aggregated through financial contributions from states, offshore wind developers, and private foundations. No funds are available to support the Implementation Phase of the Fund. However, if the services solicited for here are executed well, the selected RFA should be in a very strong position to implement the Fund and associated claims processes with compensation derived through the contributed funds.

NYSERDA will award a single two-year contract in the amount of up to \$760,000 in funding representing commitments from state entities (NYSERDA, Massachusetts Clean Energy Center, Maryland Energy Administration, and New Jersey Department of Environmental Protection,) who have come to financial and contracting terms with NYSERDA through separate financial Memorandums of Understanding (MOU). NYSERDA will serve as the primary procurement and contracting agent for these state funds and anticipates making an award under this RFP to the entity who best meets the qualifications above as evaluated by the Scoring Committee under the criteria described in Section V. Terms and conditions for the NYSERDA funding are described in Attachment B.

An additional award in the amount of up to \$1,600,000 will be made available to the selected entity via a separate two-year concurrent contract with SLOW who will administer funds derived from American Clean Power (ACP) and a group of private foundations to support the RFP. Terms and conditions for the SLOW funding to further initiate the administrative, financial, and coordination activities of the RFA are described in Attachment C.

A non-financial MOU will be formed between NYSERDA and SLOW to ensure alignment of the associated contractual tasks, payments, and schedules needed to fulfill terms and conditions associated with both financial contracts. The MOU with SLOW will be updated at the time of contracting with the selected entity to incorporate a single negotiated Statement of Work with the selected entity. MOUs with all parties providing funding will be signed prior to the release of this RFP. Additionally, the States have signed a letter to SLOW to signal their mutual support for this effort. This letter is found in Attachment D.

Costs to cover the Implementation Phase and long-term operation of the RFA will likely be covered by funds set aside through either the BOEM Record of Decision process and/or future lease bid and operating fees. **The funds noted in this RFP are solely intended for the Design and Development Phase.** The RFA selected for this Design and Development Phase may be eligible to either be solely recognized and/or apply for the position of the long-term RFA, provided the RFA's work in this first phase is deemed acceptable by the DOC and they remain in good standing with NYSERDA and other funders. The exact process for moving from the Design and Development Phase into the Implementation Phase has not been established at this time. However, if the proposer is interested in being considered for the long-term RFA, the proposer shall present their qualifications and other submission materials as appropriate in response to this RFP by showing strong capacity to not only design and build claims processes but also to manage and administer similar kinds of processes. Potential cross sector letters of support for the Design and Development RFA or other contracting mechanisms will likely be used as the selection process for the Implementation Stage.

IV. PROPOSAL REQUIREMENTS

The proposal should be developed to describe and address the topics identified in this RFP and the Scoping Document. Proposers may suggest alternatives or improvements to the prescribed approach. Additional materials beyond what is outlined below will not be considered. Unnecessary attachments beyond those

sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The maximum length of each proposal section is shown and should not be exceeded. If the proposer wishes to provide alternative options to those presented here for consideration by the reviewers, they may be presented along with appropriate justification and sufficient cost implications.

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

Proposal Format

Proposals must be submitted as a single file, inclusive of all supporting documents. The proposal should be in document form in an 8.5x11 format, with a readable font not below 11-point, 1-inch margins, and paginated including name of the bidder and bid on the bottom of each page. The file should be 100MB or less in file size. Proposers must submit a complete proposal in either PDF or MS Word format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. Each page of the proposal should state the name of the proposer, "RFP 5554" and the page number. Proposals should follow the format below and provide sufficient and succinct information to complete the required descriptions and answer the questions described in Section V "Proposal Evaluation" below. The preferred length of each proposal section is shown. The contents for the response are as follows.

1. *Cover Letter (1 page)*: The Cover Letter should be on the entities' letterhead and signed by a legal officer of the entity with the authority to enter into agreements and contracts.
2. *Table of Contents (1 page)*: The Table of Contents should provide detailed headings and page numbers for the contents of the response based on the components outlined below.
3. *Executive Summary (1-2 pages)*: A summary of the Proposal that covers the proposer's overall philosophy and approach to successfully implementing the elements outlined below.
4. *Overall Experience and Capabilities (approximately 3-5 pages)*: The proposer should detail the key experience, expertise, and capabilities of the organization, addressing the qualifications outlined in this RFP. At least three specific examples should be described in sufficient detail to demonstrate the desired experience outlined below. At minimum, the proposer should provide information on:
 - a. Current incorporation and organizational type including year and state of incorporation (and relevant Tax ID) (as applicable);
 - b. Past and current activities related to (a) developing and establishing funds be they court-mandated or otherwise and (b) the subsequent longer-term administration of that fund, including fund size in dollars, number of beneficiaries, average pay out per individual and other elements.
 - c. Experience, including systems or staff, used to manage claims-based programs and other technical work. Specifically, examples of working with relevant issues (e.g, fisheries-related topics) as well as working with regional collectives of states or multiple government entities;
 - d. Experience in managing multi-sectoral collaboration and building consensus among diverse and potentially conflicting parties and the creation of or use of an internally or externally established conflict management approach to handle divergent ideas or guidance;
 - e. Experience in designing, creating, and operationalizing a new fund, entity, network, or collaborative effort; and
 - f. Fiscal capacities such as budgeting, contracting, invoicing and fiscal controls to ensure

competent and accountable fiscal management.

5. *Staffing (up to 3 pages)*. The proposer must detail: 1) the staff who will interact with NYSERDA during initial contract negotiations and subsequent startup activities and their qualifications pertinent to this effort; 2) any staff who would be assigned for substantive work in the development of the RFA such as administrators, economists, fisheries experts, and stakeholder managers and their respective roles; 3) if the staff is not currently on board, the process and timeline for retaining needed staff members in a timely and effective manner; 4) any subcontracts or outside personnel that will be used their experience and role; and, 5) the team or management structure proposed for the work including a single lead project manager and identification of where the proposed team fits within the proposer's internal organizational structure.

The proposer must provide the CVs of existing personnel as an attachment which will not count towards proposal page number requirement (CVs should be no more than five (5) pages in length each) for any key, current personnel who will work substantially on project.

6. *Proposed Work Plan (up to 5 pages)*. The proposer should describe how it intends to accomplish the work in terms of the key tasks, steps, and milestones to establish a functioning regional claims process. The work plan should be detailed and will be the basis of not only evaluation of the proposals but also the foundation of the work plan developed for the work by the RFA to be approved by NYSERDA and the DOC. The work plan should include engaging with the DOC and NYSERDA as the contractual agent during the life of the project. The work plan should be as aggressive as possible to create a final Fund and associated claims process that will be implemented regionally to achieve the objectives outlined in this RFP. Any assumptions, limitations, and challenges to meeting this desired schedule should be named in the work plan and be based on prior experience in fund design. The proposer shall directly respond to the issues detailed in the Scoping Document, and offer clear, specific suggestions on how and where this suggested framework can be improved or adapted, including questions and issues that need to be considered as the Fund is designed and fully operationalized.
7. *Proposed Engagement Plan (up to 4 pages)*. The proposer must provide a proposed Engagement Plan and describe the process by which the Plan would be more fully developed. The Engagement Plan must include the range of fisheries expected to be consulted (gear types, ports, licenses, etc.) and how the proposer intends to robustly and actively consult commercial and recreational fishermen from Maine to North Carolina, including timing, activities, forms of engagement, and expected outputs or products from the engagement. The engagement plan should lay out an approach that is equitable across fisheries and geographies, accessible, sensitive to time commitments, meeting locations, fishing seasons, and the limited capacity of fishermen to participate in non-fishing activities. The Engagement Plan must include how the proposer intends to engage the for-hire recreational fishing sector and how the proposer shall incorporate that engagement and its output into the overall claims process. Proposers are encouraged to partner with appropriate fishing associations to undertake this work and must include in their cost-proposals anticipated costs for employing or compensating such entities. This engagement effort is an essential and fundamental element of a successful design and development process.
8. *Proposed Communications Plan (up to 3 pages)*. The proposer shall include a basic Communications Plan that addresses both internal (with NYSERDA, other funders, and the DOC) and external communications that will be refined in coordination with the DOC upon selection. Communications must include a basic public-facing website where information on the entity who is designing and developing the fund, the process, the status of work, and draft options or approaches which may be available for comment.
9. *Master Schedule (1 page)*. Complete a schedule showing start and anticipated completion times for all major tasks, in terms of months after project initiation. Include anticipated major milestones and important

decisions points and meetings, tests, demonstrations, publications, workshops, reports, and other key deliverables. The Schedule should be aggressive yet realistic and reflect the nature of key tasks of the RFA and will be subject to revision as the effort proceeds. The length of the schedule shall not exceed the two-year contract term. While the contractor will be expected to abide by this schedule to the extent possible, NYSERDA recognizes the multi-sectoral approach essential to success may affect timely delivery. Any binding contractual deadlines will be established during contractual negotiations post award.

10. *Proposed Budget (2 pages)*. Bidders shall provide the following information regarding the execution of the scope:

- a. A total cost, all inclusive of labor, expenses, overhead, and any other direct costs;
- b. A breakdown of labor costs by major activity and task needed to complete the work;
- c. The costs of engaging with the DOC which will require extensive RFA staff time to work with the coordinating committee between meetings, prepare agendas, attend, and support meetings, and respond to issues, options, and concerns after meetings;
- d. Fishermen participants (up to six) on the DOC and subsequent subcommittees shall be compensated for their time and expertise in the scoping process while serving on the DOC, based on established fisheries management council programs for their time and this shall be accounted for in Attachment A – Personnel and Rate Form;⁴
- e. An estimate of the cost of engagement such as for travel, meeting space, AV, and other logistics, and costs of labor to staff such efforts;
- f. A rough estimate cost of the number of staff and likely annual cost of administering a claims process once established;
- g. Expected charges in percentage to managing any subcontracts;
- h. Estimated charges in percentage to managing similar compensation programs negotiated with DOJ, DOE, or others; and
- i. Estimated planned cost to administer the eventual compensation fund as a percentage of funds received, or the method by which this will be determined and examples of typical costs to the bidder has needed to manage similar funds.

In providing the above, bidders should consult the scope and details as outlined in the [Scoping Document](#). Please note that with current funding, the scope of work is limited to the design, and interim claims disbursement phases of the program; however, should the selected interim RFA be successful in this first phase, they will be strongly positioned to serve as the administrator of the Fund. The below items shall also be included as attachments to the overall proposal but will not be counted in the overall page count.

11. *Conflict of Interests*: The proposer shall describe any actual or perceived conflicts of interest including existing contracts or recently concluded contracts.

12. *References*: Up to 5 letters of references from relevant entities or projects.

13. *Resumes or CVs*: No more than 5 pages each.

V. PROPOSAL EVALUATION

Proposals will be evaluated by a Technical Scoring Committee, led by NYSERDA, using the evaluation criteria as

⁴ 50 CFR Chapter VI S 600.245.

described below. At NYSEDA's discretion, the proposers may be asked for a virtual interview and/or may also be asked to clarify proposal details in writing. Note that incomplete or late proposals will not be considered.

The following are the key evaluation criteria in order of importance.

1. Detailed Past Project Experience
 - a. The proposer provides relevant experience that serves the needs outlined in this RFP including, but not limited to:
 - Experience in designing and developing a claims and associated fund including but not limited to court mandated, fisheries, or other relevant disaster-based funds; and
 - Experience with managing claims processing including examples of established processes or procedures where data to substantiate claims is less robust yet still potentially valid.
 - b. Experiences working with potential claimants as part of design and development.
 - Details any fisheries-based experience and/or how that experience would be incorporated into the team; and
 - Details how claimants' needs were considered and incorporated through engagement in the design and development of the fund.
 - c. Experience demonstrates administrative and management capabilities.
 - Provides concise details on reporting the status of fund, claims received, claims paid, and other information requested by stakeholders (as appropriate); and
 - Has an established and appropriate process for maintaining records.
 - d. Demonstrates relevant engagement approaches and experience.
 - Working with diverse groups of stakeholders including the fishing community, regionally across multiples states, other intergovernmental groups, and/or private sector entities;
 - Ability to assimilate diverse feedback and making balanced and independent determinations based on input from diverse stakeholder groups; and
 - Previous work within a stakeholder-based governance structure to help design, develop, and implement a formal structured funding mechanism.
2. Qualifications of the Organization and Staff
 - a. Organizational expertise and experience in meeting the needs and characteristics of the RFA as described in this RFP;
 - b. Capacity to support the size and scope of the approach including a detailed number, relevant experience, and skill of staff sufficient to meet the scope of work;
 - c. Detail any experience administering funds that extend beyond just individual or bulk claims compensation such as resilience, restoration, etc.;
 - d. If a team involving two or more organizations is proposed, the team's roles are clearly defined and the team members have demonstrated working together in the past; and
 - e. Include sample qualifications that demonstrate relevant experience to support successful outcomes that are relevant to the RFA, including fisheries expertise.
3. Understanding Need and Responsiveness to the RFP
 - a. Overall responsiveness to this RFP in terms of completeness and details of the response;
 - b. Well organized, well written and clear response;
 - c. Rationale demonstrates high quality and effectiveness of the proposed work plan;
 - d. The proposer demonstrates an organizational mission, structure and capabilities that are consistent with the needs and concepts put forth int the Scoping Document;
 - e. The proposer shows a detailed understanding of the need for and role of the RFA in advancing the establishment of a regional fisheries compensation fund;
 - f. The proposer offers specific, thoughtful, and substantive improvements to the Scoping Document; and

- g. The proposer shows how and when they will achieve the outcomes desired.
4. Cost, Timing, and Schedule
 - a. Include all required costing elements and aspects;
 - b. Detail approach to avoiding cost overruns and relative market competitiveness;
 - c. Provide a schedule that demonstrates an understanding of the needs and expectations of the program; and
 - d. Demonstrate how the proposed timeline and schedule would be met with existing resources, realities, and capabilities.

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 contracting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf).

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

Contract Award - NYSERDA anticipates selecting a single proposal under this RFP. NYSERDA anticipates a contract duration of up to two years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA reserves the right to interview proposers, if deemed necessary by the scoring committee. NYSERDA may, at their discretion, elect to extend and/or add funds to any project funded through this RFP. NYSERDA will use the Sample Agreement (Attachment B) to contract successful proposals for access to the state supported funding. Contractual terms and conditions for the SLOW managed ACP and private funding are detailed in Attachment C below and the proposer shall negotiate those terms directly with SLOW. These components will be appended to the NYSERDA SLOW MOU. This joint MOU will also be updated to include the Statement of Work, Budget, and Schedule to ensure contractual alignment between the two funding entities and the RFA. Proposers should keep in mind that acceptance of all standard terms and conditions from NYSERDA and SLOW will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately ten (10) to twelve (12) weeks from the proposal due date whether your proposal has been selected. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement. NYSERDA reserves the right to both extend the term of the project and available funding to fulfill the needs of the Design and Development Phase as described in this RFP and outlined in the forthcoming SOW.

Accessibility Requirements - If awardees from this RFP 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 NYSEDA after the award of a contract, NYSEDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

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 NYSEDA, 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 NYSEDA 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 NYSEDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSEDA may neither appear nor practice before NYSEDA, nor receive compensation for services rendered on a matter before NYSEDA, for a period of two years following their separation from NYSEDA service. In addition, former NYSEDA 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 NYSEDA.

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. NYSEDA 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. 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 rescore a proposal or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor. Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov>. There is no waiver or exemption process for vendors appearing on the federal sanctions list. The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

VII. ATTACHMENTS

- Attachment A – Budget
- Attachment B – NYSERDA Sample Agreement
- Attachment C – SLOW Contracting Terms and Agreement
- Attachment D – State Letter of Support to SLOW
- Attachment E – Sample Metrics Reporting Guide

New York School Bus Incentive Program Summary of Changes

February 2024

Implementation Manual changes:

1. Definitions

- Added NYSBIP Stacking Amount definition to support the new stacking language.
- Added NYSBIP Charging Voucher Portal definition to support the new charging voucher process and to clarify that this is the portal that Purchasers to submit Charging Voucher Applications.
- Change the NYSEDA Portal definition clarify that the NYSEDA Portal is for Dealers to submit School Bus Voucher Applications.

2. Section 1.1

- Changed the amount of time that Purchasers must update their Charging Voucher Application information from 90 to 60 days.

3. Section 1.3.2. Voucher Stacking

- Added additional details and requirements regarding stacking NYSBIP and other programs.
- Reduce NYSBIP award amount when stacked with US EPA Clean School Bus Program

4. Section 2.3.2.1 Scrapage Bonus Requirements

- Clarified who must be the owner of the scrap bus and added additional requirements.

5. Section 2.5 School Bus Voucher Caps

- Clarified end date for the current vehicle caps. Added additional caps for third-party operators.

6. Section 3.1 Charging Voucher Amounts

- Added Charging Voucher caps at \$2M until December 1, 2025.

7. Section 3.1.1 Fleet Electrification Plan Requirements

- Clarified that Purchasers must submit their Fleet Electrification Plan or additional documents to qualify for the additional charging voucher funds.
- Clarified that Purchasers have 180 days after Charging Voucher Application pre-approval to submit their Fleet Electrification Plans
- Clarified Charging Voucher cap amounts for Purchasers.

8. Section 3.2.1 Eligible Charging Infrastructure and Installation Costs

- Updated Figure 1 to reflect the changes to the Make-Ready program

9. Section 4.2 Charging Voucher Process

- Updated the language in step 1 to reflect changes made in Section 3.1.1.
- Clarified that Purchasers who submit for Charging Voucher Application pre-approval without charger information have 60 days to submit their charger information
- Clarified that Purchasers who submit for Charging Voucher Application pre-approval and are submitting a Fleet Electrification Plan have 180 days to submit their charger information and Fleet Electrification Plan.

10. Section 5.1 School Bus Eligibility Requirements

- Changed requirements regarding model year of new buses allowed.

11. Section 9.1 School Bus Scrapage

- Included school districts as an entity that can scrap to match updates made in Section 2.3.2.1 Scrappage Bonus Requirements.

12. Section 9.1.1 Required Scrappage Documents

- Added DOT inspection records as a required document and clarified other document descriptions.

13. Section 10.2 Charging Voucher Application Process

- Updated language to reflect Fleet Electrification Plan updates in 3.1.1 and formalized charging voucher process.
- Updated language to reflect pre-approval timelines in 4.2

14. Section 10.3 Charging Voucher Approval

- Updated language to reflect Fleet Electrification Plan updates in 3.1.1.
- Updated language to reflect pre-approval timelines in 4.2

15. Made additional minor non-substantive stylistic/clarifying changes.

Scrappage Attestation Form:

- Added language confirming that Scrappage was done in accordance with the requirements in the New York School Bus Incentive Program Implementation Manual.

New York School Bus Incentive Program

Implementation Manual

March 2024



NEW
YORK
STATE

School Bus
Incentive Program

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Definitions for NYSBIP

Battery Storage is a battery-based energy storage device located at the site of electricity use, such as a stationary battery or a battery integrated into a Charger at a school bus charging site. This can either be connected to the grid or stand-alone.

Charge Management Software is an integrated or standalone software tool that helps optimize charging to reduce electricity costs, minimize charging logistics, and ensure vehicles are charged to the appropriate level when needed.

Charger is an individual unit and attached hardware that dispenses electricity to an electric vehicle. The Charger, in this manual, includes the charging station and attached cord(s) and Charging Port(s) that deliver electricity from a Charger to an electric vehicle. Single Chargers have a single Charging Port originating from a single pedestal, pole-mount, ground-mounted, or wall-mount; dual Chargers are stations that have two Charging Ports originating from a single pedestal, pole-mount, ground-mounted, or wall-mount. For the purposes of NYSBIP, Charger will be considered analogous to charging station.

Charging Port is a plug that attaches to an electric school bus or other electric vehicle that connects to and provides power to charge a vehicle.

Charging Infrastructure includes the Charger and all hardware associated with the Installation, including Customer-Side "Make-Ready" Equipment (see Customer-Side "Make-Ready" Equipment definition).

Charging Operator is the entity that will operate the Charging Equipment. This may be the School District or a Third-Party Operator.

Charging Station: See the definition for Charger.

Charging Voucher is the reserved voucher funds and Charging Voucher Redemption process specifically to fund Charging Infrastructure and Installation costs.

Charging Voucher Application is the process by which a Purchaser supplies information to the [NYSBIP Charging Voucher Portal](#) to obtain a Charging Voucher incentive set aside for Eligible Charging Costs.

Charging Voucher Redemption is the process by which a Purchaser submits final milestone information to the NYSEDRA Portal to trigger disbursement of the Charging Voucher funds to the Purchaser.

Contractor Portal is an online system, utilizing Salesforce software, that entities selling eligible vehicles use to apply to become a Dealer in the program.

Customer-Side “Make-Ready” Equipment includes electrical site upgrades on the customer’s side of the electric meter. This includes, but is not limited to, switchgear, electrical panel upgrades, wiring and conduit, and trenching.

Dealer is an Electric School Bus (ESB) dealership, Original Equipment Manufacturer (OEM), or Upfit/Retrofit Manufacturer (URM) that sells Eligible Vehicles or Charging Infrastructure directly to a Purchaser or end-user. In the case of Repowered School Buses, the Dealer is the entity that sells the repower equipment to the Fleet and performs the repower on the school bus.

Disadvantaged Community (DAC) is currently defined as a census block that meets the criteria established by the NYS Climate Action Council's Climate Justice Working Group to be designated a Disadvantaged Community. An [interactive map](#) to determine whether a location is in a Disadvantaged Community is available for reference.

Domicile is the location where the ESB will be registered, stored, maintained, and/or generally be located (such as a fleet depot) when not performing duties.

Electric School Bus (ESB) is an on-road, zero-emission school bus with a gross vehicle weight rating (GVWR) of Class 3-8 that operates solely by use of a battery pack or hydrogen fuel cell propulsion system. For the purposes of NYSBIP, ESBs are primarily designed and used for pupil transportation and include Repowered School Buses.

Eligible Charging Costs includes the items/activities that NYSBIP Charging Voucher will reimburse, generally including Charging Infrastructure and Installation (check section 3.2) for requirements and eligible costs).

Eligible ESB is an electric school bus that meets all program rules and requirements and is on the [NYSBIP Eligible ESB List](#).

Fleet is the vehicle fleet of a commercial, nonprofit, or public sector entity (excluding federal governmental entities) that domiciles, registers, and/or operates Class 3-8 GVWR vehicles in New York State. Fleet vehicles cannot be registered to an individual.

Fleet Electrification Plan is a comprehensive evaluation of existing fleet operations, analysis of current site electrical capabilities, and a plan for electrifying the Purchaser’s entire school bus fleet to ESBs by 2035. The plan will serve as a guide, or action plan, that identifies and prioritizes recommendations to assist Purchasers with making informed decisions.

Gross Vehicle Weight Rating (GVWR) is the maximum operating weight/mass of a vehicle as specified by the manufacturer and described on the original manufacturer line setting ticket provided to the vehicle dealer. Refer to this table of weight classes.

Vehicle Class	Gross Vehicle Weight Range
Class 3	10,001 – 14,000 pounds (4,536–6,350 kg)
Class 4	14,001–16,000 pounds (6,351–7,257 kg)
Class 5	16,001–19,500 pounds (7,258–8,845 kg)
Class 6	19,501–26,000 pounds (8,846–11,793 kg)
Class 7	26,001–33,000 pounds (11,794–14,969 kg)
Class 8	≥33,001 pounds (≥14,969 kg)

High-Need/Resource Capacity (High N/RC) Districts are school districts with high need/resource capacity indices, according to the Need/Resource Capacity Categories developed by the [New York State Education Department](#) (NYSED). This is a measure of a district's ability to meet the needs of its students with local resources and is quantified by the ratio of the estimated [poverty percentage](#) (expressed in standard score form) to the [Combined Wealth Ratio](#) (expressed in standard score form). A district with both estimated poverty and Combined Wealth Ratio equal to the State average would have a need/resource capacity index of 1.0.

Incremental Cost is the difference in cost between the new Eligible ESB and a comparable new diesel- or gasoline-fueled school bus that would be purchased to perform the same function. For the purposes of this program, the entire cost to repower a school bus is considered its incremental cost.

Installation includes the design, construction, and labor associated with permanently affixing a charging station at a site and connecting it to the necessary power source to be able to charge an electric school bus.

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

Installer is a certified electrician who has experience installing Charging Infrastructure.

In-Service is a bus that has been delivered, in working order, accepted by the fleet, and not subject to any unresolved recalls.

Internal Combustion Engine (ICE) Vehicle is a vehicle with an engine powered by burning fuels such as diesel fuel, gasoline, ethanol, or natural gas.

Joint Utilities (Utilities) are comprised of Central Hudson Gas and Electric Corp., Con Edison, National Grid, New York State Electric & Gas Corp., Orange and Rockland Utilities, Inc., and Rochester Gas and Electric Corp.

Level 2 Charger is a type of Charger that uses a 240V alternating current connection to deliver electricity to an electric vehicle. ESBs generally require at least 19.2 kW and can be fully charged by a Level 2 Charger in 6 to 11 hours.

Level 3 Direct Current Fast Charger (Level 3 Charger), or DCFC Charger, refers to a type of charger that uses up to 600V direct current connection to deliver between 30 kW to 125 kW to an electric vehicle. A DCFC Charger can typically fully charge an ESB in 1 to 5 hours.

Line Setting Ticket is the factory build or construction sheet created when the vehicle order is sent to the vehicle manufacturer.

Managed Charging/Smart Charging are vehicle charging schemes that use networked chargers and optimized charging plans to balance vehicle energy needs and site energy control objectives such as managing the peak load.

Meter/Sub-Meter a device that records the amount of power flowing through an electrical circuit to calculate electricity bills.

Networked Chargers are EV Chargers that are connected to the internet for the purpose of one or more of the following: data collection, energy management and demand response, payments, remote troubleshooting, reservation systems, advertising, and other application add-ons. Networked Chargers may be managed with Charge Management Software (see Managed Charging/Smart Charging).

New York School Bus Incentive Program Website: <https://www.nyserda.ny.gov/All-Programs/Electric-School-Buses/NY-School-Bus-Incentive-Program-Overview>

[NYSBIP Charging Voucher Portal](#) is the Salesforce software system that Purchasers must use to apply for charging Vouchers. The portal will also allow Purchasers to check the status of their voucher progress and upload program required documents for voucher approval and voucher redemption approval.

NYSBIP School Bus Stacking Voucher is the new School Bus Voucher incentive amount that a Purchaser can receive if they are choosing to stack incentive funds from other federal and state programs for their ESB.

Nonprofit is an agency or corporation that is exempt from federal income taxes under Section 501 of the Internal Revenue Code (26 U.S.C. § 501).

[NYSERDA Portal](#) is the Salesforce software system that Dealers must use to apply for School Bus Vouchers. The portal will also allow Dealers and Purchasers to check the status of their voucher progress and upload program required documents for voucher approval and voucher redemption approval.

Original Equipment Manufacturer (OEM) is the company that builds or assembles, at a minimum, the completed drive train and chassis for an Eligible Vehicle.

[Participating Vehicle Dismantler](#) is a facility that will perform the Scrappage of an eligible old internal combustion engine (ICE) vehicle according to NYSBIP guidelines.

[Priority Districts](#) are school districts that are either High-Need/Resource Capacity districts or school districts in which over 40% of the total area population lives within a DAC. These districts qualify for a 'Priority District' bonus.

Purchaser is the entity that will directly purchase, own, and operate the ESB and/or Charging Infrastructure. The Purchaser may be a School District or a Third-Party Operator.

Replacement ESB is a new Eligible ESB that replaces an existing ICE school bus of similar or higher weight class that has been scrapped to qualify for a scrappage bonus.

Repowered School Bus is an existing school bus, at least six years older than the current model year, that had its existing internal combustion engine scrapped and replaced with a new zero-emission engine, motor, drivetrain, and battery. For the purposes of NYSBIP, Repowered School Buses are considered ESBs (refer to Electric School Bus definition).

School Bus Operator is the entity that will operate an Eligible ESB. This may be the School District or a Third-Party Operator.

School Bus Voucher refers to the reserved voucher funds specifically to fund the difference in cost between an ESB and a diesel/gas school bus equivalent.

School Bus Voucher Application is the process by which a Dealer supplies information to the [NYSERDA Portal](#) to obtain a School Bus Voucher incentive set aside for an Eligible ESB.

School Bus Voucher Redemption is the process by which a Dealer submits final milestone information to the NYSERDA Portal to trigger disbursement of the School Bus Voucher funds to the Dealer.

Scrappage (Scrapped or Scrap) is verifiably rendering inoperable an ICE school bus with an engine dated 7 years or older than the year of application by verifiably cutting a three-inch hole in the engine block and disabling the chassis by cutting the school bus's frame rails completely in half.

Telematics is the technology of sending, receiving, and storing information using telecommunication devices that have been installed in an Eligible Vehicle by a fleet participant.

Third-Party Operator is a party engaged by a school district to operate school buses and/or associated Charging Infrastructure on behalf of the school district for pupil transportation purposes.

Type A School Bus is a smaller bus built on a cutaway front-section school bus with a carrying capacity of 10–25 passengers. Type A school buses are split into two sub-groups: Type A-1, having a Gross Vehicle Weight Rating (GVWR) of less than 10,000 pounds, and Type A-2, having a GVWR of 10,000 pounds or more.

Type C School Bus is a full-length school bus with a “truck-front” design. A Type C school bus can carry between 60-72 passengers. The GVWR is usually between 23,500 lbs. and 29,500 lbs.

Type D School Bus is a full-length school bus with a “transit-front” design. A Type D school bus can carry between 72-90 passengers. The GVWR is usually between 25,000 lbs. and 36,000 lbs.

Upfit/Retrofit Manufacturer (URM) is a company that installs equipment on a truck or bus rolling chassis purchased from an OEM. For the purposes of NYSBIP an Upfit/Retrofit Manufacturer must bear full responsibility under federal law for any school bus defects and is responsible for certifying the school bus meets all applicable federal safety standards.

Utility-Side “Make-Ready” Equipment covers all electric system upgrades on the Utility’s side of the charging meter (i.e., typically not owned by the fleet owners). This includes, but is not limited to transformers, the distribution network, and the electrical meter. This infrastructure is not eligible for reimbursement under NYSBIP. In some cases, Utility-Side Make-Ready Equipment is eligible for reimbursement by the Joint Utilities.

Vehicle-to-Grid (V2G) is a type of charging that enables an ESB’s battery to send stored electricity back to the grid when connected to power. This is typically done during peak demand times and when the ESB has an extended layover period. V2G capability has the potential to generate revenue for School Bus Operators when utilities have programs to enable its utilization.

Voucher Approval Date is the date on which NYSERDA approved a project and sets aside funding for a ESB project. Dealers and Purchasers must submit all documentation for reimbursement within 15 months of the voucher approval date. NYSERDA may approve extensions.

Voucher Help Center (VHC) is the primary program point of contact for Manufacturers, Dealers, and Purchasers. The VHC answers questions related to the program and reviews voucher applications upon submission. Contact the VHC via email NYSBIP@energycenter.org or call 866-595-7917.

1 Program Overview

In the 2022 budget, the New York State Legislature and Governor Hochul established a deadline for the transition from internal combustion engine (ICE) school buses to zero-emission buses. Specifically, all school buses purchased in New York State must be zero-emission buses by 2027 and all school buses operating within the State must be zero-emission by 2035. Zero-emission school buses are either electric school buses (also referred to as ESBs) or hydrogen fuel cell school buses. Also in 2022, State voters overwhelmingly voted for the [Clean Water, Clean Air, and Green Jobs Environmental Bond Act](#) (Bond Act), which includes \$500M to support the transition to zero-emission school buses. NYSERDA has established the New York School Bus Incentive Program (NYSBIP) to distribute the Bond Act funding to school districts thus helping to achieve the State public purposes and assisting school districts in complying with the zero-emission school bus mandate.

NYSBIP is a voucher incentive program aimed to accelerate the deployment of zero-emission school buses in the medium- and heavy-duty vehicle weight classes. Voucher incentives facilitate fleet adoption of ESBs by reducing the upfront prices of ESBs, which are currently more expensive than comparable ICE school buses, and the associated Charging Infrastructure. Vouchers make it more affordable for fleets to gain experience with cleaner technologies that often cost less to operate than diesel and gasoline school buses. NYSERDA hopes that this reduction in cost will increase the use of zero-emission vehicle technologies. Increased use of zero-emission technologies benefits the health of students and drivers by improving air quality. When a zero-emission school bus replaces an ICE school bus it eliminates greenhouse gas and other harmful vehicle tailpipe emissions. A transition to zero-emission school buses also lessens the State's transportation sector's dependence on petroleum.

NYSBIP goals are to:

- Accelerate the deployment of zero-emission bus technology to reduce greenhouse gas emissions and air pollution.
- Reduce the upfront costs to New York State school districts of purchasing zero-emission school buses and associated Charging Infrastructure.
- Provide environmental and health benefits to all New Yorkers, with a focus on improved outcomes for residents of Disadvantaged Communities as defined by the Climate Act.

1.1 About the Program

The NYSBIP is an incentive program that provides grants to a school district or group of school districts to offset all or a portion of the purchase price of Electric School Buses (ESBs) and/or associated Charging Infrastructure to be used to service the students of those school districts. In the case where a school district contracts with a Third-Party Operator to provide school bus services, the grant to the school district may be applied to make a one-time payment for a portion of the purchase price of Bus(es) and/or associated Charging Infrastructure that are purchased by the operator and will serve the students of that school district.

NYSBIP provides two voucher incentives: the School Bus Voucher (section 2) and the Charging Voucher (section 3). **It is important to note that two voucher applications are required to reserve incentive funds for both School Buses and Charging Infrastructure.**

The School Bus Voucher incentive works as follows: a Purchaser agrees to purchase an Eligible ESB from a Dealer qualified to sell that ESB through NYSBIP. The Dealer then deducts the value of the School Bus Voucher from the total sale price. Once the Dealer has supplied all required documentation to verify all steps of the School Bus Voucher process, and scrappage (if applicable), is complete, NYSERDA reimburses the Dealer for the full School Bus Voucher amount. By providing the School Bus Voucher to the Purchaser at the point of purchase in the form of a discount off the total purchase price, NYSBIP makes ESB acquisitions easier, less expensive, and helping to distribute the benefits of ESB deployment within New York State.

To receive a Charging Voucher, a Purchaser will submit a Charging Voucher Application. To qualify Purchasers must demonstrate initiation of an ESB purchase either through NYSBIP or with other funds (e.g. EPA Clean School Bus Program, self-funded). Purchasers will upload basic information about the Chargers they select to the application on or within thirty (30) days of submitting a Charging Voucher Application. Once the application is approved, a Purchaser performs any Charging Infrastructure upgrades associated with the Chargers. After Installation, the Purchaser supplies all required documentation to verify all steps of the Charging Voucher process is completed to NYSERDA. NYSERDA then reimburses the Purchaser for costs covered by NYSBIP up to 100% of the Charging Voucher amount.

1.2 About the Implementation Manual

This Implementation Manual outlines the process, requirements, rules, and funding parameters of NYSBIP to provide School Districts and other members of the public with information on how to participate. NYSERDA may make changes to the Implementation Manual at any time. NYSBIP participants are bound by the version of Implementation Manual in effect at the time their voucher application is submitted. In other words, voucher applications, voucher redemption protocols, and all other program elements associated with those vouchers must follow the directions outlined in the most recent version of the Implementation Manual posted on the NYSBIP website at the time of voucher submittal. The most recent Implementation Manual, as well as all required forms and agreements, can be found on the [NYSBIP website](#). Notice of all changes will be provided to participants via their designated email addresses, as identified in the voucher application.

1.3 General Program Rules

NYSERDA will not make a voucher payment until all requirements for voucher redemption are met and approved by NYSERDA (section 9 and section 11).

If the Purchaser and Dealer does not provide proper documentation for School Bus Voucher Redemption, NYSERDA is NOT responsible for the deficit in funding for the ESB purchased.

Partial voucher payments will not be made on an individual ESB. Partial voucher payments may be made for individual ESBs on a multi-vehicle voucher request.

If requesting a scrappage bonus, failure to comply with all applicable scrappage requirements will result in the denial of the scrappage bonus.

NYSERDA will determine and update School Bus Voucher amounts—based on the average purchase price difference between all ESBs and comparable diesel or gasoline school buses in each ‘type’ of bus (e.g., Type A, C, D)—and post that information in the NYSBIP Eligible ESB List on the [NYSBIP website](#). This allows prospective Purchasers to know the estimated ‘base’ ESB incentive amount (before eligible bonuses or add-ons are applied, check section 2.1 for more information) prior to negotiating an ESB price with the Dealer. NYSERDA will determine and update Charging Voucher amounts on the NYSBIP website.

NYSERDA, at its sole discretion, will determine the final value of a voucher at the time of application approval. Project-specific information, such as vehicle domicile address and Fleet Electrification Plan may impact the final voucher amount and will be determined when the application is approved.

1.3.1 Voucher Publicity

All Program participants, including Purchasers and Dealers, must collaborate with NYSERDA’s Director of Communications, at least ten (10) business days in advance, to prepare any press release and to plan for any news conference concerning work related to the NYSBIP. NYSBIP participants must notify the Voucher Help Center and NYSERDA Project Managers in advance of any media interview or press event in which work related to NYSBIP, including ESBs or Charger Infrastructure for which the purchase was facilitated using vouchers, is referred to or discussed. Purchasers must not use NYSERDA corporate name, logo, identity, any affiliation, or any related logo, without prior written consent from NYSERDA.

1.3.2 Voucher Stacking

NYSBIP awards may be combined (“stacked”) with other eligible public incentives where applicable. Such incentives may include, but are not limited to, the Inflation Reduction Act (IRA) Tax Credits and available utility “Make-Ready” programs such as the Medium- and Heavy-Duty Make-Ready Pilot Program. In no instance may the total incentive amount exceed 100% of the value of the ESB and/or Charging Infrastructure. Purchasers must submit documentation to NYSERDA showing all other public incentives received/awarded for the ESBs and/or Charging Infrastructure. If it comes to NYSERDA’s attention that ESB or Charging Infrastructure has received or is slated to receive incentives totaling more than 100% of the value of the ESB and/or Charging Infrastructure, NYSERDA will reduce the NYSBIP award accordingly or request reimbursement of excess incentives if incentive payments have already been made.

1.3.2.1 U.S. EPA Clean School Bus Program Stacking

NYSBIP incentives and EPA Clean School Bus (CSB) Program award funding may be stacked for the same vehicles. However, under NYSBIP buses that are funded through a CSB Program award are only eligible for the funding amounts listed in the table below, the NYSBIP School Bus Stacking Voucher amount.

If a School Bus Operator applies to NYSBIP and is approved and then receives an award through the CSB Program, the NYSBIP School Bus Voucher amount will be adjusted to the NYSBIP School Bus Stacking Voucher amount. The NYSBIP School Bus Stacking Voucher amount is determined based on whether the Purchaser is an EPA “priority” or “non-priority” district (Table 1). Please note that EPA and NYSBIP Priority District differ and the NYSBIP School Bus Stacking Voucher amount is determined by the EPA designations.

The NYSBIP School Bus Stacking Voucher is awarded on top of the amount awarded by the CSB Program, up to 100% of the average ESB price (refer to section 2.1). Purchasers who choose this option forfeit any Bonus Amounts described in section 2.3 and 2.4. When combined with the CSB Program awards, this stacking approach results in a significantly higher total award amount than the standard NYSBIP incentive.

If a School Bus Operator receives a CSB Program award for one or more ESBs before applying to NYSBIP, it may also apply for the NYSBIP School Bus Stacking Voucher if it has not already paid for the ESBs being purchased. If the NYSBIP application is approved, the Dealer will discount the price of the ESB by the NYSBIP School Bus Stacking Voucher amount for the Purchaser. At School Bus Voucher Redemption, the Dealer will receive the NYSBIP School Bus Stacking Voucher amount. For more information about School Bus Voucher Redemption, refer to section 9.

Table 1. NYSBIP School Bus Stacking Voucher Amounts

	EPA Priority District			EPA Non-Priority District		
	Type A	Type C	Type D	Type A	Type C	Type D
NYSBIP School Bus Stacking Voucher Amount	\$50,000	\$50,000	\$50,000	\$100,000	\$100,000	\$100,000

NYSERDA reserves the right to review, change, or eliminate these stacking amounts at any time.

1.3.3 Program Contacts

All Program questions can be directed to the Voucher Help Center (VHC):

NYSBIP Voucher Help Center

866-595-7917

NYSBIP@energycenter.org

If you are unable to contact personnel at the VHC, or if there are issues that the VHC cannot resolve, please contact the NYSERDA project managers responsible for the Program:

Hannah Abdoo

Project Manager

1359 Broadway, 19th Floor, New York, NY 10018-7842

(518) 862-1090

Hannah.Abdoo@nyserda.ny.gov

Send an email to schoolbus@nyserda.ny.gov for more information.

2 School Bus Voucher Requirements and Amounts

A School Bus Voucher will be issued for the net eligible incremental cost of an ESB after all other incentives are accounted for and after the application has been determined to meet all program eligibility criteria. If the Purchaser qualifies for the Equipment Add-Ons described below, the Purchaser will be issued a voucher for the net eligible incremental cost plus the total amount of funding for the qualifying Equipment Add-Ons. The incentive amounts shown below may change over time. Once a School Bus Voucher is approved, that School Bus Voucher is eligible for the incentive amount shown in the Implementation Manual at the time of the School Bus Voucher Application submission.

2.1 Base School Bus Voucher Amounts

The base School Bus Voucher amounts for NYSBIP are intended to cover a large percentage of the incremental cost of an ESB. School Bus Voucher amounts are categorized by type of bus (e.g., Type A, Type C, Type D) and by whether the ESB is purchased new or if it is an existing school bus that is being repowered. The base School Bus Voucher amounts are shown in Table 2. The base School Bus Voucher amounts were determined by subtracting the average price of all internal combustion engine (ICE) school buses on the [OGS State School Bus Contract](#) in each category from the average price of all ESBs in that category. Repowered School Bus incremental values were determined based on industry research. The maximum School Bus Voucher amounts, once all available School Bus Voucher Bonuses (Bonus) and Complementary School Bus Voucher Add-Ons (Add-Ons) are applied, are shown in Table 3. NYSERDA reserves the right to change the incentive amounts shown below.

Table 2. Base School Bus Voucher Amounts

School Bus Type	Percentage of Incremental Cost Covered	Base School Bus Voucher Dollar Amount
New Type A (NTA)	60%	\$114,000
New Type C (NTC)	60%	\$147,000
New Type D (NTD)	60%	\$156,000
Repowered Type A (RTA)	75%	\$105,000
Repowered Type C (RTC)	75%	\$135,000

Table 3. School Bus Voucher Bonus and Add-On Amounts

School Bus Type	Priority District Bonus Amount	Scrappage Bonus Amount	V2G Add-On Amount	Wheelchair Add-On Amount
NTA	\$28,500	\$47,500	\$9,500	\$8,000
NTC	\$36,750	\$61,250	\$12,250	\$8,000
NTD	\$39,000	\$65,000	\$13,000	\$8,000
RTA	\$21,000	N/A	\$7,000	N/A
RTC	\$27,000	N/A	\$9,000	N/A

*Check section 2.3.

2.2 School Bus Voucher Rules

Purchasers must comply with the following rules of the School Bus Voucher:

- The eligible ESB must travel at least 5,000 miles per year for the 5 years of required reporting to NYSBIP.
- An ESB must be purchased from a Dealer approved to participate in NYSBIP (check section 6).
- Repowered School Buses may be eligible for funding if the school bus has an expected operational lifespan after repowering of at least five (5) years. For the purposes of Repowered School Buses, the entire cost of the repower is considered the incremental cost.
- NYSBIP funding may not be used to pay for the purchase or installation of fuel-fired heaters, although these may be installed at Purchaser’s cost.

2.3 School Bus Voucher Bonus Amounts

School Bus voucher amounts can be increased through Bonuses that can be obtained through meeting additional criteria or taking additional actions. The Bonuses are defined in this section, which includes information on Purchaser and school bus eligibility and Bonus amounts (which are added to the Base School Bus Voucher dollar amounts in Table 1). A Purchaser may receive all, some, or none of the Bonuses depending on whether it meets the criteria.

2.3.1 Priority District Bonus

Priority District buses are buses that serve Priority Districts as defined in section 7.1.1.

- **Eligible school buses:** All bus types are eligible for this bonus.
- **Eligible Purchasers:** Those meeting the Priority Districts criteria included in section 7.1.1.
- **Bonus amounts:** An additional 15% of the incremental cost will be applied to the base School Bus Voucher amount as depicted in Table 4.

Table 4. Priority District Bonus Amounts

School Bus Type	Bonus Amount
NTA	\$28,500
NTC	\$36,750
NTD	\$39,000
RTA	\$21,000
RTC	\$27,000

2.3.2 Scrappage Bonus

The Scrappage Bonus applies when a Purchaser destroys the school bus being replaced, ensuring that the school bus will not be sold or used elsewhere.

- **Eligible school buses:** New Type A, C, and D buses qualify. Repowered School Buses do not qualify. For additional eligibility requirements check section 5.1.
- **Eligible Purchasers:** All Purchasers applying for a School Bus Voucher for a new bus (e.g., not Repowered School Buses) qualify.
- **Bonus amounts:** An additional 25% of the incremental cost will be applied to the base School Bus Voucher amount as depicted in Table 5.
- **Documentation:** Check section 9.1.1

Table 5. School Bus Scrappage Bonus Amounts

School Bus Type	Bonus Amount
NTA	\$47,500
NTC	\$61,250
NTD	\$65,000
RTA	N/A
RTC	N/A

2.3.2.1 *Scrappage Bonus Requirements*

To receive the Scrappage Bonus the Purchaser must scrap an in-service school bus, as defined below.

Scrappage Definition

A school bus is considered scrapped when rendered inoperable and available for recycling, by cutting a three-inch hole in the engine block and disabling the chassis by cutting the school bus's frame rails completely in half.

- To destroy the engine: Cut or drill a minimum three-inch hole through the engine block.
- To destroy the chassis: Cut or shear both the chassis rails between the two axles.

The school bus to be scrapped must meet the following requirements to qualify for the Scrappage Bonus portion of the School Bus Voucher:

- The school bus must be owned by the Purchaser or the school district that the Purchaser is providing transportation services for and must be an in-service school bus, meaning:
 - The school bus was operated in the school district to be served by the ESB within the last twelve (12) months. If the Purchaser is a Third-Party Operator that has not previously served the school district where the ESB will serve, the Purchaser may scrap a school bus domiciled in the same or adjacent county to the school district where the ESB will serve;
 - The school bus was operated in NYS during twenty-four (24) of the previous thirty-six (36) months; and
 - The school bus has been driven 2,500 miles or more in the last twelve (12) months.
- The school bus engine must be a model year at least seven (7) years older than the year of application (e.g., if applying in 2024 the bus engine must be model year 2017 or older).
- Existing school buses must be replaced with the same school bus type or a smaller type (e.g., a Type C bus may be scrapped to receive the bonus for a Type A bus, but a Type A bus cannot be scrapped for a Type C bus application).
- The school bus must be an internal combustion engine bus using any fuel type (scrappage of diesel school bus is preferred where feasible).
- Additional information regarding the scrappage process requirements and documentation can be found in section 9.1.

2.4 Complementary School Bus Voucher Add-Ons

In addition to the Bonus amounts, two additional School Bus Voucher Add-Ons (Add-Ons) are available for Purchasers that request specialized equipment be installed on their ESBs. The amounts are intended to help cover the additional expenses associated with these school bus modifications:

2.4.1 Vehicle-to-Grid Technology Add-On

This Add-On applies to ESBs that include vehicle-to-grid (V2G) capability. NYSERDA will determine whether ESB models are V2G-capable (or whether they come with the option of being V2G-capable) when it reviews each Vehicle Eligibility Application. NYSERDA will indicate the V2G status on the [Eligible ESB List](#).

- **Eligible school buses:** All school bus types are eligible for this bonus.
- **Eligible Purchasers:** All Purchasers applying for a School Bus Voucher qualify.
- **Add-on amounts:** An additional 5% of the incremental cost will be applied to the base School Bus Voucher amount as depicted in Table 6.

Table 6. V2G Technology Complementary Add-On Amounts

School Bus Type	Add-On Amount
NTA	\$9,500
NTC	\$12,250
NTD	\$13,000
RTA	\$7,000
RTC	\$9,000

2.4.2 Wheelchair Accessibility Add-On

This Add-On applies for ESBs that are wheelchair accessible.

- **Eligible school buses:** New Type A, C, and D buses. Repowered School Buses do not qualify.
- **Eligible Purchasers:** All Purchasers applying for a School Bus Voucher qualify.
- **Add-on Amounts:** An additional \$8,000 will be added to the base School Bus Voucher amount as depicted in Table 7.

Table 7. Wheelchair Accessibility Add-On Amounts

School Bus Type	Add-On Amount
NTA	\$8,000
NTC	\$8,000
NTD	\$8,000
RTA	N/A
RTC	N/A

2.5 School Bus Voucher Caps

In line with the goal of NYSBIP to enable all school districts an opportunity to participate, the following caps will be placed on the number of ESB Vouchers each Purchaser may seek. The voucher caps listed below apply until December 1, 2025.

- School District-Owned Fleets

- Each school district may apply for the greater of six (6) ESBs or 6% of their fleet.
- Each Priority District may apply for the greater of ten (10) ESBs or 10% of their fleet.
- School districts can apply for the greater of an additional 4% or four (4) ESBs if they complete an approved Fleet Electrification Plan (check section 3.1.1) demonstrating Utility engagement for Charging Infrastructure design and a timeline for receiving ESBs.

After December 1, 2025, school districts may apply for additional ESB Vouchers if funding remains.

- Third-Party Operator-Owned Fleets

- **In line with the per-district requirements below, Third-Party Operators may apply for a maximum of fifty (50) buses before December 1, 2025. Third-Party Operators may apply for an additional twenty-five (25) buses after December 1, 2024, if those buses serve *Priority Districts that have bus depots within a DAC.***
- Each Third-Party Operator may apply for the greater of six (6) ESBs or 6% of its fleet serving each non-priority school district with which it contracts.
- Each Third-Party Operator may apply for the greater of ten (10) ESBs or 10% of its fleet serving each Priority District with which it contracts.

- Third-Party Operators may apply for the greater of an additional four (4) ESBs or 4% of its school buses serving each school district with which it contracts. If they complete an approved Fleet Electrification Plan demonstrating Utility engagement for Charging Infrastructure design and a timeline for receiving ESBs.
- NYSBIP considers New York City (NYC) as one school district, therefore Third-Party Operators serving the NYC Department of Education (NYCDOE) may apply for a maximum of fifty (50) buses before December 1, 2025, and an additional twenty-five (25) buses stored in DACs after December 1, 2024.

These caps will be reviewed and, if funding allows, lifted, once efforts to reach every school district have been made. Caps for school district-owned fleets and Third-Party Operator-owned fleets vary slightly. Applications from school districts that both own school buses and contract out to Third-Party Operators, and school districts that hold contracts with multiple Third-Party Operators, will be reviewed on a case-by-case basis to ensure alignment with the ESB Caps.

2.6 Declining School Bus Voucher Incentives

The total cost of ownership (TCO) of ESBs is expected to reach parity with that of ICE buses around 2027 and ownership of ESBs is expected to become more favorable beyond 2027. Since the upfront purchase price of an ESB is the main driver of TCO, NYSBIP anticipates lowering incentive amounts as the market purchase prices for new ESB's decrease. NYSERDA will monitor costs on an annual basis while NYSBIP is active and adjust incentive amounts accordingly. While no declining amounts are currently scheduled, it is important for Purchasers to understand that incentive amounts may decrease.

3 Charging Voucher Requirements and Amounts

Purchasers may apply for Charging Vouchers after they initiate an ESB purchase either through NYSBIP or with other funding (e.g. EPA Clean School Bus Program, self-funded). Purchasers may apply for Charging Vouchers associated with any ESB the Purchaser purchased on or after January 1, 2023. The maximum number of Eligible Chargers is equal to the number of ESBs purchased, through any funding source, by the Purchaser.

NYSERDA will calculate the dollar amount of the Charging Voucher by multiplying the per-bus amount the Purchaser is eligible to receive (refer to Table 7) by the total number of ESBs being purchased. For example, if a Purchaser serving a Non-Priority District purchases five (5) ESBs, they may receive a \$125,000 Charging Voucher, or \$25,000 for each ESB they are purchasing. The Charging Voucher funding can be used to reimburse Eligible Charging Costs, including Level 2 or DCFC charging stations and the equipment and installation costs associated with installing them, after all other incentives are accounted for and after the application has been determined to meet all NYSBIP criteria. Purchasers may use this funding to install Charging Ports up to the number of ESBs being purchased, or one more than the number of ESBs if the number is odd and the Purchaser is installing dual port charging stations.

Charging Ports can be any combination of Level 2 and DCFC stations; for example, if a Purchaser buys five (5) ESBs, they may purchase and install up to five (5) single port Level 2 Chargers, three (3) dual port Level 2 Chargers (totaling six Charging Ports), one (1) single port DCFC Charger and one (1) dual port Level 2 Charger, etc.

Once a Charging Voucher is approved, the Purchaser may claim reimbursement for the Eligible Charging Costs (refer to section 3.2) up to the incentive amount shown in the Implementation Manual at the time of the Charging Voucher Application submission. It is recommended that Purchasers of Chargers complete a Fleet Electrification Plan to identify charging needs before applying to NYSBIP to ensure the fleet is purchasing and installing appropriate Charger(s) for their needs and there is enough power for the chosen solution.

3.1 Charging Voucher Amounts

Charging Vouchers can be used to cover 100% of Eligible Charging Costs up to the amount of the Charging Voucher. The base Charging Voucher amounts are intended to cover all or most of the cost of a lower-voltage (e.g., Level 2) Charger, Customer-Side Make-Ready Equipment, and Installation costs. Purchasers that have completed a Fleet Electrification Plan qualify for a higher Charging Voucher amount. Purchasers that serve a Priority District also qualify for a higher Charging Voucher amount.

Charging Voucher amounts are determined based on Priority District status, which is defined in section 7.1.1, and whether the Purchaser has conducted a Fleet Electrification Plan, which is defined in section 3.1.1. The Charging Voucher amounts are included in Table 8. NYSERDA reserves the right to change the incentive amounts shown below. Incentive amounts are determined based on the amounts shown in the

Implementation Manual at the time of the Charging Voucher Application submission. In line with the vehicle caps (refer to Section 2.5), each Purchaser is limited to \$2 million in Charging Voucher funds before December 1, 2025.

Table 8. Maximum Charging Voucher Amounts

	Base Voucher Amount	With Fleet Electrification Plan
Non-Priority District	\$25,000	\$55,000
Priority District	\$35,000	\$65,000

3.1.1 Fleet Electrification Plan Requirements

A Fleet Electrification Plan is a comprehensive evaluation of existing fleet operations, analysis of current site electrical capabilities, and a plan for electrifying the Purchaser’s entire fleet by 2035. The plan will serve as a guide that identifies and prioritizes actions to help Purchasers make informed decisions about electrifying their fleets. Fleet Electrification Plans may demonstrate the need for higher powered Charging Infrastructure or more sophisticated charging systems, which tend to be more expensive. The higher Charging Voucher amounts available to Purchasers who have completed a Fleet Electrification Plan (as indicated in Table 8) reflect the importance of consulting with a qualified engineering contractor and electric utility to determine the appropriate Charging Infrastructure. Fleet Electrification Plans typically include the items detailed in Table 9.

Table 9. Fleet Electrification Plan Contents

Title	Description
Electrification Goals	An overview of the electric bus assessment and the approach to fleet electrification. This may include the proposed timeline and milestones for electrification.
Route Analysis	Analysis of the time and distance involved in each available bus route, which is necessary to understand the range requirements. The analysis will define the specification requirements (hilly, etc.) for each bus route to provide recommended minimum battery requirements and the total energy required to charge the batteries.
Utility Assessment	An assessment, performed by your Utility, that analyzes your existing grid connection and determines how much additional electrical capacity is required. This assessment will tell you what equipment needs, upgrades, and costs are needed to provide that additional power.
Charging Strategy	Development of a charging strategy that includes Charger power ratings and quantities and preferred times of day to charge. The charging strategy will include identification of demand during on-peak and off-peak times.
Phasing Plan	Development of a phasing plan identifying necessary capital works projects, vehicle replacement plan, and phased plan for Charger Installation aligned with vehicle replacement plan. This phasing plan should include a schedule and transition cost estimate for Utility upgrade/sitework, bus purchases, and Charger purchases, as well as a comparison of operating costs.

To demonstrate the completion of a qualifying Fleet Electrification Plan, Purchasers must provide a copy of their Fleet Electrification Plan with their Charging Voucher Application in the [NYSBIP Charging Voucher Portal](#). If a Purchaser has not completed their Fleet Electrification Plan at the time of application, the Purchaser can still qualify for the increased incentive amount if the plan is completed within one hundred eighty (180) calendar days of Charging Voucher pre-approval (refer to section 10.2). The Purchaser must submit a copy of a signed agreement between the Purchaser and a third-party creating the Fleet Electrification Plan. If a Purchaser is completing their Fleet Electrification Plan through NYSERDA Technical Assistance Program, the NYSERDA-issued contract number is sufficient.

The uploaded Fleet Electrification Plan documents will be reviewed and verified by NYSERDA prior to qualification for the higher Charging Voucher incentive amount. NYSERDA has sole discretion to determine whether the Fleet Electrification Plan documentation will qualify the Purchaser for the higher Charging Voucher incentive amount. If the plan is deemed incomplete or insufficient based on the table above, Purchasers will be able to revise and resubmit their Fleet Electrification Plan within thirty (30) days of receiving feedback.

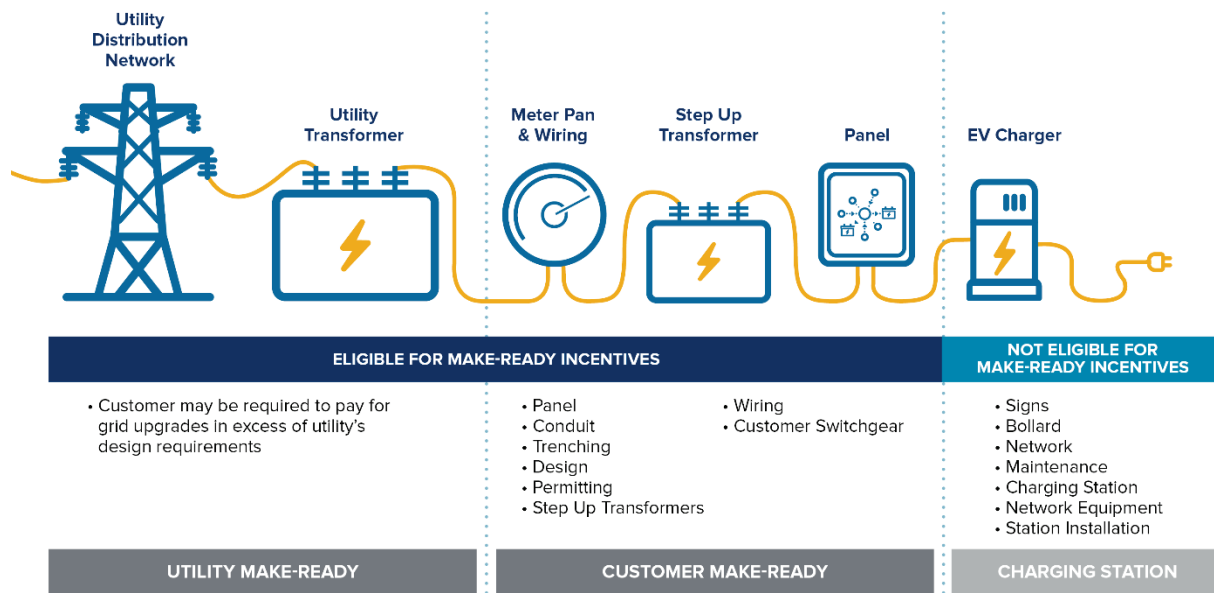
3.2 Eligible Charging Costs

3.2.1 Eligible Charging Infrastructure and Installation Costs

The following list contains Charging Infrastructure and Installation costs eligible for reimbursement with the NYSBIP Charging Voucher:

- Charger hardware costs.
- Charger Installation costs associated with Charger hardware costs and labor including, but not limited to, trenching, concrete pads, repaving, and basic site restoration. **NOTE:** All projects funded with Bond Act proceeds must comply with the prevailing wage requirements found in Section 220 of the New York Labor Law.
- Customer-Side “Make-Ready” Infrastructure costs, which covers electrical site upgrades on the customer’s side of the electrical meter (Figure 1). This includes, but is not limited to, upgrades to switchgears, electrical panel upgrades, wiring, and conduit.
- Battery Storage Equipment installed in conjunction with the Charger to address ESB charging needs.

Figure 1. Utility- and Customer-Side "Make-Ready" Infrastructure Components



NYSBIP will **not** cover the following infrastructure costs:

- Networking costs
- Extended warranties
- Permitting fees
- Project management costs
- Utility-Side "Make-Ready" Infrastructure costs
- Solar PV

3.2.2 Requirements for Charging Infrastructure

All eligible Charging Infrastructure must meet the following requirements to be eligible for reimbursement:

- 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). Resale units, rebuilt, rented, received from warranty insurance claims, or new parts installed in existing units are not eligible for incentives. **For outdoor Installations, a rating of NEMA (National Electrical Manufacturers Association) 3R or greater is required.**

- Conform to ANSI/NFPA 70, electric code, and any other relevant codes or standards imposed by the local Authority/Authorities Having Jurisdiction (AHJ).
- Must have a product warranty that lasts at least two years from Installation. The warranty period should start the day that the equipment is installed and ready for use. Proof of warranty will be required alongside receipts of purchase for fund disbursement. Purchasers may acquire an extended warranty; however, extended warranties are not eligible for Charging Voucher reimbursement.
- Must be Energy Star®-certified.
- Must have the most current software version available at the Installation date and shall be factory calibrated within original manufacturer standards.
- Must be compliant with the most recent revision of National Institute of Standards and Technology (NIST) Handbook 130 and NIST Handbook 44.

3.2.3 Charger Requirements

All Chargers must meet the following requirements to be eligible for reimbursement:

- Must be able to dispense at least 19.2 kW from each Charging Port, simultaneously.
- Both single and dual port Chargers are eligible (refer to section 3)
- Eligible Charging Infrastructure must utilize Charging Connectors and charging interfaces that are compatible with the school buses purchased.
- Must be certified by a Nationally Recognized Testing Laboratory (NRTL) recognized by the United States Occupational Safety and Health Administration (OSHA). OSHA's complete list of NRTLs can be found on the [OSHA website](#).
- NYSERDA recommends that Chargers be networked for charge management and data reporting purposes. However, at this time networking is not required. Instead, Chargers must be capable of networking so that this capability may be used in the future. To be capable of networking a charger must:
 - Use Open Charge Point Protocol (OCPP) as a basic framework for purposes of network interoperability and communication with back-end network services providers. Chargers must support OCPP v1.6 or newer.
 - Chargers shall support network interoperability and be certified OCPP 1.6 or newer. Proprietary network software may be used if the Charger can switch to another OCPP compliant network provider at the end of any contract agreement.
 - NYSERDA reserves the right to require third-party certification of OCPP compliance at a later date.

Network connectivity (one of the following is required):

- 4G LTE cell phone equipment with a 3 dB exterior mounted antenna

- Institute of Electrical and Electronics Engineers (IEEE) 802.3 for Ethernet for local- or wide-area network applications (requires an internet protocol (IP) address and registered).
- IEEE 802.11n for high bandwidth wireless networking.

Additional means of network communication are allowable and may include the following:

- Automated Demand Response (Open ADR, International Electrotechnical Commission (IEC) 62746-10-1 ED1).
 - Those outlined by the Smart Grid Interoperability Panel Catalog of Standards, the NIST Smart Grid Framework, the American National Standards Institute, or other well-established international standards organizations such as ISO, IEC, International Telecommunication Union, IEEE, or Internet Engineering Task Force.
 - Those outlined by the Smart Grid Interoperability Panel Catalog of Standards, the NIST Smart Grid Framework, the American National Standards Institute, or other well-established international standards organizations such as ISO, IEC, International Telecommunication Union, IEEE, or Internet Engineering Task Force.
 - Must be capable of managing charging costs and supporting grid reliability. Eligible Charging Infrastructure shall leverage the open standards-based network communications described above and be capable of receiving energy management signals from an Electric Vehicle Service Provider (EVSP), energy management system, and/or Utility. Eligible Charging Infrastructure must be capable of automatically adjusting charging output (kW), subject to the constraints of NIST Handbook 44.
 - Note: Purchasers who are unable to install Networked-Capable Chargers due to limited internet availability may request an exemption. To request an exemption please contact the VHC. NYSERDA will make the final determination on exemption requests.
- The Purchaser must certify that the Charger(s) as installed meet all applicable local, State, and Federal codes (by signing the Charging Infrastructure Installer Certification) and that they followed or required their Installer to follow the Prevailing Wage requirements found in Section 220 of the New York Labor Law.

4 NYSBIP Process

This section provides a high-level overview of the various components of the NYSBIP process. This includes how:

- Manufacturers qualify their individual ESBs models for School Bus Voucher eligibility.
- Dealers obtain approval to sell ESBs through NYSBIP.
- Dealers submit School Bus Voucher Applications for approval.
- Dealers submit School Bus Voucher Redemption and receive approval.
- Dealers receive the School Bus Voucher payment.
- Purchasers submit Charging Voucher Applications for approval.
- Purchasers submit Charging Voucher Redemption and receive approval.
- Purchasers receive the Charging Voucher payment.
- Purchasers submits ESB and Charger Usage Reporting during the first five years of operation.

4.1 School Bus Voucher Process

Key Participants in the School Bus Voucher Process:

- **Manufacturer:** An Original Equipment Manufacturer (OEM), the OEM’s authorized dealer, or Upfit/Retrofit Manufacturer (URM).
- **Dealer:** An authorized seller of Eligible ESBs.
- **Purchaser:** An eligible entity that will be receiving the buses (section 7).
- **Voucher Help Center (VHC):** The primary program point of contact for OEMs, URMs, Dealers, and Purchasers.

Figure 2. ESB Voucher Process Diagram for Each Stakeholder

School Bus Voucher Process

Manufacturer



Dealer



Purchaser



1. **ESB Eligibility Approval** – A Manufacturer submits a completed [ESB Eligibility Application](#) to the VHC. This application provides information on the ESB to be reviewed for eligibility. Once approved, ESBs are listed on the [NYSBIP website](#) in the Eligible ESB List. Check section 5 for details on ESB eligibility requirements and process.
2. **Dealer Approval** – A Dealer authorized to sell an eligible ESB applies to NYSEDA to become an approved Dealer applying through the [Contractor Portal](#) (check section 6 for details on Dealer eligibility and process). Approved Dealers may then market program incentives to prospective Purchasers and submit School Bus Voucher Applications to NYSEDA.
3. **School Bus Voucher Application** – When a Purchaser is ready to purchase an eligible ESB from an approved Dealer, the Dealer submits a School Bus Voucher Application to reserve funds for that specific ESB purchase (check section 8 for details on the School Bus Voucher Application process). The full School Bus Voucher amount must be deducted from the final sale price of the ESB at the point of sale and passed on to the Purchaser.
4. **School Bus Voucher Application Approval** – The VHC and NYSEDA will review the School Bus Voucher Application and notify the Dealer if there are any issues or missing information, or if the application is approved. If the School Bus Voucher Application is approved, funds are reserved for the Eligible ESBs identified in the application. New ESBs must be delivered to Purchasers after the date of the School Bus Voucher Application to be eligible for NYBIP funding. Repowered School Buses must have their retrofits completed after the date of the School Bus Voucher Application to be eligible for NYBIP funding.
5. **School Bus Voucher Redemption** – After the Purchaser takes delivery of the eligible ESB, registers the ESB, pays for it in full (total ESB cost minus the School Bus Voucher amount), and satisfies any applicable scrappage requirements, the Dealer completes the School Bus Voucher Redemption process in the [NYSEDA Portal](#). This consists of uploading all required documentation for final approval (check section 9 for details of the School Bus Voucher Redemption process). This information must be uploaded for each individual ESB for which the Dealer seeks to receive a School Bus Voucher payment. School Bus Vouchers must be redeemed within 15 months of the School Bus Voucher Application approval date. NYSEDA can approve extensions of up to 6 months (check section 9.2.2 for details of the School Bus Voucher extension process).
 - a. Scrappage information: The Purchaser must provide the Dealer with all required scrappage documentation within this timeframe, and the Dealer must upload all scrappage documentation to the [NYSEDA Portal](#) before the School Bus Voucher can be redeemed. Scrappage can occur any time between the date of School Bus Voucher Application approval up to twenty-one (21) days after ESB delivery (check section 9.1 for details of the scrappage process and documentation).
6. **School Bus Voucher Payment** – The VHC and NYSEDA review the School Bus Voucher Redemption documents, and if all documents are approved, NYSEDA will issue a School Bus Voucher payment to the Dealer. Dealers should enroll in electronic funds transfer (EFT) payment processing to receive timely School Bus Voucher payments. To sign up for payment by EFT,

complete an [Electronic Fund Transfer \(EFT\) Authorization Form](#) (check section 9.3 for details of the School Bus Voucher payment process).

7. **Operations and Reporting** – The Purchaser must operate new ESBs for no less than five (5) years from the date of delivery or Installation respectively. The Purchaser is required to submit ESB Usage Reports for five (5) years from the date of delivery (check section 12 for additional details).

4.2 Charging Voucher Process

Key Participants in the School Bus Voucher Process:

- **Purchaser:** An eligible entity that will own the Charging Infrastructure (check section 7).
- **Installer:** A New York State licensed electrician with experience installing ESB Chargers. Purchasers may install the Charging Infrastructure itself or hire an Installer to do so.
- **Voucher Help Center (VHC):** The primary program point of contact for Purchasers.

Figure 3. Charging Voucher Process Diagram

Charging Voucher Process



Utility-Side upgrades can require long lead times for purchase and installation. Prior to submitting a Charging Voucher Application, it is highly recommended that Purchasers complete a Fleet Electrification Plan. The planning process will help identify any needed Utility-Side upgrades and may influence the location of Charging Infrastructure on-site. Purchasers can also engage directly with their Utility to determine if infrastructure upgrades are necessary. In addition, Purchasers should work with their ESB Dealer to determine whether a particular Charger meets the requirements in section 3.2 and is compatible with the ESBs they are purchasing.

1. **Charging Voucher Application** – The Purchaser of Chargers and associated eligible Charging Infrastructure accesses the NYSBIP Charging Voucher Portal from the NYSBIP website and submits a Charging Voucher Application. Purchasers will identify how many Chargers they are applying for. Each Charger must be associated with an ESB that was purchased on or after January 1, 2023. The ESB may be purchased either through NYSBIP or by other means (e.g., EPA Clean School Bus Program, self-funded). For Purchasers who have already selected their Chargers and completed their Fleet Electrification Plan (if applicable), they will identify the Charger(s) manufacturer and model and submit a product specification sheet and Fleet Electrification Plan to ensure eligibility. If a Purchaser has not yet selected Charger(s) or completed their Fleet Electrification plan, they may

submit a pre-approval Charging Voucher Application to reserve funds. The Purchaser has sixty (60) calendar days from pre-approval to upload the required Charger information for each Charger being requested to their Charging Voucher Application through the NYSBIP Charging Voucher Portal for approval. If the Purchaser is completing a Fleet Electrification Plan, the Purchaser has one hundred eighty (180) calendar days from pre-approval to upload their documentation for review and approval as part of the Charging Voucher Application. The number of Charging Ports per application must adhere to the requirements in section 3.

2. **Charging Voucher Application Approval** – The VHC and NYSEDA will review the Charging Voucher Application, once all the Charger information has been submitted and will notify the Purchaser if there are any issues or missing information, or if the application is approved.
3. **Charging Equipment Installation** – Once a Purchaser has selected a Charger, they can identify an installer and begin Installation.
4. **Charging Voucher Redemption** – After the Purchaser installs the Charging Infrastructure, ensures all electricity and networking, if applicable, is operational, and pays for the Charging Infrastructure and Installation costs in full, the Purchaser completes the Charging Voucher Redemption process in the [NYSBIP Charging Voucher Portal](#). This consists of uploading all required documentation for final approval (refer to section 11 for details of the Charging Voucher Redemption process). Charging Vouchers must be redeemed within 15 months of the voucher approval date. NYSEDA may approve extensions under certain circumstances (refer to section 11.2.2).
5. **Charging Voucher Payment** – The VHC and NYSEDA review the Charging Voucher Redemption documents, and if all documents are approved, NYSEDA will issue reimbursement for Eligible Charging Costs up to the reserved Charging Voucher amount to the Purchaser. NYSEDA will reimburse 100% of eligible expenses up to the Charging Voucher amount reserved. If Eligible Charging Costs are less than the reserved Charging Voucher, NYSEDA will reimburse the Purchaser for the total Eligible Charging Costs. If Eligible Charging Costs are above reserved amount, NYSEDA will reimburse the Purchaser for the approved Charging Voucher amount.
 - a. Purchasers should enroll in electronic funds transfer (EFT) payment processing to receive timely Charging Voucher payments. To sign up for payment by EFT, visit NYSEDA’s website and complete an [Electronic Fund Transfer \(EFT\) Authorization Form](#) (check section 11.3 for details of the Charging Voucher payment process).
6. **Operations and Reporting** – The Purchaser must operate Charger(s) for no less than five (5) years from the date of Installation. The Purchaser is required to submit Charging Usage Reports for five (5) years from the date of Charger operation (refer to section 12 for additional details).

5 School Bus Eligibility and Approval

5.1 School Bus Eligibility Requirements

To qualify as an Eligible ESB, ESBs must meet the following requirements:

- The ESB must be a Class 3-8 Battery Electric Vehicle (BEV) or Fuel Cell Electric Vehicle (FCEV). Personal passenger vehicles are NOT eligible for program funding.
- Other than Repowered School Buses, all eligible ESBs must be new. New ESBs must have a model year (MY) that is the current calendar year or up to two years before or after the current calendar year at the time of application. Used ESB (including ESBs used by Dealers, Manufacturers, or other entities for demonstration purposes) are NOT eligible. New ESBs and/or school bus chassis cannot be previously registered in any state, fully paid for by the Purchaser, or have been delivered to the Purchaser prior to the Dealer applying for a School Bus Voucher.
- Eligible ESBs must meet all federal and New York State requirements for operation. The Manufacturer must also certify that the ESB model complies with all applicable federal safety standards for new motor vehicles and new motor vehicle equipment issued by the National Highway Traffic Safety Administration (NHTSA). The Federal Motor Vehicle Safety Standards (FMVSS) are found in Title 49 of the Code of Federal Regulations (CFR) Part 571.
- The electric motor, drive train, and battery pack must be covered by a Manufacturer's warranty. The warranty must provide protection for a minimum of 5 years (60 months). Prior to approving a school bus model as an Eligible ESB to be listed on the [NYSBIP website](#), NYSEDA may request that the Manufacturer provide copies of representative warranties for school bus, engine, and/or powertrain components (e.g., battery pack) and documentation (e.g., warranty contracts) of the Manufacturer's plans to provide routine ESB service.
- Additional requirements impacting ESB eligibility and/or incentive levels for vehicles regarding manufacturing labor and/or vehicle content origin and sustainability may be implemented in the future.

Refer to the [Eligible ESB List](#) for up-to-date information on approved ESBs.

5.2 ESB Approval Process

The following steps are required of ESB Manufacturers for ESB approval:

1. Download and complete the [ESB Eligibility Application](#) spreadsheet, which can also be found on NYSEDA's NYSBIP website. The Application requires general information about the ESB including:
 - Model year
 - Make and model
 - Fuel type (e.g., BEV, FCEV)

- School bus type (e.g., Type A, C, D)
 - Gross Vehicle Weight Rating (GVWR)
 - Energy/environmental attributes (e.g., kWh/mile for BEVs)
 - Manufacturer suggested retail price (MSRP) (or Buyer's Sheet) indicating ESB pre-tax cost
 - Location and nature of activities involved in final vehicle assembly
 - Whether the ESB model has V2G capabilities
 - Whether the ESB has a wheelchair accessible model
2. Email the completed ESB Eligibility Application to the VHC. A complete application shall include, at a minimum, the following items:
- Completed ESB Eligibility Application spreadsheet including attestation that the vehicle meets federal and State requirements.
 - Documents justifying the price of the eligible ESB (e.g., cut sheet).
 - Name and contact information for a New York State repair facility under contract with the Manufacturer for servicing and repairing New York State vehicles.
 - If a Manufacturer does not own a New York State repair facility or does not have a contract with a New York State entity to provide repair and warranty service (copy of contract must be provided and approved by NYSERDA), the Manufacturer must submit a written plan (including contracts) for how it intends to provide warranty service, replacement parts, and technical support in New York State within 48 hours of a service request. The maintenance/repair plan must be submitted to the VHC for approval. The plan must receive approval from NYSERDA for ESBs to be eligible to receive NYSBIP incentives.
 - Proof of a guaranteed warranty for motor, powertrain, parts, and labor for the minimum amount of time specified (check section 5.1). NYSERDA and the VHC review the [ESB Eligibility Application](#) and additional documentation for accuracy and completeness. If additional information is needed, NYSERDA or the VHC will notify the Dealer via email. If NYSERDA or the VHC find that the application is complete, and the ESB(s) are eligible, the Dealer will be notified of approval.
3. NYSERDA will list all eligible ESB(s) on the [Eligible ESB List](#), which can be found on NYSERDA's [NYSBIP website](#), so Purchasers know which ESB(s) they can purchase through NYSBIP.

6 Dealer Eligibility and Approval

6.1 Dealer Eligibility Requirements

In NYSBIP, the Dealer is the entity that sells an approved Eligible ESB to the Purchaser. Dealers must be preapproved to sell ESBs through NYSBIP. Entities interested in becoming NYSBIP Dealers must:

- Be one of the following types of entities:
 - A school bus dealership that sells complete Eligible ESBs to Purchasers and has a written agreement with a medium- and/or heavy-duty vehicle OEM.
 - An OEM that builds and sells complete Eligible ESBs directly to Purchasers.
 - A bus URM that has a written agreement with a medium- or heavy-duty OEM, and upfits, retrofits, or performs final equipment installations on those new replacement or Repowered School Buses and sells the completed Eligible ESB to a Purchaser.
 - A retrofit kit company that produces and installs the kits on existing school buses, such as a battery electric vehicle (BEV) kit on an existing ICE school bus.
- Have a valid business license for the past two years and be registered to do business in New York State.
- Be the entity that sells the fully assembled and completed new ESBs or Repowered School Buses.

6.2 School Bus Dealer Approval Process

To submit a Dealer Application, the Dealer must:

1. Access the online [Contractor Portal](#) from the [NYSBIP website](#).
2. Once in the Contractor Portal, enter general company information and company contact details.
3. Select at least one make of the Eligible ESB it plans to sell as part of NYSBIP; if the Dealer is not a Manufacturer, the Dealer must upload a letter from the ESB's Manufacturer authorizing the Dealer to market and sell that brand's ESBs (OEM Letter of Consent).
4. Review and complete the following documents:
 - a. [OEM Letter of Consent](#)
 - b. [Dealer Participation Agreement](#)
 - c. If the Dealer is located outside of New York State, documentation showing how the Dealer will provide service and support to Purchasers participating in NYSBIP.
5. Submit the completed Dealer Application to NYSERDA for review.
6. NYSERDA and the VHC review Dealer Applications for completeness. If the Dealer Application is incomplete or the Dealer is not authorized to sell the Eligible ESB(s), the VHC will notify the Dealer. If

the Dealer Application is complete and approved, NYSEDA will notify the Dealer that they are now an approved Dealer. This approval will create an account for the Dealer in the [NYSEDA Portal](#).

7. NYSEDA lists the Dealer as an approved Dealer on the Eligible ESB List on the [NYSEBIP website](#). Once a Dealer has been approved, it is then approved to market the NYSEBIP incentives to Purchasers (check section 1.3.1).

6.3 School Bus Dealer Requirements

Dealers are required to pass on the full NYSEBIP incentive to a Purchaser by reducing the purchase cost of Eligible ESBs by the full incentive amount.

- Dealers may not charge fees to the Purchaser in association with processing School Bus Vouchers.
- Dealers must make all NYSEBIP-related records available for review by NYSEDA during the first five (5) years after the School Bus Voucher Redemption is complete on the ESB(s) that receive support through NYSEBIP.

7 Purchaser Eligibility

7.1 General Eligibility Requirements

School buses and Charging Infrastructure that serve public school districts are the sole focus of NYSBIP. Eligible school buses include Type A through Type D ESBs that are used for regular pupil transportation. Shuttle vans, trucks, SUVs, and cars that are used for pupil transportation are not currently eligible. NYSBIP is available to all public school districts regardless of need-status or Disadvantaged Community (DAC) status. Different voucher amounts apply for Priority Districts and non-Priority Districts. Eligibility is determined by the entity and school bus.

Eligible Purchasers:

In terms of ownership, the following Fleets may apply to NYSBIP:

- New York State public school districts or other public entities that provide K-12 pupil transportation services in New York State; or,
- Third-Party Operators under contract with a New York State public school district.
- For the purposes of Program eligibility, ‘under contract’ shall mean an existing service contract between the school district and the Third-Party Operator, or a signed letter of intent detailing the proposed relationship, is in place. A Voucher Application may be submitted and approved when a school district and Third-Party Operator have a signed letter of intent or an executed contract, but the service contract must be fully executed before Voucher Redemption (check section 9 for School Bus Voucher Redemption and section 11 for Charging Voucher Redemption).

Vouchers will be awarded on a first-come, first-served basis up to the Vehicle Caps in section 2.5.

7.1.1 Priority School District

Priority school districts are ones that:

- Are identified as High-Need/Resource Capacity districts in the Need/Resource Capacity Categories, AND/OR
- Are school districts in which over 40% of the total district population lives within a DAC.

Additionally, Purchasers who will domicile the ESB(s) in an existing bus depot or storage facility in a [Disadvantaged Community](#) may qualify for a Priority District Bonus.

For clarity, these districts are identified on the downloadable [Priority Districts List](#).

8 School Bus Voucher Application and Approval

The Dealer works with the Purchaser to complete the School Bus Voucher Application. There are separate voucher applications for ESBs and Charging Infrastructure. Both applications will be linked to ensure eligibility in the program. The Charging Voucher is submitted by the Purchaser of the Charging Infrastructure (section 10).

8.1 School Bus Voucher Application Process

For the School Bus Voucher, the Dealer will complete the following in the [NYSERDA Portal](#).

1. Create a new School Bus Voucher Application and enter contact information for the Dealer, Purchaser, and school district (Purchaser and school district may be the same).
2. Enter domicile address(es).
3. Enter Utility Provider.
4. Select Eligible Vehicle(s) to be purchased.
5. Enter details of new ESB(s) and school bus(es) to be scrapped (if applying for the Scrappage Bonus).
6. Agree to the NYSBIP terms and conditions.
7. Upload the following documents:
 - Signed [Purchaser Participation Agreement](#)
 - Signed [Third-Party Operator Addendum](#) (if the Purchaser leases the vehicle to a different entity).
 - Purchase Order for new ESB(s) (may be provisional).
 - Scrappage documents if applicable (check section 9.1.1).
8. Submit the School Bus Voucher Application.

8.2 School Bus Voucher Approval

NYSERDA and the VHC review the School Bus Voucher Application for eligibility, accuracy, and completeness. If the School Bus Voucher Application is incomplete or inaccurate, the VHC will notify the Dealer that they must resubmit the required information. The School Bus Voucher Application will be rejected if the information is not corrected within fifteen (15) business days after the VHC notification. A rejected School Bus Voucher Application can be resubmitted.

Once NYSERDA determines the School Bus Voucher Application is complete and meets all applicable requirements, the VHC will notify the Dealer of approval and reserve funds.

9 School Bus Voucher Scrappage and Redemption

9.1 School Bus Scrappage

Purchasers or school districts who scrap an in-service ICE school bus may qualify for a voucher bonus. The Scrappage Bonus applies when a Purchaser destroys the school bus being replaced, ensuring that the school bus will not be sold or used elsewhere. A school bus is considered scrapped when a participating Vehicle Dismantler has rendered it inoperable and available for recycling, destroying the engine block and the chassis.

- To destroy the engine: Cut or drill a minimum three-inch hole through the engine block.
- To destroy the chassis: Cut or shear both the chassis rails between the two axles.

The school bus must arrive at the scrappage location with the chassis attached, the engine intact, in drivable condition, and its registration still valid. The school bus must be fully operational and functional.

Additional Requirements:

- Scrappage must be performed by a participating Vehicle Dismantler; a current list of participating Vehicle Dismantlers is available on the NYSBIP website. Eligible Vehicle Dismantler facilities are located across New York State to facilitate scrappage.
- Purchasers must arrange for school bus scrappage and provide the Dealer with the date of scheduled scrappage before they can take delivery of the ESB(s).
- Scrappage can occur any time **after** approval of a School Bus Voucher Application but it must be completed with all documentation submitted to the Dealer within twenty-one (21) days of taking delivery of the new ESB(s). Failure to comply with this timeline will result in denial of the Scrappage Bonus.
- If scrappage-school buses have changed ownership during the last two years, all applicable NYS requirements, including but not limited to title transfer, and sales tax payment, must have been satisfied prior to application for funding under NYSBIP.
- During the scrappage process, before any crushing or shredding, school buses must be decommissioned, meaning having potential environmental contaminants including, but not limited to, fluids, batteries, refrigerants, mercury switches and airbags, drained and/or properly removed, consistent with New York State Department of Environmental Conservation regulations for Vehicle Dismantling Facilities under Subchapter B, Subpart 361-7 and Article 27, Title 23.

[Subchapter B, Subpart 361-7](#)

[Article 27, Title 23](#)

NYSBIP cannot process the School Bus Voucher until the scrappage is satisfactorily completed and photographed. Failure to comply with scrappage requirements will result in the rejection of a scrappage School Bus Voucher bonus. **It is recommended that a Purchaser representative attend the scrappage**

event to ensure it is properly documented and that all required photos are taken to avoid delay or denial of School Bus Voucher payment. NYSERDA may employ on-site auditors to help document scrappage events and to ensure that the process goes smoothly. Scrappage events may be subject to verification/audit at NYSERDA's discretion.

Failure to comply with all scrappage requirements will result in non-payment of the Scrappage Bonus to the Dealer. Dealers and Purchasers should be aware that NYSERDA is not responsible for any School Bus Voucher incentive payments to the Dealer if the scrappage requirements are not met. Purchasers should also be aware that, depending on the contractual agreement between the Dealer and the Purchaser, failure to meet the scrappage requirements may result in the Purchaser being required to pay the full (unreduced) price of the new ESB to the Dealer.

9.1.1 Required Scrappage Documents

The following documents must be submitted to NYSERDA as part of the scrappage process at the time of School Bus Voucher Application:

1. The previous two (2) DOT Inspection Records.
2. Copy of registration of school bus being scrapped (must be active at time of School Bus Voucher Application).
3. "Before" photos of the school bus being scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches) and submitted at the time of School Bus Voucher Application:
 - **Front of the school bus:** A photo of the entire front of the school bus, showing the license plate number.
 - **VIN / OEM plate:** A photo of the Vehicle Identification Number (VIN) or OEM plate that clearly shows the entire VIN, GVWR (gross vehicle weight rating), and manufacture date.

And, at the time of School Bus Voucher Redemption:

1. The completed NYSBIP Vehicle Scrappage Attestation (to be completed by the Purchaser and Vehicle Dismantler).
2. "After" photos of the school bus being scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches) and **submitted at the time of School Bus Voucher Redemption:**
 - **Engine destruction:** A photo of the three-inch hole cut or drilled into the engine block with the NYSBIP-supplier sticker or ruler from a few feet back that shows some of the color of the school bus.
 - **Side Picture of Destroyed vehicle:** A photo of the scrapped school bus from the side, showing the cab, and the front and rear axle. The DOT number or unique bus number should be visible in the photo, and the chassis should be clearly cut in half, with the hood open to display the destroyed engine. The engine hole does not need to be visible in this distance photo.

9.2 School Bus Voucher Redemption

Once an ESB has been purchased and delivered, the remaining unpaid balance (if any) has been paid by the Purchaser, scrappage of the replaced school bus has been completed (if applicable), and the purchased ESB is ready to be placed into service, the Dealer proceeds with School Bus Voucher Redemption. The Dealer completes the School Bus Voucher Redemption by returning to the [NYSERDA Portal](#) and submitting additional required documentation under the Milestones & Deliverables tab, including documentation on the scrapped school bus (if applicable). It is strongly encouraged that the Dealer ensures the scrappage of the old school bus is completed prior to initiating the School Bus Voucher Redemption.

9.2.1 School Bus Voucher Redemption Process

1. Once the ESB has been delivered to the Purchaser and the old school bus has been scrapped (if applicable), the Dealer may redeem a School Bus Voucher. To redeem a School Bus Voucher, the Dealer returns to the NYSERDA Portal and selects the appropriate project for the School Bus Voucher it wishes to redeem. A School Bus Voucher may include multiple ESB purchases for the same Purchaser. Each ESB will constitute its own “milestone” within the redemption process for a given School Bus Voucher. Dealers may request payment for some or all ESBs that are part of a single School Bus Voucher at a time.
2. The Dealer supplies additional ESB information:
 - New ESB license plate number
 - New ESB VIN (via OEM/URM Plate or VIN Plate)
 - Date new ESB was placed In-Service
 - Date of old school bus scrappage (if applicable)
3. The Dealer is required to upload the following documentation:
 - Signed final invoice/vehicle purchase order – must show the final purchase price with the School Bus Voucher amount and any other additional incentive funding subtracted.
 - Financial documentation (proof of payment) – copy of check or money/wire transfer.
 - NYS Department of Motor Vehicles Registration or Vehicle Registration / Title Application (form MV-82) for new ESB.
 - Photos of new ESB, VIN tag, and front of the ESB showing the license plate.
 - Copy of new ESB registration.
 - Scrappage documents, if applicable (check section 9.1.1).

Note: A significant amount of the information required to redeem a School Bus Voucher will need to be supplied by the Purchaser. The Dealer is responsible for obtaining this documentation from the Purchaser

for the School Bus Voucher Application. If the Dealer cannot provide the documentation required to redeem a School Bus Voucher, even if such documentation is unavailable through no fault of the Dealer, no payment will be made on the School Bus Voucher. It is recommended that Dealers consider this obligation when entering purchase contracts with the Purchaser to ensure their ability to receive this documentation from the Purchaser.

4. NYSERDA and the VHC will review the submitted information for completeness and eligibility. If the School Bus Voucher Redemption submission is deemed complete and valid, NYSERDA will approve the submission. The VHC will then inform the Dealer of School Bus Voucher Redemption approval. If the School Bus Voucher Redemption submission is incomplete or inaccurate, the VHC will inform the Dealer of incomplete or inaccurate redemption documentation and the Dealer will have fifteen (15) calendar days to correct, complete, and resubmit the documents for approval.

If Voucher Redemption is Denied: If a School Bus Voucher Redemption submission is denied, NYSERDA or the VHC will email the Dealer detailing the reasons that disqualify the School Bus Voucher Redemption submission.

Appeals for Voucher Redemption Denials: NYSERDA will consider appeals to the denial of a School Bus Voucher Redemption submission on a case-by-case basis and at its sole discretion. To submit an appeal, contact the VHC. NYSERDA is in no way obligated to consider an appeal.

5. Within thirty (30) calendar days of NYSERDA approval of the School Bus Voucher Redemption submission, NYSERDA will pay the School Bus Voucher amount to the Dealer, in accordance with the Prompt Payment Policy, also described in Exhibit B to the Dealer Participation Agreement.

9.2.2 School Bus Voucher Extension

A School Bus Voucher must be redeemed within fifteen (15) months of the voucher approval date as shown in the email the Dealer receives when the School Bus Voucher Application is approved. At any point within that period, a Dealer may request a School Bus Voucher extension by sending an email, with supporting documentation from the Manufacturer that shows the expected completion date, to the VHC. The email should indicate the expected date of ESB delivery. A copy of the current registration and DOT inspection report may also be requested to ensure the school bus to be scrapped is still in service. School Bus Voucher extensions are available for up to an additional six months (180 days). A School Bus Voucher that is not extended or redeemed within fifteen (15) months will be deemed expired and canceled. Extensions may be granted solely at NYSERDA's discretion and are not guaranteed to be approved. If granted, the School Bus Voucher extension approval will be sent via email from the VHC and will contain the School Bus Voucher's new expiration date, no later than twenty-one (21) months from the date of original School Bus Voucher approval. The Dealer is responsible for awareness of this date. If a School Bus Voucher is not redeemed and is canceled, a Dealer may reapply to NYSBIP for the same ESB with a new Voucher Application if the ESB has not yet been delivered, subject to the availability of funds.

9.3 School Bus Voucher Payment Process

School Bus Vouchers will be issued to Dealers via electronic payment. To sign up for electronic payment, Dealers must complete NYSEERDA's [EFT Bank Information and Authorization Form](#). Per NYSEERDA's Prompt Payment Policy, payments to Dealers can be expected within 30 days of School Bus Voucher Redemption approval.

A School Bus Voucher will not be issued if the Purchaser returns the ESB prior to the School Bus Voucher payment being issued. Dealers must notify the VHC if an ESB is returned and request the School Bus Voucher be canceled.

Furthermore, NYSEERDA reserves the right to seek reimbursement from the Dealer if the Purchaser returns the ESB to the Dealer within thirty (30) days of School Bus Voucher payment.

10 Charging Voucher Application and Approval

10.1 Verify Equipment Requirements

Purchasers shall work with their ESB Dealer to determine which Chargers are compatible with their purchased ESBs and meet the requirements listed in section 3.2. Eligible Charging Costs funded by NYSBIP must follow all requirements set forth in the Implementation Manual. Note: Purchased ESBs do not necessarily need to receive NYSBIP funding for a Purchaser to apply for a Charging Voucher. If the ESBs are not receiving NYSBIP funding, additional documentation will be required (check section 10.2).

10.2 Charging Voucher Application Process

For Purchasers that have identified their chargers and have completed a Fleet Electrification Plan (if applicable) at the time of application:

1. Access the [NYSBIP Charging Voucher Portal](#) to create an account.
2. Once you have created an account, sign into the [NYSBIP Charging Voucher Portal](#) to start a Charging Voucher Application.
3. If the chargers are linked to ESBs receiving incentives from other programs, answer the additional questions. You will be asked to provide the award letter you received during the document upload page of the application.
4. Enter project data. This includes the project contacts Fleet Electrification plan information (if applicable).
5. Enter charger data. This includes number of chargers, manufacturer, model, number of ports, and location.
6. Upload supporting documents, including a Fleet Electrification Plan if applicable. (refer to section 3.1.1)
7. Accept Terms and Conditions and submit Charging Voucher Application.

For Purchasers that have not identified chargers or completed a Fleet Electrification Plan at time of application:

1. Access the NYSBIP Charging Voucher Portal to create an account.
2. Once you have created an account, sign into the NYSBIP Charging Voucher Portal to start a Charging Voucher Application.
3. Enter project data.
4. Enter charger data. The number of chargers is the only information required at this time.
5. Upload supporting documents.
6. Submit application for pre-approval.
7. NYSERDA will review and pre-approve the application to reserve Charging Voucher funds. Purchasers who are not submitting a Fleet Electrification Plan have sixty (60) days to re-enter the [NYSBIP Charging Voucher Portal](#) and complete remaining project data (manufacturer, model, number of ports) for full Charging Voucher approval.

Purchasers who are submitting a Fleet Electrification Plan have one hundred eighty (180) days to re-enter the [NYSBIP Charging Voucher Portal](#) and complete remaining project data, including the Fleet Electrification Plan.

8. Submit application for final approval.

10.3 Charging Voucher Approval

NYSERDA and the VHC will review the Charging Voucher Application for eligibility, accuracy, and completeness. If the Charging Voucher Application is incomplete or inaccurate, the VHC will notify the Purchaser that they must resubmit the required information. If the Charging Voucher Application includes additional incentives associated with the completion of a Fleet Electrification Plan, NYSERDA and the VHC will review the submitted documents to determine whether the Fleet Electrification Plan meets the NYSBIP requirements (check section 3.1). If not, the Purchaser will follow the procedures in section 3.1.1 to amend the Fleet Electrification Plan. For applications that are pre-approved, submission of make and model of Chargers to be installed must be uploaded to the application within sixty (60) days of pre-approval. Pre-approval will reserve Charging Voucher funds for sixty (60) days. If submission of required additional information is not received within sixty (60) days, NYSERDA will cancel the application. Charging applications can be re-submitted.

If a Purchaser completes a Fleet Electrification Plan after pre-approval of the Charging Voucher, the Purchaser must submit the completed plan to the application within one hundred eighty (180) days of pre-approval. Pre-approval will reserve Charging Voucher funds for one hundred eighty (180) days. If submission of required additional information is not received within one hundred eighty (180) days, NYSERDA will cancel the application. Charging applications can be re-submitted.

Based on the information submitted NYSERDA will determine the maximum amount of the Charging Voucher. Purchasers who complete a Fleet Electrification Plan or serve a Priority District may be entitled to a larger voucher.

Once NYSERDA determines the Charging Voucher Application is complete and meets all applicable requirements, the VHC will notify the Purchaser of approval.

11 Charging Voucher Redemption

11.1 Charging Infrastructure Installation

Once a Purchaser's Charging Voucher Application has been approved, it may install the Charging Infrastructure itself or hire an Installer to do so. The Charging must be installed, and the voucher redeemed, within 15 months of the Charging Voucher Application approval. Charging Infrastructure must be installed after the date of approval of the Charging Voucher Application. During Installation, it is important for the Purchaser to collect the necessary documentation to claim reimbursement from their Charging Voucher (section 11.2.1.1). Purchasers are encouraged to work with experienced charging operators and/or design, engineering, and construction companies to install the Charging Infrastructure. In-house engineers may be able to oversee or install lower power Chargers where significant electrical upgrades are not required but help from the above parties is strongly encouraged. All projects funded with Bond Act proceeds, including NYSBIP funded Installations, must comply with the prevailing wage requirements found in Section 220 of the New York Labor Law.

All proposed Installations should also be reviewed by New York State Education Department (NYSED) to ensure compliance and eligibility for State Aid reimbursement.

11.2 Charging Voucher Redemption

11.2.1 Charging Voucher Redemption Process

1. Once the Charging Voucher has been approved and the Charger(s) are installed and placed in service, the Purchaser may redeem their Charging Voucher. A Charging Voucher must be redeemed within fifteen (15) months of the Charging Voucher Application approval. To redeem a Charging Voucher, the Purchaser must go to the NYSBIP Charging Voucher Portal and select the appropriate Charging Voucher project for redemption. The Purchaser then uploads all remaining documents and deliverables for one or more Chargers (refer to section 11.2.1.1) and submits for Charging Voucher Redemption. A Charging Voucher may include multiple Chargers for the same Purchaser. Purchasers may request payment for some or all Chargers that are part of a single Charging Voucher at a time.
2. NYSERDA and the VHC will review the submitted information for completeness and eligibility. If the Charging Voucher Redemption submission is deemed complete and valid, NYSERDA will approve the submission. The VHC will then inform the Purchaser of the Charging Voucher Redemption approval. If the Charging Voucher Redemption submission is incomplete or inaccurate, the VHC will notify the Purchaser. The Purchaser will have thirty (30) calendar days from the date of notice to correct, complete, and resubmit the documents for approval. If the errors are not corrected within the thirty (30) day timeframe, the Charging Voucher will be cancelled, and any reserved funds will be released.

3. If a Charging Voucher is canceled, a Purchaser may reapply to NYSBIP for the same Charger with a new Charging Voucher Application.
4. If Charging Voucher Redemption is Denied: If a Charging Voucher Redemption submission is denied, NYSEDA or the VHC will email the Purchaser detailing the reasons that disqualify the submission.
5. Appeals for Charging Voucher Redemption Denials: NYSEDA will consider appeals to the denial of a Charging Voucher on a case-by-case basis and at its sole discretion. To submit an appeal, contact the VHC. NYSEDA is in no way obligated to consider an appeal.
6. Within thirty (30) calendar days of NYSEDA approval of the Charging Voucher Redemption submission, NYSEDA will pay the Charging Voucher amount to the Purchaser, in accordance with the Prompt Payment Policy.

11.2.1.1 Required Documentation for Redemption

1. Date new Charger was placed in service.
2. Charger product specification Sheet(s).
3. Serial numbers and address for all Charging Infrastructure.
4. Copy of Permit: Scan of building permit to install Charging Infrastructure or note from the authority having jurisdiction (AHJ) that no building permit is required.
5. Installed Site Photo: Photo of the Charging Infrastructure installed so the equipment is visible at its site.
6. Site Host Agreement: Scan of signed Site Host Agreement, synchronized with the 5-year in-service requirement. If the Purchaser is also the site owner, the Purchaser must still complete this form.
7. Charging Infrastructure Installer Certification: Scan of signed Installer Certification. If the Charging Infrastructure is self-installed, the Charger Owner Purchaser will still complete this form.
8. Itemized Invoice for Charging Infrastructure: Scan of proof of payment for the Charging Equipment and Installation. The proof of payment for the Charging Equipment and Installation should list information about the vendor and installer (name, company, contact information), and include an itemized invoice that clearly breaks out the following:
 - a. Make and model name of the specific Charger(s) purchased with per-unit costs.
 - b. Networking fees (if applicable).
 - c. Other fees, such as provisioning fees (if applicable).

Note: NYSEDA requests networking and other fees, if applicable to ensure that the proof of payment is for the Charger(s) and no other associated costs.
 - d. Labor costs associated with the Installation of Charger(s) if the Purchaser is seeking reimbursement of those costs through NYSBIP (hourly rates and number of hours at each rate). Labor associated with electric service upgrades must be listed separately.
 - e. Materials and hardware other than the Charger, such as electrical conduit (linear feet) and wiring (please itemize).
 - f. Electric service upgrades such as panels, meters, and transformers.

Note: only Customer-Side “Make-Ready” Equipment costs are eligible for reimbursement.

- g. Site work directly related to the Charger installation, such as patching pavement that had to be torn up to install conduit and concrete slabs for the Installation.

NYSERDA reserves the right to require additional documentation if needed for verification of any element of Charging Voucher eligibility.

11.2.2 Charging Voucher Extension

A Charging Voucher must be redeemed within fifteen (15) months of the date shown in the email that the Purchaser receives from NYSERDA approving the Charging Voucher Application. At any point within that period, a Purchaser may request a Charging Voucher extension by sending an email, with supporting documentation that shows the expected completion date and reason for delayed project completion, to the VHC. The email should indicate the expected date of Charging Infrastructure delivery and Installation. Charging Voucher extensions of up to twelve (12) months are available under certain circumstances (ex. equipment delays, utility connection delays, revision of Fleet Electrification Plan). A Charging Voucher that is not extended or redeemed within fifteen (15) months will be deemed expired and canceled. Extensions may be granted solely at NYSERDA’s discretion. If a Charging Voucher is canceled, a Purchaser may reapply to NYSBIP for the same Charger with a new Charging Voucher Application if the associated Charging Infrastructure has not yet been installed, subject to the availability of funds.

11.3 Charging Voucher Payment Process

Charging Voucher payments will be issued to Purchasers via electronic payment. NYSERDA will provide the Purchaser with a Supplier Identification Number, which the Purchaser will use to complete an [Electronic Fund Transfer \(EFT\) Authorization Form](#). Per NYSERDA’s Prompt Payment Policy, payments to Purchasers can be expected within thirty (30) days of Charging Voucher Redemption approval.

A Charging Voucher will not be issued if the Purchaser returns the Charging Infrastructure prior to the Charging Voucher payment being issued. The Purchaser must notify the VHC if the Charging Infrastructure was returned and request the Charging Voucher be canceled.

12 Operating and Reporting Requirements

12.1 Operating Requirements

School District Purchasers are required to own and operate ESBs and Charging Infrastructure purchased with support from NYSBIP for no less than five (5) years after School Bus Voucher Redemption and Charging Voucher Redemption. This requirement applies to both new ESBs and Repowered School Buses.

Third-Party Operator Purchasers must own and operate ESBs and Charging Infrastructure, in the service of a New York State school district, for five (5) years. The five-year period begins on the date that the School bus and/or Charging Voucher Redemption is executed. If, within five (5) years of the Voucher execution, the School Bus and/or Charging Agreement (i) expires and no new Agreement with the same school district is entered into, or (ii) is terminated, the Third-Party Operator must use the ESBs and Charging Infrastructure in service of another school district in New York State (a “successor school district”) for the remainder of the five (5) year period (refer to the Third-Party Operator Addendum for more information).

ESBs receiving NYSBIP incentives must be continuously registered and domiciled in New York State. The minimum annual usage requirement for ESBs is 5,000 miles per year during each year of the five-year own and operate period. Any ESB or Charging Infrastructure sold or retired before the required minimum five years is subject to a prorated reimbursement penalty of 1.667% per month.

The primary usage of the ESBs and Charger Infrastructure must be the transportation of students, teachers, and other persons acting in a supervisory capacity to and from school, extra-curricular activities, sporting events, field trips, and similar activities on behalf of a New York State school district. Use of the ESBs and Chargers for other purposes is limited to incidental usage and may not result in more than an incidental private benefit to the Purchaser. Each such incidental use must be approved by NYSERDA, which may limit any other use to ensure not more than an incidental private benefit to the Purchaser. The mileage driven for incidental usage on an ESB in any year of the 5-year in-service period may not exceed 5% of the miles driven by the ESB in such year.

The associated Chargers incentivized by NYSBIP shall only be used to charge ESBs. For Third-Party Operators, Chargers shall only be used to charge ESBs used to serve the school districts with which the Third-Party Operator has a School Bus Agreement.

If the Purchaser changes Network Services Vendors or replaces the Charging Infrastructure within the required five (5) year period of operation, the Purchaser is responsible for notifying the Program Administrator and for providing new supporting documentation as described in the Implementation Manual within 30 days of the change.

12.2 Reporting Requirements

Purchasers are required to submit ESB and Charger Usage Reports for NYSERDA that document the use of ESBs and Chargers, and operating costs of funded ESBs and Chargers. An individual Purchaser's information will not be made available to the public and is intended solely for NYSERDA's tracking of program analytics; any information released publicly will be aggregated among multiple Purchasers. An ESB and Charger Usage Report form will be provided by NYSERDA. It contains several basic questions about ESB and Charger operation experience, including information on ESB mileage, electricity use, maintenance issues, and ESB location.

The School Bus Voucher reports must be submitted once a year and Charging Voucher reports must be submitted quarterly for five (5) years following School Bus Voucher Redemptions and Charger Voucher Redemption of each ESB and Charger funded through the program.

- ESBs funded under NYSBIP must report ESB odometer readings, the amount of electricity used for battery charging (kWh) for the applicable reporting period, and for cumulative reporting. NYSERDA may obtain this data from network providers if applicable.
- ESBs funded under NYSBIP must report maintenance and repair information, including associated costs, related to the ESB for the applicable reporting period and cumulative reporting. Vehicle down time due to maintenance and repair needs shall be included. Purchasers/Vehicle Operators must also provide maintenance and repair reporting for similar diesel-powered ESBs in enough detail to allow a technical evaluation.

Purchasers must collect feedback from drivers/users of ESBs and Chargers funded under NYSBIP each reporting period. Feedback will include any issues, positive or negative, on the ESB driving experience, and the experience with Chargers.

Failure to submit ESB and Charger Usage Reports in a timely, accurate manner for the required five-year term is a violation of the terms and conditions of the NYSBIP funding and may result in the Purchaser being subject to a prorated reimbursement penalty based on the number of missed reports as well as a ban from any further participation in NYSBIP or other NYSERDA programs.

12.2.1 ESB Reporting Process

Data will be collected in November of each year, with notifications sent to Purchasers in October. To complete the Vehicle Usage Report, Purchasers will need at a minimum:

- Vehicle Identification Numbers (VINs) for purchased ESBs.
- Drive cycle, range, and location information.
- Fuel consumption and mileage information.
- Maintenance cost information.
- Infrastructure or capital investment information (e.g., in fueling facilities).

Purchasers should contact the VHC with any questions or for assistance with the Vehicle Usage Report.

12.2.2 Charger Reporting Process

Detailed charging data about each charging session can typically be downloaded through a web-based portal or an app for networked Chargers. Some networked Chargers may be able to provide data directly to NYSERDA by granting NYSERDA direct access to the web-based portal. Charging reports should contain, at a minimum:

- Session data
- Charging data
- Charger serial number
- Total energy provided (kWh)
- Peak power (kW)
- Port identifier, if applicable (dual port chargers)

Additional reporting elements may be added to the Program for those Chargers capable of V2G charging.

The Purchaser shall provide all data requested on, at least, quarterly basis to NYSERDA either via access to network software or by completing via access to a network software portal or by completing NYSERDA's [Charging Usage Report template](#) for the duration of the five (5) years. The Program Administrator will be able to provide instructions to the Purchaser for establishing NYSERDA as an administrator with data access if that track is chosen. NYSERDA may also survey Purchasers to obtain information regarding additional topics, including, but not limited to, parts availability, warranty service, maintenance, and repair issues.

12.2.3 Telematics

NYSERDA may require the use of telematics of NYSERDA's choice and at NYSERDA's expense. Purchasers will be given access to the data for their ESBs with the required telematics installed. Full details can be found in the [Purchaser Participation Agreement](#) and the [Third-Party Operator Addendum](#).



NYSERDA

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Implementation and Outreach Support for Clean Mobility Program
Request for Proposal (RFP) 5570
\$3,000,000 Available

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

Proposals Due: February 8, 2024 by 3:00 p.m. Eastern Time*

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) seeks one contractor or a team of contractors (Support Contractor) to assist NYSERDA with various aspects of the management and execution of an upcoming Clean Mobility Program (Program), which is expected to total approximately \$30 million, and the projects resulting from it. The Program is designed to improve first mile/last mile access and connections to public transportation, demonstrate innovative public and shared transportation options, and provide viable options for those with limited public transportation. The Program will fund projects that will help overcome persistent transportation challenges, especially in underserved and frontline communities, and improve access to affordable zero-emission transportation options.

DESCRIPTION
Program Support (up to \$3,000,000) for:
1) Implementation (up to \$1,500,000)
2) Outreach and Engagement (up to \$500,000)
3) Measurement, Evaluation and Learning (up to \$1,000,000)

Only one (1) award will be made by NYSERDA. If the prime contractor is unable to provide all three (3) requested program support services, teaming arrangements are required. Note: Due to the program support role, the prime contractor and any subcontractors, if any, selected under this RFP are not eligible to submit proposals under the upcoming Clean Mobility Program, which includes Planning and Demonstration phases, and an associated solicitation to establish a pool of planning firms to support the Planning phase.

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

No communication intended to influence this procurement is permitted except by contacting Richard Mai (Designated Contact) at (212) 971-5342, ext. 3476 or by e-mail transit@nyserda.ny.gov or Nina Haiman (Designated Contact) at (212) 971-5342, ext. 3125 or by e-mail transit@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact (Nancy Marucci) (Designated Contact) at (518) 862-1090, ext. 3335 or Nancy.marucci@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 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. Please see [Solicitation Proposal and Vendor Responsibility Questions.pdf](#) for a complete list of the questions proposers must answer as part of a submission. 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 NYSEDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

NYSEDA will conduct an informational webinar on January 12, 2023 at 11 am Eastern Time during which NYSEDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can send an e-mail to transit@nyserda.ny.gov with the subject line “RFP 5570 Implementation and Outreach Support Webinar” to request information on how to participate. Questions may be submitted via the same e-mail address prior to the Webinar, or during the Webinar using the web platform.

I. Introduction

New York State (NYS) accounts for around 39% of all public transit commuters in the U.S., yet transit ridership levels largely remain below pre-COVID levels.¹ Driver shortages and supply chain delays have led to service reliability issues, resulting in cuts to underperforming routes and reduced hours of operation. This leaves those who relied on these routes to experience longer commute times or seek other modes of travel. This has particularly affected those who live in under resourced communities and disadvantaged communities² (DAC), where other modes are often more expensive and difficult to access. In suburban and rural areas where public transit options are less common, most individuals rely on personal vehicles. Those who cannot afford a personal vehicle, persons with disabilities, and older adults often struggle to accomplish daily tasks that those with better transportation access take for granted.

The New York State Energy Research and Development Authority (NYSEDA) seeks a contractor(s) (the Support Contractor) to assist in managing and executing a new clean mobility program (the Program). The goals of the Program will be to: 1) improve first mile/last mile access and connections to public transportation, 2) demonstrate innovative public and shared transportation options at a community scale, with a focus on underserved and disadvantaged communities, and 3) provide options for those who cannot/do not want to own personal vehicles but live in areas with limited public transportation. The Program will help equip communities with tools and resources to identify and select the mobility options that are best suited to their unique needs. These solutions will support a shift toward clean, zero-emission, and shared mobility options that can help reduce transportation greenhouse gas emissions in NYS. The Program will run in two phases, a Planning Phase, and a Demonstration Phase:

- 1) **Planning Phase.** NYSEDA will support mobility planning projects proposed by eligible entities, including local governments, transit operators, community-based organizations, and employers, to conduct needs assessments and identify community-led priorities with a focus on mobility solutions for underserved communities. While solution providers may be a part of a proposing team, proposals are strongly encouraged to be led by local governments, transit operators, MPOs, community-based organizations, or employers. Applicants will be encouraged to collaborate closely with their Metropolitan Planning Organization (MPO) and/or local planner(s), as applicable. Applicants proposing to the planning phase will include a planner or planning consultant. If an applicant does not have existing planning capacity, applicants will be able to work with a planning consultant pre-qualified by NYSEDA, and NYSEDA will pay the planning consultant directly. The RFQL to establish a Planning Consultant Pool will be released in a separate solicitation shortly after this one.

Note: Entities may propose to both this RFP and the Planning Pool Consultant RFQL but may only participate in one. It is anticipated that awards for this RFP will occur first, followed by the RFQL. However, in the event proposers apply to both and are selected for both, they will have the option to choose which award they would like to pursue, with NYSEDA strongly preferring that the selected contractor will enter into the Support Contractor role. Due to the critical role of the Support Contractor for the overall Program, it is expected that the entire project team (prime contractor and all

¹ <https://www.census.gov/newsroom/press-releases/2021/public-transportation-commuters.html>

² <https://climate.ny.gov/Resources/Disadvantaged-Communities-Criteria>

subcontractors) will remain intact, otherwise NYSERDA reserves the right to rescind the award and select another awardee.

Applicants may also have the option to apply for a partial planning award to update an existing plan in order to meet all NYSERDA criteria. NYSERDA anticipates two (2) rounds for the Demonstration phase in order to provide flexibility to those applicants who are ready to proceed to Demonstration phase directly, and those that may need to conduct further planning work in the Planning phase.

To assist the planning process, NYSERDA anticipates working with the Support Contractor to provide resources to all program participants including case studies, best practice guides, checklists, and contacts to support planning and design work. Additionally, NYSERDA intends to have the Support Contractor develop in-person and/or virtual opportunities for program participants to network with a wide range of mobility solutions providers. Through these opportunities, program participants may select provider(s) that can best provide mobility solution(s) that address their communities' needs.

It is anticipated that funding will be available for planning projects that will take no more than six (6) months. NYSERDA anticipates providing awards of up to \$100K each for up to 40 planning projects.

- 2) **Demonstration Phase.** NYSERDA will support demonstrations of collaborative community-based mobility solutions developed based on completed planning work. NYSERDA will require proof of prior planning work before funding Demonstration phase projects. However, applicants that demonstrate successful completion of recent planning work meeting NYSERDA criteria may be eligible to apply directly for Demonstration phase funding. Solutions may include, but are not limited to, bus network redesigns, on-demand EV ride hailing, integration of microtransit, micromobility, other forms of shared mobility (bike/scooter/car sharing and car/van pooling), and mobility hubs. The Program will seek mobility solutions that are technologically mature and commercially available.

It is anticipated that funding will be available for demonstration projects with 2- to 3-year durations. NYSERDA anticipates providing awards of up to \$3M each for approximately 12 demonstration projects.

There will be two (2) rounds of the Demonstration Phase solicitation. The first will run concurrent with the Planning solicitation and will allow those communities with completed planning studies to proceed directly to implementation. The second round of the Demonstration solicitation will take place roughly eight months after the first, to allow for successful completion of planning projects. Communities that received planning grants from NYSERDA in the Planning Phase will be eligible to apply to the Demonstration Phase but will not be guaranteed funding for a demonstration project.

To assist the demonstration process, NYSERDA anticipates working with the Support Contractor to provide resources to all Demonstration Phase awardees with support including project management, deliverables and invoice review, and checklists. Additionally, NYSERDA intends to have the Support Contractor develop in-person and/or virtual opportunities for awardees to network with each other and facilitate information sharing of best practices.

II. Program Requirements

A. Services Requested

NYSERDA is seeking one contractor, or a team of contractors, to assist in managing and executing the Program for both phases of work described above. Support services are solicited for:

- **Program Implementation:** Assisting NYSERDA with managing the resultant projects, providing subject matter expertise, and developing resources for applicants;

- Outreach and Engagement: Fostering grassroots community engagement and establishing partnerships with solution providers; and,
- Measurement, Evaluation and Learning: Measuring project outcomes and supporting replication and scalability of the demonstrations.

Proposers should pay careful attention to the skills, qualifications and services required for the specific role(s) they propose to serve. Teaming arrangements are strongly encouraged as a way for proposers to address all the requirements of the services requested.

The Support Contractor selected through this RFP 5570 will be expected to coordinate directly with NYSERDA, the awardees of both phases of the Program, and other subject matter experts as directed by NYSERDA.

Program Implementation Support

The selected Support Contractor will manage the operational aspects of the contracts resulting from both phases of the Program and provide additional support for research and materials development. Proposers must have: experience managing complex programs; a strong understanding of municipal, transit agency, employer and community organization structure and capabilities; and a strong degree of technical expertise in clean transportation to be able to understand the projects and any questions or deliverables they may be asked to address. Implementation Support services include:

- a. Operational and project management support in preparation of program launch and throughout the program until completion of the demonstration phase of the projects.
 - i. Providing general operational support to NYSERDA in the execution of the Program: support NYSERDA in its day-to-day management of the Program, including scheduling and taking notes at meetings, tracking project statuses, establishing a system for file and data management, and other related tasks.
 - ii. Compiling regular status reports on: assistance with the application review process for both phases, issuance of awards, and project updates throughout the project lifecycle from award to completion.
 - iii. Supporting the implementation of a simplified and streamlined contracting process for communities to access planning phase funding. NYSERDA anticipates funding up to 40 planning projects.
 - iv. Supporting the contracting process for solution demonstrations: work with demonstration awardees to define project milestones and fill in any gaps in the proposed scope, and work with demonstration awardees and NYSERDA's Performance Measurement and Verification Team to develop data collection protocols. NYSERDA anticipates making approximately twelve (12) total solution demonstration awards across two rounds.
 - v. Serving as a day-to-day liaison between NYSERDA and proposers, planning phase funding recipients, and demonstration phase funding recipients: serve as the point of contact for questions regarding contract performance for all contracts executed under this initiative, provide feedback on deliverables, and advise NYSERDA whether the deliverables meet the contract requirements.
 - vi. Connecting awardees with relevant subject matter experts to help provide guidance on aspects of their projects where further assistance is needed.
- b. Developing and compiling informational resources that can be used by proposers or awardees to inform their planning and demonstration proposals and projects. Providing consistent guidance

and data to all proposers and awardees to help ensure that NYSERDA receives higher quality, consistent scopes of work for the Program. Activities are expected to include:

- i. Preparing web-accessible, data-driven resources for Program proposers to use in developing their planning and demonstration proposals. This will require identifying, compiling, and assessing appropriateness of existing resources, or developing new resources. Wherever possible, the Support Contractor(s) should use or adapt existing resources rather than developing new ones. Resources are expected to include open data sets, sample public-private partnership agreements, and best practices. These resources will be made available through NYSERDA's program website.
 - ii. Compiling information about mobility solutions providers that operate in New York and the Northeast and case studies of zero-emission transportation interventions deployed by communities, transit agencies, MPOs and employers.
 - iii. Upon NYSERDA request, compiling additional resources specific to the topics of the projects being pursued by awardees. Resources will be of a similar nature to those listed above.
- c. Supporting NYSERDA with necessary research: provide research support around program design and implementation to NYSERDA on an as-needed basis. Research may include:
- (i) Information about how other similar programs have been run, supporting NYSERDA development of a comprehensive directory of mobility solutions providers.
 - (ii) Average costs of specific activities (such as installing a charging station for various electric mobility options or a mile of bike lane), technical options available to address specific needs (such as wireless e-bike charging), and other similar topics that serve to inform NYSERDA's understanding of projects that are or may be part of the program.

Outreach and Engagement

The Support Contractor will support NYSERDA in conducting outreach and engagement activities with DACs, communities underserved by transit, and to eligible proposers in these communities. The contractor(s) will also conduct outreach with mobility solutions providers. The Support Contractor should have deep experience conducting engagement activities with communities underserved by transit, eligible proposers, and mobility solutions providers. Experience working in New York State is strongly preferred but not required.

The Support Contractor will be required to coordinate with NYSERDA Marketing, Communications, and Energy & Climate Equity staff to ensure compliance with NYSERDA standards and to leverage existing communication channels and platforms.

Activities for the Support Contractor are expected to include:

- a. Leading up to and shortly after program launch, refine and build upon outreach and voice of customer assessments already conducted by NYSERDA to better understand the capacity challenges that communities and employers face in supporting the mobility needs of those without access or with limited access to a personal vehicle, and how NYSERDA can best address those challenges, particularly in DACs and areas underserved by transit. Share key takeaways with NYSERDA to better meet community needs.
- b. Following program launch, raise awareness of the program. Municipalities, community organizations, transit agencies, MPOs, and employers may not be aware of this program without targeted outreach. Communities may not have the bandwidth to conduct the planning necessary to determine what mobility solution(s) are needed in their community or what solution provider(s) might be able to provide those mobility solution(s). Increasing awareness of the program within

DACs and areas underserved by transit is critical to increasing program participation from these entities. Tasks may include but are not limited to:

- i. Developing content for the Program webpage that provides a user-friendly description of the Program, its goals, engagement opportunities (events, webinars, points of contact for one-on-one communication) and community resources to support proposing teams.
 - ii. Identifying and engaging community groups (including CBOs and environmental justice groups), municipalities, transit agencies, MPOs, employers and other groups not typically reached, through direct communications (virtual and in-person meetings, e-mails, and one-on-one conversations) to inform them about the Program.
 - iii. Helping NYSERDA to develop in-person or virtual event(s) for potential applicants to connect with solutions providers and learn about mobility solutions.
 - iv. Providing resources such as sample outreach materials for community meetings and discussing potential participation in the Program.
- c. Conducting consistent engagement throughout the Program. It is anticipated that during or after the planning phase, some demonstration proposers will need to solidify partnerships with solutions providers, if applicable, and develop a team with buy-in from the community. It is likely that they will need to develop additional relationships with new organizations before their demonstration proposals are submitted. It will be critical to continue engaging a diverse group of stakeholders and community members during the development of their demonstration proposal, and throughout project implementation. Tasks may include but are not limited to:
- (i) Supporting planning projects by working with planners and other relevant staff on strategies to deepen community engagement, garner community feedback, and identify strategies for how to engage with potential relevant long-term funders beyond the scope of the project.
 - (ii) Regular meetings with demonstration awardees to assess communities' satisfaction with the solution provider(s) selected and monitoring the perceived responsiveness from the solution provider(s) selected. In addition, the support contractor should assist the demonstration awardee with collecting user feedback to assess community members' engagement and perception of the demonstration's ability to meet their mobility needs.
 - (iii) Providing outreach and engagement support to awardees as requested, including sharing survey and outreach best practices.

Measurement, Evaluation and Learning (MEL)

The Support Contractor will identify and measure project demonstration outcomes, as well as support the replication and scalability of the demonstration solutions. Tasks are expected to include:

- a. Monitor project outcomes and measure specific metrics reflecting the objectives of the Program and each individual project. The Support Contractor will measure and assess key benefits and performance metrics that are also being evaluated through other NYSERDA, state and federal programs, including those developed via the Climate Leadership and Community Protection Act (Climate Act), New York Clean Transportation Prizes program and the federal Justice40 initiative. Additionally, the Support Contractor will support Program demonstration awardees in developing and implementing their own measurement and verification strategies. The Support Contractor will ensure that these strategies are objective and transparent. Tasks include, but may not be limited to:
 - i. Establish baseline conditions prior to implementation of the projects.

- ii. Provide guidance and best practices in measurement and verification strategies to project teams, including identifying project goals and objectives, establishing baseline key performance indicators (KPIs) that measure progress towards those goals. The KPIs will be continuously evaluated throughout the project, and after work is completed.
 - iii. Identify data collection protocols with guidance on which party (the contractor, awardee or other) is best suited to collect specific data for each project.
 - iv. Incorporate data collection and tracking processes into contract requirements for proposers.
 - v. Act as a liaison between NYSERDA and project teams to ensure that KPIs are included in a comprehensive manner in the scope of work. This may include coordination with NYSERDA's Market Characterization and Evaluation staff.
 - vi. Collect and verify key data on each of the projects.
 - vii. Design (or utilize existing) templates for data reports that the Support Contractor will complete and submit to NYSERDA on a quarterly basis. These reports may be submitted in dashboard form. NYSERDA may publicize interim and/or final results of the awardees' projects using the data provided in these reports.
- b. Develop materials to help stakeholders, including other community groups (e.g. CBOs and environmental justice groups), local governments, transit agencies, MPOs, employers and other interested parties learn from, sustain, replicate, and expand upon the projects beyond the NYSERDA project.
- i. Formalize lessons learned from the projects and develop a report to share these lessons with other market actors, funders, and related audiences.

B. Proposer Eligibility and Qualifications

NYSERDA anticipates awarding one contract to one contractor, or a team of contractors, through this RFP. If forming teams, proposers must clearly identify the primary contractor, key employees, subcontractors, and relevant affiliates of all entities who are proposed to fulfil the requirements of this RFP. If a proposer includes a teaming arrangement with third parties in their proposal, the proposer will retain sole responsibility for successful completion of the work under the resulting contract. Proposers must demonstrate that they have a clear understanding of the services described in this RFP. Proposers must also demonstrate the ability to provide all of the required services as outlined in this RFP.

Proposers must provide all of the support services requested above. NYSERDA aims to award a single contract to one proposer or one team of proposers (with one serving as prime).

Successful proposers to this RFP are not eligible to also submit proposals under the Clean Mobility Program for needs assessment or solution demonstration funding, either as a prime proposer or subcontractor to a prime proposer.

Proposers must be available to start work **no later than March 1, 2024**, which will allow approximately two (2) months before launch for performing required pre-launch activities.

Experienced Team

Proposers must clearly demonstrate their ability to provide the necessary technical expertise and administrative support described in this RFP. The selected contractor(s) will provide NYSERDA with a dedicated team of high-level professionals who will support the Clean Mobility Program.

Dedicated Personnel

Proposers must identify one qualified team member who will be responsible for leading the work in this RFP and additional personnel who will support the team lead. The identified personnel must have previous experience in the services requested under this RFP.

C. NYSERDA Responsibilities

The NYSERDA Project Manager will be responsible for overseeing and managing all tasks undertaken by the selected contractor(s). The major responsibilities of NYSERDA are to:

- Provide timely feedback as required on draft documents and plans.
- Provide timely response to contractor's issues.
- Provide timely review and approval of invoices.

D. Contract Term

The contract term is anticipated to be approximately 60 months (5 years). The term may be extended, if necessary, at NYSERDA's sole discretion.

NYSERDA has the right to:

- Incorporate necessary program changes by modifying or adding to the services required for successful support of the program, consistent with the terms of this RFP;
- Tailor the services as needed within the scope of the contract; and,
- Add necessary additional funds and time to the contract at any time.

III. Proposal Requirements

Proposers must submit their proposal(s) by the due date in accordance with the instructions described on the front of this RFP. Proposals should not be excessively long.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Suggested page limits for each section are provided below in parentheses. Proposals that grossly exceed the page limits or fail to follow the format guidelines may be rejected as nonresponsive. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section IV). Each page of the proposal should state the name of the proposer, the RFP number, and the page number. If you believe proprietary information must be submitted to present an adequate proposal, please contact the Designated Contact listed at the beginning of this RFP, indicate as such on the proposal, and comply with the Section V instructions for submitting proprietary material.

The proposal must be a **single file**, unless otherwise noted, with the items in the format and sequence indicated below:

- Section 1: Introduction and Proposal Narrative**
- Section 2: Statement of Work** (separate Attachment A)
- Section 3: Staffing Plan**
- Section 4: Qualifications**
- Section 5: Cost Proposal** (separate Attachment B)
- Section 6: Schedule/Work Plan**
- Section 7: Letters of Commitment (if applicable)**
- Section 8: Appendices**

Section 1. Introduction and Proposal Narrative (4-6 pages): Proposers should summarize their understanding of the goals, objectives and requirements of the services described in this RFP. This section must include a narrative of how the proposer intends to complete the required services described under Section II.A. Proposers should briefly identify key information about their organization and any proposed subcontractors. Describe any other additional resources the proposer can bring to the project, such as cost-sharing funds or materials already developed, and how they would be used to advance the

project goals. Proposers should describe why they believe that they are qualified to perform and complete the services requested under this RFP.

Section 2. Statement of Work (3-6 pages): Submit a proposed Statement of Work delineating each step required to accomplish the project objectives. The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed. Deliverables are documentation that the contractor will submit to NYSERDA as evidence that the work in the task has been completed. The final task and deliverable must be a Final Report. A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

The SOW should highlight how the proposer will deliver services. If a proposal is selected, NYSERDA may choose to move forward with some tasks but not others, based on in-house capabilities, timing, and available budget. Because of this, proposals should be constructed as a menu of tasks, with clearly assigned budget estimates for each task.

NYSERDA has provided a sample Statement of Work (Attachment A). The proposer is strongly encouraged to use this template and may adapt it as needed; however, significant departures from the provided template may result in delays in the negotiation process and the start date of work. NYSERDA reserves the right to make changes to the proposed Statement of Work to meet the needs of the program. The Statement of Work must:

- Read as a stand-alone document that identifies assumptions and detailed descriptions of tasks, ideally in chronological order. This must also be included in the single file submission and may not be provided in a separate file.
- Be clear and specific: concentrate on “how” and not “why.” Use “active voice” sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask: “The Contractor shall...”, and “The Contractor shall direct the [Subcontractor Name] to...”
- Include information regarding responsible staff for each task, including any subcontractors.
- Include a timeline and connect to the requested work plan.

Section 3. Staffing Plan (2-3 pages): Provide an organizational structure that facilitates effective leadership and quality staff services. Identify the main point of contact for NYSERDA and key participants in the project. Describe their individual expertise and explain how each will contribute to the work. If a project team member is participating in multiple proposals, each proposal must clearly identify any overlap between separate roles assigned to one team member. Describe the team’s management and technical expertise and relevant experience with the work described under Section II.A. Please include an organization chart showing the relationship between all personnel and subcontractors.

Resumes of key personnel highlighting relevant experience should be included as appendices. (resumes are not included in the page total)

Section 4. Qualifications (2-3 pages): Describe how the Proposer’s staff and other team members meet the required experience, skills, and abilities to perform the services described under Section II.A of this RFP. State the individual and combined expertise that would enable successful completion of the objectives outlined in this solicitation. Provide relevant background information demonstrating the ability to successfully provide the required services, including prior experience with this type of work and any tools and templates that may already be developed. Cite specific examples of previous relevant projects. Include the name and telephone number of at least three (3) references for whom your organization has completed relevant projects. Prior NYSERDA projects may be used as an additional reference but may not serve as one of the three required references.

Proposers or proposing teams should meet the following requirements:

- **Project Implementation Qualifications:** Cite specific examples of programs for which the proposer has provided implementation services similar to the type of work described in Section II.A and describe lessons learned from these past experiences that would inform its approach to this engagement. Cite specific examples of existing studies, reports, or data sets that the proposer recommends providing to the applicants as described in Section II.A.
- **Outreach and Engagement Qualifications:** Cite specific examples of outreach materials and community engagement strategies and activities developed for similar projects as described in Section II.A and describe lessons learned from these past experiences that would inform its approach to this engagement.
- **Measurement, Evaluation and Learning (MEL) Qualifications:** Cite specific examples of programs for which the proposer has provided MEL for similar projects as described in Section II.A and demonstrates ability to provide expertise and tools to the project.

Proposers must provide all of the support services requested above. NYSERDA will award a single contract to one proposer or one team of proposers (with one serving as prime). **Section 5. Cost Proposal (1-2 pages):** Submit a proposed total project budget, itemized by task, including cost elements and subcontractor costs (if applicable) using the attached Budget Form (see Attachment B). 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.

Cost Share

Cost-sharing is encouraged but not required. 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:

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

Section 6. Schedule/Work Plan (1-2 pages): Submit a schedule for conducting the work proposed in the SOW in a Gantt chart or similar format in terms of weeks and months. Specifically address the plan for commencing work no later than March 1, 2024 and performing the tasks required for program launch. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget and Statement of Work.

Section 7. Letters of Commitment: If proposers are relying on any other organization to do some of the work or provide services or resources, include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer has not secured a firm commitment from the subject parties.

Section 8. Appendices: Include resumes, company qualifications, sample work products, or ancillary information which is deemed necessary to support your proposal. Keep appendices to a reasonable length.

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. 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. Final rankings and contract award will be based on the following:

Proposer Qualifications:

- Demonstrates understanding of and experience with:
 - General program management and software tools
 - Transportation planning, transportation electrification, first-and-last mile solutions and/or mobility technologies and services
 - Working with local governments, transit agencies, MPOs, planners, and employers
 - Working with mobility solutions providers on projects of a similar nature
- Demonstrates experience conducting projects similar to the Clean Mobility Program described above and assigns staff to the project with relevant experience.
- Demonstrates strong past performance with NYSERDA, NYS and/or other clients, as demonstrated by their past work products and/or references.

Services Requested:

- Demonstrates ability to provide expertise and services in program implementation including project awardee contract management, subject matter expertise, and resource development.
 - The degree to which the proposer has the ability to implement projects, programs or materials targeted to disadvantaged communities, rural communities and other communities underserved by transit.
- Demonstrates ability to provide expertise and services in outreach and engagement including fostering grassroots community engagement and establishing partnerships with solution providers.
 - The degree to which the proposer has the ability to engage with representatives of disadvantaged communities, rural communities and other communities underserved by transit on projects of a similar nature.
- Demonstrates ability to provide expertise and services in measurement, evaluation and learning including measuring project outcomes and supporting replication and scalability of the demonstrations.
 - The degree to which the proposer has the ability to monitor and evaluate complex programs targeted to disadvantaged communities and other communities underserved by transit in the clean transportation space, and the writing and production of materials representing lessons learned for non-technical end-user audiences.

Proposal Quality:

- Demonstrates an understanding of the range of services requested and the ability to successfully deliver these services.
- Provides creative or innovative ideas for approaching the project that are likely to enhance the project performance.
- Demonstrates the ability to communicate in a clear and concise manner.
- Demonstrates the ability to address NYSERDA program needs and deliver high-quality work on tight deadlines.
- Commits and shows a demonstrated ability to starting work no later than March 1, 2024

Proposal Value:

- Allocates an appropriate proportion of project cost dedicated to project completion (versus travel, equipment, and administration).
- Provides experienced staff performing appropriate tasks at industry-comparable rates.
- Demonstrates the level of service provided is in line with the proposal cost.
- Includes innovative processes, structure, or methods to reduce program implementation and operation costs.
- While not a required element of the RFP, voluntary cost share will be evaluated under this component of the evaluation criteria.

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.

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

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

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

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

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

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

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

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

Contract Award - NYSEDA anticipates making one (1) award under this solicitation. NYSEDA anticipates a contract duration of 60 months (5 years), unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 4-6 weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting transit@nyserda.ny.gov. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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 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 NYSEDA after the award of a contract, NYSEDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

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 Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Commission on Ethics and Lobbying in Government. 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

VI. Attachments:

Attachment A – Statement of Work Template
Attachment B – Budget Form and Instructions
Attachment C – Sample Agreement



Regional Clean Energy Hubs Energy Kits

Request for Proposal (RFP) 5099

\$ 400,000 Available

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

Proposals Due: December 6, 2023 by 3:00 p.m. Eastern Time*

SUMMARY OF REVISIONS

- Changed solicitation from a RFQ to RFP
- Revised Proposal Due Date
- Revised Energy Kit delivery due date
- Revised Energy Kit components
- Added Proposal submission format
- Added Proposal Evaluation criteria
- Removed formulas from Energy Kit Price Quote (attachment A)



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

Proposals Due: April 8, 2024 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) invites proposals from public relations professionals and public relation firms interested in providing public relations/communications services to advance the goals of NYSERDA and the Climate Leadership Community and Protection Act (Climate Act) by building awareness of and support for the Climate Act and assisting in developing a narrative around New York State’s clean energy and climate priorities and providing rapid response communications services, if necessary.

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 Tania Allard at (518) 862-1090, ext. 3330 or by e-mail taniacomms@nyserda.ny.gov or Claudette Thornton at (518) 862-1090, ext. 3298 or by e-mail claudettecomms@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or nancysolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible 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. Please see [Solicitation Proposal and Vendor Responsibility Questions.pdf](#) for a complete list of the questions proposers must answer as part of a submission. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

NYSERDA is a public benefit corporation of the State of New York created and operating under the provisions of Public Authorities Law, §§1850 et. seq. (the "New York State Energy Research and Development Authority Act" or "Act"). NYSERDA offers objective information and analysis; innovative programs, including energy efficiency, renewable energy, and energy research and development; technical

expertise; and funding to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels.

II. Scope of Services

NYSERDA requests proposals from public relations professionals or public relations firms interested in providing public relations/communications services to advance the goals of NYSERDA and the Climate Leadership Community and Protection Act (Climate Act) by building awareness of and support for the Climate Act and assisting in developing a narrative around New York State's clean energy and climate priorities and providing rapid response communications services, if necessary.

Services will be sought to assist in the following areas:

- Support NYSERDA in managing current events related to NYSERDA's work;
- Ensure reputation management for NYSERDA and New York State as a clean energy leader by building awareness of and support for the Climate Act and its initiatives; and
- Assist with developing messaging through various communication channels around New York State's clean energy and climate priorities while also being able to rapidly respond to negative viewpoints and perceptions about the State's climate and clean energy goals under the Climate Act, the costs associated with the Climate Act, and challenges to particular policies and programs.

Proposers must have the ability to immediately address emerging unforeseen events that draw media scrutiny and will develop messaging, strategy, outreach, and execution directed toward multiple audiences to address:

- Opportunities to inform and educate the public on the Climate Act while building awareness and support for its goals and potential benefits and helping to maintain a positive narrative and conversation around New York State's clean energy and climate priorities.
- Unpredicted events or situations related to the State's transition to clean energy and a zero-emissions grid while ensuring equity and affordability;
- Questions and concerns on affordability for New Yorkers and direct costs to ratepayers as a result of the State's clean energy and climate transition;
- The development of New York's Cap-and-Invest program, the cost for residential and business consumers, and how it will benefit New Yorkers;
- Advancement of and addressing the headwinds related to large scale land-based and offshore renewable energy project development including unprecedented inflation and potential project attrition from increasing costs and unforeseen supply chain issues;
- Concerns related to the cost and practicality of supporting building decarbonization, the implementation of codes for same and a phase out of fossil fuels in new construction;
- Concerns related to transitioning cars, trucks, and SUVs sold in New York to zero emissions, and requiring all school buses in operation in the state to be zero-emission by 2035;
- Challenges with the lithium ion batteries and the scale up of stationary battery storage systems, as well as related fires, safety issues, and the work of the associated working groups; and
- Any other unanticipated communications requests related to NYSERDA's work to support the Climate Act, as needed.

The public relations professional or public relations firm selected will be expected to act as a public relations firm for NYSERDA for a period of one year. It is anticipated that the initial contract period will begin on or about spring of 2024 or sooner if contractual negotiations allow.

Public relations/communications services/support would potentially include, but need not be limited to:

- Developing a strategy and messaging for responding to and managing new and ongoing analysis and counterpoints on issues related to the areas outlined above through earned media.
- Creating and managing a media outreach strategy to increase opportunities to build awareness of and support for the Climate Act that will result in a positive public narrative and also counter challenges to the areas outlined above through earned media.

- Drafting and helping place op-eds, letters to the editor, and other external messaging, pitch interview opportunities, and facilitate story placement as needed to support quick action through earned media needs on the areas above.
- Developing topline messaging about the State's clean energy legislation, policies and programs to increase opportunities to build awareness of and support for the Climate Act that will result in a positive narrative and help counter challenges related to advancing the goals of the Climate Act and topics outlined above.
- Being readily available to support and assist with time sensitive matters that require quick action.
- Assisting with timely and comprehensive stakeholder outreach in all regions of the State and collaborating with NYSERDA Corporate Communications on messaging and strategic engagement tactics, as needed.
- Participating in meetings with NYSERDA's Corporate Communications staff, and other parties, as necessary or appropriate.
- Providing any other public relations/communications services, advice, or consults relating to NYSERDA's programs, as requested.

III. Proposal Requirements

A. Qualifications

Proposers should:

1. Describe its experience working for or with public entities, including New York State public benefit corporations or public authorities.
2. Describe how the proposer will be able to provide services for the areas above in the Scope of Services and describe the nature of the proposer's expertise in this area(s) of practice. Also, provide a brief description of services the proposer expects to provide to NYSERDA. Indicate whether the proposer is prepared to render the services enumerated in this RFP using its own resources or whether some services will be subcontracted. The description should emphasize particular services to be subcontracted, if any.
3. Be available to accommodate the public relations needs of NYSERDA in a timely and efficient manner. Proposer must demonstrate that primary and reasonably qualified backup and support public relations professionals are available as needed, and that the proposer has staff capabilities to perform the work with short turn-around times. Please identify the nature of resources available to support this effort (i.e., solo professional, small firm, large firm, subcontractor services available where necessary, etc.). Provide any other information you believe would make the proposer's rapid response/communications work supporting NYSERDA superior to other entities.
4. Provide the names of the lead executive, project managers, writers, research analysts, etc. who would be assigned to NYSERDA's account and their experience in performing services similar to the services requested in this RFP. Include resumes for all employees expected to be involved on this account. Include a description of each employee's function in the firm, title, office address, and number of years of service with the firm and other relevant past experience. Describe the percentage of the firm's time commitment to this account that each person would be anticipated to provide. Describe the availability of the lead person(s) for consultation with NYSERDA, including but not limited to their ability to meet with NYSERDA staff in Albany, New York. (Resumes may be included as an appendix.)
5. Discuss fully any conflicts of interest, actual or perceived, that might arise in connection with the proposing public relations professional or public relations firm's involvement with NYSERDA. If conflicts do or might exist, describe how the firm would resolve them. State whether the proposer does business with any energy utility, public authority, or independent power producer that operates in New York State. If so, state the name of each such client and the nature of interaction.

6. Indicate the address of the office through which NYSERDA's account will be primarily serviced, and any anticipated travel or other such costs.
7. Provide an explanation of any exceptions the proposers would request to the Sample Agreement.
8. Provide three client references, including name, address, e-mail and telephone number.
9. State whether the proposer is a NYS-certified Minority- or Women-Owned Business Enterprise.

B. Cost

1. State the rates at which the services of assigned personnel would be provided to NYSERDA beginning in fiscal year 2024 (*i.e.* Date of Award to March 2025 and for NYSERDA fiscal year (1 year) (April 1 through March 31), and how services would be billed. Increases, if any, for those years may be stated in terms of percentages above the rates for the fiscal year ending March 31, 2025. Please include:
 - For each person whose resume is provided above, their normal hourly rate and the hourly rate at which NYSERDA would be charged.
 - For each applicable category of support staff or other assigned staff, the normal hourly rate and the hourly rate the proposer would charge NYSERDA, if billed separately.
 - Any reduced rates or fees charged other State or local governments in New York for these types of services.
 - A statement of the basis on which any other firm expenses related to services provided to NYSERDA would be billed, if other than cost.
 - A statement of any special considerations with respect to billing or payment of fees and expenses that your firm offers and that you believe would differentiate you from other proposers and make your firm's services more cost effective for NYSERDA.
 - A statement whether proposer would be willing to agree to caps on fees on an issue by issue basis.

C. Agreement

Proposers should review the Sample Agreement attached hereto as Exhibit A which will serve as the agreement between the parties. If proposers require a retainer agreement, this should be provided for inclusion in any final negotiated contract.

D. Format

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

Proposals must provide all information requested in Section III above. The proposal should concisely present the information needed to fully address the Proposal Evaluation criteria in Section IV. Proposals that 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, RFP 5688, and the page number. Proposals should be no longer than 10 pages. Resumes or examples of work will be excluded from the 10-page proposal limit.

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**.

- Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.
- Quality and depth of the firm's expertise and its prior work in providing service in the areas identified in the Scope of Services Section. For any individuals or firms who have worked in any capacity with NYSERDA, the quality of work on those transactions will be considered.
- Experience in working with public entities, including New York State public benefit corporations or public authorities, as well as energy/environmental advocacy groups.
- Ability to be readily available to support and assist with time sensitive matters that require quick action.
- Demonstrated ability to conduct stakeholder outreach, including in those areas described in the Score of Services above, across New York State.
- Commitment of time and resources to this account, and amenability to, and facility for, working with NYSERDA Corporate Communications staff and other staff in various capacities.
- Anticipated cost of services and willingness to work with NYSERDA to minimize cost.
- Whether the proposer is a NYS-certified minority-owned or women-owned business.
- Information provided by client references.

Selection Process

A Scoring Committee comprised of internal NYSERDA staff will review and evaluate proposals. NYSERDA reserves the right to seek additional information from any proposer during scoring committee review. At NYSERDA's discretion, proposers may be requested to interview with, or provide supplemental information to, all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Top-ranked professionals or firms may also be invited to make oral presentations to the Scoring Committee or other NYSERDA staff as part of the final selection process. Proposers will be notified if they are requested to attend an interview or provide additional information.

Program Policy Factors

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

- The degree to which the proposed project optimizes the use of available funding to achieve programmatic objectives.

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

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

Information Security: The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as “ITS Security Policies”) for State Entities, including NYSERDA. Contractors, vendors, and solution providers conducting work on behalf of NYSERDA including, but not limited to, application development, web development, hosting, or managing NYSERDA’s sensitive data are required to comply with the NYS requirements. These requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities, and accepted behaviors to establish and maintain a secure environment and achieve the State’s information security objectives. Contractors that manage NYSERDA’s data outside of NYSERDA’s systems with a High or Moderate rating as per the NYS ITS Information Asset Identification Worksheet must comply with the following requirements.

High Rating	Moderate Rating
<ul style="list-style-type: none"> • Maintain up-to-date SOC 2 Type 2 Assessment Report and provide to NYSERDA upon request. • Maintain Cyber Security Insurance • Provide a signed self-attestation on an annual basis for multiyear contracts 	<ul style="list-style-type: none"> • Maintain Cyber Security Insurance • Provide a signed self-attestation on an annual basis for multiyear contracts

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 Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Commission on Ethics and Lobbying in Government. 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

Attachments:

- Attachment A – Sample Agreement
- Attachment B – Diversity Practices Questionnaire



**Charge Ready NY 2.0 Equipment and Network Qualification Process
Request for Qualifications (RFQL) 5312
No funding will be awarded through this RFQL**

Applications accepted through December 31, 2025 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this RFQL to establish a list of Level 2 electric vehicle (EV) charging equipment (EVSE) and networks that will be eligible for incentives under the upcoming revised Charge Ready NY 2.0 Program (Program). Under the Program, interested site owners will be able to receive incentives for the installation of eligible charging equipment. Charging station vendors will submit applications to determine eligibility of 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 eligible equipment models and network solutions will be listed on the NYSERDA webpage for prospective charging station owners to view. Eligible equipment must meet the program requirements described below.

Submissions will be accepted on a rolling basis until December 31, 2025 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 \[PDF\]](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting David McCabe (Designated Contact) at (518) 862-1090, ext. 3281 or by e-mail cleantrans@nyserda.ny.gov or Adam Lomasney (Designated Contact) at 212-971-5342 x 3017 or by e-mail cleantrans@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or nancysolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible 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 NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

NYSERDA seeks to accelerate charging station installations and adoption by offering incentives to entities that purchase and install charging stations at workplaces, multifamily buildings, and certain publicly accessible facilities. This incentive program, the Charge Ready NY 2.0 Program (Program), is planned to launch in early 2023, and will focus 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.

To facilitate the operation of this program and to help simplify the purchasing process for prospective station owners, NYSERDA is issuing this RFQL to establish a list of Level 2 EV charging equipment and networks that will be eligible for incentives under the Program. Charging station vendors can submit applications to determine eligibility of 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 eligible equipment models and network solutions will be listed on the NYSERDA webpage for prospective charging station owners to view. Eligible equipment must meet the program requirements described below.

Submissions will be accepted on a rolling basis until December 31, 2025 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.
- 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 6.2 kW (30A) or higher per port.
- 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.
- All charging equipment must be networked. Charging equipment providers must list the names of any network operators that have provided network services for use on their hardware 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.
- All equipment must be ISO-15118 Hardware Ready by March 31, 2024, and at a minimum must support the following:
 - Powerline carrier (PLC) based high-level communication as specified in ISO 15118-3.
 - Secure management and storage of keys and certificates.
 - Transport Layer Security (TLS) version 1.2; additional support for TLS 1.3 or subsequent versions is recommended to prepare for future updates to the ISO 15118 standard.
 - Remotely receiving updates to activate or enable ISO 15118 use cases.
 - Connecting to a backend network.
 - Selecting the appropriate communication protocol used by the vehicle.

- Equipment must use an open standard protocol as a basic framework for purposes of network interoperability and communication with back-end network services providers. The EVSE must support OCPP 1.6 or later.
 - EVSE shall support network interoperability and be certified to OCPP 1.6 or later. Proprietary network software and contracts may be used if the EVSE can switch to another OCPP-compliant network provider at the end of any contract agreement.
 - NYSEDA reserves the right to require third-party certification of OCPP compliance at a later date. If it does so and finds that EVSE are not compliant, it may remove these stations from program eligibility.
- Charging equipment must have remote diagnostics and be capable of remote start.
- Each port of eligible charging equipment must be able to simultaneously charge vehicles at a minimum of 6.2 kW.
- Equipment must use no more than 10 Watts of power per port when not connected to a vehicle.
- All equipment must be Energy Star certified. If submitting an updated model previously approved under this RFQL, a Partnership Agreement with Energy Star will be required before the equipment will be placed on the list of approved EV charging equipment.
- Charging equipment must be accessible to drivers regardless of membership in an Electric Vehicle Service Provider (EVSP) network. EVSPs must accept at least two forms of payment, one of which must be payment by credit card, and must allow payment by members and non-members at charging station locations that require payment. A toll-free telephone number must be posted for drivers to pay by phone.
- Charging equipment must have a display screen that can clearly display customer pricing. Charging stations must clearly inform drivers of voltage and amperage capabilities of the unit. All fees associated with a charging session must be posted.
- Equipment manufacturers who utilize a kiosk for payment for charging equipment without display screens may be eligible if some combination of the kiosk and charging equipment meet all of the requirements of this RFQL.
- Charging equipment and all accessories must be backed with a warranty of 36 months or longer. The warranty period should start the day that the equipment is installed and ready for use. Proof of the warranty will be required alongside receipts of purchase for fund disbursement.
- New EVSE shall have the most current software version available at the installation date and shall be factory calibrated within original manufacturer standards.
- The original equipment manufacturer (OEM) must submit proposals for their charging equipment models on their own behalf.
- Charging equipment vendors who white-label charging stations that are manufactured by a third party are eligible to apply after the charging station's OEM has applied and been pre-approved for the corresponding model.
- 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 must include only connectors that are SAE-J1772 standard compliant.
- Wired equipment must 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.
 - 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.

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 and provide data to equipment owners on station electricity dispensed and number of charging events.
- Charging networks must accept at least two forms of payment, one of which must be payment by credit card, and must allow payment by members and non-members at EVSE locations that require payment. A toll-free telephone number must be posted for drivers to pay by phone.

Network providers must meet data collection and access standards as described by the Atlas Group, which maintains standards for the process, structure, and format for data and access for EVSEs and charging networks. These standards can be found at [Core Registration and Session Data Collection Reference](#). Network providers must be able to provide this information directly to NYSERDA through password-protected access to a station management software that allows NYSERDA limited administrative access to energy use and status reports. All EVSE must be available through one login to one platform. Network providers must provide a log-in to their portal for NYSERDA's review before their application will be approved. Network providers must meet the minimum requirements listed below:

- **General**
 - Session data must be available via online portal and required fields exportable by a reporting entity with access to the portal.
 - Data from covered stations can be downloaded as a CSV or Excel file in bulk.

- **Energy use reports**
 - Session data should conform to NYSERDA's data specification requirements above and include, at a minimum:
 - Session start date (mm/dd/yyyy)
 - Session start time (hh:mm:ss)
 - Session end date (mm/dd/yyyy)
 - Session end time (hh:mm:ss)
 - Charging start date (mm/dd/yyyy)
 - Charging start time (hh:mm:ss)
 - Charging end date (mm/dd/yyyy)
 - Charging end time (hh:mm:ss)
 - EVSE serial number (symbols such as dashes should be removed)
 - Session duration (i.e., total time vehicle is plugged in; hh:mm:ss)
 - Charging duration (i.e., total time vehicle is charging; hh:mm:ss)
 - Total energy provided (kWh)
 - Peak power (kW)
 - Reports would ideally also include:
 - Port identifier, if applicable (dual port chargers)

- **Status reports**
 - Ability to view EVSE status via online portal.
 - Charging networks have until September 30, 2023 to provide the ability for NYSERDA to download station status reports directly from the online portal
 - EVSE status data downloads must be machine-readable and include, at a minimum:
 - EVSE serial number (symbols such as dashes should be removed)
 - Status (e.g., available, offline, in maintenance, etc.)
 - Effective status date (e.g., date station went offline, became available again, etc.; mm/dd/yyyy)
 - Effective status time (e.g., time station went offline, became available again, etc.; hh:mm:ss)
 - See **Attachment C** for a copy of Sample Energy Use and Status Reports.

- Charging networks must have remote diagnostics and be capable of remote start.
- Charging networks must be able to provide access to charging station data to NYSERDA directly through an online portal, with the equipment owner/network customer's permission. All charging station data provided to NYSERDA through these charging stations will be the joint property of NYSERDA and the network provider. NYSERDA shall have the right to use, duplicate, or disclose the charging station data, in whole or in part, in any manner and for any purpose whatsoever, and to permit others to do so.

- Charging networks must 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. The serial number must be visible for customers to report to customer service. The customer support center must be accessible 24 hours a day, seven days a week.
- 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. If charging station equipment or networks do not meet the requirements of this RFQL, they will not be eligible for rebate incentives through the Charge Ready NY 2.0 Program. Distributors and installers do not have to be qualified through this RFQL.

III. Application Requirements

Applicants should submit completed applications according to NYSERDA's proposal submission procedures outlined on the cover page of this 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
 - Energy Star certification for each model of charging equipment
 - Partnership Agreement with Energy Star if submitting an updated previously approved model from this RFQL(if applicable)
- Charging Network Applications:
 - Charging Network Qualification Worksheet (**Attachment B**)
- All applications must include **Attachment D**: Equipment and/or Network Service Provider Terms and Conditions form, signed by someone authorized to commit the applicant.

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 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).

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

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

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

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their Russian business operations status. Any such business operations in Russia conducted by, or on behalf of, the vendor must be permitted under the allowable exemptions listed by the Order. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSEDA's sole discretion and are final decisions. NYSEDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

V. Attachments:

- Attachment A – Charging Equipment Qualification Worksheet
- Attachment B – Charging Network Qualification Worksheet
- Attachment C – Sample Energy Use and Status Reports
- Attachment D – Equipment and/or Network Service Provider Terms and Conditions



NEW YORK CAP-AND-INVEST MARKET & AUCTION TECHNOLOGY SOLUTIONS & SERVICES

Request for Qualifications (RFQL)

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

Proposals Due: February 12, 2024 by 3:00 p.m. Eastern Time*

PROGRAM SUMMARY. The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from an entity or team of entities (hereinafter referred to as “Proposer”) to provide Platforms and Services for Emissions Reporting, Market Registry, Auctions, Market Monitoring, and Financial Services to NYSERDA to carry out New York’s Cap-and-Invest and Emissions Reporting programs, program auctions, and associated market services established by New York State Department of Environmental Conservation (“DEC”) regulations and NYSERDA regulations (collectively “New York Cap-and-Invest program and rules”), currently under development. Proposals may be submitted by an individual entity or a team arrangement of entities to provide optimal services to NYSERDA. It is the intent of NYSERDA to enter into a contract (or contracts) with a Proposer or Proposers for a period of approximately 6 years, through March 31, 2030, with the option to renew the term or provide additional funding.

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 Lori Borowiak (Designated Contact) at (518) 862-1090, ext. 3004 or by email RFQL5634@nyserda.ny.gov, or Vladimir Gutman-Britten (Designated Contact) at (518) 862-1090, ext. 3080 or by e-mail RFQL5634@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or nancysolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible 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

To meet the greenhouse gas emissions reduction requirements established in the Climate Leadership and Community Protection Act (Climate Act)¹ NYSERDA and the DEC (“Program Administrators”) are undertaking one of the most ambitious efforts in the U.S. to address climate change by reducing climate altering emissions from every sector of the economy and investing in an equitable, clean energy future for all New Yorkers.

The New York Cap-and-Invest program and rules will establish a declining cap on greenhouse gas emissions, seek to limit potential costs to New Yorkers, invest proceeds in programs that drive emission reductions in an equitable manner, and maintain the competitiveness of New York businesses and industries. NYSERDA seeks Proposers that have expertise in providing and administering an Auction & Market Registry Platform, Emissions Reporting Platform and Services, as well as Market Monitoring and Financial Services for carrying out the New York Cap-and-Invest program and rules, including program auctions and market services as well as related functionality as identified and needed. This RFQL seeks one or more system platforms and associated market services to provide the desired functionality that can be configured for the New York Cap-and-Invest program and rules.

A. PROGRAM REQUIREMENTS

A. Program Categories

Services sought under this RFQL are divided into three categories. Proposers may submit for one or more of the Proposal Categories listed in this section. NYSERDA is seeking Proposers who have experience in providing Emissions Reporting, Auction and Market Registry Platforms and related Services for cap-and-invest programs, environmental compliance markets, markets for environmental attributes, or other closely related markets. Proposers, either individually or in a team arrangement, may propose to one or more Categories but must submit a separate proposal for each chosen Category. Submission requirements are further described in each Proposal Category below:

Category A: Market Registry Platform, Auction Platform, Financial and other Related Services

NYSERDA is seeking one or more contractors to provide an integrated Market Registry Platform, Auction Platform with services, and Financial Services for the purchase of allowances, and related technical support.

- **Capability A-1: The New York Cap-and-Invest Market Registry Platform** will provide registration capabilities for market participants to access the New York Cap-and-Invest registry and auction platforms, purchase, hold and trade allowances, and to provide a mechanism for determining and demonstrating compliance with the New York Cap-and-Invest program and rules. The registry should also be able to support implementation of specific set-asides and retirements by Program Administrators in compliance with the New York Cap-and-Invest program and rules. If separate platforms are being used for market registry, emissions reporting and auctions, the data from each system must be compatible with the other. The selected contractor will provide the platform configured for NYS, provide ongoing customer support for market participants and Program Administrators, provide ongoing maintenance and timely enhancements as needed or requested by the Program Administrators. Program Administrators must have equal access at all times to the New York Cap-and-Invest Market Registry Platform.
- **Capability A-2: The New York Cap-and-Invest Auction Platform** will provide market auction capabilities. The platform shall have a distinct registration functionality (not all registered entities will participate in all auctions). The selected contractor must assist NYSERDA in running allowance auctions, including accepting bids and settling auctions. The Auction Platform shall provide the Program

¹ Chapter 106 of the Laws of 2019.

Administrators, the selected contractor of Market Monitoring Services (as described in Category B), and other State Agencies as necessary to review auction results, support market stability mechanisms, and enforce market integrity rules as defined by the New York Cap-and-Invest program and rules. If separate platforms are being used for market registry and auctions, the data from each system must be integrated with the other. The selected contractor will provide the platform configured for NYS, provide ongoing customer support for market participants and Program Administrators, and provide ongoing maintenance and timely enhancements as needed or requested by the Program Administrators.

- **Capability A-3: The Financial Services Administrator** will accept and verify bid guarantees, accept payment for settled auctions, transfer proceeds to requisite parties (the Program Administrators and entities in the case of consignment of allowances), and return unused bid guarantees.

Submission requirements for Category A: It is NYSERDA's preference to have all three subcategories (capabilities A-1 – A-3) under Category A provided by a single contractor to highlight the integration of the platforms and services. Proposers are encouraged, either as an individual entity or through an established teaming arrangement with other entities, to submit a proposal combining all three of the subcategories described above. Proposers may apply to one or more Category A sub-categories, but if so chosen, will be required to integrate and coordinate with the other Proposers selected for award. NYSERDA may elect to award an individual subcategory submitted under a proposal combining multiple subcategories. Proposers may indicate in their proposal if platforms and services submitted under a combined Category A proposal may not be separated.

Category B: Market Monitoring (Service)

NYSERDA is seeking to procure **Market Monitoring Services** to prevent manipulation and rule violations and maintain high integrity in both primary and secondary markets. The Market Monitor Provider must audit auctions, track and evaluate trading, as well as tracking and verifying corporate structures and associations of market and auction participants, through regular reports and evaluations provided to the Program Administrators and applicable State Agencies.

Submission Requirements for Category B: Proposers must submit a separate proposal for Category B, even if the Proposer submits proposals for multiple categories offered by this solicitation, as a whole.

Category C: Emissions Reporting Platform

NYSERDA is seeking to procure an **Emissions Reporting Platform** that can collect data from sources including but not limited to, entities, and other reporting databases (i.e., EPA's e-GGRT, EPA's CAMD, EPA CAERS, DEC's AFS) as required by the NYS reporting program regulations currently in development. The selected contractor will provide the platform configured for the New York Cap-and-Invest program and rules, provide ongoing customer support for reporting entities, market participants and Program Administrators, provide ongoing maintenance and timely enhancements as needed or requested by the Program Administrators.

Submission Requirements for Category C: Proposers must submit a separate proposal for Category C, even if the Proposer submits proposals for multiple categories offered by this solicitation, as a whole.

B. Proposer Eligibility and Requirements

NYSERDA anticipates awarding one or more contracts through this RFQL that covers all services requested for all phases of the project. Proposers may be a single entity or team of entities but must, in their response, clearly identify the key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFQL. If a Proposer includes a partnering arrangement with third parties in their proposal, the Proposer will retain sole responsibility for successful completion of the work under a resulting contract. All data server and data resources must be located within the continental US.

Proposers must articulate the cost structure for each of the phases, including any ongoing license fees and structure of such fees in Section 6 of the proposal. Where time and materials costs are proposed, an estimated level of effort should be included as well. The total estimated cost for each phase and in total, should be clearly presented in the proposal for budgetary purposes. Phase 1 of the contract will define the tasks and budgets for subsequent Phases, and final budget and schedule will be established at that time.

The successful Proposer must demonstrate a clear understanding of the anticipated New York Cap-and-Invest program and rules as described in this RFQL, and at <https://capandinvest.ny.gov/>. Proposers must demonstrate the ability to provide, at a minimum, the relevant services as outlined in this RFQL, for each category to which they are proposing. The Proposer must demonstrate experience in emissions trading programs, emissions reporting programs, environmental compliance markets, markets for environmental attributes, or other closely related markets, please indicate if this experience has been provided to individual jurisdictions or to multiple jurisdictions that are linked. The selected contractor(s) will provide Program Administrators with a dedicated team of high-level professionals who will support providing and administering New York's Cap-and-Invest Platforms and Market Services. Proposers must identify one qualified team member who will be responsible for leading the initiative outlined in this RFQL and changes to the designated project lead requires consultation with and approval from the Program Administrators.

Proposers must demonstrate skill and expertise in developing the successful completion of up to 3 comparable projects, where "comparable" is defined as similar platforms or services serving another jurisdiction. Details of this experience must be provided in Section 2 (Proposer Qualifications) and Section 5 (Examples of Platforms in the Market) of the proposal.

Proposers must demonstrate the following:

- Highly secure physical, digital and personnel infrastructure practices to ensure integrity of auctions and safeguarding of private and market-sensitive data and financial assets on the part of the regulated community.
- Experience executing sizable financial transactions; acting in a fiduciary capacity (directly or via establishment of a trustee); providing timely audited financial statements and other financial disclosures; maintaining sufficient reserves to adjust to temporary disruptions without impairing the flow of funds; and ensuring consistent compliance with all New York and federal laws, regulations, and licensing requirements as may be required for management of financial transactions within New York.
- Absence of legal or regulatory compliance issues; proposers may be required to produce evidence that there are no pending litigation or tax issues and provide current audited financial statements and auditor opinion letter.
- A culture of compliance, with qualified staff, a strong controls environment, and a commitment to ensuring ethical business practices.
- Proficiency in environmental market structures, including especially auctions and allowance trading and emissions reporting platforms; and
- Proven track record of delivering technology solutions for complex programs.

All Proposers must demonstrate a willingness and commitment to minimize costs for the Program Administrators. The Program Administrators reserve the right to negotiate lower or different fee structures during the contracting process with any Proposer.

If a Proposal does not include all required information, it may be deemed non-responsive. The selected contractor must agree to provide Program Administrators and any designee with access to documents, personnel and other information necessary to conduct audits upon request during the terms of the Contract, and for up to six (6) years after the contract term expires.

C. Platform Requirements

For the Market Registry, Auction and Reporting Platform systems, proposers should provide detailed information about their product(s) and how it meets each of the requirements listed in this RFQL. Proposers should clearly

articulate their execution strategy, including their process to develop system requirements based on the New York Cap-and-Invest program and rules and Program Administrators' needs, software configuration and/or development processes, training, delivery of the product, and ongoing support to New York's Cap-and-Invest Program. Proposers should clearly articulate how their product meets each of New York's Cap-and-Invest Program's needs and articulate if each of the needs can be met as:

- off-the-shelf offerings with configuration, or
- if custom development work is needed

Describe the level of effort required to configure or customize existing products to meet the needs of the Program Administrators as articulated in this RFQL and the New York Cap-and-Invest program and rules currently in development. The Program Administrators encourage proposers to describe other features of their product that provide benefits beyond the minimum requirements of this RFQL. The Proposers should clearly articulate if these additional features are part of a core package, if the features are optional, whether they have off-the-shelf capability or require configuration or development, and what, if any, additional fees are applicable.

At a minimum, Systems should provide:

- Role based permissions
- Integration capabilities to share data between systems
- Potential for interoperability with other jurisdictions in the future; and
- Any related websites must be ADA compliant and available in Multiple Language (pursuant to NYS Language Access Law)

Proposers should address assurances for the continuity of services for Program Administrators in the event that existing products or platforms were to no longer be made available or supported by the proposer. Assurances must be put in place to provide continuity of operations and reliably offer the platform functionality and market services for the duration of the New York's Cap-and-Invest program, or until 2050, whichever comes first. Examples of such assurances may include but are not limited to transferability, portability of data collections, reliability of business model or structure, and processes in place in other jurisdictions. Describe the expected transition timeline necessary to assist Program Administrators in securing continuity of services. Program Administrators must be provided equal access to the services, at all times.

Proposers should detail capabilities and options to exchange data between their proposed system and other states, provinces or countries with Cap and Invest Programs through future potential linking of jurisdictions.

Preference will be given to platforms that maximize delivered functionality and minimize customization. Proposers should indicate the proposed technology platform upon which the systems will be built along with identification of any required hardware/software/licensing requirement.

D. Security Requirements

The successful Proposer(s), the providers of all services and technologies, and all components of the Platforms and Services for the New York's Cap-and-Invest Program will be required to comply with the appropriate data and system security policies described in this section.

The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as "ITS Security Policies") for State Entities, including NYSEERDA. Contractors, vendors, and solution providers conducting work on behalf of NYSEERDA including, but not limited to, application development, web development, hosting, or managing NYSEERDA's sensitive data are required to comply with the NYS requirements. These requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities, and accepted behaviors to establish and maintain a secure environment and achieve the State's information security objectives. Contractors that manage NYSEERDA's data outside of NYSEERDA's systems with a High or Moderate rating as per the NYS ITS Information Asset Identification Worksheet must comply with the following requirements.

High Rating	Moderate Rating
<ul style="list-style-type: none"> Maintain up-to-date SOC 2 Type 2 Assessment Report and provide to NYSERDA upon request. Maintain Cyber Security Insurance Provide a signed self-attestation on an annual basis for multiyear contracts 	<ul style="list-style-type: none"> Maintain Cyber Security Insurance Provide a signed self-attestation on an annual basis for multiyear contracts

A complete list of ITS Security Policies is available at: <https://its.ny.gov/policies>

Contractor shall notify NYSERDA's Information Security Officer immediately upon discovery or notification of any security breaches or vulnerabilities:

- information.security@nyserda.ny.gov
- (518) 862-1090 x3486

A complete list of ITS Security Policies is available at: <https://its.ny.gov/tables/technologypolicyindex>

https://its.ny.gov/system/files/documents/2022/10/nys-p03-002_information_security_policy.pdf

E. Program Administrator's Roles & Responsibilities

The Program Administrator's responsibilities are to:

- Compensate selected Proposer(s) for the development, enhancement and support of New York's Cap-and-Invest Emissions Reporting Platform, Auction Platform, Market Registry, Market Monitoring and Financial Services.
- Collaborate with the selected Proposer on the scoping of requirements for New York's Cap-and-Invest Emissions Reporting Platform, Auction Platform, Market Registry, Market Monitoring and Financial Services.
- Provide the Proposer(s) with necessary access to systems to properly support New York's Cap-and-Invest Emissions Reporting Platform, Auction Platform, Market Registry, Market Monitoring and Financial Services.
- Ensure adherence to NYSERDA's established policies and procedures and, where applicable, DEC's policies and procedures; and
- Provide a NYSERDA and DEC point person or designee for development and operation of New York's Cap-and-Invest Emissions Reporting Platform, Auction Platform, Market Registry, Market Monitoring and Financial Services, as applicable.

F. Contract Award

Selected Proposer(s) will enter into an agreement with NYSERDA for a not-to-exceed contract amount. The term of the contract is expected to extend for a period of up to six (6) years and may be renewed at the sole discretion of NYSERDA.

NYSERDA anticipates awards under this RFQL to be multi-stage awards with three phases, as described below. NYSERDA anticipates issuing a contract with a maximum, "not-to-exceed" amount for Phase One, with subsequent phases only being awarded on a contingent basis, at the sole discretion of NYSERDA. NYSERDA reserves the right not to move forward with subsequent phases, dependent on project success and availability of funding. Later phases may be funded at NYSERDA's sole discretion, using a stage gating review process: at the completion of each phase, project outcomes will be evaluated to determine if the project will continue to be funded. The evaluation criteria for later phases will include probability of technical success, past performance, and strategic fit with NYSERDA's current priorities and availability of program funds.

Ongoing regular evaluation and performance reviews will inform NYSERDA's contracting renewal decisions. Evaluation completed during Phase One (12-18 months from contract award), including stage-gate decision

points identified in this RFQL, will assess the selected contractor's performance. Among other factors, the evaluation process will assess adherence to scope, schedule, budget and overall performance. Phase Two and Phase Three funding (years 1 through 6) is contingent on successfully advancing through the stage-gate process and the availability of funding. NYSERDA reserves the right to extend the term and/or add funding to the solicitation should other program funding sources become available.

Given the ongoing rulemaking process, successful Proposers will be required to agree to and execute contractual provisions that, pursuant to NYSERDA's discretion, will allow the management of Category C to be administered by another State entity such as the New York State Department of Environmental Conservation. Despite that initial contracts will be executed between selected proposers and NYSERDA, selected proposers, under NYSERDA direction pursuant to the final Scopes of Work, are expected to be required to work directly and collaboratively with NYS Department of Conservation regarding the work required to effectuate Category C, as well as any other portion of the procurement. This is likely to also include any aspects of Categories A and B necessary to properly effectuate the elements required to successfully complete the overall Scope of Services described in this RFQL.

Additional Considerations:

NYSERDA reserves the right to:

- withdraw the solicitation at any time, at its sole discretion.
- prior to the selection process, amend the solicitation specifications to correct errors, oversights, supply additional information, or extend the due date for proposal responses.
- reject any or all proposals received that do not conform to the requirements of the solicitation.
- disqualify any bidder whose conduct fails to conform to the requirements of the solicitation or New York State's policy regarding vendor responsibility.
- eliminate any mandatory, non-material specifications that cannot be complied with by all proposers.
- make an award, in whole or in part, for any portion of the goods or services solicited.
- seek clarifications, conduct interviews, or request additional information regarding proposals, including seeking clarification at any time during the procurement process or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of a proposal or to determine compliance with the requirements of the solicitation.
- use proposal information obtained through interviews and the State's due diligence of a proposer's qualifications, experience, ability, or financial standing, and any material or information submitted by a proposer in response to NYSERDA's request for clarifying information in the course of evaluation or selection under the solicitation.
- negotiate with the successful proposer(s) within the scope of the solicitation in the best interests of New York State; and
- conduct contract negotiations with the next responsible proposer in any given Category, should NYSERDA be unsuccessful in negotiating with the first selected proposer.

III. REQUESTED SERVICES

The Proposer should note that all aspects of project scoping cannot be exhaustively defined at this stage, and further scoping work will constitute a portion of the project work itself, per the task description below. Accordingly, Phase One (scoping), as described further below, will include defining the subsequent Phases and associated budgets more specifically (within the overall budget envelope set out further below). NYSERDA and the selected contractor(s) will agree to not-to-exceed budgets for such subsequent tasks as part of the scoping task and/or as the project proceeds, and in each case the task scope and not-to-exceed budget will be agreed before work on the task in question commences. Funds can only be expended for work assigned. Only proper invoices for assigned tasks will be approved. The total budget may or may not be expended based upon the work assigned and completed, and as previously noted, funds may be added and the contract term may be extended at any time at NYSERDA's sole discretion.

A. Project Phases

Phase One: Scoping

The selected contractor(s) will work with the Program Administrators to scope out the requirements for the Platform(s) or Service(s) to meet the requirements of the New York Cap-and-Invest program and rules currently in development. Proposers should address how their proposed platform will be configured to the New York Cap-and-Invest program and rules.² This phase will include finalizing the business and functional requirements based on the New York Cap-and-Invest program and rules. In addition, the business process to effectuate the New York Cap-and-Invest program and rules will also be developed and agreed to with the Program Administrators. This Phase is anticipated to define the tasks and budgets for subsequent Phases. This Phase will begin immediately upon the execution of a contract for all categories except Market Monitoring services.

Phase Two: Configure, Test and Launch

In this phase, the selected contractor(s) will configure and develop the system based upon the business and functional requirements finalized in Phase 1. The selected contractor(s) will complete end-to-end testing of the platform, including data integrations and initial deployment of the proposed Platform. For contractors delivering Services (Financial Services or Market Monitoring Services), they will configure and test the system and begin to deliver the Services in the marketplace. This Phase will begin in early to mid-2024, and extend into mid-2025, as necessary.

Phase Three: Ongoing Technical Services and Support, Maintenance and Future enhancements and Ongoing Services.

This phase includes technical services and support for the established New York's Cap-and-Invest Platforms and Services, the on-going maintenance of the established New York's Cap-and-Invest platforms, maintaining the full deployment of the platforms and services, and including security patching. Development of enhancements to meet program needs and rule changes that may occur in the future, including integrating with other states, provinces or countries Cap-and-Invest Programs. The phase includes new user training and helpdesk support.

This phase also includes adapting any changes in the New York Cap-and-Invest program and rules into the business processes and ongoing services. Ongoing services to run the Program or Platforms are anticipated to go through the contract end date, and potentially beyond.

B. Scope of Services

The selected contractor(s) for each Program Category will ideally provide at a minimum, the following:

Category A: Market Registry Platform, Auction Platform, Financial and other Related Services

Capability A-1: Market Registry Platform

- Provide Account Registration and Management for Program Administrators, obligated entities and general market participants.
- Configure the system to comport with New York Cap-and-Invest program and rules. Enable the origination, allocation, purchase (by linking with the financial administration services, described below), holding and transferring of allowances by entities.
- Provide a mechanism or mechanisms for determining and demonstrating compliance (via allowance retirement, transfer to compliance account, transparent emissions displays or other similar function as determined by regulation).
- Provide a mechanism for enforcing market integrity rules including holding limits, minimum hold times, and other related restrictions as required by rule for different types of entities (i.e., obligated entities and

² For the purposes of this document, each reference to New York's Cap-and-Invest Program and rules covers all three regulations under development to support the implementation of the program. These are an Auction Rule, a Cap-and-Invest Rule and an Emissions Reporting Program Rule.

- general market participants).
- Provide entities with flexibility in administering their activities in the registry, including multiple users and multiple clearances, while retaining high levels of transparency for Program Administrators including ensuring that only allowable access is provided to accounts to support market integrity regulations.
- The Market Registry must be able to support trading restrictions outlined in the regulations.
- Provide secure access to Market Monitors.
- Provide seamless data transfer and ensure compatibility if separate platforms are being used for the implementation of the New York Cap-and-Invest program and rules.
- The Market Registry Platform must provide reporting and analytic capabilities as required.
- The Market Registry must be able to support and retain multiple years' worth of data in accordance with state records retention requirements.
- Provide training and a user acceptance test environment for the Market Registry platform.
- The Proposer must provide all appropriate user manuals, guidance documents and training material for platform users and Program Administrators.
- Adhere to system security requirements as outlined in this RFQL.
- Provide ongoing enhancements, operations and maintenance of the platform for the duration of the contracted period.
- Provide a continuity of services approach to enable the platform to support the program beyond the contract period if needed.

Capability A-2: Auction Platform

- Provide a platform for running auctions, including accepting bids and settling auctions.
- Provide a platform for obligated entities, general market participants and Program Administrators.
- Configure the system to comport with New York Cap-and-Invest program and rules.
- The Auction Platform must support registration of entities in auctions as distinct from and additional to the Market Registry.
- The Auction Platform registration and Market Registry must integrate registration data between the two systems if separate, and specifically prevent duplicate data records for the same entity.
- Assist NYSEERDA in running auctions, including accepting bids and settling auctions. Auctions are likely to be single-round, sealed-bid, uniform price.
- The Auction Platform must provide functionality to enforce market integrity rules, including purchase limits differentiated by entity type, holding limits differentiated by entity type, financial security requirements, and associated policies.
- Must support functionality for a range of potential market stability mechanisms including emissions containment reserve, minimum bid levels, price ceilings, cost containment reserves, maximum bid levels (differentiated by entity type).
- In addition to running and settling auctions, the Auction Platform must provide communication with participating entities and in conjunction with Financial Services, provide for execution of auction results, including transferring allowances from the NYSEERDA account to entity specific accounts in the Market Registry after verifying the eligibility of each bid.
- Provide seamless data transfer and ensure compatibility if separate platforms are being used for New York Cap-and-Invest implementation.
- The Auction Platform must support consignment of allowances to specified entities.
- The Auction Platform must provide reporting and analytics functions on auction results, as required.
- Provide training and a user acceptance test environment for the auction platform.
- Provides secure access to Market Monitor(s).
- The Auction Platform must be able to support and retain multiple years' worth of data in accordance with state records retention requirements.
- The Proposer must provide all appropriate user manuals, guidance documents and training material for platform users and Program Administrators.
- Adhere to system security requirements as outlined in this RFQL.
- Provide ongoing enhancements, operations and maintenance of the platform for the duration of the contracted period.
- Provide a continuity of services approach to enable the platform to support the program beyond the contract period if needed.

Capability A-3: Financial Services

- Provider must deliver the financial administration services required by New York Cap-and-Invest program and rules.
- Be able to accept and verify bid guarantees.
- Be able to hold associated financial security.
- Ensure funds received are deposited timely with a custodian in a Trustee capacity.
- Account for all transactions pertaining to the auctions, monitor and reconcile all related cash flows, verify bid guarantees, and financial security.
- Upon auction certification, accept payment for settled auctions, transfer proceeds to requisite parties (the State and designated entities in the case of consignment of allowances), return unused bid guarantees, etc. as specified by the New York Cap-and-Invest program and rules.
- Conduct timely reconciliations of all financial transactions, provide regular reporting of transactions, balances, and earnings if/as applicable, and disclose timely any reconciliation issues should they arise,
- Ensure no less than an annual audit by a qualified financial auditing firm.
- Ensure ongoing adherence to all federal and New York state laws, regulations, and licensing requirements as required for this scope of work.

Category B: Market Monitoring (Service)

- Market monitoring is intended to prevent manipulation and rule violations to maintain high integrity in both primary and secondary markets.
- The Market Monitoring Provider must audit auctions to identify unusual or suspect behavior.
- The Market Monitoring Provider will track and evaluate trading behaviors for similar issues.
- The Market Monitoring Provider must provide third party tracking and verification of corporate structures and associations of registered market and auction participants to ensure compliance with market integrity measures.
- Track and monitor other associated market activity, including futures markets, to identify unusual or non-compliant behavior.
- Using ongoing monitoring of auctions, secondary markets, derivative markets, and other associated matters, the Market Monitoring Provider must provide regular reports and evaluations of market activity.

Category C: Emissions Reporting Platform

- Design, build and implement a web-based electronic information system for reporting emissions data and elements as described by the New York Cap-and-Invest program and rules.
- Configure the system to comport with the New York Cap-and-Invest program and rules and other requirements provided by the Program Administrators.
- Develop and implement the reporting platform with a flexible architecture capable of handling additional data fields and functionality that may be added later due to evolving statutory or regulatory standards and/or market requirements.
- Platform should accommodate account types with differing levels of permissions (e.g., reporting entities, verification entities, program administrators, platform administrator).
- Provide unique account identification with ability to link to other data management applications.
- Platform provider will support a process to validate and approve new accounts before users can access system functionality.
- Provide a user interface for account holders to access the functionality of the system through a password protected portal.
- Provide functionality for account holders to register their emission sources and report data for those emission sources.
- Enable the automated importation of data from other reporting systems (e.g., EPA's e-GGRT, EPA's CAMD, EPA CAERS, DEC's AFS, etc.).
- Provide functionality for calculating emissions based on non-emission (e.g., component, activity, volume, etc.) data provided by users and established emission factors as determined by the New York Cap-and-Invest program and rules.
- Provide functionality for data validation and to support third-party verification as required by the New

- York Cap-and-Invest program and rules for different types of entities.
- The Reporting Platform should include status indicators for data (e.g., loaded, pending, disputed, accepted).
 - The system should be able to provide communications/alerts to users.
 - Provide entities with flexibility in administering their activities in the reporting platform, including multiple users and functionality to set login permissions, while retaining high levels integrity for final submission and sign-off.
 - Provide user helpdesk support.
 - The Proposer must submit a contract data exit plan which outlines how the data will be transferred at the end of contract in the absence of a contract renewal. This data exit plan should clearly articulate necessary platforms, data requirements and other technology needed for data transfer.
 - Provide seamless data transfer and ensure compatibility if separate platforms are being used for the implementation of the New York Cap-and-Invest program and rules.
 - The Reporting Platform must provide reporting and analytic capabilities as required.
 - The Reporting Platform must be able to support and retain multiple years' worth of data in accordance with state records retention requirements.
 - Provide training and a user acceptance test environment for the Reporting platform.
 - The Proposer must provide all appropriate user manuals, guidance documents and training material for platform users and Program Administrators.
 - Adhere to system security requirements as outlined in this RFQL.
 - Provide ongoing enhancements, operations and maintenance of the platform for the duration of the contracted period.
 - Provide a continuity of services approach to enable the system to support the program beyond the contract period if needed.

IV. PROPOSAL REQUIREMENTS

Proposers must submit their proposal by the due date in accordance with the instructions described on the front page of this RFQL. If proposing under multiple Categories listed in Section II(A), Proposers must submit a separate proposal for each Category that the Proposer is applying for. Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the Proposer, the RFQL number, and the page number. The proposal must be in the following format:

Upload 1 (Proposal):

- Section 1: Introduction and General Information
- Section 2: Proposer Qualifications
- Section 3: Approach to providing requested Platform and Services
- Section 4: Sample User Experience for Platform or Service
- Section 5: Examples of Platforms or Services offered in the Market
- Section 6: Cost Structure

Upload 2 (Optional Information)

- Supporting documentation (optional)

Upload 1 is required as part of the Proposer's submission. Upload 2 is optional should the Proposer want to provide additional supporting documentation, such as Letters of Support.

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

Section 1: Introduction and General Information (not to exceed 2 pages)

- Firm or organization name, address, telephone number, e-mail address, website, and primary contact person – if proposing a Team arrangement, please provide the contact information for the Lead firm and the entity name and primary contact information for any subcontractors or partners that are part of the proposal. For any subcontractors or partners, please describe their role.
- Year firm or organization was established, if proposing any subcontractors or partners, please provide for all firms or organizations.
- State which Category described in Section II (A). Program Categories the Proposer is applying for.
- Executive summary of the proposal that includes: a summary description of the Proposer's qualifications, approach, flexibility to meet the state's timeline and New York Cap-and-Invest program and rules under development and demonstrated commitment to providing cost-effective services to NYSERDA.

Section 2: Proposer Qualifications (not to exceed 10 pages, excluding resumes)

(a) General

- Provide Proposer's organizational structure, including the specific resumes of key partners or principals who will be responsible for managing the engagement with the Program Administrators and any designee. NYSERDA reserves the right to change the Proposer's point of contact supporting the contract at its sole discretion. If the Proposer's point of contact changes, the Proposer must notify NYSERDA on a clear succession plan that does not disrupt business operations.
- Describe successful relevant experience in developing and administering Emissions Reporting, Auction and Market Registry Platforms and/or wrap-around services, including engagements with other jurisdictions, in relation to the Category listed in Section II (A). Program Categories that the Proposer is applying for.
- Provide a complete Staffing Plan that clearly demonstrates the project team's experience and competency in the following areas:
 - Business Analysis
 - Managing complex and/or novel data projects including connecting and sharing data across diverse systems.
 - Experience with IT project management spanning from requirement gathering through robust end-to-end testing
 - Experience in providing Emissions Reporting, or Auction and Market Registry Platforms and/or associated Services, as applicable, for emissions trading, environmental compliance markets, markets for environmental attributes, or other closely related markets.
- State the individual and combined expertise that would enable successful completion of the objectives outlined in this solicitation:
 - Provide relevant background including prior experience in managing the design and implementation of complex projects.
 - Describe how in similar projects, the Proposer was able to successfully work in inter-organizational teams, especially in new teaming arrangements where the organizations may have never worked together before.
 - Provide relevant background including prior experience in managing overall project and budgets for large complex projects.

- Detail the management structure for the Auction, Emissions Reporting and Market Registry Platforms and the Financial and Market Monitoring Services (as applicable) including progress reporting, oversight, and meeting development milestones.

(b) Team Arrangements (if applicable)

- Describe the strategy for managing multiple firms or organizations, including:
 - Assignment of Work
 - Describe previous Teaming Arrangements
 - Communication and Connectivity between Platforms
 - Data Security
 - Management of Schedule
 - Reporting
 - Invoicing
 - Ongoing Oversight
 - Handling Performance Issues

If Proposers are relying on any other organization to do some of the work or provide services or resources, include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the Proposer has not secured a firm commitment from the subject parties.

Section 3: Approach to providing requested Platform and Services

For the Category listed in Section II (A). Program Categories that the Proposer is applying for, describe the proposed approach to fulfilling those requirements.

If proposing a Platform:

- Describe how the system you propose will meet the needs of the New York Cap-and-Invest program and rules.
- Describe your approach to developing business requirements, functional requirements, test cases and system development for each of the phases listed in Section III (A). Project Phases.
- Describe your approach to ongoing enhancements, operations and maintenance of the system for each of the phases listed in Section III (A). Project Phases.
- Describe how you propose to meet the data security measures set forth in NYS Information Security Policy NYS-P03-002 that will be used in the development, deployment, and management of the proposed Platform or Services.
- Describe the assurances that will be put in place to provide continuity of operations and reliably offer the platform functionality and market services for the duration of the New York's Cap-and-Invest program, or until 2050, whichever comes first. Examples of such assurances may include but are not limited to transferability, reliability of business model or structure, and processes in place in other jurisdictions.

If proposing a Service:

- Describe the approach to providing the requested services, and how they will meet the needs of New York Cap-and-Invest program and rules.
- Describe your approach to developing business processes for each of the phases listed in Section III (A). Project Phases.
- Describe the assurances that will be put in place to provide continuity of operations and reliably offer the service functionality for the duration of New York's Cap-and-Invest program, or until 2050, whichever comes first. Examples of such assurances may include but are not limited to transferability, reliability of business model or structure, and processes in place in other jurisdictions.

All Proposals:

- Submit a schedule for conducting the work proposed in this RFQL in Gantt charts or similar format in terms of weeks and months from contract award. Preference will be for Phase One solution to be

completed in time for Phase Two to be fully implemented by the start of 2025. Provide a schedule for Phase One, including all priority items to meet Phase One minimum requirements and a projected schedule for Phase Two; the Phase Two schedule may be updated in consultation with NYSERDA following contract award. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the proposed approach to providing platforms and services and cost structure.

Section 4: Sample User Experience for Platform or Service

For each Category listed in Section II (A). Program Categories that the Proposer is applying for, provide a document providing a sample of the User (Market-facing and Administrator-facing) experience using the Platform or provision of Services.

For each sample experience Proposers are to provide:

- Screen captures for key Platform functions (if applicable), report structures and the User (market-facing and Administrator-facing) experience
- Description of platform or service functionality and/or report template (as described in Section II (A). Program Categories)
- Start Date / Availability
- Enhancement Opportunities

Section 5: Examples of Platforms or Services in the Market

For the Category listed in Section II (A). Program Categories that the Proposer is applying for, provide at least one example of a Platform(s) and/or Service deployed by the Proposer in the market.

Examples should be provided describing to the extent permissible:

- Number of Users (i.e., Obligated Entities, compliance users, and other market participants) (if applicable) using the Platform or covered by the Services
- Number of Auctions (annually and program to date)
- Description of Platform or Service and key functionality
- User and Administrator Experience
- Indicate role and services administered
- Reporting of Results
- Demonstrated Post Auction Functionality
- Security features
- Any additional feedback that is relevant to the RFQL

Section 6: Cost Structure (not to exceed 1 page)

The purpose of this section is to provide NYSERDA with a clear explanation of all fees and costs for each of the phases listed in Section III (A). Project Phases. Proposers must provide the required information in the order listed below.

1. Proposer's cost structure for Platform or Service Development, including costs to modify existing Auction, Emissions Reporting and Market Registry Platform software, and wrap around services (including new user training and helpdesk support), licenses, fees, packages, hourly rates, or other applicable costs.

2. Indicate any circumstances that modifications, in relation to the Category listed in Section II (A). Program Categories that the Proposer is applying for, development and administration would fall outside of the cost structure listed above.
3. Indicate the Proposer's cost structure for deployment, management, administration, and maintenance of platform software or reporting functionality in relation to the Category listed in Section II (A). Program Categories that the Proposer is applying for, including fees, packages, rates, or other pricing structures for each of the phases listed in Section III (A). Project Phases.
4. Any hourly rate tables should be fully burdened rates, with the multiplier clearly stated. Please include any scheduled rate changes for the years included in the initial contract.

V. PROPOSAL EVALUATION

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. Preferential scoring will be given to Proposers that can demonstrate a Platform or Service solution with a proven track record that can be quickly deployed, over a service or solution that requires extensive product development (aside from any anticipated New York-specific configurations or enhancements). 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.

Attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The Scoring Committee will evaluate each Program Category that the Proposer is responding to separately. Proposers may be awarded one or more Program Categories.

Proposer Qualifications: 30 points

Does the Proposer demonstrate extensive relevant experience in developing and administering an Auction, Emissions Reporting and/or Market Registry Platform and Services for which they are submitting a proposal? Do the resumes and experience of key staff demonstrate a breadth of expertise in developing and administering the applicable Auction, Emissions Reporting and Market Registry Platform, including the applicable functionalities in Section II and Section III, above? Has the Proposer developed extensive security measures organizationally, as well as within the Platforms to protect data and private information throughout the development, deployment, and management of the services? Does the Proposer's Entity(ies) have a clear organizational structure? Have teaming arrangements (if applicable) been well defined? Has the Proposer provided a thorough plan for progress reporting, oversight and meeting development milestones? Does the Proposer demonstrate the ability to meet the project schedule? Does the Proposer provide adequate assurances that will be put in place to provide continuity of operations and reliably offer the platform functionality and market services for the duration of the New York's Cap-and-Invest program, or until 2050, whichever comes first?

Capabilities and Functionality of the Platform or Service: 30 points

Does the Proposer's approach to providing requested Platforms and/or Services adequately describe how the system or service will meet the needs of the New York Cap-and-Invest program and rules? Does the Proposer's sample experience demonstrate the platform functionality or service (as described in Section II (A). Program Categories)? How well does the proposal demonstrate capabilities as outlined in Sections II and III? Does the proposed technology solution meet or exceed the capabilities defined in Sections II and III? Does the proposal demonstrate an understanding of the functionality needed to successfully implement the New York Cap-and-Invest program? Does the proposal demonstrate an understanding of the functionality needed to successfully comply with all data and security policies? Does the Proposer demonstrate a commitment to develop the Auction Platform, Market Registry, Emissions Reporting System and provide Market Monitoring and/or Financial Services on a timeline that is required by New York Cap-and-Invest program and rules? Is the Sample User Experience for the User and Administrator easy to use and understand? If applying to Category A, is the Proposer proposing an integrated package including Market Registry Platform, Auction Platform with services, and Financial Services for the purchase of allowances, and related technical support?

Platforms or Services in the Market: 20 points

Has the Proposer demonstrated experience providing integrated Auction Platform, Market Registry, Financial Services, Emissions Reporting, or Market Monitoring in other jurisdictions for one or more of the Categories requested in Section II (A). Program Categories? Are the Proposer's Platforms or Services in other jurisdictions

technically sound without any significant setbacks or issues? Does the Proposer's Platforms or Services demonstrate experience with all program functionality requested in Sections II and III? Are the other jurisdictions served comparable markets to New York's market? Is the reporting of results reliable and comprehensive? Has the Post Auction functionality been well executed? Have the Platform or Services in other jurisdictions provided secure access to Market Monitors, Agency Staff, Entities, and other Stakeholders? Have there been any major breaches in security of the Platform or Services applications in those jurisdictions?

Cost Structure: 20 points

Does the Proposal provide a comprehensive cost structure that clearly states what the anticipated costs for the configuration and development of the applicable systems in relation to the Category listed in Section II (A). Program Categories that the Proposer is applying for? Does the Proposer provide a comprehensive cost structure that clearly states how pricing will be proposed for modifications to the systems in relation to the Category listed in Section II (A). Program Categories that the Proposer is applying for after deployment? Does the Proposal provide a comprehensive cost structure that clearly states how the ongoing costs for the licensing, deployment of services, management, administration, new user training and helpdesk support, and maintenance of platform software or reporting functionality in relation to the Category listed in Section II (A). Program Categories that the Proposer is applying for, including fees, packages, rates or other pricing structures for each of the phases listed in Section III (A). Project Phases. will be assessed? Are the costs, pricing and hourly rates in line with the rest of the market? The Proposer demonstrates a commitment to minimizing costs to NYSERDA.

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

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

Diversity Practices - NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, Attachment F, Diversity Practices Questionnaire.

New York State Executive Law Article 17-B - NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

New York State Workforce Diversity Requirements

- 1) As to the performance of the State contract resulting from this RFP, contractors and subcontractors shall undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
- 2) After selection, but prior to the award of a State contract resulting from this RFP, the contractor shall submit an equal employment opportunity (EEO) policy statement to NYSERDA within the time frame required by NYSERDA.
- 3) As a part of the contractor's EEO policy statement, the contractor, as a precondition to entering into a valid and binding State contract, shall agree to the following in the performance of the State contract:
 - i. The contractor will not discriminate against any employee or applicant for employment, will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts.
 - ii. The contractor shall state in all solicitations or advertisements for employees that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status;
 - iii. At the request of NYSERDA, the contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate, and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein."

- 4) Prior to award of the State contract resulting from this RFP, NYSERDA may require the contractor to submit to NYSERDA a staffing plan of the anticipated work force to be utilized on the State contract or, where required, information on the contractor's total work force, including apprentices, broken down by specified ethnic background, gender, and Federal occupational categories or other appropriate categories specified by NYSERDA. The form of the staffing plan shall be supplied by the NYSERDA.

- 5) After an award of a State contract, the contractor may be required by the NYSERDA to submit a workforce utilization report to the NYSERDA, in a form and manner required by NYSERDA, of the work force actually utilized on the State contract, broken down by specified ethnic background, gender, and Federal occupational categories or other appropriate categories specified by NYSERDA.

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

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

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

Contract Award - NYSERDA anticipates making one or more award(s) under this solicitation. NYSERDA anticipates a contract duration of six 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 (Attachment A) to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting (insert project manager or program email). NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any

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

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

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

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

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Ethics and Lobbying in Government. 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.



NYSERDA

**Clean Green Schools Initiative
Program Opportunity Notice (PON) 4924
Revised January 2024**

SUMMARY OF REVISIONS

The following changes have been made to PON 4924, Clean Green Schools Initiative:

- Section II. Program Definitions has been updated.
- Section III. School Eligibility has been updated.
- Section IV. Program and Application Requirements – Track I has been updated.
- Section V. Program and Proposal Requirements – Track II has been updated.
- Section VI. Track II – Proposal Evaluation has been updated.
- Attachment B – Track II School Authorization Form has been updated.
- Attachment C – Sample Agreement has been updated.
- Attachment D – Track II Proposal Template has been updated.
- Attachment E – Track II Building Impacts Table is a new attachment.
- Attachment F – Track II Milestone Payment Schedule has been updated.
- Various programmatic clarifications including, but not limited to, applicant and project eligibility, funding amounts and caps, an additional round of Track II, program requirements and an updated evaluation criteria for Track II.



New York State Mobility Planning Consultant Pool

Request for Qualifications (RFQL) 5625

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

Proposals due February 15, 2024 by 3:00 PM Eastern Time

Under this RFQL, the New York State Energy Research and Development Authority (NYSERDA) seeks to retain multiple contractors to establish a pool of Mobility Planning Consultants (Consultants). Consultants will provide objective technical services to help local communities across New York explore new clean transportation options and develop plans for potential implementation as part of an upcoming Clean Mobility Program (Program) or other future opportunities. Consultants must demonstrate experience in, and a thorough understanding of, clean transportation services delivery to local governments, transit operators, community-based organizations and local employers (Communities) in New York State.

NYSERDA anticipates entering into zero-dollar Umbrella Agreements with successful proposers. Agreements do not guarantee work from NYSERDA. While pairings between Consultants and Communities will be based on Communities' preferences and NYSERDA's discretion, Consultants are responsible for ensuring they have the necessary workload capacity to undertake the projects assigned to them, before Task Work Orders (TWO) are executed. During the Planning Phase of the Program (see Section I below), Communities will have the option to view and select from the established pool of Consultants, and upon successful negotiation individual Task Work Orders (TWO) will emanate from these Umbrella Agreements and will clearly define the Consultant's required obligations that, if fulfilled, would result in payment. Work issued under this Program will vary in scope and budget with individual TWOs up to \$100,000 per community planning project. The earliest expected start date for any potential work under this effort is March 2024, with March 2025 as the anticipated end date.

In responding to this RFQL, applicants must demonstrate expertise in all of the following support areas, which are described in greater detail in this solicitation document:

1. General Transportation Planning and Design
2. Community Engagement and Needs Assessments
3. Project Design and Technical Expertise
4. Policy and Regulatory Analysis

Proposers should clearly identify how they will meet the needs of each Support Area.

Teaming arrangements are allowed, and encouraged, if an applicant is unable to provide support in all four (4) requested support areas on its own.

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

No communication intended to influence this procurement is permitted except by contacting Richard Mai (Designated Contact) at (212) 971-5342, ext. 3476 or transit@nyserda.ny.gov or Nina Haiman (Designated Contact) at (212) 971-5342, ext. 3125 or transit@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. _3335 or Nancy.Solicitations@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. Please see [Solicitation Proposal and Vendor Responsibility Questions.pdf](#) for a complete list of the questions proposers must answer as part of a submission. 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>.)

NYSERDA will host an informational webinar on January 25, 2024 at 2:30 pm Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can join the webinar at the following link: <https://nyserdany.webex.com/weblink/register/ra26c1a3186ebd9f08537380670986a6f> Questions may be submitted via the same e-mail address prior to the Webinar, or during the Webinar using the web platform.

I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) seeks to develop and implement a Clean Mobility Program (Program) to: 1) improve first mile/last mile access and connections to public transportation, 2) demonstrate innovative public and shared transportation options at a community scale, with a focus on underserved and disadvantaged communities, and 3) provide options for those who cannot/do not want to own personal vehicles but live in areas

with limited public transportation. This Program will help equip communities with the tools to plan for mobility solutions that are best suited to their needs. These solutions will support a shift toward clean, zero-emission and shared mobility options that can help reduce transportation greenhouse gas emissions in NYS. This consultant pool will support the goals of the Program by partnering communities with consultants who can provide technical support through the project planning process. The Program will run in two phases:

- 1) **Planning Phase:** NYSERDA will support planning projects by eligible entities, including local governments, transit operators, community-based organizations, and employers (Communities), to conduct needs assessments and identify community-led priorities with a focus on zero-emission mobility solutions for underserved communities. The goal of the Planning Phase is to help Communities prepare in a comprehensive way for future potential implementation/demonstration of their mobility solutions, whether as part of the Demonstration Phase of this NYSERDA Program or other means. Eligible solutions could include bike share/scooter share, bike libraries, ride share, ride on demand services, e-carshare, e-shuttles and charging hubs.

Community applicants to the Planning Phase will be encouraged to collaborate closely with their Metropolitan Planning Organization (MPO) and/or any municipal or county planners as applicable. Community teams may include a planner or planning consultant and NYSERDA will encourage close collaboration with their MPO, if not already a part of the team. In general, Planning Phase work is expected to include work outlined in Section II. Program Requirements, Part B. Support Areas (see below). If a Community does not have existing planning capacity, NYSERDA will pair them with a planning consultant pre-qualified by NYSERDA under this RFQL 5625. NYSERDA will pay the planning consultant directly.

Note: Entities may propose to both this RFQL and the Support Contractor RFP (see RFP 5570) but may only participate in one. It is anticipated that awards for the RFP will occur first, followed by this RFQL. However, in the event proposers apply to both and are selected for both, they will have the option to choose which award they would like to pursue, with NYSERDA strongly preferring that the selected contractor under RFP 5570 will enter into the Support Contractor role. Due to the critical role of the Support Contractor for the overall Program, it is expected that the entire project team (prime contractor and all subcontractors) will remain intact. Furthermore, entities selected under RFP 5570 are not eligible to participate in the Planning or Demonstration Phases (see below). Entities selected under this RFQL are eligible to participate in proposals and projects for the Demonstration Phase.

NYSERDA will establish criteria that all planning projects must meet in order to be considered for funding during the Demonstration Phase. Communities also have the option to apply for a partial planning award to update an existing plan to meet NYSERDA criteria. Communities that can demonstrate successful completion of recent planning work that meet the Program's criteria will have the option to apply directly to the Demonstration Phase. NYSERDA anticipates two (2) rounds for the Demonstration Phase in order to provide flexibility to those Communities who are ready to proceed to Demonstration immediately, and those that need to participate in a planning exercise first.

It is anticipated that Program eligibility will be limited to planning projects that can be completed in **six (6) months**. Awards will likely be for 100% of the planning consultant costs up to \$100K per project for up to 40 planning projects, to be paid either to a planning consultant, if the Community elects to partner with a Consultant from this planning pool, or

directly to the Community if it chooses to work with its own planning partner(s). NYSERDA reserves the right to negotiate the amounts of such payment and add additional funding to selected contracts as needed.

- 2) **Demonstration Phase:** NYSERDA will support demonstrations of collaborative community-based projects developed based on completed planning work. To provide greater flexibility to Communities, entities selected under this RFQL are eligible to participate in proposals and projects for the Demonstration Phase.

Note: This solicitation (RFQL 5625) is to develop a consultant pool to assist with the Planning Phase of the Program.

NYSERDA will issue a Clean Mobility Program solicitation for eligible applicants, Communities, to apply for assistance in planning projects. Applicants will either work with their own planning firm or select a Consultant from the approved list awarded under this RFQL, subject to Consultant bandwidth, expertise and the parameters mentioned below. NYSERDA expects to cover 100% of the planning costs, up to \$100,000, with no cost share required by the Consultant or the Community. Required application materials will be developed and issued by NYSERDA.

During the Planning Phase of the Program, Communities will have the option to view short descriptions of the established pool of Consultants and their areas of expertise, followed by an option to indicate their top preferences. Pairings between Communities and Consultants will ultimately be subject to NYSERDA's discretion and based on, but not limited to, regional location, expertise, Community needs, and Consultant bandwidth. NYSERDA expects to fund up to 40 planning projects; the number of projects assigned to any one selected Consultant will be unknown until awards are made and Communities have signed up for planning assistance. In general, Consultants should be prepared to have the resources to accommodate 3-10 planning projects at a time.

Using the Task Work Order Template (Attachment A), the selected Consultant will develop planning project(s) for each specific Community with whom they are paired. This includes customizing the scope of work and budget for each project. While it is anticipated that each planning project will address a single Community, proposers should be prepared to engage with and produce reports that include more than one community (e.g. in the case of aggregation, joint development, and shared resources).

Subject to the requirements of Section 5.02 of Exhibit B of the Sample Agreement, NYSERDA may request and allow teaming arrangements between firms beyond those that were submitted for initial qualification under this RFQL.

II. Program Requirements

A. Services Requested

As a result of RFQL 5625, NYSERDA expects to retain multiple Mobility Planning Consultants (Consultants) to provide services in all of the stated support areas. The number of TWOs and type of services requested from the selected Consultants will primarily depend on the anticipated mobility planning needs of the communities. Other factors may include the nature and complexity of the planning project and the Consultant's expertise and experience. It is anticipated that

Consultants will primarily follow the tasks listed in the Task Work Order Template (Attachment A). NYSEERDA does not guarantee that all types of services will be requested or that all selected Consultants will receive work pursuant to executed Umbrella Agreements. Proposers to this RFQL are permitted, but not required, to team with partners (subcontractors) they believe would offer complementary expertise in the identified support areas. Teaming arrangements are allowed, and encouraged, if an applicant is unable to provide support in all four (4) requested support areas. Any subcontractors that are not named in the original proposal submissions to this RFQL will have to be competitively selected pursuant to Section 5.02 of Exhibit B of the Sample Agreement.

B. Support Areas

Proposers are invited to submit a **single** proposal that describes their qualifications in all of the areas listed below.

1. General Transportation Planning and Design
 - Transportation studies/plans including but not limited to: community master plans, mobility plans, travel demand studies, commuter surveys, transit ridership analyses, sustainability planning, complete streets or bike/pedestrian plans, transit-oriented development, mobility-focused white papers, and fleet electrification plans.
 - Experience analyzing projected demand for new transportation options and in estimating the potential impact of new transportation policies.
 - Experience estimating greenhouse gas and co-pollutant emissions and emission reductions associated with transportation and new transportation offerings.
 - Analysis of one or more of the following: low-carbon mobility technologies; transit systems; urban planning, mixed use developments and integrated transport systems; transportation demand; transportation systems management and operations; and travel demand modeling.
2. Community Engagement and Needs Assessments
 - Experience conducting community engagement to identify key opportunities and barriers related to transportation needs, including use of in-person and digital methods such as surveys.
 - Experience collaborating with diverse stakeholders including by geography (e.g. urban/suburban/rural) and with a focus on equity (e.g. disadvantaged communities, low-to-moderate income, etc.)
3. Project Design and Technical Expertise
 - Experience managing, planning, or implementing zero-emission personal or shared transportation technologies and services.
 - Experience in infrastructure planning and evaluation for zero-emission personal or shared transportation technologies, including specifications for procurement, manufacturing, and/or installation of hardware and deployment of software, and assessment of any make-ready work necessary for utility interconnection.
 - Conceptual and/or preliminary design and site identification/evaluation for the above types of projects.
4. Policy and Regulatory Analysis
 - Identification and analysis of all necessary permitting, legal and approvals processes for implementation of mobility programs and/or services.

- Analysis of transportation policies and novel technologies. Qualitative or quantitative assessments could include but are not limited to: best practices regarding regulatory and market-based policies; estimated impacts on stakeholders, economic impacts for the community; workforce development planning, market analysis and economic feasibility assessments of mobility technologies.

Proposers may submit a **single** proposal identifying how they will meet the needs of each Support Area. Proposers that can offer all of the support areas are required because it is anticipated that this will provide Communities with greater flexibility for their planning projects. Proposers should clearly identify which of the Support Areas the proposal is intended to address. For each Support Area, the proposer should describe their past experience providing services in that area, and how the proposer would approach the service for any planning project(s) undertaken under the Program. Consultants will be selected for and assigned to planning projects pursuant to the rules of the Clean Mobility Program which will seek to match Communities and Consultants based on Community preference, Community need, and Consultant workload capacity.

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

C. Umbrella Agreements and Assignment of Work

All Consultants qualified through this RFQL will enter into zero-dollar Umbrella Agreements enabling NYSERDA to retain their services. An Umbrella Agreement is not a guarantee for any specific amount of work. The amount of work and funding will subsequently be assigned by NYSERDA on a Task Work Order basis and will be reimbursed on a milestone basis with a not-to-exceed cost per task. A total of approximately \$4,000,000 is currently available for the Planning Phase; it is expected that each planning project or TWO will be up to \$100,000. Further, NYSERDA reserves the right to negotiate the amounts of such payment and add additional funding to selected contracts as needed.

Compensation will be based on the Consultant's direct and indirect personnel services costs (included in the proposal and approved in the Umbrella Agreement) plus allowable expenses. Fees will be based on the Consultant's hourly rates for the appropriate level of staff as well as for any subcontractors listed in the proposal and approved in the Umbrella Agreement. NYSERDA will negotiate each TWO on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Fee schedules/cost proposals shall be included in each proposal that identify rates for each member of the team by title, including subcontractors. The TWO will place a ceiling, or not-to-exceed amount, for each project and task.

Consultants producing content for individual Task Work Orders intended to be posted to the Web must 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 on the [Doing Business with NYSERDA page](#) or download [NYSERDA's Accessibility Requirements \[PDF\]](#).

D. Staffing Requirements

Consultants must identify staff that will serve in the roles as identified above and explain how these individuals can effectively provide the services listed. Proposers should identify how they will staff the project(s) given the uncertainty in assignments, which cannot be made until Communities sign up for assistance. Proposers should indicate their general capacity for how many of this type of project they are capable of taking on at the same time, with the understanding that capacity at a future date may be different from this level.

Given the limited amount of funds to serve the impacted communities, staffing plans should minimize the amount of oversight and administrative support required.

Additionally, at the time of contracting for both the Umbrella Agreement and TWO, the selected Consultant shall identify one person from the Consultant's team to serve as the Project Manager, agreed upon by the Consultant and NYSERDA, 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 Consultant 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 assigned to this project. NYSERDA will work with the Project Manager to address any program deficiencies and reserves the right to require the Consultant 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.

III. Proposal Requirements

The following represents the requirements for all proposals. Proposals (Sections 1-3) must not exceed **15** 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.

Proposals must be submitted in the following format:

Section 1: Introduction and Background

Section 2: Qualifications

Section 3: Staffing Plan

Section 4: Cost Proposal

Appendices:

- a) Resumes of Key Personnel
- b) Summaries of Prior Work
- c) References and/or Letters of Commitment
- d) Other Support Materials

Section 1. Introduction and Background (1-2 pages)

Proposers should summarize their understanding of the goals, objectives, and requirements of the services requested as described in this solicitation. Proposers should briefly identify key information about their organizations and any proposed subcontractors. Proposers should describe why they believe that they are qualified to perform and complete the services requested under each support area.

Section 2. Qualifications (7-10 pages)

Proposers should demonstrate their ability and clearly articulate strategies consistent with achieving the services requested as detailed in the sample Task Work Order Template.

1. Technical capabilities: Proposers should describe their expertise and relevant experience in conducting the activities described above in each of the support areas. Proposers should focus on their capabilities providing mobility planning for communities and their ability as a team/firm to deliver services in the support area(s). Proposers should demonstrate experience coordinating with stakeholders including local governments, transit operators, community-based organizations, and local employers. Highlight any thought leadership, specialized capabilities, or unique services the Proposer offers relevant to the support areas. Provide 3-5 brief examples of relevant work, including references for at least one project. The project descriptions should specify the level of involvement of the proposer and subcontractors and the results/deliverables of the project.
2. Administrative capabilities: Proposers should describe how they will deliver the services that will be provided through TWOs. The proposal should address the proposing team's ability to participate in conference calls and meetings as outlined in the sample Task Work Order Template; coordinate and manage all subcontractors; and review all deliverables prior to submission to NYSERDA.

Section 3. Staffing Plan (2-3 pages)

Proposers should provide an organizational structure that facilitates effective leadership, quality staff services, and describes how they will maximize operational effectiveness/success in achieving tasks in the Statement of Work. Proposers should identify and describe the company or organization that will be the prime contractor under this RFQL and identify all staff members, teams, and subcontractors that are to be involved in providing services in the Support Area(s), with descriptions of qualifications and past working relationships among team members and subcontractors. Proposals should include an organizational chart, if necessary. Proposers must identify the project manager who will serve as the single point of contact under this RFQL. The Staffing Plan should identify any minimum or maximum number of Plans the Proposer believes it can complete over the next 12 months.

Section 4. Cost Proposal

Using the Project Personnel and Billing Rates form found in Attachment C, clearly indicate the fully-burdened hourly salary rate range for each title classification and all subcontractors who would perform work under an Umbrella Agreement with NYSERDA.

In the Project Personnel and Billing Rates form, include supporting documentation to describe indirect cost (overhead) rate(s) included in your proposal.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to adjust, if necessary, based on audit results. Requests for financial statements or other needed financial information may be made if deemed necessary.

IV. Proposal Evaluation

Proposals that meet the solicitation requirements will be evaluated based only on the information submitted and reviewed by a Scoring Committee.

NYSERDA reserves the right to request clarification on the information submitted within the proposals. Proposers will be notified if they are requested to participate in an interview.

Proposals will be reviewed and scored based on the criteria highlighted below, as well as other programmatic and management factors deemed appropriate by NYSERDA.

Proposer Experience and Qualifications

- Level of expertise and degree of relevance of experience and qualifications in all support areas.
- Previous experience in the delivery of services in all support areas.
- Demonstrated thought leadership, specialized capabilities, or unique services in the mobility space.
- Demonstrated ability to complete projects on schedule.
- Quality and relevance of previous work as evidenced by sample projects.
- References substantiating the contractor's abilities and past performance.
- Proposer is a New York based firm and/or has a demonstrated staff presence in New York State.

Proposal Quality

- Responsiveness to NYSERDA's request as specified in this RFQL, including overall clarity and organization of the proposal.
- Clear identification of staff that will be assigned to various project types.
- Demonstrates a team able to deliver services needed in all of the support areas in a timely and professional manner.

Cost Proposal Value

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

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. The amount of work assigned to the selected Consultants will depend on, but not be limited to, expertise, current workload, and the ability of the Consultant to provide high quality, cost-effective, and timely services.

Program Policy Factors

Program policy factors may be utilized by NYSERDA to ensure that the fundable proposals achieve the strategic and programmatic objectives intended by the solicitation. NYSERDA, in making its final determination, reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which there is regional coverage across New York State
- The degree to which there is diversity of expertise across the different support areas
- The degree to which pricing and hourly rates are in line with the rest of the market

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

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

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of one (1) 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 following a convening of the Scoring Committee. NYSERDA expects to notify proposers in approximately 4-6 weeks from the proposal due date. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting by e-mail transit@nyserda.ny.gov. 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 on the Doing Business with NYSERDA page or download NYSERDA's Accessibility Requirements [PDF].

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. 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 Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Commission on Ethics and Lobbying in Government. 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

VI. ATTACHMENTS

Attachment A – Task Work Order Template
Attachment B – Sample Agreement
Attachment C – Project Personnel & Rates



Summary of Revisions

**Climate Justice Fellowship
Program Opportunity Notice (PON) 4772
\$6 Million Total Available**

Revised December 2023

The following changes have been made to PON 4772:

- The final due date was updated to December 27, 2024. Applications are still on a rolling basis.
- Attachment A – Sample Agreement was updated to include a letter agreement along with some minor changes to the Scope of Work.
- Attachment B – Fellowship Application was updated to include a few additional questions and to clarify the application instructions at the top and a signature section at the bottom.
- The application link was updated in the summary.
- Application instructions were clarified in the summary, so that it's clearer that the Fellowship Application needs to be approved to join the program.
- Contact email address was updated to cjf@nyserda.ny.gov.
- Eligibility requirements were updated to make certain that fellows are not working on other NYSERDA funded projects.
- NYS tribal nations and CTE programs for K-12 schools were added to the eligible host employer groups in the summary document and short and long descriptions.
- Fellowship requirements section was updated to clarify how other sources of outside funding can be used.



**Climate Justice Fellowship
Program Opportunity Notice (PON) 4772
\$6 Million Available**

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

Applications accepted on a rolling basis until December 27, 2024, by 3:00 p.m. Eastern Time.

Program Background and Summary

New York State is a leader in promoting environmental and climate justice, to ensure an equitable clean energy transition for all communities — but especially those disproportionately burdened by environmental health hazards — and position them to chart the clean energy future that meets their communities’ needs. A key element of climate justice is ensuring the green jobs of the future are available to all New Yorkers. The New York State Energy Research and Development Authority (NYSERDA) has been directed to invest more than \$120 million through 2025 to train workers for good-paying jobs created across the state in the clean energy economy, and NYSERDA has prioritized these workforce training investments to serve historically disadvantaged communities and priority populations including individuals that are low income, veterans, disabled, formerly incarcerated, and residents of environmental justice communities.

For example, NYSERDA is currently supporting the next generation of clean energy workers by funding internships and on-the-job training for individuals looking to join the clean energy industry. NYSERDA’s Internship and On-the-job Training programs provide a wage subsidy to businesses, helping reduce the risk of hiring and training new workers in many emerging fields, including high-efficiency HVAC and energy efficiency. Eligible businesses can hire interns and permanent employees based on their needs. In addition, businesses have the option to hire eligible interns as a full-time employee through the On-the-Job Training Program following their internships.

NYSERDA is seeking to leverage our support for interns and on-the-job training with a program to support Climate Justice Fellowships. For the purposes of this solicitation NYSERDA is seeking applications to fund and provide professional development training/mentoring for year-long, full-time fellowships, for individuals from priority populations, to work within organizations and businesses that advance climate justice and clean energy priorities for disadvantaged communities. It is anticipated that fellows from priority populations will work with community-based organizations, universities, municipalities, tribal nations, CTE programs, climate tech innovators/start-ups, venture development organizations and clean energy businesses.

It is expected that fellows will assist with community engagement activities (e.g., plan, policy, or project), support clean energy project development and implementation, facilitate partnership building, support clean energy innovation companies, or engage in other projects related to advancing climate justice and clean energy priorities in disadvantaged communities.

NYSERDA anticipates funding approximately 150 fellowships through 2025, and will work with State and federal agencies, non-profits, foundations, and other partners to leverage existing resources, wrap-around services, training, and professional development opportunities. For eligible host employers, the total award amount is capped at \$40k per fellow.

A total of \$6 Million in funding is available for this program. Applications from eligible host employers will be accepted on a continuous first-come, first-served basis until funds are expended. Funding may be adjusted based on demand and availability of additional funds.

Host employers must apply to confirm their eligibility for the program first and then identify fellows and get them approved in a separate step. NYSERDA will select eligible employers who have applied to participate in the program. Selected employers will then be invited to identify fellows or select them from the fellow directory and submit fellowship applications. After a brief review and approval period, fellows can begin work. Fellows across different organizations will be assembled into cohorts on a quarterly basis and additional support services for fellows will be offered for 12 months per cohort.

Application Submission

1. Host employers should use the “Apply Online” link on the funding page. Based on the information provided, NYSERDA will determine if the organization is eligible for the program.

Link is also included below.

https://portal.nyserdera.ny.gov/CORE_CONAPP_Program_Page?programFamily=Workforce%20Development&programName=Workforce%20Development%20and%20Training

This application is also used for the PON 4000: Clean Energy Internship Program and the PON 3982: On-the-Job Training Program. Businesses may be verified as eligible to participate in one or more programs through this application process.

2. Submitted applications go through the New York State Department of Labor and internal NYSERDA review and approval process. After 12 months, businesses may be required to submit updated documentation to NYSERDA to verify continued eligibility for the program.
3. NYSERDA notifies businesses via email whether or not they are verified as eligible to participate.
4. If verified as eligible to participate, the business is granted access to a directory of fellowship candidates who have applied to the program or can select their own fellow, who then completes the directory application to submit their information. Fellows can use the “Join Directory” link on the program page to submit their application either before or after they connect with a host employer. Link is also included below.

https://portal.nyserdera.ny.gov/WFD_APPINTAKE_Fellow_Initiation_Page

5. Once a fellow is identified, the host employer submits a fellowship application for review and approval via email to the designated contacts for this PON. The fellowship application is included as an attachment below for reference and should only be submitted once the business and the fellow have been confirmed eligible. Note that the earlier application steps help establish eligibility only and the host employer and fellow cannot officially join the program until the fellowship application is approved.
6. The contract is finalized and the fellow can begin work.

Should any changes be made to this solicitation, notification will be posted on the “Funding Opportunities” section of NYSERDA’s website.

No communication intended to influence this procurement is permitted. Allowed communications and questions should only be directed to Clenard Killikelly (518) 862-1090, ext. 3273, or Elisa Miller-Out (518) 862-1090, ext. 3076, or by email cjf@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or by email NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant’s behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

Informational Webinar

NYSERDA will conduct informational webinars, during which NYSERDA will review the requirements of this solicitation and answer questions. Applicants interested in learning more and attending upcoming webinars can send an email to cjf@nyserda.ny.gov with the subject line “PON 4772 Climate Justice Fellowship Webinars” to request webinar dates and information on how to participate. Questions may be submitted via the same email address prior to the webinars, or during the webinars using the web platform. Following the conclusion of each 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 webinars.

Terms and Definitions

Definition of Climate Justice: Climate justice is the promotion of individual and collective capacity to prepare for, respond to, and recover from climate events as well as the fair treatment, meaningful involvement, and the absence of discrimination in the creation of policies, programs, and projects that both address the disparate impacts of climate change and the transition to a net zero emissions economy.

Principles of Climate Justice: It links human rights and development to achieve a human-centered approach by safeguarding the rights of the most vulnerable. Climate justice should be informed by science and acknowledge the need for equitable stewardship of international resources.

Achieving Climate Justice:

- Encourage participation in decision-making by using fair, accountable, and open communications and processes.
- Require transparency in decision-making and policy development and implementation.
- Ensure that solutions benefit all but are crafted to prioritize communities facing the greatest barriers perpetuated by systemic and structural racism.
- Encourage mutual learning to achieve understanding and acceptance across all partnerships.

For the purposes of this solicitation, visit the “[Definitions](#)” page on NYSERDA’s Clean Energy Workforce Development website for the most up-to-date definitions on the terms “Disadvantaged Communities” and “Priority Populations.”

Program Details

It is anticipated that most host employers would be approved for no more than one fellow per cohort. Multiple fellows may be approved if funding is available, and a host employer has made a good case for an additional fellow(s) and can demonstrate adequate supervision/mentoring and meaningful work for an additional fellow. Multiple fellows may also be approved for venture development organizations, and registered/certified Minority- and Women-Owned Business Enterprise (MWBE) organizations and Services-Disabled Veteran-Owned Businesses (SDVOB) at NYSERDA’s discretion. If a fellow does not complete their 12-month employment period, host employers can submit a new fellow for approval any time before the final submission deadline for rolling applications, pending available funding. Once approved, the new fellow would complete a new 12-month fellowship and would join the next available cohort.

NYSERDA has partnered with Columbia Technology Ventures to provide additional support services to the fellows in each cohort. The additional services include Mentorship, Peer Groups, Skill Labs and a Climate Leadership Certificate Course in partnership with the Columbia Climate School. Additionally, all fellows and their host employers will gain access to the Climate Leadership Network (CLN), an online community for climate-focused organizations with a presence in New York State. All support services will begin at the start of each quarter for each new cohort of fellows and will be available for up to 12 months.

In terms of how the fellowship aligns with NYSERDA’s other workforce programs, participants in NYSERDA’s internship program that meet the fellowship criteria can consider converting to the fellowship following their internship, if they were not already hired as a standard employee by that organization. Eligible fellows and interns can also proceed to the on-the-job training program following their internship and / or fellowship, if they meet the other eligibility requirements of that program.

Timeline

NYSERDA will accept applications from organizations wishing to host fellows on a continuous rolling basis until the final due date on this PON or until funds are expended, whichever comes first. NYSERDA may also, at its own discretion, suspend or permanently close application process for any other reason. Host employers should plan to apply to the program first and allow approximately 4 – 8 weeks to confirm eligibility. Once a host organization has been confirmed eligible, they are able to host fellows in any or all subsequent cohorts. Eligible host employers then select fellows from the fellow directory or identify their own fellows and have them complete a directory application to submit their information. Fellow selection is the responsibility of the host employer and organizations who wish to host a fellow are encouraged to do their own due diligence on the fellows including adequate review of resumes, checking references, etc. Once a fellow is identified, host employers submit a fellowship application. Fellows and fellowship applications are approved in a step that takes approximately 2 – 4 weeks. Contracts are then signed and fellows can begin work. Fellows should plan to work full time for the 12-month fellowship. Fellows across different organizations will be assembled into cohorts on a quarterly basis and additional support services for each cohort such as Peer Groups and Skills Labs will begin at the start of each quarter and will be available for up to 12 months, even if the fellowship concluded earlier due to rolling start dates. Note that the timeline outlined here may be extended if incomplete materials are submitted or if additional information is needed from the host employers or fellows.

Here are the steps in the application process:

1. Host employer applies to confirm eligibility prior to selecting fellow(s).
2. Host employer either selects fellow from the fellow directory or identifies fellow on their own and has fellow complete fellow directory application to submit their information to the program.
3. Once host employer is confirmed as eligible and fellow has been identified and added to the directory, the host employer submits the fellowship application (see attachment below) via email to the designated contacts for this PON.
4. Contract is negotiated and finalized with host employer.
5. Fellow begins working and completes a 12-month fellowship.
6. Fellows across organizations are added to the next available cohort by the end of each quarter. Fellow support services such as Peer Groups and Skill Labs begin at the start of the next quarter and are available for up to 12 months for each cohort, regardless of fellow start date.

Funding

Total funding for this program is \$6 Million. For eligible host employers, the total award amount is capped at \$40k per Fellow, which includes a \$37k mandatory minimum annual (12-month) salary for the fellow with minimum 2 weeks paid vacation or sick time, federal holidays off; and \$3k for training/professional development and/or wrap-around services for the fellow during

the 12-month period. Host employers are encouraged to increase the salary as part of their cost share.

As a cost share requirement, host employers must provide the fellow with comprehensive employee health benefits (i.e., medical, dental and vision) at reasonable or no cost to the fellow. Health benefits must be offered to the fellow; however, the fellow may decline health benefits if already covered under an existing policy. The host employer must describe the comprehensive employee health benefits offered, including costs, even if the fellow declines the health benefits. Host employers are encouraged to include additional employee benefits (e.g., life insurance, retirement plan, student loan assistance, etc.) in their cost share.

Each fellow receives two weeks paid vacation or sick time, which is included in NYSERDA's milestone payments to the host employer. It is also expected that fellows can observe all federal holidays as part of their NYSERDA funded salary. Host employers are encouraged to provide additional paid vacation and sick time for fellows as part of their cost share.

When funds are exhausted or 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.

Payments

Contract payments will be made to the eligible host employers only and will be made on a milestone basis each month. The materials submitted for each milestone payment will include monthly reports of fellow activities, invoice cover sheets and supporting documentation in the form of paystubs, demonstrating hours worked, wages paid, benefits paid, etc.

NYSERDA will not reimburse for wages covered by any federal or state loan or grant program.

Wrap-around services and training/professional development needs may not be evident at time of application, but should be identified soon after fellowship begins. Requests for reimbursement of these costs will be evaluated during and throughout the project period and reimbursements are capped at \$3k.

Upon NYSERDA review and approval, any remaining eligible funds (up to the maximum of \$40k per Fellow) may be paid to the fellow as a bonus upon successful completion of the 12-month employment period.

On a case-by-case basis, NYSERDA will consider requests for a limited amount of funding to be provided up-front to support host organizations and the fellow(s) if the gap in time before the initial milestone payment creates an economic hardship.

Eligibility

Eligible host employers must:

- Be a community-based organization, university, career technical education (CTE) program for K-12 schools, municipality, tribal nation, climate tech innovator/start-up, venture development organization (e.g., incubator, accelerator, or other similar program), clean energy business or a firm dedicated to advancing climate justice and clean energy priorities in disadvantaged communities.
 - *Note: Fellows may be hired by a venture development organization that serves multiple climate tech companies. In that case, NYSERDA may approve requests for the fellow(s) to assist multiple companies throughout their fellowship, as long as the host organization and/or the majority of the companies served meet the criteria regarding a climate justice focus and serving clean energy needs for disadvantaged communities. The host organization must also provide a meaningful, coordinated and cohesive experience to the fellow(s).*
- Commit to hiring and providing professional development training/mentoring for a year-long, full-time fellowship, to an individual from a priority population, that advances climate justice and clean energy priorities for disadvantaged communities. Full-time is defined as 35 - 40 hours per week for 12 consecutive months.
- Have at least one physical business address in NYS with the legal authority to hire employees and conduct business in NYS and where the fellowship will be hosted with the space and equipment needed to support the work of the fellow.
- Have at least two employees or the equivalent of two full-time employees not including the fellow. 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 host employer has no employees or if the workers are independent contractors, subcontractors or contract employees, then the business is not eligible.
 - *Note: This specific eligibility criteria does not apply to employers who are New York State registered or New York City certified as a WBE/MBE/SDVOB, or to start-ups actively or recently participating in NYSERDA's Tech to Market programs.*
- 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.
 - *Note: NYSERDA reserves the right to request that the New York State Department of Labor (NYS DOL) conduct a due diligence search to confirm this information. The NYSDOL due diligence review process will include a review of the business' Unemployment Insurance records; WARN notices; 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.*

- Agree to the following:
 - There is an opportunity for the fellow’s role to become a permanent full-time position when the fellowship is complete. Offering employment following the fellowship is encouraged, but not required.
 - No existing worker shall be displaced by the fellow, including a partial displacement such as a reduction in hours, wages, or employment benefits.
 - The fellow will not work on other NYSERDA funded projects, with the exception of the NY Clean Transportation Prizes program.
 - The host employer will comply with New York State labor law and federal law for the protection of employees.

Eligible fellow candidates must:

- Currently reside in New York State and commit to work in the State full-time for the entire 12-month fellowship.
 - *Note: For the purposes of this solicitation, when feasible, in-person work that prioritizes the health and safety of individuals is preferred. However, remote work arrangements will also be considered for funding.*
 - *Note: Fellowships are intended for individuals not enrolled in school or coursework. However part-time coursework or schooling that does not exceed 6 credit hours or 6 to 8 hours per week may be allowable and will be considered on a case-by-case basis.*
- Commit to the goal of assisting the employer in advancing climate justice and clean energy priorities for disadvantaged communities.
- Currently be a member of a priority population as defined on NYSERDA’s Clean Energy Workforce Development “[Definitions](#)” page.
- Be a new hire, not a previous or furloughed employee, contractor, or non-NYSERDA intern.
 - *Note: Under this solicitation, interns participating in NYSERDA’s New York State Clean Energy Internships Program (PON 4000) may be eligible to become a fellow with their current host employer provided they had not been already hired as an employee of that organization following the conclusion of the internship.*
- Not be a relative of the owners, principals, hiring managers, or existing employees of the business or organization.
 - *Note: “Relative” shall include the following relationships established by blood, marriage, or legal action: 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, grandchild, 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.*

Fellowship Requirements

A successful fellowship program will be one that supports the fellow's growth and opportunity to further explore a particular field of work. A fellowship can be designed to support a range of activities including study in a specific field, innovative or entrepreneurial activities, research to advance work on a particular issue, developing a new community-based organization or initiative, or training and reflection. It is anticipated that successful host employers will already be working to advance climate justice and clean energy priorities in disadvantaged communities, and that the fellow will assist in furthering this objective. A detailed fellowship plan will be submitted as one of the initial contract milestones using a template supplied by the NYSERDA project manager.

The proposed fellowship plan must:

- Advance climate justice and clean energy priorities for disadvantaged communities and fall within the eligible project range including but not limited to energy (e.g., benchmarking), retrofits, analysis (e.g., audits), policy (e.g., LEED assessment), events, inventory, social justice, strategic planning, etc.
- Include a general outline of the types of climate justice activities the fellow will undertake over the 12-month period.
- Have an initial high-level idea of the theme and shape of the final deliverable or capstone project the fellow will produce upon completion of the program with the understanding that this may change once the fellow is onboarded.
 - Examples include but are not limited to:
 - Energy benchmarking/disclosure requirements that protect and empower tenants with information about the energy use intensity and affordability of their housing stock
 - Consider the health impacts associated with poor indoor air quality and insufficient thermal comfort
 - Develop a comprehensive strategy to encourage investment by anchor institutions to equitably address climate change and local community wealth building
 - Energy efficiency education and resources to community members through a series of workshops, tabling events, and media
 - Analysis of specific clean energy curriculum for implicit bias and exploration of avenues to incorporate community voice in curriculum and programs
 - Examination of power and privilege dynamics and the impact these can have on communities; exploring opportunities to leverage power and privilege
 - Exploration of related concepts and practices to move toward a just society; examining the historical context of exclusion in the United States and how this impacts communities
 - Supporting and strengthening grassroots community-based collaboration with sector-based employment partners

- Developing and/or implementing strengths-based community climate change/resilience planning strategies, policies, and projects
 - Facilitating partnership building and supporting clean energy start-ups' use of technology to address disadvantaged community identified needs relative to the disproportionate impacts of climate change
- Match fellow with internal senior mentor(s). In the first few months of the fellowship, the fellow should work with supervisors to identify at least one senior professional within the host organization who can provide additional internal guidance and development.
- Match fellows with external mentor(s). Where possible, the host employer should work to connect the fellow with professionals external to their organization, and who have overlapping professional and/or personal goals and interests. Note that some external mentorship will also be provided through the support services provided by Columbia Technology Ventures.
- Assist the fellow in securing the proper training/professional development and wrap-around services (e.g., public transportation), enabling their ability to fully engage in the program.
- Host employers may supplement fellow salaries and projects from other funding sources, but may not use multiple different funding sources to pay for the same thing twice.

Reporting

A host employer must agree to the following terms and conditions regarding reporting.

- Submit monthly milestone reports including a summary of fellow activities, invoice cover sheet and pay stubs.
- Keep records of fellow progress and evaluation according to the fellowship plan and make these records available to NYSERDA upon request.
- Acknowledge that failure to maintain the required fellowship records will result in disallowance of fellowship funds.
- Acknowledge that on-site and / or remote fiscal and programmatic monitoring of contract activities may 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.
- Notify NYSERDA in writing if any fellow is terminated or quits. This notification must be made within two weeks of the change in employment status.

NYSERDA reserves the right to terminate host employers from the program who receive valid complaints or other serious charges from fellows, employees or new hires.

Application Evaluation

Applications that meet solicitation requirements will be reviewed and evaluated by the NYSERDA team. NYSERDA will notify each applicant whether or not the application was

approved. NYSERDA reserves the right to require an interview or request additional information from applicants before the final contract award decision. NYSERDA also reserves the right to eliminate from further consideration any application deemed to be substantially or materially non-responsive to the requirements of this PON or the requests for information contained herein.

Additionally, NYSERDA reserves the right to accept or reject applications based on the following factors:

- Geographical coverage across New York State.
- Institutional diversity or partnership with minority serving institutions.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities.
- The degree to which the applicant has the resources (human and financial) to be able to support the Fellow(s).
- Diversity of awards, including multiple locations and program structures.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- Past performance under prior NYSERDA agreements.

General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your application. Review should include whether it is critical for evaluating an application, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the 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 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>. 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>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of 12 months with a 3-month grace period for a total of 15 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 with successful applicants. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. Applicants 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.

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 or 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.

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 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 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 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"). 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.

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 an application relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in an application. NYSERDA may conduct due diligence on some or all applications based on NYSERDA's current guidelines at the time of a review. NYSERDA staff may follow up with applicants to request additional information or clarification regarding the application, including questions regarding applicant's business prospects and resources, whether or not those questions are specifically related to the elements of the application. Additionally, customized due diligence may be conducted by internal or external staff or contractors based on questions on any application raised by NYSERDA staff. 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 an application; 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 applicant's business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of an application, or the prospects for commercial success of the applicant's business (whether directly related to, or unrelated to the specific elements in an application). Due diligence may include discussions with applicant's former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or contractors and prior to finalization of a contract award, any information gleaned in diligence may be used to determine approval of an application or apply a program policy factor.

Attachments

Attachment A – Sample Agreement (for reference only)

Attachment B – Fellowship Application



NY Green Bank
A Division of NYSERDA

NY Green Bank

Request for Proposals CRM, Transaction Pipeline & Portfolio Management Platform

RFP No. 25

Due Date for Proposals:
6 March 2024
by 3:00 p.m. EST

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1 Introduction

1.1 NY Green Bank Background

NY Green Bank (“**NYGB**”) is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”) and a \$1.0 billion state-sponsored specialized financial entity. NYGB is dedicated to partnering with private sector capital providers to overcome current obstacles in clean energy financing markets, mobilize and leverage private capital and accelerate the deployment of clean energy projects. NYGB offers various forms of debt and equity financial products including credit enhancement, warehousing/aggregation (shorter-term) and asset loans and investments (longer-term).

NYGB is committed to being market focused and market responsive. Private sector participants — including financial institutions and other third-party capital providers, as well as developers, energy service companies (“**ESCOs**”), project and property owners/operators, equipment manufacturers, and others — work with NYGB to identify market barriers and financing gaps for otherwise economically and technically feasible projects. NYGB’s target clients and partners are entities that are experienced and achieving success in clean energy markets but whose ability to accelerate clean energy deployment is effectively limited by capital constraints for the type of projects being considered. NYGB works to structure its participation in investments to make viable transactions that would not otherwise be possible in current commercial markets. For more information, please see: www.greenbank.ny.gov.

1.2 Objectives of this RFP

NYGB requires a third-party platform that will support NYGB’s customer relationship management (“**CRM**”) and transaction pipeline and portfolio management. The scope of services is described in detail in [Section 2](#) and more generally throughout this Request for Proposals (“**RFP**”). NYGB seeks an initial five-year agreement with an option to renew for an additional year term from a leading provider of a platform built specifically for structured private equity investments and financing arrangements. The selected provider must bring to NYGB a robust, secure platform with industry leading technology, efficient and effective processes, the ability to customize systems and fields to meet NYGB’s needs set out in this RFP, as well as a highly competent implementation and support team that is dedicated to the NYGB account. Proposed pricing must be specifically outlined so that NYGB is in a position to evaluate and select a service provider where the proposed offering represents an acceptable value proposition.

1.3 Eligibility Criteria

If your firm is interested in responding to this RFP (as such, a “**Respondent**”) please first ensure that all of the following minimum eligibility criteria are met. Proposals that are received but do not clearly meet all the eligibility criteria will not be considered for further evaluation.

Respondents must have:

- (a) The ability to provide a platform of the nature specified, to achieve the requirements outlined in [Section 2](#);
- (b) A minimum five-year track record in the full range of services sought;
- (c) A minimum of 25 investment entities (broadly comparable to NYGB, i.e., hybrid funds, business development companies, private equity or non-trading specialty finance companies) that use the

Respondent's platform for transaction management, workflow management and traditional CRM;

- (d) A platform built specifically for the investment community with minimal customization needed in deployment "out of the box";
- (e) A platform that ties in seamlessly with Microsoft Office®, specifically Microsoft Outlook®;
- (f) A platform that can quickly and seamlessly migrate and incorporate NYGB's existing data from its current CRM platform with little to no interruption in day-to-day business operations.
- (g) A platform which allows users to access and add data through both web and mobile devices;
- (h) A platform that can support up to 75 employees;
- (i) A platform which allows for the configuration of specific views and access/security for different user types;
- (j) A platform which would allow NYGB to track and audit data changes by user and date;
- (k) A platform which allows for the "on demand" creation of customized reports, including querying of historical data for any necessary time periods;
- (l) A platform which has the capability to transfer data to NYSERDA's centralized data warehouse through the use of daily FTP downloads of files containing specific data points pre-determined during the implementation of the platform; and
- (m) A platform that can comply and be compatible with [NYSERDA's Information Technology Security Requirements](#) and [NYSERDA's Data Classification Policy](#).

2 Scope of Services

2.1 Background

NYGB currently tracks financial, operational and workflow management related data associated with each individual transaction in NYGB's pipeline and proposal. Although much of this data is customary for transaction management, NYGB must track and report data associated with NYGB transactions and (for some data) in the aggregate, to ensure that NYGB delivers on its mission and mandate, including certain environmental, clean energy and economic benefits in New York State. Therefore, it is a priority for NYGB that this data, via corresponding user defined fields ("UDFs"), are captured accurately and efficiently throughout NYGB's investment process to satisfy all periodic public and internal reporting requirements.

At this time, there are ~70 individual UDFs, containing: free form text, defined text (i.e., dropdown lists), and numerical values. NYGB seeks to aggregate, combine and analyze this data in the same manner that Pivot Tables in Microsoft Excel® allow NYGB to manipulate. [Table 1](#) provides an example of some of the specific UDFs collected for each individual transaction in NYGB's pipeline and portfolio. NYGB adheres to strict quarterly and annual public reporting schedules and must provide details on proposals received, transactions in negotiation and closed investments. For further information regarding NYGB's public reports, please see: <http://greenbank.ny.gov/About/Public-Filings>.

Figure 1. NYGB Typical Transaction Process

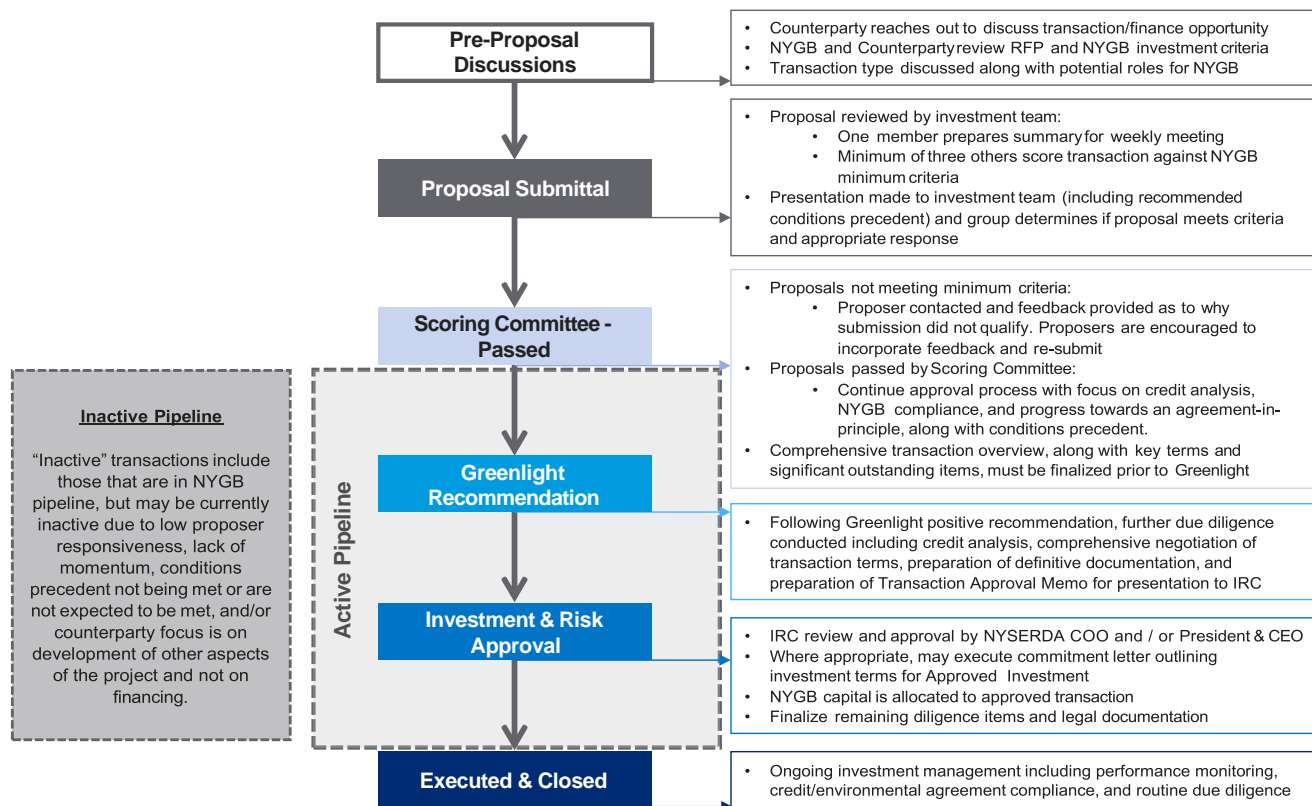


Table 1. Example of NYGB Specific UDFs

UDF	Data Type	Data Example
Bid Identifier	Numerical	0116
Transaction Name	Text - Free Form	[Solar Developer Counterparty]
Technology Type 1	Text – Defined (Dropdown List)	Renewable Energy
Technology Subtype 1	Text – Defined (Dropdown List)	Solar PV Systems
Estimated Lifetime greenhouse gas emission reductions (metric tons) – Minimum	Numerical	150,000
Estimated Lifetime greenhouse gas emission reductions (metric tons) – Maximum	Numerical	200,000
Cumulative clean energy generated (MWh) – Actual	Numerical	528,000

Given that NYGB invests in a variety of different transaction structures and technology types and in cases where NYGB invests directly in energy projects (versus entities developing energy projects), NYGB will also track and monitor additional information related to a particular closed transaction, including: location(s) of underlying energy projects and specific financial and operational covenants applicable in the transaction.

2.2 Future State

NYGB seeks a full-service platform that will assist NYGB in managing its growing pipeline and portfolio of transactions, maintaining a centralized contacts database, and addressing ongoing and ad-hoc reporting needs on NYGB’s pipeline and portfolio for both internal and external stakeholders. The scope of services is outlined below and should be read in conjunction with [Figure 1](#) and [Table 1](#).

For all the purposes of this RFP, the universe of transactions which the desired platform will be capable of dynamically managing and tracking include those which are prospective, active, dormant, and closed, as well as any which may not ultimately proceed to closing for any reason.

- (a) Management and reporting of NYGB’s pipeline and portfolio of transactions:
 - i. Tracking potential leads (pre-proposal discussion) and transactions in negotiation, together with closed transactions, in all cases throughout the entire lifecycle of NYGB’s typical investment process;
 - ii. Tracking of key tasks and responsibilities in the loan origination, execution and monitoring process;
 - iii. Tracking key UDFs for every proposal, transaction and investment (e.g., key contacts, technology, geography, end-user customer segment, financial, energy, and environmental metrics, expense deposit, deal team, notes from conversations);
 - iv. Document storage and retention within platform throughout NYGB’s typical investment process; and
 - v. Customizable reporting capabilities (i.e., weekly active pipeline reports, loan modifications / amendments, monthly management dashboards, aggregated reports for public reporting, and query-building).
- (b) Management and reporting of NYGB’s marketing and industry events: tracking key events and contacts.

- (c) Establishment of a centralized contacts database of all NYGB stakeholders (i.e., potential leads, transaction entities, financial entities, legal entities, engineering firms) that can be easily and efficiently added to or otherwise amended over time.
- (d) Seamless integration with, and support of, a web-portal for NYGB's prospective clients and partners to submit investment proposals and key attributes through NYGB's website with information (and proposal documents) to be fed directly into the platform.

3 Proposal Content & Format

This Section discusses the general terms and guidelines that must be followed by all Respondents to complete an RFP submission. Respondents are cautioned to carefully read and follow the procedures required by this RFP as any deviation from these instructions may be cause for rejection without the submitted proposal being further considered or reviewed by NYGB.

For the purposes of evaluation, proposals should not be excessively long or submitted in an elaborate format. Proposals should be 20 pages or less, plus all required forms as instructed. 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 Respondent, the RFP number, and the page number. The proposal must be in the following format:

Part I: Executive Summary

Part II: Technical Proposal

Part III: Fee Proposal

Part IV: Exceptions to NYGB's Standard Agreement (as applicable), if any

3.1 Executive Summary

Provide a brief description of the overall approach and work effort.

3.2 Technical Proposal

Respondents should submit a proposal that describes the proposed approach to performing the work, providing and implementing the platform and accomplishing the objectives identified in [Section 1.3](#) and [Section 2](#) of this RFP. Where appropriate, Respondents are encouraged to include schematics and diagrams that provide both conceptual and technical descriptions of the proposed solution. The approach should address, at a minimum, the following:

- (a) Technology platform (including, without limitation, multi-dimensional nature of platform, security, storage etc.);
- (b) Implementation process (i.e., system development, validation rules, on-boarding, training);

- (c) Integration process (i.e., migrating NYGB's existing data, transferring data to NYSERDA's data warehouse, testing);
- (d) Service and support model (i.e., system upgrades, on-going and ad-hoc training);
- (e) Estimated timeline for implementation; and
- (f) Team profile.

In addition, please provide reference information (name, position, phone number and email address) of a minimum of three (3) clients which most closely resemble NYGB's business model and are currently using the platform in a manner similar to that proposed by NYGB and reflected in this RFP.

3.2.1 Use of Subcontractors

NYGB prefers to make one award under this RFP to a firm capable of providing all or substantially all required solutions and services as a "one-stop-shop." However, Respondents may propose to use a subcontractor(s) to provide a complete submission meeting all requirements under this RFP, provided that the respondent team is considered organized and effective at providing solutions to NYGB in a seamless manner. Any permitted subcontractors will be subject to all the Terms and Conditions outlined in Section 5 of this RFP. Any proposal involving the use of subcontractors must provide a clear and detailed delineation of the proposed roles and responsibilities of all the parties required to meet NYGB's needs as set out herein, including a designated day-to-day single point-of-contact for overall administration.

3.3 Fee Proposal

The Fee Proposal must describe the nature, extent, calculation and incidence of fees for performing the work and providing the solutions and services described in this RFP, comprising a resource schedule consistent with the level of effort identified in the Technical Proposal. Proposers must address their fees specifically in two parts:

3.5.1 Implementation & Post-Implementation Consulting Fees:

Any services and fees which are to be remunerated according to agreed hourly rates will be subject to [NYGB's Standard Agreement](#). Please note that any implementation and post-implementation fees that exceed \$25,000 (in aggregate) will trigger the application of New York State's minority and women-owned business enterprise ("**M/WBE**") participation requirements for the implementation/service portion of the solutions sought under this RFP. If the M/WBE requirements will apply to your proposal, please review the relevant requirements prior to submittal, which are outlined in [NYGB's Standard Agreement, Exhibit E](#). To the extent that the M/WBE provisions apply to your proposal, compliance therewith must be demonstrated if your firm is selected as a preferred provider, as a condition precedent to executing any contract.

Proposed fees relating to the implementation and post-implementation consulting portion should include:

- (a) Fully loaded hourly rates to be used for the development and implementation; and
- (b) Fully loaded hourly rates for post-implementation support.

The Fee Proposal should include the elements reflected in the following table (expanded as necessary to reflect any additional work products needed), together with a clear description of all key assumptions and qualifications to which the proposed fees may be subject.

Stage	Number of Hours	Rate Per Hour	Total Fee
Scoping			
Field Customization			
Reporting & Dashboard Customization			
Data Collection & Migration			
Workflows & Activities			
Beta Testing			
Final Platform Review			
User Onboarding & Training			
Web Portal Development			
Ongoing Post-Implementation Support			
Total Estimated Implementation & Post-Implementation Costs			

3.5.2 Licensing, Onetime & Annual Fees:

For software-related licensing, storage, and security, NYGB will consider contracting using the Respondent's standard contract, if applicable.

The Fee Proposal could include the elements reflected in the following table, but can be expanded as necessary based on any additional services which are considered to be needed.

Type	Fee
Annual Fee for One Full License	
Annual Fee for One Super-User License	
Annual Fee for One Mobile License	
Storage (specify amount of storage)	
Annual Security Fee	

3.4 Exceptions to NYGB's Standard Agreement (If Applicable)

NYGB will use [NYGB's Standard Agreement](#) to contract for the implementation portion of the proposal of any preferred providers designated through the RFP process. NYGB reserves the right to limit any negotiations to exceptions to standard terms and conditions in the [NYGB's Standard Agreement](#) to those specifically identified by the Respondent. Proposers should keep in mind that acceptance of all standard terms and conditions (as applicable) will generally result in a more expedited contracting process. Please review [NYGB's Standard Agreement](#) and include any exceptions and/or comments to specific terms as part of your firm's RFP response.

4 Proposal Evaluation

4.1 Proposal Evaluation Criteria

Each proposal will be evaluated using the following factors:

- (a) Technical Proposal: Respondent's technical expertise by technology platform, implementation, integration and onboarding/training process, and service and support model, including:
 - i. The quality of each Respondent's response to this RFP regarding the specifics of the technology platform, implementation, integration, service and support model, estimated timing of implementation and team; and
 - ii. Experience in current coverage of clients which are broadly comparable in size and type of business to NYGB.
- (b) Full Service Solution: Ability to meet all services/solutions requested as described in the detailed Scope of Services provided in [Section 2](#).
- (c) Fees: Respondent's total fees and capacity to tailor fees to NYGB's needs, including Respondent's:
 - i. Anticipated cost of services broken out into detailed component parts reflecting both one-time implementation and post-implementation consulting costs;
 - ii. Ongoing licensing costs, upgrades, services and product support; and other non-consulting fees associated with the platform; and
 - iii. Overall price competitiveness.
- (d) MWBE/SDVOB: diversity practices and ability to meet NYSERDA goals with respect to minority- and women-owned business enterprises (MWBE) and service-disabled veteran-owned business enterprises (SDVOB);
- (e) Other: NYGB will also evaluate Respondent's overall organization and quality of the proposal, including cohesiveness, conciseness, and clarity of response.

4.2 Other

NYGB also reserves the right to correct any arithmetic errors, to accept or reject any of a Respondent's employees assigned to provide services on this project and to require their replacement at any time, and to reject any proposal containing false or misleading statements or that provides references that do not support an attribute or a condition claimed by the Respondent.

5 Terms & Conditions

5.1 Selection Process & Contract Award

Proposals that are complete and meet all the requirements set out in this RFP will be reviewed by a scoring committee consisting of personnel from NYSERDA, NYGB, as well as selected external evaluators. A two-phase evaluation format may be used, with Respondents whose written proposals were most favorably reviewed being invited to NYGB's office in New York City to give an oral presentation about specific aspects of their proposal and a demonstration of their platform. Presentations and demonstrations will be reviewed by the scoring committee and, possibly, other NYGB personnel. Final rankings will be made by the scoring committee based on written proposals and oral presentations/demonstrations. The highest ranked Respondent will be recommended for contract negotiations.

NYGB will make one award under this RFP to a firm capable of providing all solutions (either directly or in

combination with subcontractors pursuant to [Section 3.4.1](#)). NYGB may award a contract based on initial applications without discussion, or following limited discussion, negotiations, or interviews. Each proposal should be submitted using the most favorable cost and technical terms. NYGB may request additional data or material to support applications.

5.2 Designated NYGB Contact

Name	Role	Email
Ben Grenier	Finance & Operations	ben.grenier@greenbank.ny.gov

No communication intended to influence this procurement is permitted except by contacting the Designated Contact at the email address above. Contacting anyone other than this 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 may result in a Respondent:

- a) Being deemed a Non-Responsible Offeror; and/or
- b) Not being awarded a contract.

5.3 Additional Information & Changes to RFP

Additional information may become available and be provided to Respondents subsequent to the issuance of this solicitation. Respondents are required to consider such information in their responses. Any changes to, and questions and answers concerning, this solicitation will be posted on NYGB’s website at <http://greenbank.ny.gov/Opportunities/Service-Providers> under “RFP No. 25: CRM, Transaction Pipeline & Portfolio Management Platform”.

5.4 Proprietary & Confidential Information

Careful consideration should be given before confidential information is submitted to NYGB as part of each Respondent’s proposal. Review should include whether the information is critical to evaluate 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 NYGB 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 NYGB that the Respondent 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://nyscrda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>). NYGB cannot guarantee the confidentiality of any information submitted.

5.5 Disclosure Requirements

The Respondent 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 Respondent is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similar governing body. If an indictment or conviction should come to the attention of NYGB after the award of a contract, NYGB may exercise its stop-work right pending further

investigation, or terminate the agreement. The Respondent may be subject to penalties for violation of any law which may apply in the particular circumstances. Respondents must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or New York State.

Respondents must identify any existing business relationship(s) they, or any of their affiliates, have with NYGB or its parent organization, NYSERDA. To the extent any such relationship(s) exist, Respondents must identify benefits that may be associated with the combination and coordination of the existing business relationship(s) with those contemplated in this RFP.

5.6 State Finance Law Sections 139-j & 139-k

NYGB 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>.

- (a) [Form A](#) requires a signature certifying that the Respondent will comply with State Finance Law Sections 139-j and 139-k; and
- (b) [Form B](#) includes a disclosure statement regarding whether the Respondent has been found non-responsible under Section 139-j of the State Finance Law within the previous four years.

5.7 Tax Law Section 5-a

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

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

These forms are not required at the time each Respondent’s proposal is due under this RFP.

5.8 Limitation

This solicitation does not commit NYGB to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYGB reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when NYGB considers such course to be in its best interest, in its sole discretion.

5.9 Governing Law

This RFP is governed by the laws of the State of New York.

5.10 New York Executive Law Article 15-A

NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified M/WBE and the employment of minority group members and women in the performance of NYSERDA contracts. The M/WBE participation goals and obligations of the selected Contractor are set forth in [NYGB’s Standard Agreement, Exhibit E](#).

5.11 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.

5.12 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.

5.13 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 Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Ethics and Lobbying in Government. 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.

5.14 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 or apply a program policy factor.

5.15 EO 16 Protocols

Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

5.16 Information Security

The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as "ITS Security Policies") for State Entities, including NYSERDA. Contractors, vendors, and solution providers conducting work on behalf of NYSERDA including, but not limited to, application development, web development, hosting, or managing NYSERDA's sensitive data are required to comply with the NYS requirements. These

requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities, and accepted behaviors to establish and maintain a secure environment and achieve the State's information security objectives. Contractors that manage NYSERDA's data outside of NYSERDA's systems with a High or Moderate rating as per the NYS ITS Information Asset Identification Worksheet must comply with the following requirements.

High Rating	Moderate Rating
<ul style="list-style-type: none"> Maintain up-to-date SOC 2 Type 2 Assessment Report and provide to NYSERDA upon request. Maintain Cyber Security Insurance Provide a signed self-attestation on an annual basis for multiyear contracts 	<ul style="list-style-type: none"> Maintain Cyber Security Insurance Provide a signed self-attestation on an annual basis for multiyear contracts

6 Key Dates & Instructions to Submit Proposals

6.1 Critical Dates, Activities & Deadlines

Critical dates, related activities and deadlines relating to the RFP are set forth below. NYGB may change these dates at its sole discretion and convenience, without liability.

Activity	Description	Date(s)
1. Release RFP	Email, Online & NY State Contract Reporter	Monday, February 12, 2024
2. Respondents Submit Proposals	See Section 6.4	Wednesday, March 6, 2024 by 3:00 p.m. EST
3. Notification if selected for oral presentation/ demonstration of platform	Email/Telephone	By Monday, April 2, 2024
4. Oral presentations/platform demonstrations from Respondents selected for further evaluation, if required	In Person, NYGB Offices, NYC	April 2024
5. Notification if selected for contract negotiation	Email/Telephone	By Wednesday, May 1, 2024

6.2 Due Date

All proposals must be submitted by **Wednesday, March 6, 2024 at 3:00 p.m. EST**. Late proposals, or proposals that are not complete in addressing all the required aspects as set out in this RFP will not move forward to evaluation.

6.3 Format

A proposal should not be excessively long or submitted in an elaborate format. Proposals should be 20 pages or less

6.4 Electronic Submission

Respondents must submit proposals electronically. Faxed, hand-delivered or e-mailed proposals will not be accepted.

6.4.1 Electronic Submission Instructions

Please read the following instructions before submitting a proposal. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Service Providers" section of the NYGB website:

<http://greenbank.ny.gov/Opportunities/Service-Providers>.

1. Submit one proposal for each session.
2. Enter your e-mail address and click the "Validate Email" button.
3. You will receive an automatic email containing a link to validate your email address. Click the link to be taken back to the contracting opportunity to begin the online submission process.
4. Upload as many files as needed, one at a time.
5. The electronic file names should include the proposing entity's name in the title of the document. The character limit is 100 characters.
6. You may submit Word, Excel, Zip, or PDF files. Individual files should be less than 1 GB file size.
7. PDF files must be searchable and therefore should be converted directly from an electronic document to PDF, rather than scanned.
8. After clicking the "Upload File" button, a list of your files will appear on the web page. You can delete files from this list if needed.
9. After all necessary files have been uploaded; review the list of documents to ensure that your proposal is complete and accurate.
10. Click the "Submit Proposal button."
11. You will then be brought to a confirmation page listing the files received. Please print and save the confirmation page.
12. An auto-generated confirmation e-mail will be sent to the e-mail address you entered. Please save this e-mail.
13. When choosing to submit files electronically, the award/non-award notification letter will be sent to the e-mail address of the Primary Contact listed on the Proposal Checklist.

6.4.2 Important Reminder

The electronic proposal system closes promptly at 3.00 p.m. EST on the due date of the solicitation. Files in process or attempted for submission after 3.00 p.m. EST will be locked out of the system. Please allow at least 30-60minutes to submit proposals.

Appendices

NYSERDA's Information Technology Security Requirements

NYGB's data cannot leave or be stored outside of the United States, in addition, Respondents must be able to follow the security guidelines outlined below:

NYS-POS-002 New York State Information Technology Policy, Information Security:

https://www.its.ny.gov/sites/default/files/documents/enterprise_information_security_policy_v5.0_0.pdf

S14-007: New York State Information Technology Standard, Encryption:

https://www.its.ny.gov/sites/default/files/documents/enterprise_information_security_policy_v5.0_0.pdf

S14-013: New York State Information Technology Standard, Account Management/Access

Control:

https://www.its.ny.gov/sites/default/files/documents/enterprise_account_management_access_control_standard.docx.pdf

NYSERDA's Data Classification Policy

NYSERDA produces, collects, and uses many different types of data in fulfilling its mission. Laws and institutional policy mandate privacy and protection of certain types of data, and NYSERDA's need to manage risks to its constituents and to its reputation requires the protection of other information.

Classifying data is the first step in determining the appropriate level of control required for a given type of data or information asset.

Data classification focuses on the data elements. A data element is the container for a type of data, rather than the data itself (e.g., the data element "NAME" or "STREET ADDRESS" rather than the data contained in that element, such as "John Smith" or "123 Main Street"). During classification, data elements that appear together may be classified in data groupings (e.g., an application form, whether electronic or paper). Data elements collected and maintained together create information assets (e.g., a program database or a file cabinet). Information assets or groups of data with multiple data elements, such as reports, contracts, business data bases, etc., shall be classified based upon the classification level of the most sensitive or restricted individual data element contained therein.

The classification of data is a detailed process with specific technical requirements. This standard is applicable to NYSERDA staff, contractors, and other affiliates, which have access to or manage NYSERDA information.

NYSERDA Classification Schema for Confidentiality

While maintaining compliance with the NY State Standard for classification, NYSERDA will apply its own data-classification schema to more specifically describe the restrictions required for data classified as "High Confidentiality". The NYSERDA classification schema shall include both "Confidential – Restricted" and "Confidential – Private" to designate different types of "High Confidentiality" based upon identity theft and privacy risk and business need for access.

NYSERDA shall use "Internal Use Only" to designate Moderate Confidentiality and "Public" to designate Low Confidentiality.

Information Classification

Information classification is based on three principles of security: (a) confidentiality; (b) integrity; and (c) availability. For each principle, information can be classified as low, moderate, or high based on the

potential impact. Impact levels are defined as limited, serious and severe or catastrophic. For purposes of classification, limited impact shall be deemed to include no impact.

Low = Limited impact that would:

- cause a degradation in mission capability to an extent and duration that NYSERDA is able to perform its primary functions, but the effectiveness of the functions is noticeably reduced;
- result in minor damage to NYSERDA or third party assets;
- result in minor financial loss; or
- result in minor harm to individuals.

Moderate = Serious impact that would:

- cause a significant degradation in mission capability to an extent and duration that NYSERDA is able to perform its primary functions, but the effectiveness of the functions is significantly reduced;
- result in significant damage to NYSERDA or third party assets;
- result in significant financial loss; or
- result in significant harm to individuals that does not involve loss of life or serious life threatening injuries.

High = Severe or catastrophic impact that would:

- cause a degradation in or loss of mission capability to an extent and duration that NYSERDA is not able to perform one or more of its primary functions;
- result in major damage to NYSERDA or third party assets;
- result in major financial loss; or
- result in catastrophic harm to individuals involving loss of life or serious life threatening injuries.

Table 2: Information Asset Classification Matrix

	INFORMATION CLASSIFICATION CATEGORIES		
	LOW	MODERATE	HIGH
<p>CONFIDENTIALITY</p> <p>Consider impact of unauthorized disclosure on factors such as:</p> <p>Health & Safety</p> <p>Financial Loss</p> <p>Mission/Programs</p> <p>Public Trust</p>	<p>The unauthorized access or disclosure of information would have limited or no impact to the organization, its critical functions, workforce, business partners and/or its customers.</p>	<p>The unauthorized access or disclosure of information would have serious impact to the organization, its critical functions, workforce, business partners and/or its customers.</p>	<p>The unauthorized access or disclosure of PPSI or other information would have a severe or catastrophic impact on the organization, its critical functions, workforce, business partners and/or its customers.</p>

	LOW	MODERATE	HIGH
<p>INTEGRITY</p> <p>Consider impact of unauthorized modification or destruction on factors such as:</p> <p>Health & Safety</p> <p>Financial Loss</p> <p>Mission/Programs</p> <p>Public Trust</p>	<p>The unauthorized modification or destruction of information would have limited or no impact to the organization, its critical functions, workforce, business partners and/or its customers.</p>	<p>The unauthorized modification or destruction of information would have serious impact to the organization, its critical functions, workforce, business partners and/or its customers.</p>	<p>The unauthorized modification or destruction of information would have a severe or catastrophic impact on the organization, its critical functions, workforce, business partners and/or its customers.</p>
<p>AVAILABILITY</p> <p>Consider impact of untimely or unreliable access to information on factors such as:</p> <p>Health & Safety</p> <p>Financial Loss</p> <p>Mission/Programs</p> <p>Public Trust</p>	<p>The disruption of access to or use of information would have limited or no impact to the organization, its critical functions, workforce, business partners and/or its customers.</p>	<p>The disruption of access to or use of information would have serious impact to the organization, its critical functions, workforce, business partners and/or its customers.</p>	<p>The disruption of access to or use of information would have a severe or catastrophic impact on the organization, its critical functions, workforce, business partners and/or its customers.</p>

The information classification process includes the following steps:

1. Identifying information assets
2. Classifying information assets by confidentiality, integrity, and availability (CIA)
3. Determining controls based upon the classification
4. Additional Steps

Step 1. Identification of Information Assets

Identification of information assets involves creating an inventory of all information assets in NYSERDA. The following items need to be considered when constructing this inventory:

Determining the information owner (in NYSERDA’s data governance system this role shall be called data owner and the terms are used interchangeably.)

Determining the information custodian

Identifying information assets

Step 1.1 Grouping of Information Assets

In order to facilitate the classification of information assets and allow for a more efficient application of controls, it may be desirable to group information assets together. It is important to establish that the grouping of assets for classification is appropriate. A broad grouping may result in applying controls unnecessarily as the asset must be classified at the highest level necessitated by its individual data elements. For example, if a Human Resources unit decides to classify all of their personnel files as a single information asset and any one of the files contains a name and social security number, the entire grouping would need to be protected with the controls for a confidentiality of high.

A narrow grouping allows for more precise targeting of controls. However, as there are more information assets to classify, this increases the complexity of the classification and the management of controls. Using the previous example, classifying the multitude of personnel files (e.g., appointment letters, timecards, position classifications, holiday waivers) as individual information assets requires specifying the set of controls for each classification.

In the case of a system (e.g., database, data warehouse, application server), it may be easier to apply controls if the system is classified as a single entity. However, costs may be reduced by applying controls to individual elements (e.g., field, record, application). Therefore, it is important that NYSERDA evaluate the difference between the two scenarios to identify the most appropriate solution when determining the grouping of information assets for classification.

Step 1.2 Determining the Data Owner¹

Responsibility for the classification and control of an information asset must be assigned to an individual in a managerial position. If multiple individuals are found to be “owners” of the same information asset, a single owner must be designated by a higher level of management. The data owner is responsible for determining the information’s classification and how and by whom the information will be used. Owners must understand the uses and risks associated with the information for which they are responsible. Each owner must exercise due diligence with respect to the proper classification of data in order to prevent improper disclosure and improper access.

Step 1.3 Determining the Information Custodian

Information custodians are people, units, or organizations responsible for implementing the authorized controls for information assets based on the classification level. An information asset may have multiple custodians. Based on the data owner’s requirements, the custodian secures the information, applying safeguards appropriate to the information’s classification level. Information custodians can be from within NYSERDA or from third parties (e.g., another state entity or non-State entity). If the custodian is a third party, a formal, written agreement must specify the responsibilities between the custodian’s organization and NYSERDA regarding who owns the information. An information custodian may also be the data owner.

Step 1.4 Identifying Information Assets

¹ Information Owner and the Data Owner are equivalent.

For each information asset in their control, the data owner must identify at a minimum:

- Source of the information asset (e.g., unit, agency)
- Use of the information asset (i.e., purpose/business function)
- Business processes dependent on the information asset
- Users/groups of users of the information asset

Step 2. Classification of Information Assets

Owners must answer the following question to determine the classification of their information assets. Is it appropriate to recruit and work with subject matter experts who have specific knowledge about the information asset? The Performance & Market Standards (“**P&MS**”) department and Information Security Officer may also be called upon to advise and assist the data owner in determining the classification.

Step 2.1 Information Asset Classification Questions

Information assets are classified according to confidentiality, integrity, and availability. Each of these three principles of security is individually rated as low, moderate, or high. For example, an information asset may have a confidentiality level of “high”, an integrity level of “moderate”, and an availability level of “low” (i.e., HML).

Below are the state-specified model questions. Unless otherwise indicated, the answers to each question must indicate the impact level (i.e., none or limited (low), serious (moderate) or severe or catastrophic (high)).

Confidentiality Questions:

1. Does the information include or contain PPSI (Personal, Private or Sensitive Information)? Y/N
2. What impact does unauthorized access or disclosure of information have on health and safety?
3. What is the financial impact of unauthorized access or disclosure of information?
4. What impact does unauthorized access or disclosure of information have on NYSERDA’s mission?
5. What impact does unauthorized access or disclosure of information have on the public trust?
6. Is confidentiality mandated by law or regulation? If yes, determine the impact of unauthorized access or disclosure of information.
7. Is the information intended for limited distribution? If yes, determine the impact of unauthorized access or disclosure of information.
8. Is the information publicly available? Y/N

If the answer to question 1 above is “Yes” or if any of the other answers are “severe or catastrophic”, the confidentiality rating is high. If the answer to question 1 above is “No” and if any of the other answers are “serious” but none are “severe or catastrophic”, the confidentiality rating is moderate. If the answer to question 1 above is “No” and if all of the other answers are “limited” or “none”, the confidentiality rating is low.

Integrity Questions:

1. Does the information include medical records? Y/N
2. Is the information (e.g., security logs) relied upon to make critical security decisions? Y/N
3. What impact does unauthorized modification or destruction of information have on health and safety?
4. What is the financial impact of unauthorized modification or destruction of information?

5. What impact does the unauthorized modification or destruction of information have on NYSERDA's mission?
6. What impact does unauthorized modification or destruction of information have on the public trust?
7. Is integrity addressed by law or regulation? If yes, determine the impact of unauthorized modification or destruction of information.
8. Is the information (e.g., financial transactions, performance appraisals) relied upon to make business decisions? If yes, determine the impact of unauthorized modification or destruction of information.

If the answer to question 1 or 2 above is "Yes" or if any of the other answers are "severe or catastrophic", the integrity rating is high. If the answer to question 1 and 2 above is "No" and if any of the other answers are "serious" but none are "severe or catastrophic", the integrity rating is moderate. If the answer to question 1 and 2 above is "No" and if all of the other answers are "limited" or "none", the integrity rating is low.

Availability Questions:

1. Is availability of the information essential for emergency response or disaster recovery? Y/N
2. This information needs to be provided or available:
 - (a) As time permits - LOW
 - (b) Within 1 to 7 days - MODERATE
 - (c) 24 hrs. per day/7 days a week - HIGH
3. What is the impact to health and safety if information were not available when needed?
4. What is the financial impact if information were not available when needed?
5. What is the impact to NYSERDA if information were not available when needed?
6. What is the impact to the public trust if the information were not available when needed?

If the answer to question 1 is "Yes" or if any of the other answers are "severe or catastrophic" or "high", the availability rating is high. If the answer to question 1 above is "No" and if any of the other answers are "serious" or "moderate" but none are "severe or catastrophic" or "high", the availability rating is moderate. If the answer to question 1 above is "No" and if all of the other answers are "limited", "low" or "none", the availability rating is low.

Step 3. Determination of Controls

Once the information is classified, the classification can be used to determine baseline controls. A listing of baseline controls for each type of classification can be found in Appendix A - Information Security Control Charts.

Step 4. Additional NYSERDA Steps

Using the State-specified model questions as the minimum standard, NYSERDA shall develop additional NYSERDA-specific questions to assist in proper classification and balance required controls and NYSERDA's operational need to have access to specific data. These questions shall be developed by the Director of P&MS and approved by the Information Security Officer and Chief Information Officer.

As mentioned above, for data requiring High-Confidentiality, NYSERDA shall further divide the classification into two sub-categories to assist NYSERDA as defined below.

1. Confidential - Restricted

This relates to data that is NYS High Confidentiality and NYSEDA has determined to tightly restrict access within NYSEDA due to personal privacy, potential for identity theft or legal requirements. Most PPSI will be classified and controlled in this manner. Examples are HIPPA protected health data, Social Security Numbers and Bank Account Numbers.

2. Confidential - Private

This relates to data that is NYS High Confidentiality and NYSEDA has determined to make it available as required for proper functioning of NYSEDA programs and operations. Examples are the names of participants in low income programs and company proprietary data provided by applicants to receive NYSEDA funding.

Controls

NYSEDA shall apply the appropriate level of control to protect data at all times - as data is being collected, once it has been collected, and as data is being transmitted or provided to internal and external stakeholders. In general, control requirements relating to integrity and availability will be applied systemically at the information asset level. By contrast, control requirements relating to confidentiality, expressed in terms of the NYSEDA Classification Schema for Confidentiality, are more likely to be applied at the data user level.

NYSEDA has developed minimum standard control requirements for the protection of each classification of data when being used or handled in a specific context (e.g. Social Security Numbers sent in an email message). Please note that NYSEDA control standards are not intended to supersede any regulatory or contractual requirements for handling data. Some specific data sets such as payroll, insurance or financial account data, may have requirements in addition to the minimum standard requirements.

NYSEDA shall publish a control plan for each identified Information Asset and standard data sharing rules to be applied to each group of data or individual data field that is classified as NYS Medium or High Confidentiality.

Each NYSEDA department/unit is responsible for implementing, reviewing, and monitoring internal policies, practices, etc. to assure compliance with this standard.

All NYSEDA personnel are responsible for maintaining the confidentiality, integrity, and availability of NYSEDA information to facilitate the effective and efficient conduct of NYSEDA business.

In addition, the following responsibility designations identify roles and responsibilities related to information classification at NYSEDA.

The Information Security Officer (ISO) and the Director of P&MS are responsible for the State Entity duties enumerated in the NY State Information Technology Standard: Information Security Controls. The primary function of the ISO is to ensure compliance with the requirements below and to monitor and audit accordingly. The primary function of the Director of PMES is to maintain and improve the system to support compliance including system design, training and development of procedures. Duties which are unique to either the ISO or Director of P&MS are labeled as such below:

Developing, implementing, and maintaining the NYSEDA data classification program in consultation with NYSEDA Executive Management/Stakeholders/Business Units, enabling the data owners, information custodians, and other key individuals to make appropriate decisions regarding the security classification and protection of data (Director of P&MS Implements and ISO verifies).

Building agency-wide compliance with NYSERDA's data-classification program (Director of P&MS Implements and ISO verifies).

Developing, implementing, and maintaining the processes and procedures for properly labeling media (electronic or paper based) commensurate with the classification of the information (Director of P&MS Implements and ISO verifies).

Developing, in conjunction with the NYSERDA Business Units, the necessary controls of access to applications, commensurate with classification of the information processed by the system or application (Director of P&MS Implements and ISO verifies).

Overseeing the development and implementation of a centralized data-classification repository (Director of P&MS primary).

Taking the appropriate actions (e.g., Incident Response Management) if non-public information is lost or disclosed to unauthorized parties — or is suspected of being lost or disclosed to unauthorized parties (ISO determines appropriate actions, Director of P&MS will report any violations to ISO).

Working with the business units to develop mitigating security strategies when exceptions or waivers are deemed necessary (ISO makes determinations, Director of P&MS will assist as a technical resource).

A Data Owner must be identified for each NYSERDA information asset. Data Owners are responsible for maintaining appropriate security measures commensurate with any applicable federal or state statutes or regulations governing the data. Authority for implementing security measures may be delegated (e.g., to the Information Custodian), although accountability and responsibility remain with the identified Data Owner.

The Data Owners are the persons in the Business Unit responsible and accountable for the information asset, are at the manager or executive level, and are non-IT staff.

The Data Owners are responsible and accountable for the following areas (the Data Owners can delegate authority in these areas, but accountability remains with them):

1. Assigning the appropriate data classification to information under their jurisdiction;
2. Determining the means (e.g., a process, event, or date) by which the information can be reclassified;
3. Determining to whom and under what conditions access is granted;
4. Identifying and documenting the controls required to maintain the confidentiality, integrity, and availability of the information commensurate with its classification level (e.g., written agreements with IT and end users, procedures, etc.);
5. Verifying that the identified security controls are in place and functioning properly;
6. Verifying that access to the information is based on the "least-access" principle;
7. Verifying that all legal requirements for access, disclosure, retention, archiving, and expungement of information are satisfied;
8. Verifying that whenever any data is transferred to another entity (e.g., another state agency or contractor), the entity is educated/informed of the proper handling, storage, disseminating, and disposal of the data via an executed MOU/MOA or other written agreement;
9. Reviewing periodically, and at a minimum annually, to confirm the classification of, or reclassifying, information assets of which they are the owner;
10. Reviewing, annually, the master data-classification records for accuracy;
11. Reviewing for appropriateness the actions of those granted access to information of which they are the owner;
12. Acting on security violations against their information assets and immediately notifying the Information Security Officer (ISO); and

13. Notifying the ISO if non-public information is lost or disclosed to unauthorized parties — or is suspected of being lost or disclosed to unauthorized parties.

The Information Technology department functions as NYSERDA's Information Custodian. An Information Custodian (IC) must be identified for each NYSERDA information asset. An IC can be a person, a unit, or an organization responsible for implementing the authorized controls for information assets based on the classification level set forth by the Data Owner. The IC is able to take the necessary actions to secure the information by applying controls appropriate to the information's classification level. An IC can either be internal to NYSERDA or from a third party (e.g., another state entity or a non-state-entity). It is recommended that a service level agreement exist between the IC and the Data Owner, so the parties understand their respective responsibilities.

Data Users (also referred to as Information End Users) fall into two categories:

1. NYSERDA Data Users – Authority staff, contractors, and other affiliates who, as part of their job responsibilities, are authorized users of NYSERDA information.
2. Business partner Data Users – NYSERDA business partners, who include but are not limited to, various state and local government entities, voluntary agencies, and other business partners, that are authorized users of NYSERDA information.

NYSERDA Data Users are responsible for accessing and using the information only for the intended purpose, as defined by the Data Owner; for maintaining the confidentiality, integrity, and availability of the information, as required by the owner; and for familiarizing themselves and complying with applicable NYSERDA security policies.

Business Partner Data Users are governed by agreements specifying their responsibility to handle the information in a secure manner and in compliance with all applicable statutes and regulations.

Data Users are required to report a suspected or actual violation of NYSERDA policies and standards to the ISO in writing.

Data Users are also responsible for notifying the IO and the ISO if non-public information is lost or disclosed to unauthorized parties — or is suspected of being lost or disclosed to unauthorized parties.

NYGB's Standard Agreement

Special Note: All items referenced in this Section refer only to other items found herein and not to items in the remaining RFP materials.

Agreement

1. Agreement Number:
2. Contractor:
3. Project Director:
4. Effective Date:
5. Total Amount of Award:
6. Project Period: 3 years from the Effective Date
7. 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; and
- Exhibit D, Prompt Payment Policy Statement
- Exhibit E, New York State Executive Law Article 15-A

8. ACCEPTANCE. THIS AGREEMENT SHALL NOT BECOME EFFECTIVE UNLESS EXECUTED BELOW BY OR ON BEHALF OF NY GREEN BANK ("NYGB").

CONTRACTOR

**NEW YORK GREEN BANK, a division of the
NEW YORK STATE ENERGY RESEARCH
AND DEVELOPMENT AUTHORITY**

By _____

By _____

Name _____

Pam Poisson
Chief Financial Officer

Title _____

New York State Energy Research And
Development Authority

EXHIBIT A: Statement of Work

Objective: Contractor shall perform in accordance with specific direction provided by NYGB staff in supporting the implementation, training and on-going maintenance of a proprietary CRM and transaction pipeline and portfolio management. In addition, the contractor will work with NYGB to develop and implement a customized web portal to capture transactions proposals and directly feed into the CRM platform.

[The specifics tasks related to the Statement of Work will be determined by NYGB and chosen Respondent]

RATE:

Contractor's rate is \$/hr plus reimbursement of out of pocket expenses at cost. Refer to Exhibit B, Article IV, Section 4.01 (b) Direct Charges for terms pertaining to out of pocket expense(s).

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 Information: Information, whether written or oral, and regardless of form or characteristic, used in connection with the performance of this Agreement, or otherwise related to NYGB or relating to a third party interacting with NYGB.

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 NYGB. 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 NYGB, the requested change in Project Director shall be considered approved. In the event that NYGB requires additional time for considering approval, NYGB 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.

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. In consideration for this Agreement and as NYGB'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, NYGB 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 NYGB funds, subject to the provisions and restrictions contained herein, including, without limitation, the Prompt Payment Policy Statement attached hereto as Exhibit D. NYGB'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 addressed to NYGB, "Attention: NYGB Operations & Finance," or submitted electronically to invoices@greenbank.ny.gov. Such invoices shall make reference to the Agreement number shown at Item 1 on page 1 of this Agreement. Invoices shall be inclusive of the total project costs incurred and 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. NYGB may adjust amounts payable to correlate the proportion of NYGB's funding share paid to the proportion of the Work completed.

Section 4.03. Final Payment.

Upon final acceptance by NYGB 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, NYGB may require. The Contractor shall be notified by NYGB in accordance with Section 504.4(b)(2) of NYSERDA's Prompt Payment Policy Statement, attached hereto as Exhibit D, of any such information or documentation which the Contractor did not include with the invoice.

In accordance with and subject to the provisions of such Exhibit D, NYGB shall pay to the Contractor, within the prescribed time after receipt of any such invoice for a progress payment, unless NYGB should determine that any such payment or any part thereof is otherwise not properly payable pursuant to the terms of the Agreement or the Budget.

Section 4.04. Release by the Contractor. The acceptance by the Contractor of final payment shall release NYGB 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. 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 NYGB to the Contractor shall be the amount appearing at Item 5 of page one of this Agreement. NYGB 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. NYGB 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 NYGB on the basis of any audit of the Contractor by NYGB, 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. 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. 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 conveyed to Contractor by NYGB.

Section 6.02. Acceptance of Work. The completion of the Work shall be subject to acceptance by NYGB in writing of all deliverables requested by NYGB in accordance with 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

Contract Information; Confidentiality

Section 8.01. Rights in Contract Information. All Contract Information shall be the sole and exclusive property of NYGB. The Contractor shall not use Contract Information for any purpose other than to implement its obligations under this Agreement; and nothing herein or otherwise implied shall constitute any broader grant or license.

Section 8.02. Confidentiality. The Contractor agrees that to the extent it receives or is given any Contract Information, the Contractor will at all times keep all Contract Information and the deliverables (as referenced in Section 3.01 hereof) strictly confidential; which shall include, without limitation, not disclosing the same, or knowingly permitting the same, to be disclosed to any person other than NYGB employees or NYGB-specified parties and at all times taking reasonable steps to ensure that this obligation is fulfilled. In addition, Contractor will at all times keep the content of the deliberations of NYGB, including all written, oral and other communications (irrespective of form, including electronic) strictly confidential; which shall include, without limitation, not disclosing the same, or knowingly permitting the same, to be disclosed to any person other than NYGB employees or NYGB-specified parties and at all times taking reasonable steps to ensure that this obligation is fulfilled.

Section 8.03. Destruction. Upon completion of the Contractor's performance with NYGB, the Contractor shall destroy, by shredding, permanent deletion or other method ensuring complete destruction, all Information then in his/her possession provided by NYGB, whether in paper, electronic or other form. Contractor shall not retain any copies thereof.

Section 8.04. Survival. The provisions of this Article VIII shall survive the expiration or earlier termination of this Agreement.

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 NYGB 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 financial and credit analysis practices;

(e) 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 NYGB's rights hereunder;

(f) 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;

(g) all information provided to NYGB with respect to State Finance Law Sections 139-j and 139-k is complete, true and accurate;

(h) 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;² and

(i) 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.

(j) Contractor shall at all times during the Agreement term remain Responsible, and Contractor agrees, if requested by NYGB, 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.

Article X

Indemnification

Section 10.01. Indemnity. The Contractor shall protect, indemnify and hold harmless NYGB, 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 NYGB, NYSERDA or the State of New York resulting from, arising out of or relating to Contractor's willful, criminal, intentional, reckless, or grossly negligent misconduct.

Article XI

Insurance

Intentionally Omitted

²<http://www.nyserda.ny.gov/About/Board-Governance.aspx>

Article XII

Stop Work Order; Termination; Non-Responsibility

Section 12.01. Stop Work Order.

(a) NYGB 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, NYGB 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 NYGB decides the facts justify such action, NYGB 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 NYGB 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 NYGB 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 NYGB, through termination of subcontracts containing provisions therefor). Articles VIII, IX, and X shall survive any termination of this Agreement, and Article XVI shall survive until the payment obligations pursuant to Article VIII have been met.

(b) NYGB 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.

(c) 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) NYGB 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. NYGB, 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 NYGB 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 NYGB officials or staff, this Agreement may be terminated by NYGB at the Contractor's expense where the Contractor is determined by NYGB to be non-Responsible. In such event, NYGB 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 or NYGB nor make any claim, demand or application for any right or privilege applicable to NYSERDA or NYGB, 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 or NYGB'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 NYGB'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 or NYGB, Contractor and/or Contractor's personnel by virtue of any act or omission on the part of NYSERDA, NYGB, or its employees. Accordingly, Contractor expressly covenants and agrees to notify NYGB 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 and/or NYGB in its efforts to investigate and/or address such claims or events, including but not limited to, complying with any reasonable request by NYSERDA and/or NYGB 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 NYGB 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 NYGB 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.

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:

NY Green Bank

A Division of NYSERDA

1333 Broadway, 3rd Floor

New York, NY 10018-7842

Personal Delivery: Reception desk at the above address

CONTRACTOR

Name:

Address:

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 NYGB and the Contractor and supersedes all prior agreements and understandings relating to the subject matter hereof. 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.

EXHIBIT C: Standard Terms & Conditions for all NYGB Agreements

(Based on Standard Clauses for New York State Contracts and Tax Law Section 5-a)

The Parties agree to be bound by the following clauses, to the extent applicable, which are hereby made a part of the Agreement:

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.

2. INTENTIONALLY OMITTED.

3. INTENTIONALLY OMITTED.

4. INTERNATIONAL BOYCOTT PROHIBITION. If this Agreement exceeds \$5,000, the Contractor agrees, as a material condition of the Agreement, that neither it 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 the 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 following execution of the Agreement, such Agreement, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify NYGB 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. NYGB and the Contractor shall each have all of its common law and statutory rights of set-off. These rights shall include, but not be limited to, NYGB'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 NYGB with regard to this Agreement, any other agreement, including any agreement for a term commencing before the term of this Agreement, plus any amounts due and owing to NYGB for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. Nothing herein is intended to limit the Contractor's rights to common law and statutory rights of set-off.

6. PROPRIETARY INFORMATION. Notwithstanding any provisions to the contrary in the Agreement, the Contractor and NYGB acknowledge and agree that all information, in any format, submitted to NYGB shall be subject to and treated in accordance with the NYS Freedom of Information

Law (“**FOIL**,” Public Officers Law, Article 6). Pursuant to FOIL, NYGB 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 or Applicable Law specifically requires otherwise, the Contractor should submit information to NYGB in a non-confidential, non-proprietary format. FOIL does provide that NYGB 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 that the Contractor considers a proprietary and/or confidential trade secret, the Contractor shall fully identify and plainly label the information “confidential” or “proprietary” at the time of disclosure. By so marking such information, the Contractor represents that the information has actual or potential specific commercial or competitive value to the competitors of the 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 NYGB without obligation concerning its confidentiality. In the event of a FOIL request, it is NYGB’s policy to consider records as marked above pursuant to the trade secret exemption procedure set out in 21 New York Codes Rules & Regulations § 501.6 and any other applicable law or regulation. However, NYGB 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.state.ny.us/coog/foil2.html>) and NYGB’s Regulations, Part 501 <http://www.NYGB.ny.gov/About/New-York-State-Regulations.aspx>.

7. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.

- (a) **FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITYNUMBER.** As a condition to NYGB’s obligation to pay any invoices submitted by the Contractor pursuant to this Agreement, the Contractor shall provide to NYGB 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 the 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 any direct conflict between any express terms of the Agreement (including any and all attachments thereto and amendments thereof) and the express 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 NYGB'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**"), the Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon the Contractor's actual receipt of process or upon NYGB's receipt of the return thereof by the United States Postal Service as refused or undeliverable. The Contractor must promptly notify NYGB, in writing, of each and every change of address to which service of process can be made. Service by NYGB to the last known address shall be sufficient. The Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

12. CRIMINAL ACTIVITY. If following the effectiveness of this Agreement, NYGB 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 before submission of the Contractor's proposal to NYGB, convicted of a felony, under the laws of the United States or Territory of the United States, then NYGB may exercise its right to terminate this Agreement. If the Contractor knowingly withheld information about such an indictment or conviction, NYGB 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 Services.

14. INTENTIONALLY OMITTED.

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, the Contractor certifies 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, in connection with this Agreement, 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 in connection with this Agreement 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. The Contractor is hereby notified that if its 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, NYGB 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 parties 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) Before entering into such an agreement, the Contractor is required to provide NYGB with a completed Contractor Certification to Covered Agency form (Form ST-220-CA).
- (c) Before any renewal period (if applicable) under the agreement, the Contractor is required to provide NYGB with a completed Form ST-220-CA.

Certifications referenced in paragraphs (b) and (c) above will be maintained by NYGB and made a part hereof and incorporated herein by reference.

NYGB 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 www.ogs.ny.gov/about/regs/ida.asp).

EXHIBIT D: NYGB Prompt Payment Policy Statement

504.1. Purpose and Applicability. (a) The purpose of this Exhibit is to provide a description of Part 504 of NYGB's regulations, which consists of NYGB's policy for making payment promptly on amounts properly due and owing by NYGB under this Agreement. The section numbers used in this document correspond to the section numbers appearing in Part 504 of the regulations.³

(b) This Exhibit applies generally to payments due and owing by NYGB to the Contractor pursuant to this Agreement. However, this Exhibit does not apply to Payments due and owing when NYGB 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 D shall have the same meaning as set out 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 NYGB 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 NYGB's Controller, located at 17 Columbia Circle, Albany, New York 12203.

(c) "**Payment**" means payment properly due and owing to the Contractor pursuant to the terms 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 NYGB 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 NYGB not to be liable for interest pursuant to Section 504.6.

(f) "**Proper Invoice**" means a written request for Payment that is submitted by the Contractor setting forth the description, price or cost, and quantity of goods, property or services delivered or rendered by such Contractor, in such form, and supported by such other substantiating documentation, as NYGB may reasonably require; and addressed to NYGB's Controller, marked "Attention: Accounts

³ 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>

Payable,” at the Designated Payment Office.

(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, NYGB 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 NYGB for the portion working, completed or delivered, NYGB will not be in Receipt of an Invoice until the specified minimum amount of the systems, goods, property or services by the Contractor are working, completed or delivered.

(h) “**Set-off**” means the reduction by NYGB of a payment due to the Contractor by an amount equal to the amount of an unpaid legally enforceable debt owed by such Contractor to NYGB.

504.3. Prompt Payment Exhibit. Except as otherwise provided by law or regulation or in Sections 504.4 and 504.5 of this Exhibit, the Date of Payment by NYGB 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 NYGB.

(b) NYGB 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 NYGB fails to notify the 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 NYGB 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, NYGB 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. NYGB has determined that, notwithstanding the provisions of Sections 504.3 and 504.4 of this Exhibit D, 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 NYGB 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 NYGB and the date when NYGB 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 NYGB or another entity, or is specifically permitted by this Agreement or by other State or Federal provision and NYGB 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, NYGB 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, before 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 Agreement, has completed the inspection, advised NYGB 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 NYGB, 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 NYGB.

504.6. Interest Eligibility and Computation. If NYGB fails to make Prompt Payment, NYGB 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 NYGB pursuant to this 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 (other than indemnification obligations of NYGB pursuant to the Agreement), notwithstanding that NYGB may subsequently amend its Prompt Payment Policy by further rulemaking.

504.9. Notice of Objection. The Contractor may object to any action taken by NYGB pursuant to this Exhibit D that prevents the commencement of the time in which interest will be paid by submitting a written notice of objection to NYGB. Such notice shall be signed and dated and concisely and clearly set out the basis for the objection and be addressed to the Chief Operating Officer, NYGB, at the notice address set out in this Agreement. The Chief Operating Officer of NYGB, or his or her designee, shall review the objection for purposes of affirming or modifying NYGB's action. Within fifteen (15) working days of the receipt of the objection, the Chief Operating Officer, or his or her designee, shall notify the Contractor either that NYGB'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 NYGB pursuant to this Exhibit D 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 D 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 NYGB to make an interest payment to the Contractor pursuant to this Exhibit D 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 NYGB 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.

EXHIBIT E: Article 15-A Contract Provisions (non-construction contract)

1. General Provisions.

(a) NYSERDA is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 140-144 ("Regulations") for all State contracts as defined therein, with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.

(b) The Contractor to the subject contract (the "Contractor" and the "Contract," respectively) agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to NYSERDA, to fully comply and cooperate with NYSERDA in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women ("EEO") and contracting opportunities for certified minority and women-owned business enterprises ("M/WBEs"). Contractor's demonstration of "good faith efforts" pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the "Human Rights Law") or other applicable federal, state, or local laws.

(c) Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages pursuant to Section 9 of these provisions or enforcement proceedings as allowed by the Contract.

(d) The Contractor further agrees to fully cooperate with NYSERDA in the implementation of such additional reporting requirements as may be required by the Division of Minority and Women's Business Development during the duration of this Agreement.

2. Equal Employment Opportunities.

(a) The Contractor shall submit an EEO policy statement to NYSERDA within seventy two (72) hours after the date of the notice by NYSERDA to award the Contract to the Contractor. If Contractor or Subcontractor does not have an existing EEO policy statement, Contractor or Subcontractor may adopt the model statement provided as **Attachment 1** – Minority- and Women-Owned Business Enterprises And Equal Employment Opportunity Policy Statement. Contractor hereby agrees that this policy shall remain in full force and effect during the performance of this Agreement.

(b) During the performance of this Agreement, Contractor agrees to the following:

Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document Contractor's conscientious and active efforts to employ and utilize minority group members and women in its work force on this Agreement. For these purposes, affirmative action shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.

At the request of NYSERDA, Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status; and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein.

Contractor shall state in all solicitations or advertisements for employees that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status, or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(c) Contractor shall include, in all subcontracts related to its performance of its obligations in this Agreement, the requirements set forth in Section 2(b) above, in such a manner that the provisions will be binding upon each subcontractor as to work in connection with this Agreement.

(d) The provisions of this Section shall not be binding upon Contractors or its subcontractors in the performance of work or the provision of services or any other activity that are unrelated, separate, or distinct from this Agreement, as expressed by its terms.

(e) The requirements of this Section shall not apply to any employment outside New York State or application for employment outside New York State or solicitations or advertisements therefor, or any existing programs of affirmative action regarding employment outside New York State.

3. Contract Goals. For purposes of this procurement, NYSERDA hereby establishes the following goals for M/WBE participation: 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation.

4. Participation Goals. The Contractor represents that it has reviewed and familiarized itself with the regulations related to Article 15-A found at 5 NYCRR Parts 140-144 (see http://www.empire.state.ny.us/MWBE/Data/122210_MWBE15-ARegs.pdf), which regulations (the "Regulations") are hereby incorporated herein by this reference. Any conflicts between this Agreement and the Regulations shall be resolved in favor of the Regulations. Contractor shall, in accordance with the Regulations, make good faith efforts and, in a manner that can be established in documentary form, solicit active participation by certified M/WBE businesses as identified in the applicable state directory maintained by the NYS Empire State Development's Division of Minority and Women Business Development (see <http://www.empire.state.ny.us/MWBE/directorySearch.html>). Additionally, Contractor is encouraged to contact the Division of Minority and Woman Business Development ((518) 292-5250; (212) 803-2414; or (716) 846-8200) to discuss additional methods of maximizing participation by M/WBEs on the Contract. In furtherance thereof, the Contractor has submitted the following information to NYSERDA, which information sets forth NYSERDA's and Contractor's agreed upon participation goals during the performance of this Agreement:

(a) A completed M/WBE Utilization Plan Form (see **Attachment 2**) and/or a NYSERDA-approved Waiver Form (see **Attachment 6**); and

(b) A staffing plan of the anticipated workforce to be utilized by the Contractor during this Agreement, or in the case where the workforce to be utilized in the performance of this Agreement cannot be separated out from the Contractor's and/or its subcontractor workforce, information on the Contractor's and/or subcontractor's total workforce. The staffing plan or workforce data, as applicable, is broken down by ethnic background, gender and Federal occupational categories, or other appropriate categories specified by NYSERDA (see **Attachment 3**).

5. Compliance Reporting Requirements. In order to demonstrate compliance with the stated participation and staffing goals as set forth above, Contractor shall be required to submit compliance reports as follows:

(a) Unless NYSERDA has granted a total waiver or Contractor is a certified M/WBE with the Division and is responsible for one hundred percent (100%) of the performance of this Agreement, the Contractor shall submit to NYSERDA an M/WBE Compliance Report on a quarterly basis in the form attached hereto as **Attachment 4**; and

(b) Where the workforce to be utilized during the performance of this Agreement can be separated out from the Contractor's total workforce, the Contractor shall submit to NYSERDA on a quarterly basis, in the form attached hereto as **Attachment 5** (Workforce Employment Utilization Report): 1) the total number of employees performing work on the State contract, and 2) the Contractor's and all subcontractor's work force on the State contract broken down by specified ethnic background, gender, and Federal occupational categories or other appropriate categories specified by NYSERDA; or

(c) In the circumstances where the workforce cannot be separated out from the Contractor's and/or subcontractor's total workforce, the Contractor shall submit to NYSERDA information related to the Contractor's total workforce data broken down by ethnic background, gender and Federal occupational categories on a semi-annual basis, or other appropriate categories specified by NYSERDA. The Contractor's failure to follow the applicable reporting requirements or failure to comply with the stated participation goals in the previous Section set forth above may result in NYSERDA's submission of a complaint to the NYS Empire State Development's Division of Minority and Women Business Development (the "Division") in accordance with the Article 15-A Disqualification and Dispute Resolution Procedures set forth herein.

6. Waiver of participation goal requirements. In accordance with the Regulations § 142.7(c), Contractor may submit, at any time prior to its request for final payment, a request to NYSERDA for partial or total waiver of the M/WBE participation goals set forth above. Upon Contractor's submission of a waiver form, NYSERDA may grant a partial or total waiver of the requirements of the participation goals established hereunder. Prior to granting or denying a waiver, NYSERDA shall evaluate the Contractor's "good faith efforts" and may consider the factors set forth in the Regulations §142.8. If NYSERDA, upon review of the M/WBE Utilization Plan and updated Quarterly M/WBE Contractor Compliance Reports determines that Contractor is failing or refusing to comply with the Contract goals and no waiver has been issued in regards to such non-compliance, NYSERDA may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of M/WBE Contract Goals. In the event NYSERDA refuses to grant Contractor a waiver, Contractor may file a complaint with the Division in accordance with the Article 15-A Disqualification and Dispute Resolution Procedures set forth herein. A waiver form is provided in **Attachment 6**.

7. Article 15-A Compliance Monitoring. NYSERDA is responsible for monitoring Contractor's compliance with the applicable regulations. In that regard, NYSERDA may, at its discretion, notify the Contractor in writing of NYSERDA's intent to inspect relevant records and documents related to Article 15-A compliance. NYSERDA shall analyze and consider such records, documents and other data to determine whether the Contractor has made conscientious and active efforts to employ and utilize minority group members and women on the State contract.

8. Article Disqualification and Dispute Resolution Procedures. NYSERDA and Contractor hereby agree to be subject to and bound by the disqualification and dispute resolution procedures contained in Article 15-A of the Executive Law (including, without limitation, Sections 312(5), 313(8), 313(9) and 316), and in relevant sections of the Regulations (including, without limitation, Sections 142.12 and 143.6), as and where applicable.

9. Penalties. In accordance with the Regulations §142.13, Contractor hereby agrees that its willful and intentional failure to comply with the M/WBE requirements of Article 15-A as set forth in this Agreement shall create liability to NYSERDA for damages in an amount equal to NYSERDA's actual cost related to its expenses for personnel, supplies and overhead related to establishing, monitoring and reviewing certified minority- and women-owned business enterprise programmatic goals and Affirmative Action and Equal Opportunity compliance.

ATTACHMENT 1: M/WBE and EEO STATEMENT

M/WBE AND EEO POLICY STATEMENT

I, _____, the (awardee/contractor) _____ agree to adopt the following policies with respect to the project being developed or services rendered at

M/WBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.

Request a list of State-certified M/WBEs from AGENCY and solicit bids from them directly.

Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.

Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.

Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.

Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, ; will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination; and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on state contracts.

(b) This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status, .

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status, ; and that such union or representative will affirmatively cooperate in the implementation of this organization's obligations herein.

(d) Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law

with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract

Agreed to this _____ day of _____, 2024

By _____

Print: _____ Title: _____

ATTACHMENT 2: NYSERDA M/WBE UTILIZATION PLAN FORM

Contract No. _____

Date _____

I. PRIME CONTRACTOR INFORMATION

Company Name _____

Address _____

Telephone No. () _____ Federal ID # _____

Contract Award Amount \$ _____

Brief Description of Work _____

Prime Contractor M/WBE Status M/WBE Non-M/WBE

II. I, _____ HEREBY AGREE TO THE ___% MINORITY OWNED BUSINESS ENTERPRISE (MBE) GOAL AND THE ___% WOMEN OWNED BUSINESS ENTERPRISE (WBE) GOAL AS SET FOR IN THIS CONTRACT NO. _____. I FURTHER SUBMIT THE FOLLOWING NYS CERTIFIED M/WBES FOR YOUR REVIEW AND APPROVAL IN COMPLIANCE WITH THE GOAL REQUIREMENTS ESTABLISHED IN THIS CONTRACT.

Signature/Title of Authorized Representative

The Contractor shall undertake "good faith" efforts to actively solicit MBE/WBE participation in connection with its potential award of the NYSERDA contract.

III. MBE SUBMISSIONS

For each MBE, provide the company name, address, telephone number, contact person name, Federal ID number, estimated contract award date, contract award amount, estimated contract commencement date, and a BRIEF description of the contract scope of work.

IV. WBE SUBMISSIONS

For each WBE, provide the company name, address, telephone number, contact person name, Federal ID number, estimated contract award date, contract award amount, estimated contract commencement date, and a BRIEF description of the contract scope of work.

V. Provide the name, title, address and telephone of person(s) responsible for implementing this subcontracting plan.

VI. If the Contractor anticipates that it will not be able to meet the contract M/WBE participation levels, a written detailed explanation must be submitted with the bid or proposal.

I hereby declare that the above information is to the best of my ability and intention correct and that every effort will be made in the attainment of the established M/WBE goal.

Name _____ Title _____

ATTACHMENT 3: NYSERDA MINORITY/WOMEN BUSINESS ENTERPRISE (M/WBE) STAFFING PLAN FORM

Contract No. _____

Date _____

I. PRIME CONTRACTOR INFORMATION

Company Name _____

Address _____

Telephone No. () _____ Federal ID # _____

Contract Award Amount \$ _____

Brief Description of Work _____

II. I, _____ HEREBY SUBMIT THE FOLLOWING STAFFING PLAN.

Signature/Title of Authorized Representative

III. WORKFORCE DESCRIPTION

Provide a description of the work force to be utilized on the State contract, including the work force of any subcontractors, broken down by specified ethnic background, gender, and Federal occupational categories.

I hereby declare that the above information is to the best of my ability and intention correct.

Name _____ Title _____

ATTACHMENT 4: NYSERDA (M/WBE) COMPLIANCE REPORT FORM

Contract No. _____

Date _____

I. PRIME CONTRACTOR INFORMATION

Company Name _____

Address _____

Telephone No. (____) _____ Federal ID# _____

Brief Description of Work _____

II. AS EVIDENCE OF (_____) PROGRESS TOWARD ACHIEVEMENT OF THE NYSERDA MBE AND WBE GOALS, AND IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF CONTRACT NO., THE FOLLOWING INFORMATION IS HEREWITH SUBMITTED.

Signature/Title of Authorized Representative

III. SUBMITTAL ITEMS

- i. Provide the names, addresses and telephone numbers of each M/WBE you are actually using in compliance with your M/WBE goal.
- ii. Provide a brief description of work performed by the M/WBE, their scheduled dates for performance and current working status.
- iii. Provide a copy of your written agreement with the M/WBE. (A one-time request.)
- iv. In the event you have let a blanket purchase order or other open-ended contracts, only specify that amount actually awarded.
- v. Provide the actual amounts of payments made to any M/WBES as of the date the work force utilization report is submitted. Documentation must include copies of cancelled checks.
- vi. Provide the name, title and telephone number of person(s) responsible for submitting work force utilization reports.
- vii. Compliance Reports are due on the first day of the first month of each quarter, beginning three months after contract award date.

ATTACHMENT 5: NYSERDA WORKFORCE UTILIZATION REPORT FORM

Contract No. _____

Date _____

I. PRIME CONTRACTOR INFORMATION

Company Name _____

Address _____

Telephone No. (____) _____ Federal ID# _____

Brief Description of Work _____

II. AS EVIDENCE OF (_____) PROGRESS TOWARD ACHIEVEMENT OF THE NYSERDA MBE AND WBE GOALS, AND IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF CONTRACT NO. _____, THE FOLLOWING INFORMATION IS HEREWITH SUBMITTED.

Signature/Title of Authorized Representative

III. SUBMITTAL ITEMS

- i. If the work force of the contractor and/or subcontractors has changed since the last work force utilization report, provide 1) the total number of employees performing work on the State contract; and 2) the contractor's and all subcontractor's work force on the State contract broken down by specified ethnic background, gender, and Federal occupational categories.

If the contractor's and/or subcontractor's work force has not changed since the last work force utilization report, check here:

- ii. Work Force Utilization Reports are due on the first day of the first month of each quarter, beginning three months after contract award date.

IV. ALTERNATIVE SUBMITTAL ITEMS

In the event that the Contractor cannot separate the workforce to be utilized in the performance of the NYSERDA contract from its total workforce, the Contractor shall submit, on a semi-annual basis:

- (i) The total workforce of the Contractor described categorically by: specified ethnic background, gender and the Federal occupational data.
- (ii) The Contractor acknowledges that the overall goal of an equal employment opportunity program involves the implementation of procedures and methods for the identification, recruitment and employment of minority group members and women.

ATTACHMENT 6: NYSERDA M/WBE REQUEST FOR WAIVER FORM

Contract No. _____

Date _____

I. PRIME CONTRACTOR INFORMATION

Company Name _____

Address _____

Telephone No. () _____

Federal ID # _____

Brief Description of Work:

- II. I, (_____) HEREBY REQUEST A PARTIAL OR TOTAL (Circle One) WAIVER OF MY MBE AND/OR WBE GOALS AS ESTABLISHED IN CONTRACT NO. _____ I AGREED TO ATTAIN 15% MBE PARTICIPATION AND 15% WBE PARTICIPATION OF THE TOTAL CONTRACT PRICE. TO SUBSTANTIATE AND DEMONSTRATE MY GOOD FAITH EFFORTS, THE FOLLOWING INFORMATION IS SUBMITTED FOR THE AUTHORITY'S REVIEW AND APPROVAL.

Signature/Title of Authorized Representative

III. SUBMITTAL ITEMS

1. Provide a statement setting forth your basis for requesting a partial or total waiver.
2. Provide all names of general circulation, trade association and M/WBE-oriented publications in which you solicited M/WBEs for the purposes of complying with your participation levels.
3. List all dates solicitations for M/WBE participation were published in any of the above publications.

4. List all M/WBEs appearing in the NYS Directory of certified vendors which were solicited for purposes of complying with your M/WBE participation levels.
5. Provide proof of all dates on which solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitations if an identical solicitation was made to all M/WBEs.
6. Provide copies of responses made by M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans or specifications made available to M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Contractor, and M/WBEs undertaken for purposes of complying with your M/WBE participation levels.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address and telephone number of contractor's representative authorized to discuss and negotiate this waiver request.
11. Have you explored or identified any other area where your company can implement an effective equal employment opportunity program to expand the employment opportunities of minority group members and women? If so, please provide the data supporting such efforts and the results.

Article 17-B (SDVOB) Provisions (non-construction)

Attachment 7

New York State Law

Pursuant to 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.

Contract Participation Goals by SDVOBs on NYSERDA procurements

In accordance with Article 17-B of the N.Y. Executive Law (“Article 17-B”) and its associated regulations, NYSERDA has established certain contract participation goals for certified SDVOBs. NYSERDA's participation goals for contracts awarded pursuant to this solicitation are 6% for SDVOBs. This is in addition to required MWBE participation goals which are discussed in Attachments 1-6. The SDVOB participation goal is subject to the requirements of Article 17-B, and its implementing regulations as set forth in Title 9, Subtitle G Part 252 of the New York Codes, Rules and Regulations (the “Regulations”).

By submitting a proposal, the Proposer represents that it has reviewed and familiarized itself with the Regulations (see <http://ogs.ny.gov/About/Regs/docs/part252.pdf>) which are incorporated herein by this reference. Any conflicts between the solicitation and the Regulations shall be resolved in favor of the Regulations. Each proposer shall, in accordance with the Regulations, make good faith efforts and, in a manner that can be established in documentary form, solicit active participation by certified SDVOBs, as identified in the applicable state directory maintained by OGS.

(see http://ogs.ny.gov/core/docs/CertifiedNYS_SDVOB.pdf)

Additionally, proposers are encouraged to contact the Division of Service-Disabled Veterans’ Business Development at 844-579-7570 or VeteransDevelopment@ogs.ny.gov to discuss additional methods of maximizing SDVOBs on the contract.

Utilization Plan

NYSERDA requires every proposer to undertake good faith efforts to actively solicit SDVOB participation in connection with the potential award of a NYSERDA contract. An SDVOB Utilization Plan (see Attachment 2) must be submitted with every proposal.

Compliance Reporting

Contract compliance reports are required to be submitted for all contracts that require a Utilization Plan. See Attachment 3.

Waiver Requests

A proposer may request a total or partial waiver of the requirements of the SDVOB participation goal (see Attachment 4). Prior to granting or denying a waiver, NYSERDA will evaluate the proposer's good faith efforts and may consider the factors set forth in the Regulations. In the event NYSERDA refuses to grant a waiver, the proposer may file a complaint with NYSERDA in accordance with the Regulations.

Contractor Disqualification

If NYSERDA determines, after having given notice of deficiency, that a contractor has failed to submit an acceptable Utilization Plan or satisfactorily document its good faith efforts, NYSERDA may proceed with the next ranked bidder if NYSERDA has not received a request for a review of such finding from the contractor. NYSERDA shall conduct such review providing the contractor with an opportunity to be heard and make a determination that confirms the contractor is disqualified or reaffirms that the contractor is qualified. Such determination shall constitute a final agency determination.

Contractor and NYSERDA Complaints

Subsequent to the award of a contract to a contractor that becomes deficient with regard to its Utilization Plan, the contractor may file a complaint with NYSERDA. The complaint should state the reasons for the complaint, together with a demand for relief and include the following information: (1) the contractor's receipt of a written determination by NYSERDA that the contractor is not entitled to a partial or full waiver of the SDVOB goals; or (2) the contractor's receipt of a written determination by NYSERDA that the contractor has not acted in good faith, has failed, is failing, or is refusing to comply with goals. NYSERDA shall provide the contractor with an opportunity to be heard and shall conduct a review and shall render a determination regarding the merits of the complaint. Within 20 days of NYSERDA's determination that the contractor has not acted in good faith, has failed, is failing, or is refusing to comply with the SDVOB goals, NYSERDA may after giving the contractor an opportunity to be heard, make a determination that the contractor has failed to meet the contract goals and assess such other damages as were identified in the contract.

Article 17-B (SDVOB) Provisions for Solicitation Documents (non-construction)

Attachment 8

SDVOB Utilization Plan Form

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at: http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf

Proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality

and functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law.

Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild New York State's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its SDVOB partners. SDVOBs will promote the contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders/proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayers.

Solicitation/Contract No. _____

Date _____

I. PRIME CONTRACTOR INFORMATION

Company Name _____

Address _____

Telephone No. () _____ Federal ID # _____

Proposal/Contract Amount \$ _____

Brief Description of Work _____

Prime Contractor SDVOB Status SDVOB Non-SDVOB

II. I, _____ HEREBY AGREE TO THE 6 % CERTIFIED SERVICE-DISABLED VETERAN-OWNED BUSINESS ENTERPRISE (SDVOB) GOAL AS SET FOR IN THIS SOLICITATION/CONTRACT. I FURTHER SUBMIT THE BELOW NYS CERTIFIED SDVOBs FOR YOUR REVIEW AND APPROVAL IN COMPLIANCE WITH THE GOAL REQUIREMENTS ESTABLISHED IN THIS SOLICITATION/CONTRACT.

NYS Certified SDVOBs

Name: _____

Name: _____

Address: _____

Address: _____

Phone: _____

Phone: _____

Contact Person: _____

Contact Person: _____

Estimated Contract Award Date: _____

Estimated Contract Award Date: _____

Estimated Contract Commencement Date:

Estimated Contract Commencement Date:

Brief Description of the Scope of Work:

Brief Description of the Scope of Work:

Name: _____

Name: _____

Address: _____

Address: _____

Phone: _____

Phone: _____

Contact Person: _____

Contact Person: _____

Estimated Contract Award Date: _____

Estimated Contract Award Date: _____

Estimated Contract Commencement Date:

Estimated Contract Commencement Date:

Brief Description of the Scope of Work:

Brief Description of the Scope of Work:

The Contractor shall undertake "good faith" efforts to actively solicit SDVOB participation in connection with its potential award of the NYSERDA contract.

III. Provide the name, title, address and telephone of person(s) responsible for implementing this subcontracting plan.

IV. If the Contractor anticipates that it will not be able to meet the contract SDVOB participation levels, a waiver request must be submitted with the proposal (see Attachment 10).

I hereby declare that the above information is to the best of my ability and intention correct and that every effort will be made in the attainment of the established SDVOB goal. I further declare that the utilization of SDVOBs for non-commercially useful functions may not be counted towards utilization of SDVOBs in the utilization plan.

Signature: _____

Name: _____

Title: _____

Article 17-B (SDVOB) Provisions for Solicitation Documents (non-construction)

**Attachment 9
SDVOB Compliance Report Form**

Contract No. _____

Date _____

I. PRIME CONTRACTOR INFORMATION

Company Name _____

Address _____

Telephone No. () _____ Federal ID # _____

Contract Award Amount \$ _____

Brief Description of Work _____

Prime Contractor SDVOB Status SDVOB Non-SDVOB

II. AS EVIDENCE OF CONTRACTOR'S PROGRESS TOWARD THE ACHIEVEMENT OF THE NYSERDA SDVOB GOALS, AND IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF CONTRACT # _____, THE FOLLOWING INFORMATION IS SUBMITTED.

III. SUBMITTAL ITEMS

1. Provide the name, addresses and telephone number of each SDVOB you are actually using in compliance with your SDVOB goal.
2. Provide a brief description of the work being performed by the SDVOB, their scheduled dates for performance and current working status.
3. Provide a copy of your written agreement with the SDVOB (A one-time request)
4. In the event you have let a blanket purchase order or other open-ended contracts, only specify that amount actually awarded.
5. Provide the actual amounts of payments made to any SDVOB as of the date of the completion of the utilization report
6. Provide the name, title and telephone number of the person responsible for submitting the work force utilization reports.
7. Compliance Reports are due on the first day of the first month of each quarter, beginning three months after contract award date.

IV. WAIVER REQUESTS

If you are unable to meet the SDVOB goal established in your contract, contact NYSERDA for information on how to apply for a partial or total waiver request of the SDVOB goal in your contract.

Signature: _____

Name: _____

Title: _____

Article 17-B (SDVOB) Provisions for Solicitation Documents (non-construction)
Attachment 10
SDVOB WAIVER FORM

Solicitation or Contract No.: _____ Date: _____

1. PRIME CONTRACTOR INFORMATION

Company Name: _____

Address: _____

Telephone No.: _____

Federal ID #: _____

Brief Description of Work:

2. I hereby request a **Partial** or **Total** (circle one) waiver of the certified SDVOB goals as established in the solicitation or contract identified above. To substantiate and demonstrate my good faith efforts the following information is submitted for the Authority's review and approval.

Signature of Authorized Representative

Print name and title Authorized Representative

1. Provide a statement setting forth the basis for requesting a partial or total wavier of the certified SDVOB goal established in the solicitation:
2. List the certified SDVOBs that were solicited in writing to provide bids for purposes of complying with the SDVOB goal requirements of the solicitation.
3. Provide proof of dates on which such solicitations were made in writing and copies of said solicitations as well as copies of responses you received.
4. Provide a description of any contract documents, plans or specifications that were made available to certified SDVOBs for purposes of soliciting their bids.
5. Provide the dates and manner in which the above documents were made available.
6. Provide information describing the specific steps undertaken to reasonably structure the contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs
7. Attach any documentation you have of negotiations between the contractor and the certified SDVOB undertaken for purposes of complying with the goal requirements in the solicitation.
8. Provide any other information you deem relevant which may help us in evaluating your request for a wavier.
9. Provide the name, title, address and telephone number contractor's representative authorized to discuss and negotiate this waiver request.

Waiver request is: Granted Denied

By: _____ Date: _____

NYSERDA may grant a partial or total waiver of the goal requirements established in the solicitation/contract upon the submission of a waiver form by a contractor documenting good faith efforts by the contractor to meet the goal requirements, and in consideration of the following factors:

1. The number and types of certified SDVOBS available to perform the work
2. The total dollar value of the contract and the scope of work to be performed
3. The project size and project term
4. The availability of other business enterprises located in the region qualified to do the work
5. The ability of certified SDVOBS located outside the region to perform the work
6. The extent to which the contractor's own actions contributed to its inability to meet the goal

In addition to the information provided by the contractor on this form, NYSERDA may also consider the following to determine whether the contractor has demonstrated good faith efforts:

1. Where applicable, whether the contractor submitted an amended utilization plan consistent with the subcontractor or supplier opportunities in the contract
2. The number of certified SDVOBS in the region that could, in the judgment of NYSERDA, perform work required by the contract
3. The actions taken by the contractor to contact and assess the ability of certified SDVOBS located outside of the region in which the contract is to be performed to participate on the contract
4. Whether the contractor provided relevant plans, specifications or terms and conditions to certified SDVOBS sufficiently in advance to enable them to prepare an informed response to a contractor request for participation as a subcontractor or supplier
5. The terms and conditions of any subcontractor or provision of suppliers offered to certified SDVOBS and a comparison of such terms and conditions of those offered in the ordinary course of the contractor's business
6. Whether the contractor offered to make up any inability to comply with the certified SDVOB goals in the subject contract in other state contracts being performed or awarded to the contractor
7. The extent to which the contractor's actions contributed to its inability to meet the goals
8. Whether the contractor knowingly utilized one or more certified SDVOBS, in the performance of the contract, that contractor knew or reasonably should have known could not perform a commercially useful function
9. Whether the contractor submitted compliance reports which identified certified SDVOBS that the contractor knew or reasonably should have known did not perform a commercially useful function on a State contract on which goals were assigned
10. Any other information that is relevant or appropriate to determining whether the contractor has demonstrated a good faith effort.

Clean Energy Communities Program

Program Opportunity Notice PON 3298

Summary of Revisions

November 2023

- Made \$25M in funding available.
- Certain High Impact Actions (HIAs) (Unified Solar Permit, County Hosted Trainings – Battery Energy Storage for First Responders, Benchmarking – Municipal Buildings, and Opt-Out CDG) have been removed from the program.
- Municipalities where the receiving elected official is unable to accept incoming funds are now eligible to propose with an agency or department as the lead with a letter of support from the Mayor's Office.
- Several new HIAs have been added including additive achievement tiers for both existing and new actions.
- There are expanded grant opportunities for municipalities. Municipalities can now earn grants when achieving 1,000, 3,000, 5,000, 7,000, and 9,000 point thresholds. Grants will no longer be offered for municipalities that achieve 4,000 points.
- Municipalities that were notified of grant eligibility, but not yet awarded a grant, will submit using Leadership Round rules and procedures after the release of CEC Round 3.0.
- Municipalities that have already been awarded a grant in the Leadership Round are not eligible to receive a CEC Round 3.0 grant at the same threshold level.
- Municipalities who enter 3.0 with 1,000 points to 2,900 points are eligible to earn the 1,000 Designation grant upon being approved for one (1) more HIA.
- Municipalities that enter 3.0 with 5,000 or more points and did not receive a 5,000 Points-Based grant in the Leadership Round are eligible for CEC Round 3.0's 5,000 Designation Grant upon being approved for one (1) more HIA.
- Municipalities that enter CEC Round 3.0 with 7,000 or more points are eligible to earn the 7,000 Designation grant upon being approved for one (1) more HIA.
- Grant funding for points-based grants has increased.
- DAC bonus grant caps are removed. The DAC bonus grant has changed from \$10,000 per grant to up to an additional 50% bonus funding per project implemented in a DAC census tract.
- DAC bonus grants can now be earned for grants over \$5,000 as opposed to \$20,000 and over.
- Grant projects for Non-Road Vehicles and Flexible Technical Assistance have been added to the pre-approved project types.
- A streamlined grant participation path has been added to the program for grants less than \$30,000.
- Grant extension requests will no longer be offered, wherein in the Leadership Round, one extension was offered. Grant applications that are rejected will have one opportunity to resubmit another application within 60 days. In the Leadership Round there was no timing restriction on rejected applications
- The scoring criteria for Custom Grant Projects has been changed to evaluate whether the proposed grant project is expected to achieve at least one ton of greenhouse gas savings per \$10,000 spent on the project.
- Communities that complete, or have completed, the HIA for Advanced Benchmarking are eligible for a Clean Energy Communities Energy Study at no cost to the municipality by

submitting associated documentation.

New York State Energy Research and Development Authority (NYSERDA)

Clean Energy Communities

Version 3.0

Guidance Document

Program Opportunity Notice (PON) 3298

\$25,000,000 Available

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



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Introduction

Launched in August 2016, NYSERDA's Clean Energy Communities (CEC) program is for municipal officials and staff who want their municipalities to benefit from the new clean energy economy but struggle with tight budgets and limited staff. Municipalities can participate in Clean Energy Communities Round 3.0 to continue to move New York State towards a clean energy and sustainable economy.

By providing grants, coordinator support, and clear guidance for implementing a range of high-impact clean energy actions, NYSERDA is helping municipalities save money, grow the local economy, and improve the environment.

The program will continue to offer free technical assistance through regionally based Clean Energy Communities Coordinators. These Coordinators can help municipalities identify High Impact Actions (HIA) items that meet the needs of the local community as well as access grants to provide funding for clean energy projects and initiatives.

Key advantages to participating in the Clean Energy Communities program include:

- 1) **Free coordinator support**
- 2) **Clear pathways for implementing high priority actions**
- 3) **Flexible grant funding with no local cost share**
- 4) **Recognition for your municipality's leadership**

Acceptance of applications for PON 3298

Applications are accepted on a rolling basis until 3:00 p.m. Eastern Time on December 31, 2025, until funds are exhausted, or until the solicitation is revised or closed by NYSERDA, whichever comes first.

Eligible Applicants

Municipalities (county, city, town, or village governments) in New York State are eligible to apply for funds. Applicants are defined as Municipalities applying for a CEC grant. Communities whose mayor, supervisor or other authorized elected official's office prefers not to or is unable to receive NYSERDA funding directly may propose in via a municipal subdivision with a letter of support from the elected official's office or, in the case of New York City, the Department of Citywide Administrative Services from a deputy assistant commissioner or above.

Program Updates

Program details and requirements may change from time to time to maximize program impact. Any changes to this solicitation will be posted on the Clean Energy Communities website at www.nysesda.ny.gov/cec

Questions

Program questions may be directed to Chris Reohr at 1-866-NYSERDA, ext. 3363, or cec@nysesda.ny.gov.

Contractual questions may be directed to Lori Armstrong at 1-866-NYSERDA, ext. 3142.

How to Participate

Step 1. Connect with a Clean Energy Communities Coordinator

Clean Energy Communities (CEC) Coordinators are based in each region of the state to help municipal staff navigate the program. Regions are defined as Regional Economic Development Council (REDC) regions. To access this support, please send an email to CEC@NYSERDA.NY.GOV or visit [HTTPS://WWW.NYSERDA.NY.GOV/ALL-PROGRAMS/CLEAN-ENERGY-COMMUNITIES/FIND-A-COORDINATOR](https://www.nyserdanyc.com/all-programs/clean-energy-communities/find-a-coordinator) to identify your local coordinator.

Step 2. Complete High-Impact Actions

High-Impact Actions are steps municipalities can take to save energy and improve the environment. The municipality completes the action by complying with a specific set of requirements. High Impact Action checklists and templates are available at [HTTPS://WWW.NYSERDA.NY.GOV/ALL-PROGRAMS/CLEAN-ENERGY-COMMUNITIES/HOW-IT-WORKS/TOOLKITS](https://www.nyserdanyc.com/all-programs/clean-energy-communities/how-it-works/toolkits) to help municipalities complete the necessary requirements for High Impact Action submittals.

Step 3. Submit High-Impact Actions

To earn credit for completing high-impact actions, please visit

[HTTPS://PORTAL.NYSERDA.NY.GOV/CEC HIGHIMPACT ACTION ITEM DOCUMENT PAGE?](https://portal.nyserdanyc.com/cec-highimpact-action-item-document-page?)

Documentation must meet the specific requirements detailed in this guidance document and in the relevant tool kit. NYSERDA will review the submitted documentation and provide notification that it has been approved or if it is incomplete and needs to be resubmitted. Municipalities are encouraged to submit documentation as each high-impact action is completed. Municipalities are strongly encouraged to work with their CEC Coordinators prior to submitting documentation. Unless otherwise stated, the point values identified for each HIA are only available to Municipalities that have submitted after December 13, 2023. All submittals are subject to NYSERDA review and approval.

Step 4. Earn a Clean Energy Grant

Municipalities may be eligible for either Action Grants or Designation Grants. Grants are available on a first-come-first-served basis until all grant awards are claimed or all funds are exhausted.

Action Grants

Action Grants are available for Community Campaigns. The requirements for the Action Grants may be found in the High Impact Actions section of this guidance document.

Designation Grants

Municipalities collect points by completing high-impact actions. Each high-impact action has a certain number of points assigned to it, as listed below in this document. Once a municipality collects enough points, they can move on to a different point threshold and designation level and earn more grant funding for higher point levels.

Through the program NYSERDA is offering different levels of designation as outlined in the tables below. Please note that the funding levels decrease after September 1, 2024 to reward communities taking actions sooner.

The following bullet points identify designation restrictions and requirements per the incentive table listed below:

- Municipalities that have earned points previous to December 13, 2023 will have their existing points carried over into the program following the release of this PON.
- If a municipality enters CEC Round 3.0 with points above a designation threshold and has already been awarded a grant for that threshold, they cannot earn a grant at that threshold again. This is applicable to all designation levels.
- Municipalities entering CEC Round 3.0 with 1,000 to 2,900 points are eligible for the 1-Star Designation grant upon completing one new High Impact Action after December 13, 2023.
- Municipalities that enter CEC Round 3.0 with more than 5,000 points and did not previously earn a corresponding 5,000-point incentive may earn grant funding at the current incentive levels in this PON upon completing one new High Impact Action after December 13, 2023.
- Municipalities entering CEC Round 3.0 with 7,000 points or more are eligible for the 4-Star Designation grant upon completing one new High Impact Action after December 13, 2023.
- Municipalities that were notified of grant eligibility under the terms of the Leadership Round PON but that have not yet been awarded a grant must submit an application for the grant amount identified in the notification email and are eligible for the Leadership Round's DAC bonus, even if the grant application is submitted after the release of this PON. Municipalities in this position must apply using the Leadership Round's Grant Application and procedures; please contact cec@nyserderda.ny.gov if you need a copy of the Leadership Round's Grant Application or terms.

How Can I Check My Community's Progress?

When NYSERDA approves a high-impact action, points are automatically added to the applicant's scorecard. Each community's point balance is available at [HTTPS://WWW.NYSERDA.NY.GOV/ALL-PROGRAMS/CLEAN-ENERGY-COMMUNITIES/TRACKING-PROGRESS/SCORECARD](https://www.nyserderda.ny.gov/all-programs/clean-energy-communities/tracking-progress/scorecard)

DESIGNATION GRANTS BEFORE 10/1/24:

To earn funding at these levels, the municipality must submit the required documentation for the action(s) that qualifies them for the designation grant by 9/30/24 at 11:59 PM EST. If the action(s) is rejected, municipalities will not be eligible for grant awards at this level.

Designation Level	Number of Points	Funding for Small Municipalities (Up to 39,999 population)	Funding for Large Municipalities (40,000 or greater population)
CEC Designation - must complete 4 high-impact actions	N/A	\$5,000	\$5,000
1-Star Designation ★	1,000	\$10,000	\$10,000
2-Star Designation ★★	3,000	\$50,000	\$125,000
3-Star Designation ★★★	5,000	\$100,000	\$200,000
4-Star Designation ★★★★	7,000	\$175,000	\$275,000
5-Star Designation ★★★★★	9,000	\$250,000	\$350,000

DESIGNATION GRANTS ON OR AFTER 10/1/2024:

Designation Level	Number of Points	Funding for Small Municipalities (Up to 39,999 population)	Funding for Large Municipalities (40,000 or greater population)
CEC Designation - Must complete 4 high-impact actions	N/A	\$5,000	\$5,000
1-Star Designation ★	1,000	\$10,000	\$10,000
2-Star Designation ★★	3,000	\$40,000	\$100,000
3-Star Designation ★★★	5,000	\$75,000	\$150,000
4-Star Designation ★★★★	7,000	\$125,000	\$200,000
5-Star Designation ★★★★★	9,000	\$200,000	\$300,000

The determination of small versus large community size is found in the above tables is based on 2010 Census data.

Step 5. Submit Grant Application

How to Access Grant Funding

Once a municipality completes all stated requirements for grant eligibility, NYSERDA will send an email to the community representative who submitted the action item documentation. This email will explain how to apply for the grant including the grant amount for which the municipality is eligible and the grant application due date; the applicant has three months from the date of this email to submit a grant application describing a proposed project. If the due date falls on a Saturday, Sunday, or legal holiday, the due date is moved to the next business day. Projects must be ready to commence within three months of award notification and should be completed within three years of contract execution. Clean Energy Communities grant funds must be used for new work. If the proposed work is completed prior to execution of the NYSERDA grant contract, it is not eligible. No local cost share is required for grant applications, although cost share could result in a higher score. It is NYSERDA's expectation that the municipality will work with its CEC Coordinator to identify mutually beneficial grant project options.

Grant applications are accepted through an online grant application portal at <https://www.nyserda.ny.gov/cec>. Municipalities must propose either a pre-approved project type or a custom project that meets the selection criteria below. If you are having any trouble or are unable to submit via the portal, please contact your local Clean Energy Communities Coordinator for assistance or email CEC@NYSERDA.NY.GOV for assistance.

All project components located within a Disadvantaged Community (DAC) may be eligible for additional CEC grant funding. See Step 6 (Identify Opportunities for Disadvantaged Community Assistance) for additional details. DAC refers to the definition established by the NYS Climate Justice Working Group which used 45 indicators to determine DAC eligibility and is available here: <https://climate.ny.gov/resources/disadvantaged-communities-criteria/>

If a proposal is not approved, the applicant has one opportunity to revise and resubmit its rejected application within two months of rejection. Application extension requests are not available and will not be granted under this PON, as NYSERDA seeks to deploy funding in a timely manner. NYSERDA reserves the right to adjust funding levels and eligibility criteria as necessary to ensure the success of the program.

All grant-eligible municipalities must complete a CEC grant application workbook, located on the [CEC 3.0 webpage](#). There are three pathways to grant funding depending on the dollar amount of the award:

1. **For grants of \$5,000**, the applicant must describe the clean energy project in a paragraph format within the grant application workbook, and, if approved, the award will be paid in full directly without a contract.
2. **For grants of \$7,500 - \$30,000 (including DAC bonus funding, if applicable)**, the applicant must apply through pre-approved or custom project processes in the grant application workbook. Once approved, pre-approved projects will be paid in full directly without a contract with the exception of custom projects or building energy efficiency projects requesting a CEC Energy Study. Custom projects and building energy efficiency projects requesting CEC Energy Studies will require a contract with NYSERDA.
3. **For grants greater than \$30,000 (including additional DAC bonuses, if applicable)**, the applicant must propose either a pre-approved project type or a custom project in the grant application workbook that meets the selection criteria below. These projects will require a contract with NYSERDA.

Pre-Approved Projects

Municipalities proposing pre-approved project types must comply with the performance requirements included in the Statement of Work included within Sample Agreement (Attachment B) template provided with this PON. This template includes performance requirements for pre-approved project types including, but not limited to, conversion of streetlights to LED, installation of solar, purchase of electric vehicles, installation of electric vehicle charging stations, purchase of electric landscaping equipment, NYPA Clean Energy Solutions projects, and implementation of eligible building upgrades recommended in a Clean Energy Communities Energy Study or ASHRAE Level II or III Energy Audit completed no more than five years prior to application.

Custom Projects and Evaluation Criteria for Custom Projects

Applications for custom projects will be evaluated based on the following criteria, with a total number of possible points allocated to each. Municipalities that propose a custom project must earn a minimum threshold of the selection criteria points to be considered eligible. If a custom project proposal includes a pre-approved project element, the application

must identify exceptional factors which adversely affect the applicant's ability to apply for these elements as pre-approved project types. If the custom project is better suited for a pre-approved project type, NYSERDA reserves the right to shift the project to that application path. If the proposed project is located in a DAC area, the project is eligible for a DAC grant bonus of 50% of project grant funding.

The evaluation criteria below are listed in order of importance.

1. To what extent does the project/initiative have a positive direct impact on energy use and greenhouse gas emissions?
 - The total cost of the proposal achieves at least one ton of greenhouse gas savings annually per \$10,000 total dollars spent (1 MTCO_{2e} / \$10,000)
 - Does the proposal provide a clear estimate along with a brief description/methodology of annual energy savings and greenhouse gas emission reduction to support these estimates?
2. To what extent does the municipality present a thorough, sound, detailed approach for accomplishing the objectives of its proposal within a reasonable timeframe?
 - Is the project clearly and concisely defined?
 - Are project costs justified based on expected benefits?
 - Is the budget broken down by Task to match the Tasks established in the scope of work?
 - Is there an estimate of the timeframe for completing different phases of the project including the design phase and the construction/implementation phase?
 - Proposals seeking to offer rebates or mirror other existing utility, NYSERDA, or other NYS programs are not eligible.
3. To what extent will the project/initiative benefit [Disadvantaged Communities \(DAC\)](#), leverage public and private dollars, and/or generate economic development benefits (*i.e.*, temporary or permanent job creation and investment)?
 - Is the project located in a DAC (as defined in Step 6)?
 - Does the proposal include cost-sharing? If cost-sharing is included, is it documented?
 - Does the project provide direct economic development benefits including job creation or retention, savings, investment, or multiplier affects?
 - Approximately how many temporary or permanent jobs is the project likely to create?
4. To what extent will efforts be made to collaborate with other municipalities and to transfer knowledge to the broader region and state?
 - To what extent does the municipality provide specific tools and resources that other municipalities can use to facilitate collaboration or develop their own projects?
 - Is there a strategy in place to promote the project so that several other municipalities are made aware?
 - Will the municipality host an open house, presentation, website posting, or webinar to describe best practices and lessons learned from the project?

Application Requirements & Review Process

Applications will be scored and awarded on a rolling basis. No applicant or application is guaranteed funding. Applications will be reviewed as outlined below.

- The grant application and NYSEDA Portal for submitting the grant application are available at www.nyserda.ny.gov/cec.
- Attachments to PON 3298 include a spreadsheet-based Grant Application (Attachment A). The “Contract” tab of the Grant Application includes a draft Statement of Work (SOW) included within the Sample Agreement (Attachment B).
- For each funding award, the Grant Application and a letter of commitment on municipal letterhead and signed by the chief elected official of the applying jurisdiction must be uploaded to the NYSEDA Portal.
- NYSEDA may reach out to municipalities via email or telephone with specific follow-up questions after reviewing proposals. Should NYSEDA request additional information, NYSEDA will contact the applicant and identify the timeframe for this additional information.
- Applicants that propose a custom project must earn a minimum scoring threshold of available selection criteria points to receive an award. If a proposal is found to be incomplete or if it does not earn the minimum threshold, the applicant may reapply one time within two months of notification.
- Review meetings shall be held periodically on at least a quarterly basis, depending on the volume of applications.
- NYSEDA, in order to avoid double-funding projects or measures within projects, may adjust awarded funding amounts at any time based on new information regarding other project funding secured.
- NYSEDA reserves the right to adjust award amounts at its sole discretion.
- Municipalities proposing in for awards that require NYSEDA contracts (see p. 10 above) must agree, or provide written exceptions, to NYSEDA’s standard contracting Terms and Conditions, which can be found at www.nyserda.ny.gov/cec.
- All payments made in advance of work being completed are subject to recapture for non-compliance or non- performance.

Metrics Report

Measurement of benefits associated with Clean Energy Communities projects is required in all NYSEDA agreements. It is important to begin considering project benefits at the application stage. Once awarded, each successful applicant shall submit preliminary (design) and final (completion) quantified documentation of the benefits of the project, including greenhouse gas reductions and energy savings, determined and documented in Exhibit E of Attachment B, SOW, which can be found on the www.nyserda.ny.gov/cec webpage. Each successful applicant should design the project to achieve the benefits identified in these submissions. NYSEDA will use the Metrics Report to assess activities in the project, capture the extent of benefits delivered, and gauge performance of the project and of the CEC Program.

NYSEDA Verification

NYSEDA may independently verify completion of any high-impact action and grant project. NYSEDA may inspect or confirm the validity of the information provided or request additional information at any time. NYSEDA may also request applicable documentation including, but not limited to, photos of the funded project components.

Step 6. Additional Opportunities Available Through the CEC Program

Disadvantaged Community Opportunities

The Climate Leadership and Community Protection Act (Climate Act or Climate Law) requires State agencies, authorities, and entities to direct a minimum of 35%, with a goal of 40%, of the benefits of clean energy place-based spending to disadvantaged communities.

Designation or Action Grant awards greater than \$5,000 may be eligible for a grant bonus of up to 50% of the awarded grant amount for a clean energy project if located in a New York State Disadvantaged Community in the applying jurisdiction.

Grant applications will be assessed for the Disadvantaged Community Bonus based upon the definition that is in use at the time of application.

The DAC map can be found on the Climate Act website here: <https://climate.ny.gov/resources/climate-justice-working-group/>. A project location lookup tool is available at <https://climate.ny.gov/resources/disadvantaged-communities-criteria/>. Eligibility is subject to NYSERDA verification.

Clean Energy Communities (CEC) Energy Studies

What is a CEC Energy Study?

CEC Energy Studies are prepared by consultants working on NYSERDA's behalf, and include a comprehensive, fuel-neutral, unbiased evaluation of all potential cost effective low-cost/no-cost and capital improvement upgrades, as well as potential electrification measures using a standardized calculation methodology pre-approved by NYSERDA. The cost of the study(ies) are deducted from earned grant funding and then paid directly to the third-party vendor by NYSERDA.

Applicants proposing to implement building upgrades as a Pre-Approved Project type must complete a CEC Energy Study or ASHRAE Level II or III Study. Previously performed ASHRAE Level II and III studies obtained by municipalities can be used as a prerequisite for Pre-Approved Building types in the same way as NYSERDA-funded CEC Energy Studies. Municipalities that propose to implement building upgrades as a Pre-Approved Project type and have already completed an ASHRAE Level II or III or CEC Energy study must have completed the study no more than five years prior to application. Municipalities requesting a CEC Energy Study should be prepared to provide at least 12 months of energy bills for the intended building of study upon request. NYSERDA reserves the right to discontinue offering CEC Energy Studies if it is unable to meet the demand with existing contracted engineering services or if funding is no longer available.

Opportunities to receive a CEC Energy Study

- 1. Through grant funding** - For grant awards greater than \$5,000, municipalities may apply to use funds for one or more CEC Energy Studies. An amount equal to the cost of the CEC Energy Study(ies) will be deducted from the original grant award. This deduction is reflected in the Total Amount of Award listed at the top of the grant agreement with NYSERDA. If the cost of the study(ies) exceeds the award amount, the applicant may negotiate with the NYSERDA-assigned vendor to pay the difference directly.
- 2. Completion of Benchmarking – CEC Energy Study Qualification High Impact Action** - Municipalities that have completed the Benchmarking – CEC Energy Study Qualification Item are eligible for a CEC Energy Study

conducted on their choice of one benchmarked building identified in the submitted Benchmarking – CEC Energy Study Qualification High Impact Action. This study will be provided at no cost and will not be deducted from any earned grant funding, but will be available based on the completion of the Benchmarking – CEC Energy Study Qualification action.

Categories of High-Impact Actions

1. Buildings and Facilities Category

Benchmarking

300 to 1,800 points | Applicable to All Municipalities

Description

Benchmarking is a policy that a municipality adopts that requires the annual reporting of energy used in buildings. Municipalities may require the annual disclosure of energy used in municipal buildings or in large private buildings. Measuring and sharing data on building energy use will help identify opportunities to cut energy waste.

Municipalities must complete one or more of the following to earn credit.

Benchmarking - Advanced Reporting

300 Points

Submission requirements:

- Submit a certified copy of an executed local law, ordinance, or resolution (template legislation can be accessed in the Benchmarking toolkit at www.nyserda.ny.gov/cec) that requires the applying jurisdiction to make available to the public on an annual basis, energy use information for each municipal building that is owned or occupied by the applying jurisdiction and is 1,000 square feet or larger. At a minimum, publicly disclosed energy use information shall include each building's energy use intensity (EUI), annual greenhouse gas emissions, and an energy performance score where available. Date of completion is when the legislation was adopted. The legislation must require the following:
 - Create an ENERGY STAR Portfolio Manager Account
 - Gather basic information required by Portfolio Manager and set up property profile(s)
 - Obtain monthly, whole building energy use data for all fuel types including, but not limited to, electricity, natural gas, fuel oil, chilled water, steam, and diesel
 - Enter property uses and details into profile(s)
 - Enter energy use data for all fuel types
 - Generate and review the building's report in Portfolio Manager
 - Make available to the public on the internet or other publicly accessible format annual summary statistics for each covered property including Energy Use Intensity (EUI), annual greenhouse gas emissions, and an energy performance score where available
 - Submit a screenshot of a webpage on the applying jurisdiction's website where a benchmarking report is posted that includes no less than 24-months of energy use information as described above for municipal buildings. If the jurisdiction does not have a website, the jurisdiction must attest that the report is available upon request.
- Share your municipality's Portfolio Manager account with NYSERDA. Add "NYSERDAcec1" contact in your My Contacts. Share with "view all read only access" permissions to the NYSERDAcec1 contact for all buildings and meters in your Portfolio Manager account. Submit a screenshot on the Sharing Tab of your Portfolio Manager

account which shows an accepted share request with NYSERDAcec1, or comparable information, stating that NYSERDA has accepted the sharing request. Date of completion is when the sharing request was accepted.

Benchmarking – CEC Energy Study Qualification

No Points Awarded; Free Energy Study

Completing an energy study on your municipal building is the first step to building a solid plan for improving energy efficiency. Municipalities that complete this action will be eligible for a free CEC Energy Study for one municipal building. Prepared by consultants working on NYSERDA's behalf, the CEC Energy Study is a comprehensive, fuel-neutral, unbiased evaluation of all potential cost effective low-cost/no-cost and capital improvement upgrades, as well as potential electrification measures using a standardized calculation methodology pre-approved by NYSERDA. The cost of the study will be paid directly by NYSERDA to the third-party vendor. To complete this action, the applicant must have previously been approved for Benchmarking – Advanced Reporting. Connect with your regional CEC coordinator for assistance with the Share Forward process if necessary. Date of completion is when “Share Forward” abilities were provided to NYSERDA.

Submission requirements:

- Enable “Share Forward” abilities to NYSERDA (“NYSERDAcec1”) with all properties in Portfolio Manager and submit a screenshot from Portfolio Manager, or comparable information, stating that NYSERDA has been granted “Share Forward” abilities.
- Submit a screenshot of a webpage on the applying jurisdiction's website where a benchmarking report is posted that includes at least the two, **most recent full calendar years of data** (i.e., 2021 and 2022 if submitting in 2023). If the jurisdiction does not have a website, the jurisdiction must attest that the report is available upon request.
- Submit a completed CEC Energy Study Qualification Submission form (accessed in the Benchmarking toolkit at www.nyserda.ny.gov/cec).

Once the action is approved, NYSERDA will provide further instructions and connection with the auditor. Municipalities are encouraged to use their Municipal Building Scorecard to identify a building with the greatest opportunity for energy and cost savings, which would be an ideal candidate for the energy study. NYSERDA reserves the right to reject buildings nominated by the municipality for the CEC Energy Study.

Benchmarking - Large Private Buildings

1,500 Points (applicable to cities, towns, and villages over 40,000 population)

Submission requirements:

- Submit a copy of an executed local law or ordinance, (template legislation can be accessed in the Benchmarking Private Buildings toolkit at www.nyserda.ny.gov/cec) as described for Municipal Buildings above, but apply the requirements to the owners of commercial and multifamily buildings that are 25,000 square feet or larger. Date of completion is when the legislation was adopted.

Build Ready

100 to 800 points | Applicable to all Municipalities

Description

The Build-Ready Program advances large-scale renewable energy projects on underutilized land, such as brownfields, landfills, former industrial sites, parking lots, and abandoned or existing commercial and industrial sites.

Working with local partners and stakeholders, the Build-Ready Program takes difficult sites and makes them “build-ready” for private renewable energy developers to ultimately construct and operate. The Build-Ready Program carries out the project design, engineering, permitting, and electric grid interconnection activities as well as developing a project host community benefit package. Once a site has reached specific develop milestones, the Build-Ready Program runs a competitive request for proposal to award and transfer the project to a private developer for final design, financing, construction, ownership, and operation and to procure Tier 1 Renewable Energy Certificates (RECs) created through the production of renewable energy from the Build-Ready project.

Additional information regarding the Build-Ready Program can be accessed at <https://www.nyscrda.ny.gov/build-ready>.

These actions must have been completed after December 13, 2023 to earn credit.

Site Nomination

100 Points

Prior to submission, make sure the submission materials include:

- ❑ The municipality must submit proof that a site in their municipality was submitted through the Build Ready program (e.g., a PDF of the nomination form or screenshot). An elected official, local community member, private company, or other interested party nominates a potential Build-Ready site using NYSERDA’s [Large-Scale Renewables “Build-Ready” Site Nomination Form](#). Site eligibility requirements can be found [here](#). Date of completion is when the site was nominated through the online form.

Site Selection

700 Points

Submission requirements:

- ❑ Submit a copy of the signed Memorandum of Understanding (MOU) between the municipality and NYSERDA. The Build-Ready Team has developed a Memorandum of Understanding (“MOU”) to facilitate the study and potential development of a site prior to NYSERDA entering into a lease-option agreement or other formal agreement. The MOU is a non-binding preliminary document that provides for information-sharing and states that, if preliminary analysis indicates that a site is suitable for development under the Program, the parties will negotiate in good faith to enter into mutually agreeable site-control documents such as a lease-option agreement. Date of completion is when the MOU was executed.

Renewable Energy

300 – 4,600 Points | Applicable to all Municipalities

Description

A municipality's decision to subscribe to clean Community Distributed Generation (CDG), and/or host or own clean distributed energy resources, like solar, hydro, wind, or battery energy storage, highlights its role as a leader in addressing climate change and protecting the environment.

Municipalities can receive points in the CEC program by subscribing municipal accounts to clean CDG (e.g., community solar), and/or hosting or installing clean distributed energy resources on municipal property.

As the CEC program strives to guide municipalities towards decarbonization and recognize their efforts, municipalities can gain additional points as they complete new actions over time. Municipalities can choose to complete any or all of the actions below.

CDG Subscription

300 points

Municipalities may subscribe to one or more clean CDG projects to receive utility bill discounts, saving money for the municipality. In addition, by municipalities entering into agreements to purchase energy as an “anchor” off taker, they may make it easier to develop CDG projects that benefit residents as well. This action encourages municipalities to serve as that anchor to enable more New Yorkers to benefit from CDG. Date of completion is when the CDG project began generating electricity.

Submission requirements:

- Submit a bill from the utility or CDG host demonstrating an active municipal subscription to a CDG project.
- Submit a completed Renewable Energy Certification Form (accessed in the Renewable Energy toolkit at www.nyserda.ny.gov/cec) showing the municipal electric load that is subscribed to CDG, including signing the certification that the applying municipality has **NOT** already received points for municipal CDG subscriptions through the Clean Energy Upgrades action in a previous round of the Clean Energy Communities program.

Host Clean Energy Generation Installation on Municipal Property

400-1,500 points

Finding suitable sites is one of the main barriers to siting solar, wind, or hydro. By allowing third-party owners to install clean energy installations on municipal rooftops, parking lots, landfills, or other sites, municipalities can address one of the key barriers to the clean energy transition. Municipalities can then take advantage of the installations through Power Purchase Agreements and/or CDG subscriptions. In addition, this action allows municipalities to host clean CDG projects, which provide utility bill discounts to local residents including low-income households. Eligible technologies for this action include solar, wind and hydro. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement. This action is not applicable to installations that the municipality owns (see Clean Energy Generation Installation Owned by Municipality to earn credit for municipality-owned installations). Date of completion is when the clean energy installation(s) started producing electricity. Municipalities that host a clean energy installation that started producing electricity on or after January 26, 2021 will be eligible for this action.

Host Clean Energy Generation Installation on Municipal Property		
Tier Number	Total Project(s) Size	Points
Tier 1	5 kW - 49.9 kW DC	400
Tier 2	50 kW - 99.99 kW DC	+ 500 Additional Points
Tier 3	100 kW DC or more	+ 600 Additional Points

Submission requirements for any of the above:

- Submit a completed Renewable Energy Certification Form (accessed in the Renewable Energy toolkit at www.nyserda.ny.gov/cec) showing the location of the installation(s), the total size, and that the site(s) is currently producing electricity.
- Submit a copy of the hosting agreement or a screenshot of an incentive approval in the NY-SUN Program.

Clean Energy Generation Installation Owned by Municipality

600-2,100 points

With the recent passage of the Inflation Reduction Act, municipalities are now eligible for “Elective Pay,” which allows them to receive tax credits even though municipalities don’t pay federal income taxes, a positive change from prior tax rules. By owning a clean energy installation, municipalities may now receive all the financial benefits from the installation and can help more of the financial benefits stay local. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement. Date of completion is when the clean energy installation(s) started producing electricity. Municipalities that own a clean energy installation that started producing electricity on or after January 26, 2021 will be eligible for this action.

Own Clean Energy Generation Installation		
Tier Number	Total Project(s) Size	Points
Tier 1	5 kW - 49.9 kW DC	600
Tier 2	50 kW - 99.99 kW DC	+ 700 Additional Points
Tier 3	100 kW DC or more	+ 800 Additional Points

Submission requirements for any of the above:

- Submit a completed Renewable Energy Certification Form (accessed in the Renewable Energy toolkit at www.nyserda.ny.gov/cec) showing the location of the installation(s), municipal ownership of installations, the total size corresponding to the requested points in the table above, and that the installation is currently producing electricity.
- Submit the application number or a screenshot of an incentive approval in the NY-SUN Program. Or, if the project did not go through the NY-SUN Program, please submit an explanation on municipal letterhead for not applying to NY-SUN along with paid invoice and photographs of the completed project.

100% Renewable Electricity

700 points

A local government's decision to purchase renewable energy for its electricity needs highlights its role as a leader in addressing climate change and protecting the environment.

Submission requirements:

- Submit a completed 100% Renewable Electricity Certification Form (accessed in the 100% Renewable Electricity toolkit at www.nyserda.ny.gov/cec) or comparable information. Requested information includes the average annual load of all municipal electricity accounts and the percentage of the load that will be matched with New York renewable energy certificates (RECs) that are retired in a New York State Generation Attribute Tracking System (NYGATS). RECs generated by state-owned resources including New York Power Authority-owned facilities do not qualify. RECs must be produced in the same calendar year as the electricity consumption. To earn credit for this action, the electricity consumption must occur in 2021 and later.
- Date of completion for this action is defined as the date after January 26, 2021 when the renewable energy is delivered.

Clean Energy Upgrades and Municipal Building Demonstration

100 – 4,100 points | Applicable to all Municipalities

Description

As municipalities reduce their GHG emissions, conducting retrofits and upgrades to reduce GHG emissions in existing buildings is a critical step. Additionally, municipalities that go further and convert existing buildings or new municipal facilities to use heat pumps and/or to be zero emissions inspires the municipality to decarbonize. This action will give municipalities credit for converting and retrofitting a municipal building, installing energy efficient technology, and implementing energy efficiency operations strategies.

Each project component of the upgrades must have been substantially completed after August 1, 2016. Date of completion for these actions is the date the clean energy upgrades or net-zero demonstration achieved substantial completion, and/or the date that ground- and/or air-source heat pump systems become operational as the building’s primary heating and cooling systems, and/or the date that the pool heat pump became operational as the pool’s primary heating system.

Clean Energy Upgrades

500-1,000 points

For this category, municipalities must submit documentation that demonstrates a minimum percent reduction in emissions for all municipally owned or occupied buildings 1,000 square feet and larger. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement. Each project component of the upgrades must be substantially completed after August 1, 2016.

Clean Energy Upgrades			
Tier Number	% Reduction	Points	Prequalification
Tier 1	10% reduction	500	If you received points through a previous CEC PON for a 10% reduction, you are not eligible.
Tier 2	15% reduction (an additional 5% from the previous tier)	+ 200 Additional	Must have already received approval for the 10% reduction tier.
Tier 3	20% reduction (an additional 5% from the previous tier)	+ 300 Additional	Must have already received approval for the 10% and 15% reduction tiers.

Submission requirements for any of the above:

- Submit an ENERGY STAR® Portfolio Manager® benchmarking report including energy use information for each municipal building that is owned or occupied by the applying jurisdiction that is 1,000 square feet or larger. The report shall include each building’s energy use intensity (EUI) and annual greenhouse gas emissions. The report should cover at least 12 months of energy use of the portfolio from the year(s) prior to the commencement date of the upgrades as the baseline.
- Share read-only access to the applicant’s Portfolio Manager account with NYSERDA and submit an email from Portfolio Manager or screenshot of the Portfolio Manager Sharing Page, or comparable information, stating that NYSERDA has accepted the sharing request.

- ❑ Submit succinct and relevant documentation that demonstrates a minimum 10 percent reduction in greenhouse gas emissions against the baseline with projects that are substantially complete by the date of submission. The documentation may include 1) an ASHRAE Energy Audit, 2) an approved pre-and-post engineering study that identifies implemented Energy Conservation Measures, 3) an executed contract or agreement with an energy efficiency contractor, or 4) comparable information.
- ❑ Submit a complete Clean Energy Upgrades Certification Form, available in the Clean Energy Upgrades toolkit at www.nyserda.ny.gov/cec. Information required in the certification form includes, but is not limited to, specific equipment or infrastructure upgrades and estimated energy savings of implemented measures, as well as a certification that your municipality has completed the pre-qualifications as noted above.

Greenhouse gas emission reductions must be achieved by building energy efficiency improvements and cannot be achieved by the installation or subscriptions of renewable energy. Renewable energy projects including solar, community distributed generation (CDG), wind, hydro, or battery energy storage should be submitted under the Clean Energy Engagement action.

Municipal Building Demonstrations: Clean Heating and Cooling

700-1,700 points

Currently, fossil-fuel based thermal energy – primarily natural gas, propane and fuel oil – is the main energy source for space heating and domestic hot water in the residential and commercial sectors. It is responsible for about one-third of New York’s energy-related greenhouse gas emissions. Clean heating and cooling technologies such as ground- and air-source heat pumps provide environmental benefits, energy bill savings, increased comfort levels and health benefits compared to conventional heating and cooling technologies. Municipalities can lead by example by installing clean heat technology and play an important role in encouraging adoption of ground- and air-source heat pump systems. This action is designed to demonstrate the benefits of clean heating and cooling technologies.

Municipalities may earn credit for the Municipal Building Demonstrations: Clean Heating and Cooling 1,000-14,999 Square Feet action and the Municipal Building Demonstrations: Clean Heating and Cooling 15,000 Square Feet and Above action, if submitting for clean heating and cooling installations at separate buildings. However, municipalities may not earn credit for a clean heating and cooling installation that previously was approved through the Clean Heating and Cooling Demonstration action as part of the CEC Leadership Round. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement.

Municipal Building Demonstration: Clean Heating and Cooling		
Tier Number	Building Square Footage	Points
Tier 1	1,000-14,999 Square Feet	700
Tier 2	15,000 Square Feet and Above	1,000

Submission requirements for any of the above:

- ❑ Submit a completed Municipal Building Demonstration Certification Form (available in the Municipal Building Demonstration toolkit at www.nyserda.ny.gov/cec) confirming that at least one municipal building owned and operated by the applicant has been recently converted or built to use clean heating and cooling as its primary source (providing heating and cooling for 75% or greater of the building’s heating load). This includes signing the certification that the applicant is submitting for a clean heating and cooling installation at a building that did not already earn credit through the Clean Heating and Cooling Demonstration action as part of the CEC Leadership Round. Applicants may receive credit for clean heating and cooling actions if submitting for a clean heating and cooling installation at a municipal building that was not previously awarded credit. Eligible building(s) must:
 - Meet the square footage of the requested points amount in the table tier above
 - Be open to the public all year long.
 - Date of completion for this action is defined as the date that ground- and/or air-source heat pump systems become operational as the building’s primary heating and cooling systems. This date must be after August 1, 2016 to earn credit for this action.
- ❑ Submit at least one photograph of an educational kiosk, display, and/or materials intended to educate municipal staff and the public about beneficial electrification.

Municipal Building Demonstrations: Net Zero

500-1,300 points

As municipalities reduce their GHG emissions through various strategies, developing and retrofitting zero emissions buildings are a critical step to reducing overall GHG emissions. This type of project also inspires the municipality to decarbonize. This action will give municipalities credit for building or retrofitting a municipal building to be zero emissions through renewable energy technology installation, energy efficient technology installation, and implementation of energy efficiency operations strategies.

Please note that municipalities can also earn credit for the Municipal Building Demonstration: Net Zero action(s), the Municipal Building Demonstration: Clean Heating and Cooling action(s), Clean Energy Upgrades, and/or the Own Clean Energy Installation action(s), if all are applicable to a net zero building. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement.

Municipal Building Demonstration: Net Zero Building Size		
Tier Number	Building Square Footage	Points
Tier 1	1,000-14,999 Square Feet	500
Tier 2	15,000 Square Feet and Above	800

Submission requirements for any of the above:

- ❑ Submit a completed Municipal Building Demonstration Certification Form (see: Municipal Building Demonstration Toolkit) confirming that at least one municipal building owned and operated by the applying

jurisdiction has been recently converted to use clean heating and cooling as its primary source or built to be net zero emissions. Eligible building(s) must:

- Meet the square footage of the requested points amount in the table tier above
 - Be open to the public all year long.
 - Date of completion for this action is defined as the date that the building began operating as net zero. This date must be after August 1, 2016 to earn credit for this action.
- At least one photograph of the educational kiosk, display, and/or materials intended to educate municipal staff and the public about the benefits of a net zero building.

Municipal Building Demonstration: Pool Heat Pump

100 points

Converting a municipal pool to use a heat pump pool heater or building a new pool using a heat pump pool heater can be a strategy to reduce emissions and reduce costs.

Submission requirements:

- Submit a completed Municipal Building Demonstration Certification Form (see: Municipal Building Demonstration Toolkit) confirming that at least one municipal pool owned and operated by the applying jurisdiction has been recently converted to use a heat pump pool heater or a new pool has been built to use a heat pump pool heater. Date of completion for this action is defined as the date that the pool began being heated by a pool heat pump. This date must be after December 13, 2023 to earn credit for this action.
- At least one photograph of the installation and an educational kiosk, display, and/or materials intended to educate municipal staff and the public about beneficial electrification.

LED Streetlights

200 – 900 Points | Applicable to All Municipalities

Description

By replacing conventional streetlights, municipalities can reduce street light energy use by as much as 65 percent, generating cost savings and emission reductions. In addition, street light projects can contribute to creating a well-lit, safer, and more attractive municipality. LED streetlights last up to 100,000 hours and require much less maintenance than conventional streetlights. The opportunity to incorporate smart, connected technology such as dimming functions and parking management offers potential for additional energy savings benefits. Even those municipalities that do not own their own streetlights have options for converting streetlights in their jurisdiction to LED.

50% Conversion of Cobra Head Streetlights

700 points

Submission requirements:

- Submit a completed LED Street Light Certification Form (accessed in the LED Streetlights toolkit at www.nyserda.ny.gov/cec) or comparable information demonstrating a minimum of 50% of all municipal and utility-owned cobra-head-style streetlights have been converted to LED. This documentation should include the number of streetlights converted, including the proportion of converted cobra-head streetlights to total cobra-head streetlights. Date of completion is the date on which fifty (50) percent of the streetlights or, for those municipalities with less than 20 streetlights, 10 fixtures were converted to LED. A minimum of 10 fixtures per jurisdiction must be converted to LED to qualify.

50% Conversion of Decorative Streetlights

200 points

Submission requirements:

- Submit a completed LED Street Light Certification Form (accessed in the LED Streetlights toolkit at www.nyserda.ny.gov/cec) or comparable information demonstrating that a minimum of 50% of all municipal and utility-owned decorative-style streetlights have been converted to LED. This documentation should include the number of streetlights converted, including the proportion of converted decorative streetlights to total decorative streetlights. Date of completion is the date on which fifty (50) percent of the streetlights or, for those municipalities with less than 20 streetlights, 10 fixtures were converted to LED. A minimum of 10 fixtures per jurisdiction must be converted to LED to qualify.

Thermal Energy Networks

500-1,000 points | Applicable to All Municipalities

Description

A thermal energy network uses a network of pipes to connect multiple buildings together, often including a large anchor off-taker (e.g., college/university, hospital), and to thermal sources and sinks, such as geothermal, surface water, waste heat, and the air, to provide space heating cooling and domestic hot water. This technology is an effective way for municipalities to reduce greenhouse gas emissions.

Thermal Energy Network: Study

500 Points

Points will be awarded to municipalities for Thermal Energy Network feasibility studies funded through NYSERDA's FlexTech Program for which the municipality provided significant resources or facilitation of the study. Applications to FlexTech must be submitted after December 13, 2023 to be eligible for points. Date of completion is when the Thermal Energy Network Study was completed through NYSERDA's FlexTech program.

Submission requirements:

- Submit the Thermal Energy Network study completed through NYSERDA's FlexTech program.

AND

- Submit documentation that indicates the municipality contributed at least \$5,000 of funding to the study.

OR

- Submit a Thermal Energy Network Certification Form, (accessed in the Thermal Energy Network toolkit at www.nyserra.ny.gov/cec), showing a list of facilities/buildings included in the study along with their square footage and documenting at least 40 hours of staff time spent by activity to provide proof that the municipality supports the study.

Thermal Energy Network: RFP

500 Points

Issuing a Request for Proposal (RFP) is one of the first critical steps to developing a Thermal Energy Network. Date of completion is when the RFP is released. The RFP must be released after December 13, 2023 to earn credit for this action.

Submission requirements:

- Submit a publicly posted RFP that includes detailed information on the specific scope of the project. The project must be within the municipality applying for CEC credit. The RFP must include the following components:
 - A list of buildings to include in the Thermal Energy Network.
 - The RFP should be issued in a way that doesn't lock the municipality or its partners into a specific design, business model, or ownership structure.
 - The RFP must include design and/or construction. It may also include a study, but an RFP for a study alone is not eligible for this action. If a study is part of the RFP scope, the study must meet NYSERDA's FlexTech program requirements.

2. Community Engagement and Training Category

Community Campaigns

200 to 3,800 points | Action Grant Eligible | Applicable to all Municipalities

Description

Community-scale campaigns can be an effective way during project implementation to encourage adoption of new, innovative technologies to generate value and savings for consumers while advancing state and local clean energy goals. Campaigns are typically short-term, local efforts that bring together groups of potential customers through widespread outreach and education. Well-organized campaigns are a great way to be active and visible in the community. Campaigns will primarily be initiated and supported by the municipality however, they can also be supported by local volunteers and other parties.

Municipalities that have completed Community Campaigns for Tiers (previously referred to as Achievement Level) 2 or 3 in any of the categories below must submit projects, subscriptions, or purchases that have been completed after June 1, 2023. Municipalities that have previously received a Community Campaign Tier 1 award are not eligible for an additional Tier 1 award.

Municipalities may complete any of the following campaign types, but no more than one campaign per campaign type Tier, to earn credit for this action. While a single campaign may cover more than one technology, municipalities should submit documentation separately under each campaign type. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement.

NYSERDA strongly encourages partnerships with Regional Clean Energy Hubs on campaigns.

To earn credit for this action, each campaign must complete the following steps:

Step 1 – During the planning phase of the campaign, the applying jurisdiction must submit a completed NYSERDA Scoping Document. NYSERDA will then review the scoping document and provide notification by email if the campaign may proceed.

- Submit a completed Community Campaigns Scoping Document which is available in the Community Campaigns toolkit at www.nyserderda.ny.gov/cec.

Step 2 – Once the campaign is complete, the applying jurisdiction must submit the following:

- Submit documentation to demonstrate direct municipal participation in a campaign. Documentation should be dated and include the name of the applying jurisdiction, and may consist of one or more of the following: a press release, a flyer from an event hosted by the jurisdiction, a website screenshot, a local press article, a certified resolution, or comparable information. Date of completion is when the scoping document is submitted.
- Submit a completed Community Campaigns Certification Form which is available in the Community Campaigns toolkit at www.nyserderda.ny.gov/cec.
 - Customers/participants must reside within the boundaries of the applying jurisdiction.
 - Date of completion for this action is defined as the date on which NYSERDA approved the scoping document.

Community Campaign for Community Solar

200-1,000 points

Commonly referred to as Community Solar, Community Distributed Generation (CDG) is a renewable energy project that will typically offer guaranteed cost savings to subscribers. The municipality enters partnerships with regional CDG projects and promotes Community Solar subscriptions to its constituents. CDG projects may include solar, wind, or hydro facilities. For the purpose of this High Impact Action, the municipality itself may not be considered a customer, CDG subscription related to the applying jurisdiction's municipal electric accounts are not eligible to be counted. Community Solar providers must be listed on the NYS Power to Choose Distributed Energy Resources (DER) list at <http://documents.dps.ny.gov/PTC/der>.

Tier 1 – 200 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	25	\$15,000
Small/Medium (0-39,999)	10	\$5,000

Tier 2 – Additional 300 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	100 (125 total participants)	\$30,000
Small/Medium (0-39,999)	50 (60 total participants)	\$10,000

Tier 3 – Additional 500 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	250 (375 total participants)	\$60,000
Small/Medium (0-39,999)	100 (160 total participants)	\$20,000

Community Campaign for Electric Vehicles (EVs)

200-1,000 points

Electric vehicles can provide a substantial reduction of greenhouse gas emissions. The municipality along with partner organizations and volunteers initiate and develop partnerships with car dealerships, platform providers, and/or other EV industry partners to offer local residents and businesses a variety of makes and models of electric vehicles. The offer may be promoted through ride and drive events and other outreach efforts. Vehicles must be new and purchased to qualify. Municipalities can use the Electric Vehicle Registration Map to track electric vehicle registrations in their community <https://data.ny.gov/Transportation/Vehicle-Snowmobile-and-Boat-Registrations/w4pv-hbkt/explore>. For

the purposes of this High Impact Action, the municipality may not be counted as a customer; EVs purchased by the applying jurisdiction are not eligible to be counted. Municipalities interested in purchasing EVs should refer to Transportation HIAs.

Tier 1 – 200 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	10	\$15,000
Small/Medium (0-39,999)	5	\$5,000

Tier 2 – Additional 300 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	50 (60 total participants)	\$25,000
Small/Medium (0-39,999)	15 (20 total participants)	\$7,500

Tier 3 – Additional 500 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	100 (160 total participants)	\$40,000
Small/Medium (0-39,999)	50 (70 total participants)	\$15,000

Community Campaign for Clean Heating and Cooling

500-1,800 points

The aim of Clean Heating and Cooling is to efficiently use electrical energy to replace other forms of energy such as fossil fuels. The municipality along with partner organizations can help educate residents in the region. NYSERDA strongly encourages partnerships with Regional Clean Energy Hubs on Clean Heating and Cooling campaigns. The municipality can organize a structured campaign to encourage the adoption of clean heating and cooling technologies (e.g., ground- and air- source heat pump systems and heat pump water heaters) to heat and cool homes, businesses, and community institutions. Campaign project submittals must be clean heating or cooling technologies. For the purpose of this High Impact Action item, the municipality may not be considered a customer; installations in the applying jurisdiction’s municipal buildings are not eligible to be counted.

Tier 1 – 500 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	10	\$15,000
Small/Medium (0-39,999)	5	\$5,000

Tier 2 – Additional 600 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	20 (30 total participants)	\$30,000
Small/Medium (0-39,999)	10 (15 total participants)	\$10,000

Tier 3 – Additional 700 Points		
Municipality Size by Population	Required Number of Campaign Participants	Action Grant Amount
Large (40,000+)	30 (60 total participants)	\$60,000
Small/Medium (0-39,999)	15 (30 total participants)	\$20,000

County Hosted Trainings

300 to 1,200 points | Applicable only to County Governments

Description

County Governments are uniquely positioned to convene and support municipalities to advance local action on clean energy. The County Hosted Trainings high-impact action is designed to help municipalities understand how to manage responsible clean energy development in their communities.

Trainings must be hosted by the county in coordination with NYSERDA CEC Coordinators. The municipality must provide NYSERDA a minimum of four (4) weeks lead time prior to the requested training. For the training to qualify, municipal staff members, elected officials, or members of an official municipal board or committee representing at least 35 percent of the municipalities in the county must attend. Trainers will be provided by NYSERDA and may be available on a limited basis. Email cleanenergyhelp@nyserda.ny.gov to schedule trainings. The host county is responsible for logistics including coordinating with NYSERDA to schedule the training, publicizing, and promoting the training, and tracking attendance. Each county will have the opportunity to host each course once. If the attendance threshold is not met, the county may document their municipalities' attendance at a course hosted by another entity, including other counties. However, the county seeking credit for their municipalities' attendance is responsible for seeking out those alternate training opportunities, gathering documentation demonstrating attendance, compiling documentation, and submitting to NYSERDA. NYSERDA will not schedule a second session of the same course for the same county. Counties may choose to reschedule sessions by notifying NYSERDA at least three business days prior to the anticipated training sessions. If there are extenuating circumstances that prevent a scheduled course from occurring with fewer than three days' notice, NYSERDA, at its sole discretion, may allow the county to schedule a make-up session. Date of completion is the date the training(s) was held.

The host county representative must be involved as a partner in the presentation by providing an introduction explaining why the topic is necessary and important in the county and helping with Q&A. Trainings may be virtual or in-person. County governments may also coordinate with municipalities to determine whether continuing education credit for Planning Board and Zoning Board of Appeal may be available. Where indicated below, Building Safety Inspectors and Code Enforcement Officials are eligible for in-service credits from the NYS Department of State, Division of Building Standards and Codes.

County Hosted Training Type	Description	Points
Overview of Model Solar Energy Law	Provides an in-depth review of the customizable template zoning law contained in NYSERDA’s Solar Guidebook for Local Governments. Municipal board members, code enforcement officials, and staff are encouraged to attend.	300
Overview of Model Battery Energy Storage System Law	Provides an in-depth review of the customizable template zoning law contained in NYSERDA’s Battery Energy Storage System Guidebook for Local Governments. Municipal board members, code enforcement officials, and staff are encouraged to attend.	300
Clean Energy and Your Comprehensive Plan	Offers an introduction to best practices and strategies for incorporating clean energy goals and objectives into a new or updated municipal comprehensive plan. Municipal board members, planning staff, and comprehensive plan committee members are encouraged to attend.	300
Solar PV Permitting and Inspecting	Offers an in-depth review of permitting and inspecting solar energy systems in New York State from start to finish; topics covered include the NYS Unified Solar Permit and various components of the NYS Uniform Fire Prevention and Building Code. Code enforcement and building officials are encouraged to attend. (Approved for 2-hours of In-Service training credit.)	300

Submission requirements for any of the above:

- Submit a completed County Hosted Trainings Certification Form (accessed in the County Hosted Trainings toolkit at www.nyserda.ny.gov/cec) including a list with the name and date of the training, and attendee information – including name, title, email or phone number, and associated municipality – to demonstrate the requirements of this action have been met. A toolkit of resources is available at www.nyserda.ny.gov/cec.

Energy Code Enforcement Training

300 points | Applicable if the municipality enforces the Energy Code for private buildings

Description

The Energy Code is a minimum building standard for energy efficiency, applicable to new construction and renovation of commercial and residential buildings in New York State. The Energy Code is a complex document and one of nine building codes in New York State, making implementation and enforcement complex and time consuming. Since buildings represent roughly 60% of New York's total energy consumption, there is significant opportunity for energy savings through improved Energy Code compliance.

Submission requirements:

- At least one code official must complete a NYSERDA-approved Clean Energy Communities Energy Code Enforcement Training series including both residential and commercial workshops. Municipalities whose code official(s) completed Energy Code Enforcement Training prior to January 26, 2021 must retake the training to earn points for this action. Trainings are available on a limited basis.
- Submit a copy of the notification of completion email to earn credit for this action.

Date of completion for this action is defined as the date of the notification of completion email. For more information, please reach out to your CEC Coordinator or visit www.nyserda.ny.gov/cec.

3. Legislation and Regulation

Climate Smart Communities Certification

800 to 1,400 points | Applicable to all Municipalities

Description

The New York State Department of Environmental Conservation's (NYS DEC) Climate Smart Communities Certification (CSC) program provides municipalities with a robust framework to guide their climate action and celebrates the leadership of high-performing municipalities. Designed around the CSC pledge elements, the certification program awards points for actions that reduce greenhouse gas emissions and build community resilience to climate change.

CSC Certification Level	Points
Bronze CSC Certification	800
Silver CSC Certification	+ 600 Additional

Submission requirements for any of the above:

- Submit a screenshot of the www.climatesmart.ny.gov website, email notification from NYS DEC, or comparable information, that demonstrates the applying jurisdiction has been listed as a Bronze or Silver Certified Climate Smart Community. (Please note that Silver CSC Certified communities are eligible to earn credit for both Bronze Certification and Silver Certification. **Please submit for each separately to earn 1,400 points total.**) The date of completion is the date on which NYS DEC provides notification to the municipality regarding its achievement of the applicable certification level. The certification level must be current at the time of application.

Community Choice Aggregation

500 to 2,000 points | Applicable to eligible Cities, Towns and Villages

Description

Community Choice Aggregation (CCA) allows municipalities to choose where their community's energy comes from. CCA is a municipal energy procurement model that replaces the utility as the default supplier of energy for virtually all homes and small businesses within the jurisdiction. CCA puts control of energy supply decision making in local hands. By pooling demand, municipalities can aggregate the volume necessary to negotiate competitive rates with private suppliers and are able to choose cleaner energy. A CCA can allow whole communities to participate in the clean energy economy by ensuring that a greater percentage of electricity is coming from renewable sources.

As the CEC program strives to guide communities towards decarbonization and recognize their efforts, municipalities can reapply and gain points as they attain new percentages over time.

Community Choice Aggregation (CCA)

CCA greater than or equal to 50% and less than 100% Renewable Default Supply Mix with 100% Opt-up Option

500 points

Submission requirements:

- ❑ Submit a copy of the approval letter from the New York State Department of Public Service (DPS) naming the applying jurisdiction as authorized to move forward with CCA, or submit a copy of adopted legislation authorizing the municipality's participation in an opt-out CCA program.
- ❑ Submit a copy of an executed and current electric service agreement between the applying jurisdiction and an Energy Services Company (ESCO) to supply electricity to participating CCA customers on an **opt-out basis that is a default \geq 50% renewable clean energy product mix, as well as an opt-up option for 100% renewable energy**, or comparable information. The ESCO electric service agreement or comparable information should indicate that the ESCO will retire renewable energy certificates (RECs) on behalf of the municipality in a New York State Generation Attribute Tracking System (NYGATS) Account (with reports on such retirements to the municipality) in a manner that is compliant with the environmental attributes and delivery rules of the New York Public Service Commission Environmental Disclosure Program. The electrical energy associated with the renewable energy certificates must be consumed by retail customers in New York State.

Municipalities are eligible for this action if they signed a contract on or after January 1, 2023. Municipalities that were approved by NYSERDA for the CCA high-impact action prior to December 13, 2023 must resubmit to earn points for this action if the municipality signs a new contract. Date of completion is the date on which the electric service agreement or addendum was fully executed.

CCA 100% Renewable Default Supply Mix

1,500 points

Submission requirements:

- ❑ Submit a copy of the approval letter from the New York State Department of Public Service (DPS) naming the applying jurisdiction as authorized to move forward with CCA, or submit a copy of adopted legislation authorizing the municipality’s participation in an opt-out CCA program.
- ❑ Submit a copy of an executed and current electric service agreement between the applying jurisdiction and an Energy Services Company (ESCO) to supply electricity to participating CCA customers on an **opt-out basis that is a default 100% renewable clean energy product mix**, or comparable information. The ESCO electric service agreement, or comparable information, should indicate that the ESCO will retire renewable energy certificates (RECs) on behalf of the municipality in a New York State Generation Attribute Tracking System (NYGATS) Account (with reports on such retirements to the municipality) in a manner that is compliant with the environmental attributes and delivery rules of the New York Public Service Commission Environmental Disclosure Program. The electrical energy associated with the renewable energy certificates must be consumed at retail in New York State.

Municipalities are eligible for this action if they signed a contract on or after January 1, 2023. Municipalities that were approved by NYSERDA for the CCA high-impact action prior to December 13, 2023 must resubmit to earn points for this action if the municipality signs a new contract. Date of completion is the date on which the electric service agreement or addendum was fully executed. (Please note that municipalities who have completed a 100% Renewable Default Supply Mix CCA are eligible to earn credit for both CCA greater than 50% but less than 100% Default Supply Mix with 100% Opt-up Option and CCA 100% Renewable Default Supply Mix. **Please submit for each separately to earn 2,000 points total.**)

Green Financing

200 to 1,000 points | C-PACE Applicable to counties and cities outside Westchester County; cities and towns in Westchester County. NY-Green Bank financing is applicable to all municipalities.

Description

C-PACE (Property Assessed Clean Energy), also known as Commercial PACE (C-PACE) Financing, is a program adopted by an eligible municipality that allows commercial or non-profit property owners to pay back the cost of clean energy upgrades to their property over a term that can go as long as 20-30 years and is secured through a benefit assessment lien on the improved property. C-PACE enables eligible non-profit or commercially-owned buildings in New York State to secure private funds to tackle significant energy upgrades and renewable energy projects in existing building and new construction. C-PACE is available in NYS through the Energy Improvement Corporation (EIC), a non-profit, local development corporation designated as C-PACE administrator across NYS, except for the City of New York, and through New York City Energy Efficiency Corporation (NYCEEC), the City of New York's designated administrator of the NYC Accelerator PACE Financing program. Both administrators are in charge of ensuring C-PACE Financing conforms with the enabling legislation and NYSERDA C-PACE guidelines.

NY Green Bank (NYGB) is a New York State-sponsored investment fund at NYSERDA dedicated to filling financing gaps in clean energy and sustainable infrastructure markets. Its investments contribute to greenhouse gas emissions reductions, energy efficiency, clean energy generation, and the mobilization of private capital in key market sectors. As a State investment fund that collaborates with private investors, NY Green Bank plays a unique role in New York's transition to a green economy, which was written into law under the Climate Leadership and Community Protection Act (Climate Act). NY Green Bank uses public capital to mobilize private investment into underserved green sectors, filling market gaps and advancing public climate targets, with the goal of enabling private investors to expand their sustainable infrastructure portfolios in a meaningful way. NYGB is able to provide \$5-50 million in financing for projects that are located in or serving the jurisdiction of the municipality.

Municipalities may partner with clean energy and sustainable infrastructure project developers to encourage them to apply for C-PACE or NYGB financing when traditional lenders are not available to support their projects. The goal is to encourage project developers, with the help of municipal support, to apply directly for market-rate financing through C-PACE or NYGB to promote the development of clean energy projects. Municipalities will be recognized for bringing **eligible** projects through C-PACE or NYGB that lead to a successfully closed transaction.

For purposes of this category, municipalities must demonstrate completion of the Green Financing action by completing one or more of the below three options:

Open C-PACE Authorization

200 points

Submission requirements:

- Submit proof of the applying jurisdiction having authorized the C-PACE. Authorization requires adoption of a local law and signing a municipal agreement with the C-PACE Administrator.

Complete Open C-PACE Project

400 points

Submission requirements:

- Submit documentation closing of one or more C-PACE projects located in the jurisdiction, or comparable information. To be eligible, the jurisdiction must complete the *PACE Financing – C-PACE Authorization* action. Date of completion is date of the first finance closing.
- Submit proof of community outreach regarding C-PACE financing prior to the loan closing. This could include a screenshot or webpage, social media posts, flyers, etc.

NY Green Bank Project Closing

400 points

Submission requirements:

- Submit screenshot of social media/news posts uploaded to the municipality’s website promoting NYGB financing opportunities.
- Submit proof of outreach to developers regarding NY Green Bank Financing programs prior to the loan closing. This shall include email blasts or flyers addressed to the developer or a targeted email correspondence to the developer. It is expected that the municipality will also maintain continuous contact with the developer through the financing approval process.
- Submit the relevant NY Green Bank Transaction Profile PDF (accessed <https://greenbank.ny.gov/Our-Impact/Portfolio>) demonstrating that one of the targeted developers achieved closing of one or more NY Green Bank projects located in the applying municipality’s jurisdiction. The submitted documentation must include the date of the finance closing, which is the date of completion for this action.

4. Transportation and Landscaping

Clean Fleets – Electric Vehicles and Charging Stations

200 to 6,700 points | Applicable to all Municipalities

Description

Clean Fleets is an effort by municipalities to invest in electric vehicles and infrastructure while increasing opportunities for constituents to access electric vehicle charging stations. Compared to gasoline-powered cars, Electric Vehicles (EVs) are more energy efficient and cost about 50 to 70% less to operate per mile. EVs reduce greenhouse gas emissions and pollutants that cause smog and acid rain.

Complete one or more of the following to earn credit for the Clean Fleets - Electric Vehicles and Charging Stations actions. Point eligibility based on vehicle type and category will be determined by NYSERDA. Municipalities are eligible for the High Impact Actions below even if they previously submitted for a clean fleets action in a previous CEC PON.

Electric Vehicles

Submission requirements for electric vehicles are listed at the end of this section.

Light-Duty Electric Vehicles (Class-1-2)

300-1,500 Points

Municipalities that implement a battery electric class 1-2 vehicle in the municipal fleet are eligible for this action. A battery electric vehicle is an all-electric vehicle. Vehicles must be new and manufactured for use primarily on public streets, roads, and highways and have a speed capability of at least fifty-five miles per hour. The vehicle(s) must be active at the time of submittal. Date of completion is when the equipment was put into service. All vehicles must be purchased after January 26, 2021. For Tier 2 and Tier 3, at least 1 vehicle in each submittal must be purchased after December 13, 2023. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement. Municipalities that already earned credit for the Clean Fleets – Light/Medium Duty EV action in the CEC Leadership Round are not eligible to resubmit for the Light-Duty Electric Vehicles Tier 1 action. Please include the total number of EVs required for the tier you are submitting for, as explained in the table below, including previously submitted vehicles.

Light-Duty Electric Vehicles		
Tier Number	Total Deployment	Points
Tier 1	1	300
Tier 2	At least 2 additional vehicles to tier 1 (3 vehicles total).	+ 500 Additional
Tier 3	At least 3 additional vehicles to tier 2 (6 vehicles total).	+ 700 Additional

Medium/Heavy-Duty Electric Vehicles (Class 3-8)

600 Points

Municipalities that purchase a battery electric class 3-8 vehicle in the municipal fleet are eligible for this action. A battery electric vehicle is an all-electric vehicle. Vehicles must be new and manufactured for use primarily on public streets, roads, and highways and have a maximum speed capability of at least fifty-five miles per hour. The vehicle(s) must be active at the time of submittal. Date of completion is when the equipment was put into service. All vehicles must be purchased after December 13, 2023. Class 1-2 vehicles should be submitted under Clean Fleets – Light-duty Electric Vehicles.

Light-Duty Non-Road Vehicles

200 Points

Eligible light-duty non-road vehicles are listed on the Clean Fleets Certification Form. Municipalities may only submit for one vehicle under this category. All vehicles must be purchased after December 13, 2023.

Medium/Heavy-Duty Non-Road Vehicles

700 Points

Eligible medium/heavy-duty non-road vehicles are listed on the Clean Fleets Certification Form. Municipalities may only submit for one vehicle under this category. All vehicles must be purchased after December 13, 2023.

Submission requirements for any of the above:

- Submit a completed Clean Fleets Certification Form (accessed in the Clean Fleets toolkit at www.nyserda.ny.gov/cec) or comparable information to demonstrate municipal purchase and deployment of at least one battery-electric non-road vehicle. Vehicle(s) must be active at the time of submittal. Date of completion is when the equipment became operational. Customers can only submit for one vehicle for all electric vehicle actions except for Light-Duty Electric Vehicles.

Charging Stations

Electric vehicle adoption is rapidly accelerating in New York – as many as three million electric vehicles (EVs) are expected to be on the road statewide by 2030. As more drivers make the switch to EVs, deploying charging infrastructure to match demand is essential. Municipalities can be well-positioned to install charging stations due to their high traffic and longer parking durations.

Municipalities can receive points for Level 2 Charging Stations and DC Fast Charging Stations. Municipalities that already earned credit for the Clean Fleets – Charging Stations action in the CEC Leadership Round are not eligible to resubmit for the Level 2 and/or DC Fast Charging Stations Tier 1 actions. Please include the total number of charging ports required for the action and tier you are submitting for, as explained in the table below, including previously submitted ports.

Level 2 Charging Stations

200 – 1,200 Points

Level 2 Charging Stations		
Tier Number	Total Ports	Points
Tier 1	Minimum of 2 ports	200
Tier 2	Minimum of 4 additional ports (6 total ports)	+ 400 Additional
Tier 3	*Minimum of 10 additional ports (16 total ports)	+ 600 Additional

Submission requirements for any of the above:

- Submit a completed Clean Fleets Certification Form (accessed in the Clean Fleets toolkit at www.nyserda.ny.gov/cec) to demonstrate municipal provision from one or more of the above tiers. Equipment must be active at the time of submittal. The municipality must own or lease the equipment or enter into a site host agreement with a company to lease municipal land for charging equipment. Charging Stations may be used for government operations or public use. Date of completion is when the equipment became operational. All equipment must be purchased after January 26, 2021. For Tier 2 and Tier 3, at least 1 port in each submittal must be purchased after December 13, 2023. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement. *If applying for a total of 16 or more ports, at least 50% of the ports must be available for public use.

DC Fast Charging Stations

500-2,500 Points

DC Fast Charging Stations		
Tier Number	Total Ports	Points
Tier 1	Minimum of 1 port	500
Tier 2	Minimum of 2 additional ports (3 total ports)	+ 800 Additional
Tier 3	Minimum of 3 additional ports (6 total ports)	+ 1,200 Additional

Submission requirements for any of the above:

- Submit a completed Clean Fleets Certification Form (accessed in the Clean Fleets toolkit at www.nyserda.ny.gov/cec) to demonstrate municipal provision of one or more of the above tiers. Equipment must be active at the time of submittal. The municipality must own or lease the equipment or enter into a site host agreement with a company to lease municipal land for charging equipment. Charging Stations may be used

for government operations or public use. Date of completion is when the equipment became operational. All equipment must be purchased after January 26, 2021. For Tier 2 and Tier 3, at least 1 port in each submittal must be purchased after December 13, 2023. The tiers and associated points for this action are cumulative and based on tier level accomplishment and must be submitted consecutively based on tier level of achievement.

Electric Landscaping Equipment

200 points | Applicable to all Municipalities

Description

Landscaping Equipment for municipal operations is a significant contributor to operational GHG emissions, noise, and other pollutants. NYSERDA will provide credit to municipalities that have purchased electric landscaping equipment (e.g., electric lawn mowers, leaf blowers, etc.).

Submission requirements:

- Submit an Electric Landscaping Certification Form that identifies sufficient pieces of electric landscaping equipment purchased for municipal operations will save at least five (5) tons of carbon dioxide equivalent annually. The Electric Landscaping Certification Form (accessed in the Clean Fleets toolkit at www.nyserra.ny.gov/cec) will help calculate these emissions. Date of completion is when the equipment was put into service. The equipment must have been purchased on or after December 13, 2023 to earn credit.

Municipal Clean Fleets Inventory

200 points | Applicable to All Municipalities

Description

As a leading source of emissions, transitioning vehicles from internal combustion engines to zero-emission propulsion is an important component of the State's Climate Action Plan. Municipalities have a wide range of vehicles across their fleet, varying from light-duty cars (e.g. police cruisers and inspection vehicles) to medium & heavy-duty (box trucks and shuttles). Through this action municipalities can plan their transition to electric vehicles in a thoughtful and efficient manner by starting with an inventory of all fleet vehicles.

Submission requirements:

- ❑ Submit a complete Clean Fleets Inventory Certification Form, available in the Transportation toolkit at www.nyserda.ny.gov/cec. At minimum, the fleet inventory must include at least five vehicles, and must include all required 11 categories for every four-wheeled vehicle owned or operated by the municipality. Date of completion is when the most recent inventory was completed. The inventory must have been completed on or after January 1, 2023 to earn credit.

GENERAL CONDITIONS

Application Submission: Online submission should be submitted via the Salesforce portal. Proposers may submit Word, Excel, or PDF files (file formats include: doc, docx, pdf, xls, andxlsx). Individual files should be 100MB or less in file size. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Christopher Reohr at (518) 862-1090, ext. 3363 or by e-mail cec@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Lori Armstrong at (518) 862-1090, ext. 3142. 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 NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>)

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of the applicant's 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 municipality 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.

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k

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

<http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the municipality 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 municipality 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>.

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

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

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

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

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

Contract Award

NYSEDA may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work (included within Attachment B, Sample Agreement). Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to

support applications. NYSERDA will use the Sample Agreement including Sample SOW (Attachment B) to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. Municipalities 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.

Accessibility Requirements

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

Limitation

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

Disclosure Requirement

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

Disclaimer

All projects must address the qualifications and eligibility requirements listed in this Guidance Document. NYSERDA reserves the right to issue revisions to this solicitation at any time. Any revisions will be announced and posted on NYSERDA's website at www.nyserda.ny.gov. High-Impact Actions may be adjusted, phased out, or newly developed based on a variety of factors including, but not limited to, new opportunities to help communities drive local energy action, level of uptake in communities relative to other actions, changes in the regulatory environment, consistency with NYSERDA and other New York State agency program offerings, and availability of external assistance, such as federal programs, tools, and resources.

EO 16 Protocols

Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final NYSERDA Clean Energy Communities 29 decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor. Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list. The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

Additional Resources

All program resources and guidelines can be found on the Clean Energy Communities webpage at the following location: www.nyserda.ny.gov/cec.

Attachments

Attachment A – Grant Application including Sample Agreement with Statement of Work (SOW)



NYSERDA

**On-site Energy Manager (OsEM) Program
Program Opportunity Notice (PON) 3701
Revised February 2024**

SUMMARY OF REVISIONS

The following changes have been made to PON 3701, On-site Energy Manager Program:

- Attachment A: On-site Energy Manager Program Application has been updated.



NYSERDA

On-site Energy Manager Program

Program Opportunity Notice (PON) 3701

Revised January 2024

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

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

This New York State Energy Research and Development Authority (NYSERDA) [Program Opportunity Notice \(PON\) 3701](#) seeks applications from facilities interested in participating in the On-site Energy Manager Program (the "Program") to demonstrate how a dedicated On-site Energy Manager (OsEM) can improve a company's profitability by delivering energy, process, and operational improvements.

The Program targets Commercial and Industrial facilities, campuses, or portfolios that do not have an existing dedicated full-time OsEM who show a desire to continue the role beyond the Program engagement period and are willing to share results and lessons learned to further the Program's objective of increasing the penetration of energy managers.

Contracted OsEMs may be selected from the current list of NYSERDA Flexible Technical Assistance (FlexTech) Consultants or use an Independent Service Provider. Support may also be sought for a new permanent hire or a hybrid of supplementing permanent staff with a Consultant.

Additional information about the Program can be found on the webpage: www.nyserda.ny.gov/OSEM.

Application Submission: Applications will be accepted via email to OnSiteEnergyManager@nyserda.ny.gov through December 31, 2025, or until all funds are fully committed. If Applicants intend to submit with a claim of confidentiality, please consult OnSiteEnergyManager@nyserda.ny.gov first.

Questions should be directed as follows:

Commercial Program questions: Adam DeSio, 212-971-5342 ext. 3009, AdamOsEM@nyserda.ny.gov

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

All Contractual questions: Venice Forbes, 518-862-1090 ext. 3507, VeniceSolicitations@nyserda.ny.gov

* NYSERDA reserves the right to extend and/or adjust funding to this solicitation. Late, incomplete, or unsigned applications will be returned. Faxed applications will not be accepted. If changes are made to this solicitation, notification will be posted on NYSERDA's website at www.nyserda.ny.gov.

I. Introduction

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

The purpose of the Program is to prove the business case for an OsEM role and to disseminate developed case studies and tools to the market for broader adoption. Program participants are required to share success stories and best practices to facilitate this market transformation activity. Post Program, Customers who retain their OsEM and continue to demonstrate increased annual energy savings via reporting to NYSERDA may be eligible for a bonus payment (see Funding & Invoicing Section).

Participants are encouraged to continue sharing success stories, even beyond the bonus period if applicable, through NYSERDA's website, Best Practice events, and other market transformation activities.

II. Eligibility Requirements

Eligible Customers include Commercial and Industrial facilities located in New York State. Most eligible participants must also pay into the electric System Benefits Charge (SBC). A limited amount of funding is available to certain Commercial non-SBC paying Customers. Contact OnSiteEnergyManager@nyserda.ny.gov for more information.

In order to fully realize the benefit of energy management, the term of the OsEM contract will be a minimum of 12 months. Unless otherwise negotiated, all work cost-shared under this Program must be completed within 54 months of issuance of the Purchase Order (excluding the bonus payment period). The OsEM must begin work within 6 months of the issuance of the Purchase Order.

Customers must:

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

OsEM engagements must:

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

The OsEM must fall into one of the below designations:

- New permanent hire
 - Applicants seeking new permanent hires must secure the new hire within 3 months of receiving the NYSERDA Purchase Order.
- Supplementing permanent staff with contracted staff
- Contracted staff
 - Contracted OsEM support may be selected from NYSERDA's qualified FlexTech Consultant list (<http://www.nyserda.ny.gov/Contractors/Find-a-Contractor/FlexTech-Consultants>) or may be an Independent Service Provider.
 - The specific staff member who will be performing the OsEM role must be identified in the scope of work submitted with the application. There must be one dedicated individual who performs the on-site services and is the direct customer contact. It is acceptable to have junior Consultant staff perform lower-level administrative tasks, although such delegation should not hinder the Program's intention of demonstrating the business case for a dedicated energy manager. The resumes of all Consulting staff involved must be included in the proposal.

III. OsEM Application & Required Documentation

A FlexTech Consultant, Independent Service Provider, or Customer may be the Applicant.

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

- Program Application (**Attachment A**)
- **OsEM Concept (Attachment B)** to justify the need for an OsEM and describe the reporting structure for the OsEM (could include facility company organizational chart to illustrate structure).
- **Scope of Work (per Scope of Work Requirements, Attachment C)** with facility energy reduction goal, tasks, deliverables, and project schedule.
- **Detailed budget (per Budget Template, Attachment D, or equivalent)** including a breakout by task and by title, hourly rate, hours, and non-labor costs.
- **OsEM resume*** (for staff, contractor, or both depending on support sought) or job description. Please highlight:
 - Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), etc.
 - Past experience as energy advisor to the sector
 - Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management.

* If the new permanent hire is not yet identified, the job description which reflects the Program criteria must be included. The resume of the proposed candidate must be submitted once identified.
- **Statement of commitment from facility's upper management** (corporate officer or executive staff)

Application Review Process:

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

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

After a complete application package is reviewed, NYSERDA will inform the Applicant of their selection status.

NYSERDA intends to work with Applicants during the review process through the sharing of comments and recommendations for scope of work improvement to encourage successful applications. This may include:

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

Applications will be rejected when:

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

IV. Funding &

Invoicing

Funding Overview:

Facility Consumption (aggregated)	OsEM Cost-Share Cap* (initial 12+ month term)	OsEM Bonus #1 (12 months after initial term)	OsEM Bonus #2 (24 months after initial term)	Maximum Possible
Greater than \$1M annual energy spend	Not to exceed \$200,000	\$7,000	\$7,000	\$214,000
Less than \$1M annual energy spend	Not to exceed \$100,000	\$5,000	\$5,000	\$110,000

*Funds may be used for technical assistance and OsEM support only and may not be used toward implementation, equipment purchase, or any labor costs outside of the OsEM effort.

OsEM Cost-Share:

- NYSERDA will contribute up to 75% towards the allowable OsEM fees for most engagements per task and budget detail in the approved scope of work.
 - Based upon the availability of funding, for Industrial Customers in Disadvantaged Communities, NYSERDA will contribute up to 100% of the allowable OsEM fees within the cap structure above. Disadvantaged Community designations may be found here: <https://www.nyserda.ny.gov/ny/Disadvantaged-Communities>.
 - Based upon the availability of funding, for Commercial Hospital projects meeting the Safety Net or Disadvantaged Community designation criteria, NYSERDA will contribute up to 100% of the allowable OsEM fees within the cap structure above. Safety Net and Disadvantaged Community designations may be found on the NYSERDA website: <https://www.nyserda.ny.gov/All-Programs/Clean-Green-Hospitals>.
 - Based on availability of funds and variety of projects in the sector program portfolio, after three project applications from a single owner-organization, the cost share may be limited to 50% for projects that do not further demonstrate value of the OsEM role for reasons including scope and/or facility similarity to previously completed projects from the same owner-organization.
- NYSERDA's cost-share for the OsEM will be paid directly to the Applicant, which is based on the Program Application, and may be the FlexTech Consultant, Independent Service Provider, or Customer.
- For OsEM engagements with facilities who have annual energy costs greater than \$1 million (all fuels), the maximum OsEM cost-share excluding bonus payments is \$200,000.
- For OsEM engagements with facilities who have annual energy costs less than \$1 million (all fuels) the maximum OsEM cost-share excluding bonus payments is \$100,000.

OsEM Bonus:

Customers may be eligible for a bonus payment for each additional year of continued OsEM engagement, capped at 2 additional years. Customers will be required to demonstrate successful engagement of the OsEM during the initial term, as well as the continued value of the OsEM, to be considered for a bonus payment.

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

Invoicing:

- All invoices for OsEM services, whether consultant or staff services, should be broken out by non-labor costs, individuals, titles, hourly rates, dates and hours worked on each task.
- Invoices should also indicate the amount that is being invoiced concurrently to/paid for by the site. If applicable, NYSERDA may also require a copy of the Customer's canceled check paying their OsEM engagement cost-share.
- Travel costs are limited to 3% of the total OsEM engagement cost.
- Invoices may be submitted no more frequently than monthly at and are subject to NYSERDA Project Manager approval. All invoices complete with the required reimbursement documentation must be submitted through <https://services.nyserda.ny.gov/Invoices/>.
- NYSERDA reserves the right to withhold payment in cases where program deliverables are not being met, as outlined in the approved scope of work.
- NYSERDA will issue the Bonus payments directly to the Customer upon receipt and verification of required documentation, regardless of who was the Applicant. Consultants are not eligible to receive Bonuses so in the case of the Consultant being the Applicant, Bonus payments will be made directly to the Customer via a direct-to-voucher payment.

Project Payments:

NYSERDA will contribute its share of the eligible OsEM costs, not to exceed the amount agreed upon in the Purchase Order, directly to the Applicant per the approved Scope of Work. Customers shall pay the remaining balance of the OsEM fees directly to their OsEM, as applicable, under the terms and conditions to be negotiated by the Customer and OsEM.

Applicant invoices to NYSERDA must include the OsEM's total billed cost, and must include labor and nonlabor costs, title(s), hourly rates, dates and hours for each task. Invoices must also indicate the amount that is being

invoiced concurrently to the Customer, if applicable. In such cases, NYSERDA may also require a copy of the customer's canceled check showing payment of their cost-share. NYSERDA payments may not be released prior to Customer contribution equal to or exceeding the requested payment amount, as applicable. Payment will be based on services provided as defined in the Scope of Work and as documented by approved deliverable(s), invoices and other documentation deemed necessary by NYSERDA. NYSERDA reserves the right to withhold payment in cases where program deliverables are not being met or where the Applicant has not met their scope of work or performance obligations.

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSEERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain 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 contracting 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 multiple awards under this solicitation. NYSEERDA anticipates a contract duration of six (6) years, unless NYSEERDA 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. NYSEERDA may request additional data or material to support applications. NYSEERDA will use the Sample Agreement to contract successful proposals. Preference may be given to facilities with annual aggregated energy costs greater than \$500,000. NYSEERDA will use Attachments A, C, D and E to contract successful applications. NYSEERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEERDA 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. NYSEERDA expects to notify applicants in approximately four (4) weeks from the receipt of a complete application package whether your application 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 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 on the [Doing Business with NYSEERDA page](#) or download [NYSEERDA's Accessibility Requirements \[PDF\]](#).

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.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSEERDA's sole discretion and are final decisions. NYSEERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at

<https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

VI. Attachments:

Attachment A: Program Application

Attachment B: OsEM Concept

Attachment C: Scope of Work

Requirements Attachment D: Budget

Template Attachment E: Terms and

Conditions



NYSERDA

**Flexible Technical Assistance (FlexTech) Program
Program Opportunity Notice (PON) 4192
Revised February 2024**

SUMMARY OF REVISIONS

The following changes have been made to PON 4192, Flexible Technical Assistance Program:

- Attachment A: FlexTech Program Application has been updated.



NYSERDA

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

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

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

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

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

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

- Targeted or comprehensive technical analysis including energy studies and/or energy planning (refer to Section II)
- Investigation of Clean Heating and Cooling Systems including Air Source Heat Pumps (ASHP), Ground Source Heat Pumps (GSHP), Variable Refrigerant Flow (VRF), and Solar Heating and Cooling

Program Summary:

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

How to Apply:

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

- FlexTech Program Application Form (Attachment A)
- Scope of Work, Schedule and Budget; see sample templates (<https://www.nyserderda.ny.gov/flextech-documents>)
- For affordable multifamily projects, affordability verification documentation must also be provided.

Program Questions:

Customers, Independent Service Providers, and FlexTech Consultants with Program questions should contact FlexTech@nyserderda.ny.gov. No communication intended to influence this procurement is permitted except by contacting the Designated Contact at FlexTech@nyserderda.ny.gov. All contractual questions should be directed to Venice Forbes (866-NYSERDA ext.3507, FlexTech@nyserderda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

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

I. INTRODUCTION

This solicitation is divided into the following Sections:

- Section II: Program Cost-Share
- Section III: Eligibility
- Section IV: Program Parameters
- Section V: Program Participation
- Section VI: General Conditions
- Section VII: Attachments

PROGRAM TERMINOLOGY

Term	Definition
Applicant	A Customer, or a Service Provider authorized to apply to the FlexTech Program on behalf of the Customer. Program funds will be distributed to the Applicant.
Customer	The eligible New York State Commercial, Industrial and Multifamily entity requesting the energy analysis of their facility(ies). The entity paying for FlexTech services.
Service Provider: FlexTech Consultant (FTC)	Third-party, NYSERDA qualified firms that provide objective customized technical assistance services to inform the Customer's clean energy management and investment decisions. A list of qualified FlexTech Consultants can be found here: https://www.nyserda.ny.gov/Contractors/Find-a-Contractor/FlexTech-Consultants
Service Provider: Independent Service Provider (ISP)	A third-party firm, selected by the Customer, that provides technical services to inform the customer's clean energy management and investment decisions.
Technical Assistance Services	Activities (found in Section II. Program Cost-Share) that inform a Customer's decision-making process with respect to clean energy efficiency and sustainability.
Project	The set of proposed activities and tasks to be completed as described in the Technical Assistance Services Scope of Work submitted to the Program.

II. PROGRAM COST-SHARE

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

Technical Assistance Services	Sector ⁴	Sector Cost-Share	NYSERDA Cost Share Cap per Project
PRIMARY SERVICES: Targeted or Comprehensive Energy Study Targeted or Comprehensive RCx Study Climate Action Plan or Sustainability Plan Clean Heating and Cooling Study Thermal Energy Network Study Energy Master Planning Energy Advisor Services SECONDARY SERVICE¹: Investigation of renewable energy technologies Complete greenhouse gas emission inventory Installation of permanent meters or permanent sub-meters ² Establish reporting protocol and report to voluntary third-party certification organizations ³ Utilize a student intern ^{2,3} Develop curriculum/student clean energy engagements ^{2,3}	Commercial	50% ⁸	up to \$500,000 ³ or up to 20% Annual Energy Expenditure ⁹ , whichever is less Certain secondary services capped at \$10,000. ²
	Colleges & Universities ⁵	50-75%	
	P-12 Schools ⁶	75%-100% ⁶	
	Industrial ⁷	50%-75%	
	Multifamily - Affordable	75%	
	Multifamily - Market Rate	50%	
<p>1. Supporting Services are only eligible for a NYSERDA cost-share if completed in combination with a Primary Service.</p> <p>2. The following secondary services are capped at \$10,000.</p> <p>3. The following activities are only eligible for Clean Green Campus members.</p> <p>4. Limited funds may be available for certain entities who do not pay into the SBC.</p> <p>5. Colleges and Universities must be Clean Green Campus members to receive a cost-share of any kind. Clean Green Campus members that have not previously participated in FlexTech PON 4192 may be eligible for a 75% cost-share if the project includes investigation of electrification opportunities. All other members will receive a 50% cost-share.</p> <p>6. Available to P-12 Schools who are ineligible to participate in NYSERDA's Clean Green Schools Initiative (PON 4924). Non-public schools located in a Disadvantaged Community are eligible for up to 100% funding.</p> <p>7. Industrial customers located in a Disadvantaged Community and/or Industrial customers investigating electrification opportunities are eligible for up to 75% funding, while funds are available.</p> <p>8. Safety Net Hospitals and Hospitals located in a Disadvantaged Community are eligible for up to 100% funding, up to \$1,000,000, for a limited time.</p> <p>9. NYSERDA reserves the right to adjust the 20% cap on a per project basis.</p> <p>Disadvantaged Community (DAC) Criteria: www.nyserderda.ny.gov/ny/Disadvantaged-Communities</p>			

III. ELIGIBILITY

Applications that display a potential for energy savings, carbon savings, or process improvements, as well as opportunities to consider energy efficiency given known energy use increases, will be considered for eligibility.

Eligible participants include Commercial, Industrial, and Multifamily facilities located in New York State. Most eligible participants must also pay into the System Benefits Charge (SBC) through their facility's electric utility company.

P-12 schools that are ineligible for NYSERDA's Clean Green Schools Initiative (PON 4924) are eligible to participate in the FlexTech Program.

Affordable Multifamily buildings must meet the affordability criteria detailed in the Affordable Multifamily Building Verification document available at www.nyserda.ny.gov/flextech-documents.

Higher education institutions must be members of [Clean Green Campuses](#). Institutions can join Clean Green Campuses [here](#).

A limited amount of funding is also available to certain Commercial, Industrial, and Affordable Multifamily non-SBC-paying Customers. Contact flextech@nyserda.ny.gov for more information.

IV. PROGRAM PARAMETERS

- A third-party technical assistance service provider is required for all projects. Customers in need of a service provider may choose from NYSERDA's FlexTech Consultant list comprising of firms who have demonstrated experience and thorough understanding of technical assistance services. Visit the website at: www.nyserda.ny.gov/FlexTech for the current listing of FlexTech Consultants.
 - Customers have the option to select their own Independent Service Provider to perform the study.
 - Independent Service Providers and FlexTech Consultants may undergo additional review before being approved to perform certain FlexTech studies. Examples of such studies include but are not limited to energy advisor projects, thermal energy network, and industrial and process efficiency analysis.
- Applications must provide a justification for the NYSERDA cost-share request based on site-specific facility descriptions and existing conditions, along with the potential solutions that will be investigated.
- Projects must develop an energy use baseline based on existing site information and equipment operation.
- Analysis that ensures adequate ventilation and filtration, that is compliant with applicable code requirements and building system best practices, is encouraged.
- Project deliverables shall identify and quantify estimated energy impacts including savings expected as a result of all evaluated measures.
 - Rule of thumb assumptions and percentage savings calculations are not acceptable.
 - Calculations used to quantify energy or carbon impacts must be based on site-specific existing conditions and utility data. The calculations must be deemed satisfactory by NYSERDA staff, or the project may receive a reduced cost-share or may not be reimbursed by NYSERDA.
- All final reports must adhere to the appropriate FlexTech Final Report Requirements: www.nyserda.ny.gov/All-Programs/FlexTech-Program/FlexTech-Documents-and-Resources
- NYSERDA is not committed to cost-sharing a project identified in an application until a Purchase Order (PO) is issued. The commencement of work covered by the FlexTech Program by the FlexTech Consultant, the Independent Service Provider or Customer prior to the issuance of a PO is at their own risk.
- Completed FlexTech studies lacking recommended energy efficiency or process improvement opportunities or quantified energy or carbon savings may receive a reduced cost-share or may not be reimbursed by NYSERDA.

- NYSERDA reserves the right to add or modify technical assistance services areas and the associated cost-share from 0-100%. Funds may be used for technical assistance only and may not be used toward implementation, equipment purchase (except for eligible metering expenses), or any labor costs outside of the technical assistance effort. At its sole discretion, NYSERDA may limit the cost share associated with a study.
- Travel costs are limited to 3% of the total project cost.
- Unless otherwise negotiated, all work funded under this program must be completed within two (2) years of issuance of the PO.
- FlexTech provides cost-sharing for existing buildings. Facilities must be in operation for more than one year to be eligible for funding under this solicitation, with the exception of select Industrial and thermal energy network studies.
 - Commercial tenant fit outs are considered substantial renovations and do not qualify for funding under this solicitation.
- All service providers may be limited to five (5) open applications at any given time until they have demonstrated the ability to meet program requirements and produce technically sound analysis. NYSERDA reserves the right to stop accepting and/or cancel existing applications from service providers whose draft deliverables have unresolved and significant deficiencies that have not been satisfactorily addressed through multiple rounds of technical review.
- Cost-sharing may be available to support the development of Local Law 97 decarbonization plans, until funds are exhausted. Please note, NYSERDA is not responsible for adherence to compliance requirements and/or compliance deadlines. Service Providers and Customers seeking cost-sharing for these types of studies should allow ample time for NYSERDA review and approval.
 - NYSERDA will closely monitor service providers completing Local Law 97 decarbonization plans. NYSERDA reserves the right to limit the number of applications for a service provider based the proximity to the compliance deadline(s). NYSERDA also intends to disclose the number of active and pending applications a Customer's service provider may have in this Program upon submission of an application.
- Clean Green Campuses Cost-Share:
 - Clean Green Campuses member institutions that have not previously participated (submitted application, approved application, or approved final report) in FlexTech PON 4192 may be eligible for a 75% cost-share. The project scope of work must include investigation of electrification opportunities. Clean Green Campuses members that have submitted an application(s) to PON 4192, but they were cancelled or rejected, may still be eligible for a 75% cost-share.
 - A limited amount of funding is available to non-SBC paying Clean Green Campuses member institutions. Non-SBC paying members are eligible for a 50% cost-share, capped at \$250,000 or 10% of annual energy expenditure, whichever is less.
 - All other Clean Green Campuses member projects are eligible for a 50% cost-share.
- Clean Green Campuses Supporting Services:
 - Bonus for utilizing a student intern to assist with completing the project:
 - Funding must be used to cover the costs of student intern(s) completing tasks that contribute to the FlexTech project and Scope of Work. Funding may be used to cover fees for more than one student intern.
 - This activity and its deliverable must be listed as its own task in the Scope of Work. Tasks to be completed by the student intern(s) must be clearly stated and must be commensurate with the NYSERDA funding amount requested.
 - Deliverables include:
 - Timesheets (or alternative)
 - Presentation or report summarizing the project, student intern involvement, and project results OR
 - Case study of the project and other campus clean energy efforts to share publicly (within the classroom, campus, or more broadly). Case studies may be eligible for NYSERDA co-branding. OR
 - Alternative deliverable comparable to the above upon NYSERDA approval
 - Cost-share for developing curriculum/student clean energy engagements:
 - Funding must be used to cover costs of faculty/staff time for developing curriculum/student clean

energy engagements and ways to implement developments at the institution. Faculty/staff must be employed by the Clean Green Campuses Member institution. Funding may also be used to cover the costs of the project's Energy Consultant to support/advise faculty during development.

- Curriculum developed must incorporate components of the FlexTech project and intend to integrate clean energy into a semester course, independent study or internship at the Clean Green Campuses Member's institution.
- Student Clean Energy Engagements developed must incorporate components of the FlexTech project and enable students to work with on-campus staff and/or Energy Consultants to identify or complete clean energy projects.
- Upon NYSERDA approval, Clean Green Campuses Members may incorporate additional or alternative clean energy-related subject matter as it relates to the institution's goals and needs.
- This activity and its deliverable(s) must be listed as its own task in the Scope of Work. Tasks to be completed by faculty/staff (and the Energy Consultant) must be clearly stated and must be commensurate with the NYSERDA cost-share requested.
- Deliverables include:
 - Timesheets (or alternative)
 - Documentation of developed curriculum/student clean energy engagements and ways to implement (e.g. lesson plans, detailed report and implementation plan, proposal outlining curriculum/activities shared with internal staff, etc.)

The following are **ineligible** for funding:

- Work completed prior to NYSERDA's receipt of a completed application (which includes the FlexTech application, Scope of Work, schedule and budget)
- Retro commissioning (RCx) study applications **that do not have an energy efficiency impact** and do not address RCx-specific tasks in the FlexTech Scope of Work & budget template (www.nyserderda.ny.gov/flextech-documents).
 - Any activities past the functional testing and identification of deficiencies and presentation in the draft report: this includes any DOB compliance, survey or post implementation deficiency verification testing.
- Technical assistance, studies or assessments whose need is not supported by existing site-specific conditions as documented in the Scope of Work
- Commercial tenants that do not have ownership of and/or the ability to retrofit HVAC equipment in their leased space.
- Detailed engineering design
- Lighting only studies and analyses
- Power quality, power factor, and power conditioning studies
- Utility billing error analysis
- Studies that include the same or like measures more than once every three (3) years without sufficient justification

V. PROGRAM PARTICIPATION

APPLYING TO THE PROGRAM

A FlexTech Consultant, Independent Service Provider, or Customer may be the Applicant. To apply to the Program, the following must be completed.

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

- FlexTech Program Application Form (Attachment A)
- Scope of Work, Schedule and Budget; see sample templates (<https://www.nyserderda.ny.gov/flextech-documents>)
- For affordable multifamily projects, affordability verification documentation must also be provided. Applicants should be sure to reference www.nyserderda.ny.gov/flextech-documents for the most current Affordable Multifamily Building Verification documentation requirements.

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

All applications will be reviewed on a first come, first-served basis dependent on funding availability. A complete application package comprises the FlexTech Program Application, a complete Scope of Work with a detailed budget and schedule, and the CFA. Incomplete project application packages will be rejected.

For thermal energy network studies, multiple Customer signatures are not required on a FlexTech Application.

SCOPE OF WORK REQUIREMENTS

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

Certain studies may undergo review by an independent panel to determine eligibility for acceptance into this solicitation.



NYSDERDA

PARTICIPATION PROCESS

Complete Application Package Received

2 Weeks

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

1 Week

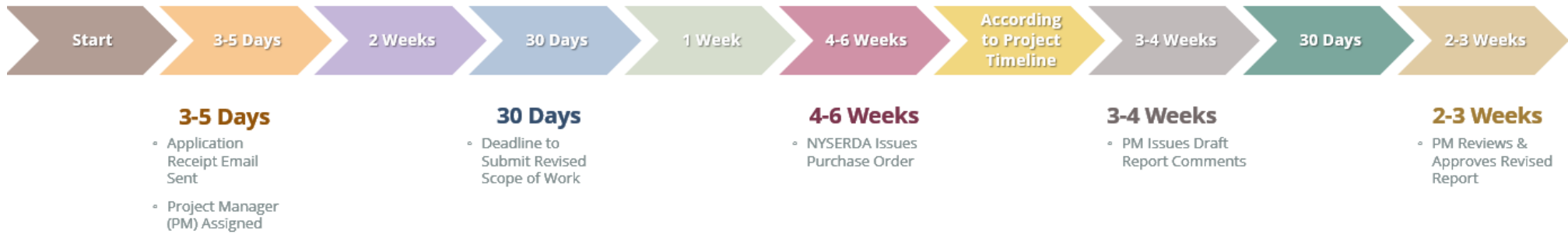
- PM Reviews & Approves Revised Scope of Work

According to Project Timeline

- Draft Report Submitted

30 Days

- Deadline to Submit Revised Draft Report



Please note:

- Scopes of Work and Draft Reports may require more than one round of comments
- Failure to submit items within specified timeline may result in cancellation
- **Timeframes are approximate and may vary during periods of high programmatic activity.**



PROJECT PAYMENTS

NYSERDA will contribute its share of the actual study cost, not to exceed the amount agreed upon in the Purchase Order, towards the allowable service provider fees, directly to the Applicant per the approved Scope of Work. Customers shall pay the remaining balance of the service provider fees directly to their service provider, as applicable, under the terms and conditions to be negotiated by the Customer and service provider.

Progress payments are available at the discretion of the NYSERDA Project Manager. Applicants will work with their designated NYSERDA Project Manager to approve progress payments. Progress payment requests may be made in accordance with the approved budget and timeline outlined in the NYSERDA approved Scope of Work. NYSERDA reserves the right to limit progress payments.

Applicant invoices to NYSERDA must include a copy of the third-party service provider's invoice(s) to the Customer indicating the total billed cost and a copy of metering equipment invoice(s), if applicable. The third-party service provider's invoice(s) will include labor and non-labor costs, individual/staff titles, hourly rates, dates and hours for each task. Invoices must also indicate the amount that is being invoiced concurrently to the Customer. In addition, if applicable, NYSERDA may also require a copy of the Customer's canceled check showing payment of their cost-share. NYSERDA payments may not be released prior to Customer contribution equal to or exceeding the requested payment amount, as applicable. Payment will be based on services provided as defined in the Scope of Work and as documented by approved deliverable(s), invoices and other documentation deemed necessary by NYSERDA. NYSERDA reserves the right to withhold payment in cases where program deliverables are not being met.

All invoices complete with the required reimbursement documentation must be submitted through <https://services.nyserdera.ny.gov/Invoices/>.

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

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of up to two (2) years, unless NYSERDA management determines a different structure is more efficient based upon applications received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Scope of Work. Each application should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support submissions including Scope of Work modifications or negotiations before issuing a Purchase Order. NYSERDA will use the FlexTech Program Application (Attachment A) and Scope of Work and Budget Template (<https://www.nyserda.ny.gov/flextech-documents>) to contract successful applications. 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 NYSERDA and Program terms and conditions. Applicants should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify applicants in approximately four (4) weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may notify the Customer's utility of participation in the FlexTech Program in order to facilitate information sharing about potential utility implementation incentives available. 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 on the [Doing Business with NYSERDA page](#) or download [NYSERDA's Accessibility Requirements \[PDF\]](#).

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

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

VII. ATTACHMENTS

- Attachment A: FlexTech Program Application
- Attachment B-1: Report Requirements
- Attachment B-2: Project Summary Sheet
- Attachment B-3: Terms and Conditions
- Attachment C: Authorization to Share Information With NYSERDA Partners



NYSERDA

**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

Summary of Revisions

The following changes have been made to PON 4378 “Loan Loss Reserve to Catalyze Clean Energy Financing in New York State Communities”:

The following language will be amended in section 2 “Other Provisions”:

Current language: *“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”.*

Amended language: *“Funds to be used for renewable energy, energy efficiency, health and safety and resiliency, with a majority of funds used for renewable energy, decarbonization and efficiency.”*

Current language: *“The financing of new construction is not allowed.”*

Amended language: *“The financing of new construction decarbonization projects is allowed.”*

Current language: *“Interest rates, if applicable must be fixed.”*

Amended language: *“Interest rates, if applicable, must be fixed for Residential customers.”*

The following additional provisions will be added to section 2 “Other Provisions.”

“Qualifying measures include technology, including electrical and renewable based heating and cooling systems, carbon-free transportation, including electric and hydrogen fuel cars that support New York State’s decarbonization goals.”

“Expanded business models, including for energy services that lead to a reduction in Green House Gases, energy efficiency, energy cost savings, clean transportation, agriculture, or increase or support resiliency, decarbonization and sustainability.”

“Floating interest rates, if applicable, allowed for commercial customers, subject to interest-rate caps.”

The following additional provisions will be added to section 4 “Applicant Eligibility Requirements”

(iii); acknowledges that support available through this PON is not available for loan loss coverage for NY Green Bank capital; and (iv) is the Applicant is not applying for support under this PON for any capital funded by the NY Greenbank or maybe funded by the NY Green Bank in the future.



NYSERDA



NYSERDA

**Loan Loss Reserve to Catalyze Clean Energy
Financing in New York State Communities**

Program Opportunity Notice (PON) 4378 – Version 3.0 (12.05.2023)

\$ 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:

Applicants may apply by following the directions posted on the **NYSERDA New York Loan Loss Reserve Program** webpage <https://nyserda.seamlessdocs.com/f/LoanLossReserve>.

If you have any questions or concerns please send an email to: NYSLLR@nyserda.ny.gov

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, 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 Services 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;
- (5) 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); acknowledges that support available through this PON is not available for loan loss coverage for NY Green Bank capital; and (iv) the Applicant is not applying for support under this PON for any capital funded by the NY Greenbank or maybe funded by the NY Green Bank in the future..

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

- a) To participate in the Program, the Applicant must provide a description of proposed financial product(s) (Eligible Financing Agreements), including: 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, Energy Services Agreement, Eligible Savings-Based Payment Agreement, Energy Savings Portfolio Insurance Agreement, or Predevelopment Financing 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, decarbonization and efficiency.
- b) Qualifying measures include technology, including electrical and renewable based heating and cooling systems, carbon-free transportation, including electric and hydrogen fuel cars that support New York State's decarbonization goals.
- c) Expanded business models, including for energy services that lead to a reduction in Green House Gases, energy efficiency, energy cost savings, clean transportation, agriculture, or increase or support resiliency, decarbonization and sustainability
- d) The financing of new construction decarbonization projects is allowed.
- e) Interest rates, if applicable, must be fixed for Residential customers
- f) Floating interest rates, if applicable, allowed for commercial customers, subject to interest-rate caps
- g) Applicants may offer loans with dealer-point buydown, provided it results in a lower net present value (NPV) cost to the borrower based on the term of the loan. Such determination will be made at NYSERDA's sole discretion
- h) Applicants cannot have prepayment penalties on residential offered financing products.
- i) Maximum residential interest rates shall be the ten-year Treasury plus 750 basis points.
- j) 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.
- k) Residential financing products to consumers with FICO® scores less than or equal to 580 shall not include debt products.
- l) Residential products for consumers with FICO® scores less than or equal to 580 shall include a performance guarantee.
- m) 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.
- n) Applicants can submit new innovative financing products and structures for approval. NYSERDA approval will be contingent on benefit to end users and customers.
- o) Portfolio distribution for Eligible Financing Agreement for:
 - (i) Residential: A minimum of 35% by dollar amount must be to residential

customers with a FICO credit score = < 680 or consumers at or below 80% of AMI, or SMI, whichever is greater or Located in a DAC census tract, as defined under the final rules adopted pursuant to New York State's Climate Leadership and Community Protection Act of 2019 ("CLCPA" or "Climate Act").

- (ii) Multifamily: A minimum of 35% by dollar amounts must be for Projects in Affordable Multifamily Buildings
- p) 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)
Multifamily: One million dollars (\$1,000,000)
 - (iii) 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 rationale 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. 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 Claim

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 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
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 on the [Doing Business with NYSERDA page](#) or download [NYSERDA's Accessibility Requirements \[PDF\]](#).

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing an application, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all applications received, 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



Cooperative Advertising and Training for Clean Energy Partners Program Opportunity Notice (PON) 4482

SUMMARY OF REVISIONS

The following changes have been made to PON 4482 - Cooperative Advertising and Training for Clean Energy Partners:

- Corrected a typo for the total amount of available funding from \$19.1 million to \$18.9 million
- Added participation eligibility for NYSERDA [EmPower+](#) contractors
- Removed eligibility for municipality or community-based organizations funded directly by NYSERDA or approved to receive high impact action points by the [Clean Energy Communities](#)



Cooperative Advertising and Training for Clean Energy Partners

Program Opportunity Notice (PON) 4482
\$18.9 Million

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

Applications will be accepted on a first-come, first-served basis dependent on funding availability through December 31, 2024 or until all funds are committed.

NYSEDA has \$18.9 million available to provide cost-share on advertising, special promotions, and/or events, including training, for eligible technologies. NYSEDA's Cooperative Advertising and Training Program for Clean Energy Partners offers incentives for marketing and promotion of clean energy products and services. Up to 50 percent of the total cost of approved activities and promotions will be available to eligible partners. Partners may include: manufacturers, distributors, or vendors of eligible cold-climate air source heat pumps (ccASHPs) or ground source heat pumps (GSHPs) serving the New York HVAC industry, and contractors/installers who have an executed partnership agreement through the utility-run [NYS Clean Heat incentive program](#), or NYSEDA's [Comfort Home](#), [Residential Energy Audits](#), [EmPower+](#), Green Jobs – Green New York residential loan fund, or [Clean Heating and Cooling Communities](#) programs.

These activities must promote eligible cold-climate air source heat pumps (ASHPs), ground source heat pumps (GSHPs), energy efficiency, or building envelope improvements, and convey the related benefits and offers of these technologies through advertisements (TV, print, online, etc.); marketing materials; social media; and special promotions, events, or clean HVAC related trainings. All activities must be pre-approved by NYSEDA to receive reimbursement.

Funding is available on a first-come, first-served basis until December 31, 2024, or until all funds are committed, whichever comes first.

NYSEDA will pay up to 50 percent of the cost of approved advertising or training activities for applications received starting December 31, 2020 at 3:00 p.m. ET through December 31, 2024 at 3:00 p.m. ET, or until all funds have been committed. All advertising campaigns and training must be scheduled and completed within one year of the submission date.

Application Submission: Eligible Clean Energy partners must complete and submit the [Cooperative Advertising and Training Application](#) using the online form with related back-up documentation to be considered for co-op funding or training reimbursements. Application submissions will be evaluated within 15 business days. Incomplete or insufficient applications



will be rejected. However, applicants have the option to revise and resubmit applications previously rejected.

No communication intended to influence this procurement is permitted except by contacting Scott Smith (Designated Contact) at 518-862-1090, ext. 3344 or by email coop@nyserda.ny.gov or, Cory Nicosia (Secondary Contact) at 518-862-1090, ext.3622 or by email coop@nyserda.ny.gov (for technical questions). For assistance completing the application, contact our helpline at 518-944-4314 or coop@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at 518-862-1090, ext. 3335 or Nancy.Solicitations@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.

Faxed or emailed applications will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all required documents have been included in the proposal. If changes are made to this solicitation, notification will be posted on NYSERDA's Cooperative Advertising and Training for Clean Energy Partners web page.

I. Program Summary

NYSERDA will provide up to 50 percent of the total cost of eligible advertising and marketing activities that promote the installation and/or NYS financing options of [cold-climate air source heat pumps \(ccASHPs\)](#), [ground source heat pumps \(GSHPs\)](#), or energy efficient building envelope improvements that are eligible under the NYS Clean Heat Program, Comfort Home, EmPower+, or Residential Energy Audit programs. Heat pump manufacturers and distributors can also receive cost-sharing for sales, design and/or installation training.

The main objective of this PON is to increase the demand for, and installation of, eligible ccASHPs, GSHPs, and energy efficiency measures to help spur widespread adoption of clean energy. The activities to be supported under this PON are intended to complement the NYS Clean Heat, Comfort Home, EmPower+, and Residential Energy Audit programs, and the Clean Heating and Cooling Communities efforts.

Participants must read and agree to be bound by the terms of the [Co-op Advertising and Training Program Manual \(Program Manual\)](#), including the [Terms and Conditions](#) attached thereto. This Manual provides additional details regarding eligible co-op activities, submission requirements, reporting, and reimbursement process.



II. Eligibility Criteria

NYSERDA will pay up to a 50 percent maximum cost-share for qualified marketing, advertising, and or trainings that meet the guidelines and requirements described in the Program Manual. Program applicants must either be: (1) distributors, vendors, or manufacturers (or a brand agnostic collaborative of manufacturers led by an industry association) of eligible clean heating and cooling equipment¹ who demonstrate that they sell eligible clean heating and cooling technologies in New York State; (2) Clean Energy contractors who have an executed partnership or other agreement through the [NYS Clean Heat Program](#), or NYSERDA's [Comfort Home](#), [Residential Energy Audit](#), [EmPower+](#), [Clean Heating and Cooling Community Campaign](#), Green Jobs – Green New York residential loan-offering programs and are in good standing within the aforementioned program(s).

Only clean heating and cooling technology manufacturers and distributors can apply for related sales, design and/or installation training. Manufacturers and distributors must demonstrate they sell utility program-qualified air source or ground source heat pump systems to participate.

Clean Energy partners must demonstrate that they make available for sale program-qualified clean HVAC technologies in New York State, specifically in the System Benefits Charge (SBC) service territories. In general, the SBC service territory covers customers of New York's six investor-owned utilities, which includes Central Hudson Gas & Electric Corporation, Consolidated Edison Company of New York, Inc., Orange & Rockland Utilities, Inc., National Grid, Rochester Gas and Electric Corporation, and New York State Electric & Gas (NYSEG) Corporation.

III. Cooperative Advertising and Training Incentive Structure

The annual maximum cap per eligible heat pump manufacturer (or brand-agnostic manufacturer collaborative led by an industry association) is \$200,000 for advertising and \$50,000 for training. The annual cap per eligible heat pump distributor is \$100,000 for advertising and \$50,000 for training. The annual cap per eligible contractor or Clean Heating and Cooling Community campaign is \$100,000. Annual caps are renewed each calendar year (January 1) and any unused/remaining incentives cannot be carried over from the previous year.

IV. How to Apply

¹ Heat pump products promoted must be eligible for NYS Clean Heat incentives.



Eligible participants apply for incentives by completing the [Cooperative Advertising and Training Application](#) (including uploading any related attachments and documents). Participants must electronically sign each Application and agree to abide by the terms and conditions and guidelines in the Program Manual. Incomplete or inaccurate applications will not be accepted. To be eligible for reimbursement, all cooperative advertising, promotions, and/or training activities must be pre-approved by NYSEERDA.

Where possible, notification of approval or of necessary changes required in order to receive approval will be provided within 15 business days. It is highly recommended that proposers submit applications well in advance to allow enough time for any NYSEERDA-related changes or revisions before the activity is implemented. Applications should include sufficient back-up documentation for each co-op activity for NYSEERDA to determine the cost effectiveness, reach/impact, and content's ability to generate interest, leads, and projects. Advertising creative, including scripts, visuals, and mock-ups should be submitted with the application to avoid delays or rejection of the application.

A maximum of 12 applications will be accepted by a participant (maximum of one application per month) per year. For more information on eligible co-op activities and related requirements, refer to the Program Manual.

V. Evaluation Process

Through this Program, NYSEERDA is supporting marketing efforts that are cost-effective and support an increase in the number of installations and projects. NYSEERDA will review and evaluate all applications received on the cost-effectiveness, reach and/or impact, and content of the advertising, and/or training. For reach/impact, this means that each co-op activity application should provide a realistic number of people that will see or interact with the co-op activity. For cost-effectiveness, the co-op activity will be evaluated based on the overall cost in relation to the number of people that will be targeted through the co-op activity. For instance, if you are applying for co-op incentives to cost share a \$50,000 newspaper ad, but if the newspaper has a circulation of only 3,000 subscribers, this would not be considered cost-effective. NYSEERDA will also review the content of the activity to ensure the messaging is benefit-oriented, and specifically focuses (by type) on eligible clean energy technologies.

Each application will be reviewed by an internal evaluation panel made up of marketing and program experts to ensure each co-op activity sufficiently meets the evaluation criteria. NYSEERDA may reject any application for any reason. Generally, NYSEERDA will provide feedback within 15 business days



on applications that require changes prior to being approved. If those applicants can rectify or improve the proposal, they will be encouraged to revise and re-submit for approval within 15 business days.

All co-op activities proposed should reflect cost-share on the part of the applicant and complement the objectives of the *referenced programs*.

NYSERDA reserves the right to provide less than 50 percent of cost-share based on the reach/impact or messaging of the proposed co-op activity. NYSERDA also reserves the right to make changes to the cost-share incentive structure at any time. These changes will be posted on NYSERDA's Cooperative Advertising and Training for Clean Energy Partners webpage.

Participants will also be informed of any changes via email. All [Cooperative Advertising and Training applications](#) submitted to the Program will be eligible for the incentive level in place at the time that the completed application is received by NYSERDA. Applicants are prohibited from cancelling any submitted or previously approved applications and re-applying if the new incentive structure would result in a higher incentive.

VI. Invoicing and Reimbursement Requirements

To be eligible for reimbursement of co-op activities, Clean Energy partners must meet the requirements outlined in the Cooperative Advertising and Training Program Manual. Once the approved co-op activity is implemented/executed, the Partner must submit the [Payment Request Form](#) (including Tracking Number), back-up documentation including an itemized billing statement or invoice for the activity, and preliminary outcomes (leads/projects) for co-op activities. The payment request must be submitted within 60 days of completion of the advertising/training/promotion and only one payment will be issued per application (see section 4 of the Program Manual for additional details.) NYSERDA reserves the right to withhold the reimbursement until all required/requested documents are received.

VII. General Conditions

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

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to records in NYSERDA's possession. Public Officers Law, Section 87(2)(d) provides for an exception 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/-/media/Project/Nyserda/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 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. NYSERDA may award a contract based on initial applications without discussion or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications.

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

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association,



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

VII. Attachments:

Attachment 1: Cooperative Advertising and Training for Clean Energy Partners Program Manual



KATHY HOCHUL
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**New York State Offshore Wind Training Institute – Workforce Training and Skills Development
Program Opportunity Notice (PON) 4595
\$9 Million Available**

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

Concept Papers (required) are accepted on a rolling basis until October 3, 2024.
Concept Papers will be evaluated within four (4) to six (6) weeks.

Full Proposals (by invitation only) are accepted in funding rounds with the following due dates, as long as funding is available: Round 1 – January 17, 2023; Round 2 – March 23, 2023; Round 3 – June 1, 2023; Round 4 – August 10, 2023; Round 5 – October 19, 2023; Round 6 – December 28, 2023; Round 7 – March 7, 2024; Round 8 – May 16, 2024; Round 9 – July 25, 2024; Round 10 – October 3, 2024; Round 11 – December 12, 2024.

PROGRAM SUMMARY

Overview

In 2019, the historic Climate Leadership and Community Protection Act (Climate Act) was signed into law, requiring New York State to achieve a 100% carbon free electricity system by 2040 and to reduce greenhouse gas emissions 85% below 1990 levels by 2050, setting a new standard for states and the nation to expedite the transition to a clean energy economy. The law mandates that at least 70% of New York's electricity come from renewable energy sources by 2030 and calls for the development of 9,000 megawatts of offshore wind (OSW) energy by 2035.

New York's OSW workforce will grow significantly by 2040, with much of this growth concentrated in the manufacturing/production, construction/extraction, and induced industries. Under this Program Opportunity Notice (PON), the New York State Energy Research & Development Authority (NYSERDA) is

seeking proposals for training initiatives focused on addressing projected OSW workforce gaps and preparing workers for high growth jobs. Training audiences may consist of existing and/or new workers.

Total funding currently available for this solicitation is \$9 million, distributed over the course of multiple rounds. NYSEDA will accept proposals requesting between \$500,000 and \$3,000,000. Additional funds may be added to successful projects funded under this PON at NYSEDA's discretion.

Individuals and entities that may apply as lead applicants for funding include technical/vocational high schools, community colleges, universities, labor unions, training and job placement intermediaries, community-based organizations and non-profit organizations as well as OSW Original Equipment Manufacturers (OEMs), distributors, vendors, suppliers, developers, and trade associations **with a demonstrated track record** in technical training, job preparedness and/or placement of program graduates. Preference will be given to projects that include or are led by certified Minority- and Women-Owned Business Enterprises (MWBES) and/or Service-Disabled and Veteran-Owned Businesses (SDVOBs).

Proposals are required to include a minimum cost share of 30 percent. The minimum cost share required for projects exclusively serving Disadvantaged Communities and/or eligible Priority Populations is reduced to 10 percent. The minimum cost share for qualifying union-led projects and qualifying pre-apprenticeship programs is reduced to 10 percent.

Development and implementation of OSW training programs and initiatives is expected to be completed within approximately 18 to 24 months, with an additional 12-month period for tracking and monitoring employment outcomes for program graduates who are new workers.

Application Submission

This solicitation employs a two-step application process consisting of a Concept Paper (required) followed by a Full Proposal (by invitation only). Concept Papers are accepted on a rolling basis and will be evaluated within four (4) to six (6) weeks of receipt. Upon favorable review, select applicants will be invited to submit a Full Proposal subject to the requirements and evaluation criteria.

Both Concept Papers and Full Proposals must be submitted online.

Contact Information

For contractual questions regarding this solicitation, please contact Nancy Marucci at NancySolicitations@nyserda.ny.gov or 518-862-1090 x3335.

For program questions, please contact Holli Monroe at WFInfo@nyserda.ny.gov or 518-862-1090 x3070, Adele Ferranti at WFInfo@nyserda.ny.gov or 518-862-1090 x3206, or Jessica Dealy at WFInfo@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts above. 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 the applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

I. INTRODUCTION

a. Background

OSW is a cornerstone of New York's ambitious and comprehensive climate and clean energy legislation, which requires that at least 70% of New York's electricity is generated from renewable sources by 2030 and commits to 100% carbon free electricity by 2040. NYSERDA is leading the responsible and cost-effective advancement of at least 9,000 megawatts (MW) of OSW energy in New York State by 2035.

In order to meet the demands of the state's ambitious targets, New York's labor market will require job growth across a number of key occupations that support each phase of OSW project development. Between 2019 and 2040, the state is projected to see OSW jobs grow by 18,000 to 23,000 jobs, as per the New York OSW Workforce Gap Analysis. The majority of job growth will be concentrated in the manufacturing/production, construction/extraction, and induced industries. Job growth will also impact the installation, maintenance, and repair occupations, transportation and material moving occupations, management occupations, and other positions.

b. Objective

The intent of this funding is to support projects that address projected OSW workforce gaps and prepare workers for high growth jobs via technical training. Preference will be given to projects that train for positions noted in Section II.a.iii and/or projects that offer direct entry into the OSW workforce through partnerships with OSW OEMs, distributors, vendors, suppliers, developers, labor unions, and trade associations. Training must address a demonstrated market gap and demand that is tied to specific employer needs for workers and worker skills with direct connections to the OSW supply chain. If a proposer requests funding for Global Wind Organisation (GWO) training, proposer must prove there is a need and couple GWO training with additional training as part of a pathway for new workers.

II. PROGRAM REQUIREMENTS

a. Applicant and Project Eligibility Requirements

i) Training Attendees

All training must serve New York State residents.

Training may be to upskill existing workers or create pathways for new workers. Training for new workers must serve at least 50% individuals from Disadvantaged Communities and/or Priority Populations.

Preference will be given to projects that exclusively serve to advance, place, and integrate individuals from Disadvantaged Communities and/or Priority Populations in the clean energy labor market.

ii) Training Providers

Funding through this Program is limited to lead applicants that are technical/vocational high schools, community colleges, universities, labor unions, training and job placement intermediaries, community-based organizations and non-profit organizations as well as OSW OEMs, distributors, vendors, suppliers, developers, and trade associations **with a demonstrated track record** in technical training, job preparedness and/or placement of program graduates. Training Providers, or partners, must demonstrate expertise in OSW-related technical areas and possess a clear understanding of how proposed training will meet the hiring and skills needs of the industry. Preference will be given to projects that include or are led by certified MWBEs and/or SDVOBs.

Applicants may consist of individual entities or a team. The lead applicant must be a New York State-based entity. Applicants may seek out opportunities to leverage resources and educational infrastructure already in place through the State University of New York (SUNY) system in support of proposed new and expanded initiatives. Note, SUNY cannot be a lead applicant under this solicitation because it is anticipated that additional solicitations will be issued through the OWTI to help SUNY schools build their OSW workforce development capabilities; but SUNY schools may participate in projects as a partner or subcontractor. Applicants are encouraged to partner with and/or demonstrate support and that they are addressing real time hiring and skills needs from OSW-related companies, OSW developers, labor unions or affiliates, environmental or climate justice organizations, local New York businesses and/or accredited education institutions, as applicable.

All training providers must have an established track record in conducting training applicable to the proposed project as well as job preparedness and/or placement activities, and they must demonstrate the nature of their training qualifications and experience.

iii) Focus Areas

This solicitation will provide funding to projects that address projected OSW workforce gaps and prepare workers for high growth jobs via technical training. High growth jobs are projected to include¹:

- Electricians
- Miscellaneous Installation, Maintenance, and Repair Workers
- Miscellaneous Assemblers and Fabricators
- General and Operations Managers
- Laborers and Material Movers
- Structural Metal Fabricators and Fitters
- Maintenance and Repair Workers, General
- Inspectors, Testers, Sorters, Samplers, and Weighers

¹ Listing of high growth jobs is based on current research and projections. Other occupations will be considered if proposer demonstrates market gap and demand tied to employer needs and worker skills in OSW supply chain.

- Miscellaneous Plant and System Operators
- Construction Laborers
- Structural Iron and Steel Workers

Given the applicability of many of these skillsets to other sectors, proposals must establish a strong connection to OSW skills specific to OSW jobs. This must be accomplished through industry letters of commitment/support, industry hiring timelines, industry job requirements (e.g. credentials), partnering with existing direct entry programs, and other means.

All proposed training projects must demonstrate a solid and comprehensive sustainability plan to ensure continuation of training after NYSERDA funding has been exhausted.

iv) Training Initiatives

Eligible activities for which NYSERDA funding may be used must be aimed at skills that will prepare workers for OSW jobs. Eligible activities must result in the actual delivery of training to the intended audience. These may include, but are not limited to:

- Screening and recruitment;
- Curriculum or certification development or modification;
- Training delivery (online, classroom, on-site, etc.) and certification costs;
- Equipment purchases for hands-on training;
- Hiring and training of trainers;
- Implementation of mentorships and internships;
- Pre-apprenticeships including through vocational school partnerships, apprenticeships and job placement services;
- Training in languages other than English to meet specific business needs;
- Marketing and outreach (reasonable costs will be considered, and are usually up to 5% of total NYSERDA funding);
- Reasonable in-state, necessary travel.

In addition to the above, NYSERDA will evaluate reasonable funding requests that can be justified for other services and activities that directly support technical training and job placement goals on a case-by-case basis; this includes:

- Seaworthiness evaluations to assess ability to work at sea;
- Wrap-around services such as transportation needs, water safety, childcare assistance, case management, training stipends (based on a fixed fee as opposed to hourly wage funding) or other related services;
- Adding OSW content to an existing Learning Management Systems (LMS) to host virtual (or virtual reality) training;
- Indirect costs, such as training facility or equipment rentals and utilities, provided they are reasonable and commensurate with the scope of the proposed training project.

Food and refreshments, computers (and related equipment such as servers, software, etc.), motor vehicles, trailers, personal devices and cell phones are NOT eligible for funding but may be considered as a cost share element if essential to the training being proposed.

Preference will be given to applicants who can demonstrate an ability to leverage existing programs and resources (e.g., previous training developed by an applicant/team or training resources and tools available on the market, existing pre-apprenticeship and apprenticeship programs) – including interstate partnership – to expand capacity and provide training at scale, at multiple training locations across the state, and/or to a substantial trainee audience.

v) Outcome Monitoring and Job Placement Requirements (New Workers, Only)

Training projects for new workers must include a plan to track and monitor the achievements of program graduates for at least 12 months after training completion, resulting in a total project duration of up to approximately three years. Achievements may include, but are not limited to, credentials earned, jobs obtained, additional training towards a career path, advancements, wages, and wage growth over the length of the tracking period.

At least 80 percent of trainees must be placed into a paid internship, apprenticeship, advanced formal training, or full-time job within 6 months of training completion (i.e., within the first 6 months of the Outcome Monitoring Period). Internships and apprenticeships must be related to the proposed training and provide meaningful experience to prepare trainees for continued growth and access to jobs in the clean energy industry. If the 80 percent threshold is not met by the time this monitoring period has ended, NYSERDA payments may be prorated.

b. Funding and Cost Share Requirements

NYSERDA will accept proposals requesting between \$500,000 and \$3,000,000 in funding. If available, additional funding may be awarded to successful projects after the original contract award.

Costs NOT eligible for funding include:

- Costs for training efforts which have already been undertaken;
- Costs for the development of a training proposal or sustainability plan;
- Trainee labor costs (i.e., hourly wage reimbursements or subsidies) to participate in training, however training stipends may be provided to new workers trained in comprehensive career pathway training projects;
- Technical training that is not unique or specific to OSW;
- Soft skills or foundational training for new workers that is not part of a pathway to technical training unique or specific to OSW;
- Costs funded by any other source, including, but not limited to other state, city, or federal programs.

Applicants must contribute a minimum cost share of 30 percent toward the total project budget, which may include “cash” or “in-kind” services. Cost sharing may be borne by the applicant, other team members, and/or other government or private sources. Cost sharing for individual tasks may vary between NYSERDA and the applicant; however, total costs must result in a NYSERDA/applicant split of no greater than 70 percent/30 percent.

The minimum cost share required for projects exclusively serving Disadvantaged Communities and/or eligible Priority Populations is reduced to 10 percent.

The minimum cost share for qualifying union-led projects and qualifying pre-apprenticeship programs as described below is reduced to 10 percent. Qualifying union-led and pre-apprenticeship projects include projects that:

- Integrate OSW skills training into existing New York State registered apprenticeship program(s) or journey worker training,
- Develop a new OSW apprenticeship program registered with the New York State Department of Labor, or
- Are direct entry pre-apprenticeship workforce training programs recognized by the New York State Department of Labor that incorporate OSW content.

Examples of eligible cost share contributions include but are not limited to training fees offset by a third party, materials purchased for training, contributions of direct labor (for which the laborer is paid as an employee), equipment supplied by manufacturers/business for hands-on training, unpaid labor, indirect labor, or other general overhead.

Applicants are encouraged to include project elements that leverage other sources of funding, such as state and federal funding, NYSERDA programs (e.g. New York State Clean Energy Internship Program (PON 4000)), or On-the-Job Training Program (PON 3982)), New York State Department of Labor programs, U.S. Department of Labor programs, and economic development funding opportunities. Applicants should also review the solicitations available through [Empire State Development's Office of Strategic Workforce Development](#).

The funding under this solicitation is designed to address near-term technical training gaps to meet the needs of the OSW industry to the greatest extent possible. Recognizing it is also important to create workforce pipelines, NYSERDA has other initiatives and funding to address long-term career awareness and K-12 educational and professional development opportunities for clean energy technologies, including OSW (e.g. [Roadtrip Nation initiative](#), Clean Green Schools Initiative (PON 4924)).

c. Reporting and Tracking Requirements

Administration of awarded projects will be conducted by a NYSERDA Project Manager. Effective and regular communication is essential between selected training providers (“contractors”) and the NYSERDA Project Manager. Reporting is required for the Project Manager to measure progress and assess whether to approve a contractor’s invoice. Each quarter, contractors will be required to submit a report, based on a format provided by the NYSERDA Project Manager, documenting training activities and key program performance metrics. Following the conclusion of training activities, contractors are further required to report on training program outcomes.

In addition, contractors will be required to coordinate with NYSERDA Project Manager to list relevant details about their training project on NYSERDA’s OSW website.

III. APPLICATION REQUIREMENTS

This solicitation employs a two-step application process consisting of a Concept Paper (required) followed by a Full Proposal (by invitation only).

a. Concept Paper

Concept Papers are a valuable tool for outlining proposals at a high level and securing letters of commitment/support from industry and training partners. NYSERDA uses Concept Papers as a first step in evaluating the viability of prospective workforce development and training projects.

Concept Papers are accepted on a rolling basis and will be reviewed within four (4) to six (6) weeks of receipt. Upon favorable review, NYSERDA will invite select applicants to submit a Full Proposal. To submit a Concept Paper, complete Proposal Cover Sheet (Attachment A) and Concept Narrative (Attachment B) and follow the instructions for online submission.

Applicants not selected to advance to the Full Proposal stage may request a debrief and may submit a revised or separate Concept Paper in a later application.

b. Full Proposal

Applicants selected to submit a Full Proposal will have until any remaining funding due dates to submit a Full Proposal.

A Full Proposal must consist of the following attachments:

1. Proposal Cover Sheet (Attachment A) ***(Updated/Revised, if necessary)***;
2. Concept Narrative (Attachment B) ***(Updated/Revised, if necessary)***;
3. Statement of Work (SOW) (provided in Attachment C – Sample Agreement);
4. Metrics (Attachment D);
5. Schedule (Attachment E);
6. Budget (Attachment F);
7. Industry Letters of Commitment/ Support (letters must include industry hiring timelines, industry job requirements, partnerships with existing direct entry programs, etc.);
8. Resumes of Key Personnel;
9. Other Documentation (optional) – e.g. course outlines and syllabi for new courses, and other supporting material as deemed necessary by the applicant.

c. Submission

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), applicants 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.

Both Concept Papers and Full Proposals must be submitted via the NYSERDA Portal. Full Proposals must be received by 3pm Eastern time on the date noted above for each round.

Applicants may submit MS Word, Excel, or PDF files. Individual files should be 100MB or less in file size. PDF proposals 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. If online submission is not possible, NYSERDA will also accept proposals by mail or hand delivery.

You can only upload one attachment per submission slot. Should multiple documents be required for a given slot (e.g., resumes of key personnel), they must be merged into ONE SINGLE DOCUMENT; otherwise only the last file uploaded will be transmitted to NYSERDA.

Incomplete proposals may be subject to disqualification. It is the applicant's responsibility to ensure that all pages have been included in the proposal. Applicants are advised to plan for at least 60 minutes to enter/submit proposals. The online proposal system will close promptly at 3pm Eastern Time. Files in process, attempted edits or submissions after this deadline will not be accepted. **Late, faxed, or emailed proposals will not be accepted.**

For detailed instructions on how to submit a proposal (online or paper submission), including file requirements, click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)." Should any changes be made to this solicitation, notification will be posted on the "[Current Opportunities](#)" section of NYSERDA's website.

d. Contact Information

For contractual questions regarding this solicitation, please contact Nancy Marucci at NancySolicitations@nyserda.ny.gov or 518-862-1090 x3335.

For program questions, please contact Holli Monroe at WFinfo@nyserda.ny.gov or 518-862-1090 x3070, Adele Ferranti at WFinfo@nyserda.ny.gov or 518-862-1090 x3206, or Jessica Dealy at WFinfo@nyserda.ny.gov.

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IV. PROPOSAL EVALUATION

a. Process & Timing

Concept Papers that meet solicitation requirements will be reviewed by a Scoring Committee consisting of NYSERDA staff using the Evaluation Criteria below. NYSERDA will inform each applicant of its decision regarding invitations for a Full Proposal submission following convening of the Scoring Committee. Concept Papers will be reviewed within four (4) to six (6) weeks of receipt.

Full Proposals may be submitted by invitation only and are due by any of the remaining funding due dates. Upon receipt, a Scoring Committee, consisting of NYSERDA staff and outside experts, will meet again to review and evaluate the Full Proposal based on the Evaluation Criteria below. Within approximately eight (8) weeks, NYSERDA will inform each applicant of its decision for an award.

NYSERDA may request an interview or additional information after submission of a Concept Paper and/or Full Proposal. The interview may be with the Project Manager or with all or part of the Scoring Committee.

The Scoring Committee reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to limit the number of awards per applicant. NYSERDA may also cancel the PON in part or in its entirety if deemed in its best interest.

Accepted Proposals:

Applicants receiving favorable evaluations may be asked to address specific questions or recommendations of the Scoring Committee or make modifications to the SOW, budget, or schedule before being awarded funding. Upon successful negotiation, an award under this PON will result in a contract. NYSERDA may award a contract based on applications with or without discussion. See NYSERDA's Sample Agreement for the full terms and conditions.

Denied Proposals:

Applicants whose proposals have been denied may request a debrief and may reapply under future rounds of this PON.

b. Evaluation Criteria

Both Concept Papers and Full Proposals are evaluated based on their quality and content as well as the requirements outlined in the PON. The Scoring Committee reserves the right to require an interview before the final contract award decision is made to address any potential questions or clarify items outline in the proposals. Additionally, the Scoring Committee may request further data or material to support proposals. The Scoring Committee 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.

For Concept Papers, 70 points is the minimum threshold of 100 possible points. For Full Proposals, 70 points is the minimum threshold out of 100 possible points.

Concept Papers:

1. Applicant Qualifications
 - Does the organization meet the PON's definition of an eligible training provider? How well are the applicant's qualifications and experience described?
2. Description of Training Initiative
 - How comprehensive is the proposed training initiative? Does it address all applicable requirements as outlined in the Concept Paper checklist? How detailed/convincing is the applicant's plan to sustain training post-NYSERDA funding?
3. Documentation of Market Need
 - Has the applicant demonstrated a firm understanding of the skills gaps, industry hiring needs, and market demand? How relevant is the proposed training in addressing the identified gaps and opportunities? Is the applicant collaborating with industry partners and, if so, are their roles clearly defined? Does the proposal establish a strong connection to OSW jobs through industry letters of commitment/support, industry hiring timelines, industry job requirements (e.g. credentials), partnering with existing direct entry programs, and other means?
4. Budget
 - Is the budget reasonable/competitive based on the number of trainees proposed? Does it include the required cost share percentage? Is the proposer exceeding the minimum cost share requirement?
5. Preferred Criteria
 - Does the proposal leverage existing materials or resources? Does the proposal include project elements that leverage other sources of state and federal funding, including NYSERDA programs? Does the applicant partner with and/or demonstrate support from OSW-related organizations? If applicable, does the project integrate into a Career Pathways with clear goals and outcomes? Is the training exclusively serving members of Disadvantaged Communities / Priority Populations? Is the project led by or include M/WBEs or SDVOBs?

Full Proposals:

1. Applicant Qualifications
 - Relevant Experience: Does the applicant and/or any subcontractor(s) have relevant experience (including with NYSERDA) as documented in resumes of key personnel?
 - Rate of Success: What is the applicant's track record of / approach to ensuring job placements and relationships with OSW businesses/employers? Was relevant applicant or subcontractor performance data submitted to demonstrate current or historical programs, including scale/size, completion rates, or placement rates?
2. Description of Training Initiative
 - Training Concept: How comprehensive is the proposed training initiative? Does it clearly outline goals, target audience/category, skills, occupations, and related wages? Does it

adequately describe the training format, dates, times, and locations? Does it take into consideration special needs for different populations?

- Target Audience: Is the intended training audience identified? Are individuals from Disadvantaged Communities or Priority Populations?
- Industry Partnerships: Does the applicant partner with businesses to meet their hiring and/or training needs? Is the role of industry partners defined?
- Career Pathway: Does the proposed training result in an industry-recognized certification, credential, or degree? Does the training prepare students for more advanced courses or create a path to a job? If training new workers, does the proposal have a strategy to ensure that at least 80 percent of individuals are placed into a paid internship, apprenticeship, full-time job, or advanced formal training within 6 months of training completion? Which other services, if any, will be included as part of the career pathway program (e.g., wraparound services, workforce preparation and internship/apprenticeship/job/advanced formal training placement activities)?
- Recruitment, Screening & Tracking: Does the proposal outline a robust strategy to recruit and screen participants (including marketing, outreach, interviewing, and placement)? If training new workers, does the proposal track workers' achievements for at least 12 months once training has been completed? Is the plan adequately documented in the required schedule?
- Metrics/Project Outcomes: How comprehensive are projected training outcomes such as total number of curricula developed; total number of workers to be trained or placed into paid internships/apprenticeships/full-time jobs; and total number to continue on to advanced formal training?
- Sustainability: What are the applicant's plans for sustaining the program once NYSERDA funding is exhausted? Are the plans realistic and sufficiently documented?

3. Documentation of Market Need

- Market Analysis: Has the applicant clearly outlined the gaps and opportunities in the market, supported by employer skills and hiring needs and demands for the proposed training?
- Evidence/Data: Has the applicant provided evidence such as labor market intelligence or employer input to show the need for training? Has the applicant submitted any letters of support from businesses that can attest that proposed training relates directly to their future hiring needs? Does the proposal include industry hiring timelines, industry job requirements (e.g. credentials), partnering with existing direct entry programs, etc.?
- Proposal Relevance: Does the proposed strategy clearly address the identified skills gaps? Has the applicant adequately described the strategy for building training capacity (curriculum, trainers, equipment) in NYS that is employer-led and based on the occupational skills necessary to support business demands and is the proposal tied to specific employer needs for workers and worker skills with direct connections to the OSW supply chain?

4. Statement of Work (SOW)

- Objective: Does the SOW include a detailed training objective and adequately prepare participants to fill the stated OSW workforce?

- **Content:** Is the SOW thorough, specific, logical, and consistent with NYSERDA program goals and the PON's objectives? Are roles and responsibilities of subcontractor(s) clearly identified?
- **Tasks and Deliverables:** Does the SOW include tasks and deliverables that address all of the requirements of the solicitation and as outlined in the Concept Paper? Is there enough detail provided for each task in the SOW? Are appropriate metrics built into each deliverable? Does it include separate, relevant tasks for existing and new worker training, if applicable?
- **Evaluation & Reporting:** Does the SOW include all applicable evaluation and reporting requirements?

5. Budget

- **Documentation:** Is the budget reasonable and responsive to funding requirements under the solicitation? Does the proposal include the budget and a cost breakdown by task? Is the information provided in the supporting schedule sufficiently detailed?
- **Cost Competitiveness:** Is the training cost per participant reasonable and consistent or competitive with current training opportunities on the market? Are the applicant's costs appropriate when compared to the costs of other comparable initiatives and the projected results?
- **Cost Share:** Is a 30% cost share (or 10% for projects exclusively serving Disadvantaged Communities and/or Priority Populations or qualifying union-led and pre-apprenticeship training programs) included and detailed? Is the applicant proposing a cost share higher than 30% (or 10%)? If so, what does the cost share entail? Does the applicant leverage any third-party funds?

6. Preferred Criteria

- **Existing Materials/Resources:** Does the proposal leverage existing resources, including wrap-around services, training facilities and opportunities for hands-on application of skills on the part of learners? Does the proposal include project elements that leverage other sources of state and federal funding, including NYSERDA programs? Does the applicant partner with and/or demonstrate support from OSW-related organizations?
- **Education/Career Pathway:** Does the proposal integrate a degree, certificate, continuing education, career pathway, apprenticeship, pre-apprenticeship, or job preparedness program? Is training on professional/soft skills combined with technical skills training to meet specific employer needs?
- **Disadvantaged Workers:** Does the training initiative exclusively serve to advance, place, and integrate individuals from Disadvantaged Communities and/or Priority Populations in the OSW labor market?
- **Applicants:** Does the project include or is it led by certified MWBEs and/or SDVOBs?

c. Program Policy Factors

Additionally, NYSERDA reserves the right to accept or reject proposals based on the following factors:

- Geographical coverage across New York State to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- Institutional diversity or partnership with minority serving institutions.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities.
- Consideration of the impact on just transition and equity goals.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- The applicant's performance on current or past NYSERDA contracts.

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. 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 in the New York State Office of General Services' [Procurement Lobbying Law Frequently Asked Questions \(FAQs\)](#). 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, [ST-220-TD](#), to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See the Department's [Publication 223: Questions and Answers Concerning Tax Law Section 5-a](#) for more information.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of at least 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 eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg,

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

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

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

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

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

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors,

consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with NYSERDA. Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA’s sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionsearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

VI. ATTACHMENTS

Attachment A – Proposal Cover Sheet

Attachment B – Concept Narrative

Attachment C – Statement of Work (SOW) (Sample Agreement)

Attachment D – Metrics

Attachment E – Schedule

Attachment F – Budget

VII. REFERENCE

The following website contains example training projects that may be helpful references to support development of a proposed OSW training project and proposal response.

<https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Workforce-Development-and-Training/Resources/Example-Training-Projects>

Program Opportunity Notice PON 4701 Rev 1 - Low Carbon Pathways for Multifamily Buildings
Summary of Revisions

EFFECTIVE November 17, 2023 - 5:00 PM EST

PON 4701 Summary

- Revisions to Funding available
- Revision to Program Summary
- Revision to Section I. Introduction
- Revision to Section II. Program Guidelines-
 - o Section A: Eligibility Requirements
 - o Section B: Measure Package and Incentives Overview

Attachment “A” Measure Package Requirement Details

- Revisions to Section I. Envelope Package Requirement Details
- Removal of Section II. Ventilation Package Requirement Details
- Revisions to Section II. Heating and Cooling Package Requirement Details
- Revisions to Section III. Domestic Hot Water Package Requirement Details
- Added Section IV. Appliance Electrification Package Requirement Details
- Revisions to Section V. Optional Recommended Measures Details
 - o Added Section 1.2 Ventilation Package Requirement Details
- Revisions to Appendix B- On-Site Generation Data Requirements

Attachment “B” Low Carbon Pathways Application Form

- Removal of Participant Eligibility section
- Revision of Organization Name
- Revision of Project Details
- Revision of Involvement in Other Energy Efficiency Programs
- Revision of Service Provider Information
- Revision of Acknowledgement of Terms and Conditions

Attachment “D” Terms and Conditions

- Revision to section 2. Eligibility
- Revision to section 4. Glossary of Terms
- Revision to section 6. Under these Terms and Conditions, the Participant agrees to
- Revision to section 13. Endorsement
- Revision to section 16. No Warranties

Low Carbon Pathways Webpage (Redline)

- Revisions to How it Works section
- Revisions to Available Incentives section
- Revisions to Eligibility Requirements section
- Revisions to Learn More section

Low Carbon Pathways Affordable MF Guidelines

- Additional documentation required for projects to verify affordable housing status.



Low Carbon Pathways for Multifamily Buildings

Program Opportunity Notice (PON) 4701

(Up to \$15.75M available)

The New York State Energy Research and Development Authority (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 through December 31st, 2025 by 3:00 PM Eastern Time*

Program Summary: This program supports multifamily building owners and property managers prepare their buildings for the implementation of low carbon technologies and electrification. It does this by providing funding for the installation of low carbon measure package. The goal of this program is to help multifamily building owners and managers take a step-by-step approach towards achieving deep carbon reductions and electrification over time by leveraging existing capital improvement points such as equipment end of life, tenant turnover, and local law compliance. Under this solicitation, eligible building owners and property managers can apply for incentives to complete one or more low carbon or electrification measures, including building envelope improvements, appliance electrification, heating/cooling, and domestic hot water packages.

Application Submission: All application and program materials should be emailed to MFLowCarbonPathways@nyserda.ny.gov. 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 25MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSEDA will also accept proposals by mail or hand-delivery if online submission is not possible.

Program Questions: Customers, Service Providers, or Consultants with Program questions should contact MFLowCarbonPathways@nyserda.ny.gov. No communication intended to influence this procurement is permitted except by contacting the Designated Contact at MFLowCarbonPathways@nyserda.ny.gov. All contractual questions should be directed to Venice Forbes (518) 862-1090 ext. 3507, MFLowCarbonPathways@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All applications must be received by 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. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSEDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

The Multifamily Low Carbon Pathways Program offers incentives to existing multifamily building owners and portfolio managers (Applicant) in New York State. The incentive measure packages are designed such that they can be implemented independently of each other, while taking into consideration health and safety concerns and future retrofits.

Applicants can choose to implement one or more incentive measure packages concurrently or sequentially, depending on their buildings' needs. The packages break down a whole-building retrofit into smaller measure packages that can be implemented over time, leveraging existing building capital planning cycles.

Glossary of Terms

Term	Definition
Applicant	NYS Multifamily building owner or multifamily property manager submitting an application on behalf of an owner and meets other listed eligibility requirements.
Participant	An Applicant that has submitted and received approval for the required application materials.
Applicant or Participant Representative	Representative of the Applicant or Participant who is authorized to act on behalf of the Applicant or Participant
Project	Building or buildings and measures included in a Participant's approved application.
Program	Low Carbon Pathways for Multifamily Buildings Program

II. Program Guidelines

A. Eligibility Requirements

The eligibility requirements listed in this section are not comprehensive. Special circumstances may be reviewed on a case-by-case basis. Contact NYSERDA at MFLowCarbonPathways@nyserda.ny.gov for a review.

Eligible Buildings

- Existing New York State Multifamily buildings¹ that are New York State electricity customers are eligible to participate in this program.²
- New facilities or those that have undergone substantial renovations must be in operation for more than one year prior to submission of the Program Application to be eligible for funding under this solicitation.
- Affordable projects must meet affordability criteria detailed in Affordable Multifamily Building Guidelines available at <https://www.nyserda.ny.gov/All-Programs/Multifamily-Buildings-Low-Carbon-Pathways-Program/Documents-and-Resources-for-Providers> in order to be eligible for affordable incentive amount.

Eligible Consultants/Service Providers

Participants are encouraged to work with a [NYSERDA FlexTech Consultant](#), a NYSERDA [Multifamily Building Solutions Network \(MFBSN\) Provider](#) However, this is not a requirement for program eligibility and applicants may choose an Independent Service Provider of the applicant's choosing.

Ineligible Project Types

The following project types are not eligible for the Program:

- New construction projects
- Substantial renovations (gut rehabs), as defined by projects with the following characteristics:

¹ A Multifamily building is defined as a building that has five or more residential units, and where the predominant building use type is for residential purposes. Buildings may contain nonresidential commercial space if that space does not consist of more than 50% of the gross heated square footage of the entire building.

² Commercial facilities, such as motels/hotels, group homes, dormitories, shelters, monasteries, nunneries, assisted living facilities, and nursing homes are not eligible for the Program.



- Change of use and reconstruction of an existing building or space within; or
 - Construction work of a nature requiring that the building or space within be out of service for at least 30 consecutive days, with the exception of garden style buildings; or
 - Reconstruction of a vacant structure or space within.
 - Projects that do not meet a minimum unit occupancy rate of 50% (rounded down) for all properties within the application**.
 - Unit-by-unit construction projects that do not include non-centralized heating and cooling system.
- **An exception may be made for affordable housing on a case-by-case basis.

B. Measure Package and Incentives Overview

- Participant must choose at least one of the low carbon measure packages to install as listed in *Table 1* on the next page.
- Participant can choose to install more than one measure package in a project and be eligible to receive additional corresponding incentives.
- **Required Measures:** To receive the incentives for each package, the Participant is required to install all Required Measures and follow the minimum installation standards in **Attachment A: Measure Package Requirement Details**.
- **Recommended Measures:** In addition to the Required Measures, Participant can choose to install one or more of the Recommended Measures listed within the corresponding measure package for additional bonus incentives. To receive the bonus incentive(s), a Participant is required to follow the minimum installation standards for the corresponding Recommended Measures as outlined in **Attachment A: Measure Package Requirement Details**.
- **Previously Installed Measures:** Measures installed and operating prior to entering the program cannot be incentivized retroactively. Only new measures are eligible for program incentives. Only new measures can be included in the project workscope and count towards the total project cost.

Incentive Cap

- NYSERDA incentives through Low Carbon Pathways will not exceed 50% of the total costs of eligible measures per individual market rate project OR 75% of the total costs of eligible measures for low- or medium-income (LMI) projects up to a maximum of \$3M in incentives across a corporate parent entity's portfolio. For the purposes of calculating the incentive cap, the total project cost includes the total cost of measures as noted in their respective workscope tools and invoice documentation. Consulting fees, including construction management, are not included in the total project cost for the purposes of calculating the incentive cap.
- In instances where projects are layering Low Carbon Pathways incentives with additional incentives available through other offerings (e.g. New York State Clean Heat Program, Federal Weatherization Assistance Program, etc.), Low Carbon Pathways incentives will be adjusted to ensure that the total combined incentives for measures incentivized through Low Carbon Pathways do not exceed 50% of the total cost of these specific measures for market rate properties OR 75% of the total cost of these specific measures for LMI properties.
- To ensure compliance with this requirement, applicants must submit to NYSERDA a copy of the executed award letter(s) from all other offerings from which the project is receiving funding. Total incentive amounts received from other programs and NYSERDA must not exceed total project cost.

Incentive Recipient

Participant can designate whether incentives should be provided to Participant, a consultant, or other entity.

Table 1

Measure Package	Measure Tier*	Required Measure	Required Upgrade Incentives**	Add-On Incentives***
Envelope	Roof - Tier 1	U-Value Target of ≤ 0.025	\$250 per dwelling unit	Air sealing: \$50 per dwelling unit Ventilation: \$750 per dwelling unit Bonus \$250/dwelling unit if this is first package implemented and none of the other required measure packages described in this table have been implemented
	Roof - Tier 2	U-Value Target of ≤ 0.02	\$500 per dwelling unit	
	Wall - Tier 1	U-Value Target of ≤ 0.05	\$750 per dwelling unit	Air sealing: \$50 per dwelling unit Ventilation: \$750 per dwelling unit Bonus \$1,000/dwelling unit if this is first package implemented and none of the other required measure packages described in this table have been implemented
	Wall - Tier 2	U-Value Target of ≤ 0.03	\$1,500 per dwelling unit	
	Window - Tier 2	U-Value Target of ≤ 0.27	\$1,250 per dwelling unit	Air sealing: \$50 per dwelling unit Ventilation: \$750 per dwelling unit Bonus \$500/dwelling unit if this is first package implemented and none of the other required measure packages described in this table have been implemented Unit-by-unit construction option assessed on a project basis.

Appliances	Induction Stoves		\$700 per dwelling unit	Unit-by-unit construction option assessed on a project basis.
	Heat Pump Dryers	Must be ENERGY STAR	\$500 per dwelling unit	
Heating & Cooling	Partial Electrification - Tier 1		\$2,000 per dwelling unit In addition to any applicable NY Clean Heat incentives	Air sealing: \$50 per dwelling unit Unit-by-unit construction option assessed on a project basis. Ventilation: \$750 per dwelling unit
	Full Electrification - Tier 2		\$4,000 per dwelling unit In addition to any applicable NY Clean Heat incentives	
Domestic Hot Water	Partial Electrification - Tier 1		\$750 per dwelling unit In addition to any applicable NY Clean Heat incentives	Unit-by-unit construction option assessed on a project basis.
	Full Electrification - Tier 2		\$1,500 per dwelling unit In addition to any applicable NY Clean Heat incentives	

**Tiers 1 and 2 have different minimum U-values (a measure of insulation efficiency) for upgrade packages, with Tier 2 requiring lower U-values and greater efficiency.*

***All required upgrades within a package must be implemented and adhere to measurement & verification and quality control protocols to receive the required upgrade incentives for that package.*

****Add-on incentives are available when implementing recommended upgrades along with all required upgrades.*

C. Project Milestones and Incentives Payment Schedule

The Participant will receive the eligible incentives for their project after each milestone has been approved by NYSERDA. Incentive payments at each milestone are a set percentage of the total approved incentive. The incentive schedule for each measure package is shown in *Table 2* below. For more details about the requirements of each milestone, please refer to **Attachment A: Measure Package Requirement Details**.

	Project Milestones and Incentives Payment Schedule		
Measure Packages	Pre-Construction <i>(Capped at \$75,000 for each package. Remaining incentive amount will be reallocated to later payment milestones)</i>	Partial Installation <i>(At 30% of measure installation; Required for Envelope Package; Optional for all other packages)</i>	Construction Complete
Envelope Package (roof, wall/EFIS, windows)	10%	40%	50%
Appliance Electrification Package	10%	40%	50%
Heating & Cooling Package	10%	40%	50%
DHW Package	10%	40%	50%
Bonus measures (air sealing, ventilation upgrades)	NA	NA	100%

Table 2: Project Milestones and Incentive Payment Schedule

III. Application Requirements and Program Processes

A. Application Materials

Applicants should review **Attachment D: Terms and Conditions** and submit the following documents as part of a complete application to MFLowCarbonPathways@nyserdera.ny.gov:

- 1. Attachment B: Low Carbon Pathways Application Form** – Signed document containing basic information about Applicant, Applicant’s portfolio, participant eligibility, the proposed building, and proposed measure package. By signing this form, the Applicant agrees to the Terms and Conditions in **Attachment D**.
- 2. Attachment C: Letter of Commitment** - Confirms the Applicant’s commitment to consider replicating a successful project in other buildings within their portfolio or sharing project results with peers to encourage others’ ability to take on similar projects.
- 3. W-9 Form**

A consultant may assist in the completion of the documents. All applications will be reviewed on a first-come, first-served basis dependent on funding availability.

B. Project Timeline and Milestones

Table 3 below provides an overview of the project milestones for each project. Please refer to **Attachment A: Measure Package Requirement Details** for more information on deliverables required and NYSERDA reviews.

Application Submittal	Kickoff Meeting	Project Milestones		
		Pre-Construction Deliverables	Partial Installation Deliverables ³	Construction Complete Deliverables
Will be reviewed on first-come, first-served basis	Scheduled upon approval of application	Due 90 days from receipt of NYSERDA award letter	<i>Upon installation of 30% of measure package³</i>	Due 2 years from Kickoff meeting
		NYSERDA reviews to confirm workscope eligibility	<i>NYSERDA conducts field inspection³</i>	NYSERDA conducts final field inspection

Table 3: Project Timeline and Milestones Overview

Kickoff Meeting:

- Upon receipt of a complete application, NYSERDA will schedule a project kickoff meeting with NYSERDA, Applicant representative, and the consultant to review the scope of work and portfolio information. After the kickoff meeting, NYSERDA will confirm eligibility and the project can proceed into pre-construction.

Quarterly Check-in Meetings

- At minimum, NYSERDA will schedule quarterly check-in calls or meetings with the Applicant representative and the consultant to get a progress update and discuss any questions.

Project Milestones and Deliverables:

- Each milestone payment is associated with deliverables that will be used to ensure measures are adhering to minimum standards, as detailed in **Attachment A: Measure Package Requirement Details**. Milestone payment will be provided upon verification of associated deliverables and/or inspections.
 - **Partial Installation:** NYSERDA will review the deliverables and, if necessary, schedules a site inspection. NYSERDA reserves the right to conduct a field inspection if it is deemed necessary.
 - **Construction complete:** NYSERDA will review the deliverables and, if complete, schedules a site inspection. On a case-by-case basis, if the Provider submits quality inspection documentation, NYSERDA will waive the 100% field inspection and will instead conduct a desk review. The building owner can request a final field inspection if they choose.
- Deliverables will need to be submitted based on the deadlines stated above. Projects that do not meet these deadlines may be terminated from the Program and unpaid incentives forfeited. The deadlines can only be extended by written or emailed request from the Applicant or Applicant representative to NYSERDA that is approved in writing by NYSERDA.

IV. Attachments

- Attachment A: Measure Package Requirement Details
- Attachment B: Low Carbon Pathways Application Form
- Attachment C: Letter of Commitment
- Attachment D: Terms and Conditions

³Required for Envelope Package; optional for other measure packages. Please refer to **Attachment A: Measure Package Requirement Details** for more information.



NYSERDA

MHD EV Grid Impact and Investment Consultant

Request for Proposal (RFP)5574

\$1.2 million Available

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

Proposals Due: February 26, 2024 by 3:00 p.m. Eastern Time*

NYSERDA is seeking one or more consultants to support a joint effort by NYSERDA and the NYS Department of Public Service (DPS) with four distinct focus areas related to utility programs supporting medium- and heavy-duty (MHD) vehicle electrification and associated charging infrastructure and proactive utility investments in electric grid upgrades to support transportation electrification. The four areas are:

Category	Description	Max Award
MHD ZEV Market Overview	Perform a market analysis of zero-emission vehicles (ZEVs) with a focus on the barriers to truck and bus electrification, including model availability, tradeoffs of plug-in and fuel cell technology as well as infrastructure costs and available incentives	\$100,000
MHD ZEV Adoption and Charging Scenarios	Develop forecast of vehicle electrification, charging infrastructure needs and projected cost based on mandates and policy targets to determine medium- and heavy-duty (MHD) make-ready needs	\$200,000
MHD EV Make-Ready BCA	Conduct a Benefit-Cost Analysis (BCA) and ratepayer impact analysis of such an MHD EV make-ready program to determine the reasonableness of future program cost recovery by ratepayers	\$300,000
Proactive Planning Support	Support NYSERDA, DPS, and the Utilities through future modeling efforts undertaken by the utilities that may utilize the data developed under the MHD ZEV Market Overview and MHD ZEV Adoption and Charging Scenarios	\$600,000

This project may result in one or multiple contracts. Proposers may propose to one or more categories to complete one, two, three or four elements. Proposals to each category should be separate proposals and will be evaluated against other proposals for that category.

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 Adam Ruder (Designated Contact) at (518) 862-1090, ext. 3411 or by e-mail transportation@nyserda.ny.gov or Adam Lomasney (Designated Contact) at (212) 971-5342 ext. 3017 or by e-mail transportation@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible 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. Please see [Solicitation Proposal and Vendor Responsibility Questions.pdf](#) for a complete list of the questions proposers must answer as part of a submission. 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>).

NYSERDA will host an informational webinar on January 24, 2024 at 4:00 pm Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can join the webinar at the following link: <https://nyserdany.webex.com/weblink/register/r1c9d9d437d522196e52d34ff5974d5a3> Questions may be submitted via the same e-mail address prior to the Webinar, or during the Webinar using the web platform.

I. Introduction

To help reach New York State’s ambitious climate goals set forth in 2019 under the Climate Leadership and Community Protection Act (CLCPA or Climate Act), the New York State Public Service Commission (PSC) has instituted several proceedings and implemented policies to incentivize investment in electric vehicles (EVs) and EV charging infrastructure. The PSC regulates investor-owned utilities in New York, including the Joint Utilities of New York (JU). Transportation is the second-largest greenhouse gas (GHG) emitting sector of the New York State economy, having produced approximately 28 percent of New York’s GHG emissions in 2019. This makes the electrification of the transportation sector a key component in meeting the CLCPA’s goal of reaching net zero GHG emissions in the State by 2050. According to data provided by the New York State Department of Environmental Conservation, as of March 2023, there are 547,017 registered trucks and buses in New York State. These vehicles are of various sizes and use cases, thereby necessitating a broad spectrum of charging solutions beyond those for light-duty EVs, which have been the focus of the State thus far, as in the Order Establishing Electric Vehicle Infrastructure Make-Ready Program And Other Programs, or the “Make-Ready Order,” of July 2020.

The Make-Ready Order unlocked significant investment to support light-duty vehicle electrification at scale and authorized three programs aimed at advancing the medium- and heavy-duty (MHD) electric vehicle industry in New York, to be implemented by the Joint Utilities (JU). The first is the MHD Fleet Make-Ready Pilot Program, which funds the utility-side make-ready costs for charging stations that serve MHD vehicles. The second program is the Fleet Assessment Service, which provides MHD fleet operators with site feasibility and rate analysis to support electrification efforts. Additionally, the Make-

Ready Order directed the Joint Utilities to work with four upstate transit fleet operators, allocating \$10 million in make-ready funding to support the electrification of 25 percent of these fleets by 2025.

On March 1, 2023, DPS Staff (Staff) filed the “Electric Vehicle Make-Ready Program Midpoint Review and Recommendations Whitepaper” (Whitepaper), which proposed interim programmatic changes to the authorized Make-Ready Program, including a \$30 million increase in funding for the MHD Make-Ready Pilot and a streamlined Fleet Assessment Service application process. Staff recommended these interim actions to improve certain program design elements identified during the Midpoint Review, but suggested that any extensive modifications and MHD-related policy decisions should be considered separately due to the impending MHD EV proceeding.

In April 2023, to ensure a holistic approach to transportation GHG reduction, the PSC commenced its “Proceeding on Motion of the Commission to Address Barriers to Medium- and Heavy-Duty Electric Vehicle Charging Infrastructure” (MHD EV Infrastructure Proceeding). This order addresses the electrification needs of the State’s MHD EV sector more comprehensively than the MHD allocations of the original Make-Ready Order. The scope of this proceeding will be developed with the aid of interested stakeholders and have a focus on EV infrastructure investments that prioritize disadvantaged communities (DACs), including Clean Air Act nonattainment areas, which bear a disproportionate burden of pollution from the MHD vehicle sector. The proceeding will also develop proactive planning approaches to ensure the grid infrastructure is prepared to enable the growing EV charging needs from all vehicle classes across New York State.

II. Program Requirements

A. Services Requested

This project is expected to result in four distinct work efforts, each with different but potentially overlapping schedules:

Category 1: ZEV market overview providing data gathered from literature reviews, stakeholder engagement, and other primary research with a focus on the MHD ZEV market. Relevant stakeholders include utilities, fleets, charging providers, and state and local agencies. The contractor will provide an overview of the hydrogen fuel cell and plug-in electric market for MHDVs, relevant charging technologies and costs, and the availability of supportive federal, state and local funding. The contractor will review regulations on the sales of ZEV in New York across all vehicle classes. **This work is expected to start once the contract is awarded, with an expected timeline of approximately two to three months, with a budget of up to \$100,000.**

Category 2: ZEV adoption and charging scenarios that shed light on the economics of total cost of ownership of ZEVs relative to their fossil fuel powered counterparts as well as develop load profiles and project charging infrastructure needs and associated costs. The scenarios will be a top-down approach to ZEV adoption and charging needs that will be anchored to New York’s aggressive sales mandates and existing government incentive programs. The contractor will develop ZEV market segmentations for all vehicle classes, but with a focus on the varying vehicle sizes and duty-cycles in the MHD vehicle classes and with considerations of the role of hydrogen fuel cell technologies. The contractor will provide these outputs in a format useful for the subsequent benefit-cost analysis and other future work. Outputs will be provided by utility service territory and by county. Cost assumptions will include MHD make-ready infrastructure (separated into utility and customer side costs) as well as other relevant infrastructure costs. **This work is expected to start after the ZEV market overview is completed, with an expected timeline of approximately three to four months, with a budget of up to \$200,000.**

Category 3: Benefit-Cost Analysis (BCA) of a potential MHD EV make-ready program. This work will draw on information developed under the first two elements described above as well as information provided by DPS on the anticipated scope of an MHD EV make-ready program. The

work will include supporting DPS in developing the parameters of the make-ready proposal and defining how they will be analyzed. The BCA should model at least six (6) scenarios of different types of rate structures, rebate programs, and MHD EV penetration levels and provide results for:

- a. Ratepayer Impact Measure
- b. Analysis of Participant Cost Amortization
- c. Societal Cost Test

This work is expected to begin after the completion of the first two elements, with an expected timeline of approximately three to four months, with a budget of up to \$300,000.

Category 4: Proactive Planning Support divided across two distinct needs:

- a. Complete a bottom-up analysis of charging needs for ZEV deployment in NYS that can be utilized in other studies and electric system modeling exercises. This task will analyze the various market segments to develop scenarios around travel patterns, duty cycles and charging requirements that will feed into a bottoms-up accounting of total charging needs on a locationally-granular basis (by zip code if possible). This will include researching, collecting, compiling, and analyzing data related to fleets, highways, and public and private charging along with developing assumptions around travel patterns, vehicle duty cycles, and freight and fleet patterns. This task should result in a statewide, granular estimate of total charging needs, in the form of locationally-specific load profiles, for selected scenarios, with the ability to disaggregate by vehicle segment and charger type.
- b. Support NYSEERDA, DPS, and the utilities in future modeling efforts related to proactive planning for electricity grid upgrades required to enable the charging needs developed in Task 4a. Utility distribution system upgrades will be needed at locations where there is expected to be significant load from transportation electrification due to fleet charging and public fast charging. These utility upgrades could, in some cases, take years, slowing the pace of GHG emission reductions and preventing NYS from meeting its GHG goals. By allowing certain proactive utility investments to be made in advance of load letters in places where analysis points to a high degree of confidence that they will be needed, NYS can facilitate timely ZEV adoption. This Task 4b will include providing and describing data and assumptions related to charging needs within future planning efforts undertaken by the utilities. While the utilities or their designated consultant will undertake the modeling, the consultant chosen under this RFP will play an important role in supporting the process by serving as an expert advisor to the modeling process. Specific duties likely include meeting attendance, responding to questions related to data and assumptions, and serving as advisor to the assumptions development process. **This work is expected to begin once the contract is awarded and is expected to take 3-6 months for Task 4a with an additional 12-15 months for Task 4b, with a budget of up to \$600,000.**

NYSEERDA and DPS have limited existing data resources to draw upon for these projects:

- Baseline NYS transportation statistics such as vehicle registrations and granular demographic information
- High-level projections of MHD ZEV adoption and ZEV infrastructure needs through 2050 (through modeling done for the NYS Clean Transportation Roadmap) and a more granular projection of MHD ZEV infrastructure needs by ZIP code through 2030 (through modeling done for an upcoming ZEV plan)

NYSEERDA may be able to obtain additional information about fleet locations in NYS through NYS Department of Environmental Conservation. NYSEERDA does not have extensive existing data on MHD charging costs, vehicle miles traveled, and MHD charging load profiles.

Proposers should draw from existing literature and analysis where it makes sense, including existing market forecasts, recently completed NYSEERDA reports, and other relevant work. Proposers should be prepared to meet with NYSEERDA and the other stakeholders at regular intervals to review emerging

findings, assess implications, and refocus work streams as needed. DPS will act as a facilitator to connect the contractor to relevant stakeholders for the completion of the MHD Market Overview task.

NYSERDA may choose to contract with one or more entities for this project. If a contractor can credibly accelerate the project timeline to complete the work for the category it is addressing more quickly, either through assigning multiple teams to tackle different aspects of the challenge and/or teaming with another consultant to complete the work, this would be viewed very favorably by NYSERDA.

Project Tasks

The proposer will need to complete the following tasks as part of each proposed project, relevant to each of the four categories of work:

1. MHD ZEV Market Overview
 - a. Engage stakeholders from utilities, fleets, charging providers as well as state and local agencies to gather inputs and information. This may include participating in public meetings and small group meetings (to be organized by NYSERDA and/or DPS) and conducting limited one-on-one interviews.
 - b. Conduct a review of relevant market studies, review relevant State goals and mandates, as well as relevant investments from the Inflation Reduction Act (IRA), Infrastructure Investment and Jobs Act (IIJA), and other sources of ZEV incentives
 - c. Provide information on ZEV model availability, including hydrogen fuel cell and plug-in electric models, as well as an overview of the availability of relevant charging and hydrogen fueling infrastructure
 - d. Review of potential data sources that can be used in the Task 2 charging scenario analysis
2. MHD ZEV Adoption and Charging Scenarios
 - a. Develop market segmentations for ZEVs with a focus on the different duty-cycles and variability in vehicle size for medium- and heavy-duty classes
 - b. Develop at least three modeling scenarios of ZEV adoption and charging need to 2045 based on the relevant sales mandates and other findings identified in Task 1. Scenarios shall consider the EV market maturity by vehicle type and charging needs by market segment, including assumptions of the role of both plug-in and hydrogen fuel cell vehicles. At least one modeling scenario will consider impact of hydrogen fuel cell vehicles on the need for charging infrastructure. All modeling scenarios should consider investment needs in disadvantaged communities (DACs)
 - c. Produce projected future load shapes based on expected charging profiles and estimate the number, type and cost of charging ports needed by ZEV market segment, as well as other related costs that might factor into a BCA
 - d. Develop any additional necessary inputs of projections for MHD ZEV by utility service territory for the BCA
3. MHD Make-Ready Benefit-Cost Analysis
 - a. Develop an agreed-upon outline of a make-ready proposal to use as inputs to a BCA
 - b. Finalize inputs for BCA modeling based on Task 1 results
 - c. Develop at least six scenarios to model and run each of the three tests described above for each scenario
4. Proactive Planning Support
 - a. Conduct granular, bottom-up analysis of charging needs for ZEV deployment in NYS that estimates total charging needs in the form of locationally-specific load profiles, for selected scenarios, with the ability to disaggregate by vehicle segment and charger type
 - b. Work with stakeholders to identify data needs and processes to inform a proactive planning and investment process for identifying sites and amounts of investment needed to serve MHD and other ZEV charging needs
 - c. Identify data sources that would be used for this type of effort
 - d. Attend meetings and support assumptions development
 - e. Support stakeholder process as needed, through convening meetings and coordinating with entities in the proactive planning process

B. Proposer Eligibility

NYSERDA anticipates awarding one contract to a proposer in each Category through this RFP. Proposers are permitted to submit under one or more category; **if submitting under multiple categories, the proposer must submit a separate proposal and budget for each category under which they propose.** Proposers may be a single company or team of companies but must, in their proposal, clearly identify the prime proposer, key employees, subcontractors, or relevant affiliates of all entities who are proposed to fulfill the requirements of this RFP. If a proposer includes a partnering arrangement with third parties in their proposal, the proposer will retain sole responsibility for successful completion of the work under a resulting contract. The successful proposer must demonstrate that they have a clear understanding of the services described in this RFP for the category under which they propose. Proposers must demonstrate the ability to provide the services as outlined in this RFP.

To avoid any conflict of interest, the proposer should not be under contract to perform analysis for one of the New York State investor-owned utilities exploring the same questions that are being researched under this solicitation. Any potential conflicts should be listed in the proposals. Chosen proposers are barred from submitting comments as an independent party to the Proceeding on Motion of the Commission to Address Barriers to Medium- and Heavy-Duty Electric Vehicle Charging Infrastructure (Case Number 23-E-0070).

Proposers to all Categories must be available to start work no later than **April 1, 2024.**

Proposers must clearly demonstrate their ability to provide the necessary technical expertise and administrative support described in this RFP for the category under which they propose. The selected contractors will provide NYSERDA with a dedicated team of high-level professionals. Specific areas of expertise desired of contractors for each category are listed below

Proposers must identify one qualified team member who will be responsible for leading the work under the relevant category outlined in this RFP. The identified personnel must have previous experience in the services requested under this RFP.

C. Contract Term and Schedule

NYSERDA anticipates entering into contract(s) with the selected proposer(s) by the end of March 2024. Schedules for each of the project elements are described above. The first two elements should be completed by August 31, 2024, with additional work on the third element beginning at that time and continuing through late 2024 and the fourth element running through 2025.

NYSERDA reserves the right to:

- Incorporate necessary program changes, consistent with the services being sought under this RFP, by modifying or adding to the services required for successful support of the projects;
- tailor the services as needed within the scope of the contract; and
- add necessary, additional funds and time to the contract at any time.

III. **Proposal Requirements**

If proposing to more than one category, the Proposer must submit a separate proposal for each category under which they propose.

Proposers must submit their proposal(s) by the due dates in accordance with the instructions described on the front of this RFP. Proposals should not be excessively long. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Suggested page limits for each section are provided below in parentheses. Proposals that grossly exceed the page limits or fail to follow the format guidelines may be rejected as nonresponsive. Proposals should concisely present the information needed to fully address the evaluation

criteria (see Section IV). Each page of the proposal should state the name of the proposer, the RFP number, the category, and the page number. If you believe proprietary information must be submitted to present an adequate proposal, please contact the Designated Contact listed at the beginning of this RFP, indicate as such on the proposal, and comply with the Section V instructions for submitting proprietary material.

Each proposal must contain **two files** to be uploaded separately. The first file must include Sections 1-7, as described below, in the format and sequence indicated. **Section 8, Cost Proposal, must be uploaded as a separate file.** The following represents the requirements for each proposal under all categories.

Section 1: Introduction and Proposal Narrative
Section 2: Statement of Work
Section 3: Staffing Plan
Section 4: Qualifications
Section 5: Schedule/Work Plan
Section 6: Letters of Commitment (if applicable)
Section 7: Appendices
Section 8: Cost Proposal (to be uploaded separately)

Section 1. Introduction and Proposal Narrative (4-6 pages): Proposers should summarize their understanding of the goals, objectives and requirements of the services described in this RFP. This section must include a narrative of how the proposer intends to complete the required services described in the relevant category under Section II.A. Proposers should briefly identify key information about their organization and any proposed subcontractors. Describe any other additional resources the proposer can bring to the project, such as cost-sharing funds or materials already developed, and how they would be used to advance the project goals. Proposers should describe why they believe that they are qualified to perform and complete the services requested under this RFP. Proposers should identify any potential conflicts of interest from similar contracts with utilities.

Specific elements of the proposal narrative should address:

- How the proposer intends to complete the elements of the category for which they are applying, as described above
- Examples of existing data sources, studies or reports that the proposer recommends using to inform the process and analysis as well as other stakeholders who could serve as sources of additional information
- Description of any quantitative and qualitative analysis/modeling and research to be conducted
- Any other additional resources the proposer can bring to the project, such as cost sharing funds or tools already developed, and how they would be used to advance the project

Section 2. Statement of Work (2-4 pages): Submit a Statement of Work delineating each step required to accomplish the project objectives. The Statement of Work (SOW) is the primary contractual document that outlines work activities and specifies deliverables. Therefore, each action needs to be identified, indicating who will perform it, how it will be performed and its intended result. At the end of each task description, specific task deliverable(s) must be listed.

The SOW should highlight how the proposer will deliver services. If a proposal is selected, NYSERDA may choose to move forward with some tasks but not others, based on in-house capabilities, timing, and available budget. Because of this, proposals should be constructed as a menu of tasks, with clearly assigned budget estimates for each task.

NYSERDA has provided a Statement of Work template in the Sample Agreement (Attachment B) that can be used for all categories. The proposer is strongly encouraged to use this template as a starting point and may adapt as needed to provide necessary details on the proposer's approach to completing the requested services; however, significant departures from the provided template may result in delays in

the negotiation process and the start date of work. NYSERDA reserves the right to make changes to the proposed Statement of Work to meet the needs of the program. The Statement of Work must:

- Read as a stand-alone document that identifies assumptions and detailed descriptions of tasks. **Do not provide this as a separate file.**
- Be clear and specific: concentrate on “how” and not “why.” Use “active voice” sentence structure to make clear who is responsible for specific actions. Use the following phrase to start the description of every task and subtask: “The Contractor shall...”
- Include information regarding responsible staff for each task, including any subcontractors.
- Include a timeline and connect to the requested work plan.

Section 3. Staffing Plan (1-2 pages): Provide an organizational structure that facilitates effective leadership and quality staff services. Identify the main point of contact for NYSERDA and key participants in the project. Describe their individual expertise and explain how each will contribute to the work. Describe the team’s management and technical expertise and relevant experience with the work described for the relevant category under Section II.A. Indicate which team members have specific MHD ZEV market knowledge, experience with proactive planning for utility infrastructure, and/or analytical/modeling capabilities. Please include an organization chart showing the relationship among all personnel and subcontractors. Resumes of key personnel highlighting relevant experience should be included as appendices. (Note: resumes are not included in the page total)

Section 4. Qualifications (2-4 pages): Describe how the Proposer’s staff and other team members meet the required experience, skills, and abilities to perform the services described in the relevant category under Section II.A of this RFP. State the individual and combined expertise that would enable successful completion of the objectives outlined in this solicitation. Provide relevant background information demonstrating the ability to successfully provide the required services, including prior experience with this type of work and any tools and templates that may already be developed. Cite specific previous relevant projects. Include the name and telephone number of at least three (3) references for whom your organization has completed relevant projects. Prior NYSERDA projects may be used as an additional reference but may not serve as one of the three required references.

Section 5. Schedule/Work Plan (1-2 pages): Submit a schedule for conducting the work proposed in the SOW in a Gantt chart or similar format in terms of weeks and months. Specifically address the plan for commencing work no later than April 1, 2024, and performing the tasks required through conclusion of the contract term. Proposers should allow time for correspondence with and approval of tasks by NYSERDA. Note that hours allocated in the work schedule must be consistent with those in the budget and Statement of Work.

Section 6. Letters of Commitment: If proposers are relying on any other organization to do some of the work or provide services or resources, include a letter from that organization describing its planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer has not secured a firm commitment from the subject parties. (Note: letters of commitment are not included in the page total)

Section 7. Appendices: Include resumes, company qualifications, sample work products, or ancillary information which is deemed necessary to support your proposal. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

Section 8. Cost Proposal (1-2 pages): A total project budget, itemized by task, including cost elements and subcontractor costs (if applicable) must be provided using the attached Budget Form (see Attachment A). At a minimum, the budget should list team members, their hourly rates, the number of hours they are expected to contribute, and the total cost. 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. Where a prime

contractor is providing oversight or other administration of subcontractors, the hours to do so should be included as direct labor. NYSERDA does not allow a percentage mark-up of the subcontractor cost.

Cost Share

Cost-sharing by the proposer 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."

If a proposer is submitting proposals to multiple categories, they may reuse portions of their proposals in multiple submissions.

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 within each category by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. 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. 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. Selection of contract award(s) for each category will be based on the following:

Proposer Qualifications:

- Demonstrates ability of team to bring relevant expertise to the project in its understanding of and experience with specific MHD ZEV market aspects and with appropriate quantitative/qualitative research and analysis/modeling techniques, such as BCAs and utility planning, and its expertise in designing and evaluating utility EV programs.
- Demonstrates experience conducting projects similar to the project described in the appropriate proposal category, including for NYSERDA and/or DPS, and assigns staff to the project with relevant experience.

Approach to Services Requested:

- Demonstrates an understanding of the range of services requested and the ability to successfully deliver these services.
- Provides appropriate and creative ideas for approaching the project relevant to the appropriate proposal category.
- Demonstrates an understanding of the desired final deliverables.

Proposal Value:

- Provides experienced staff performing appropriate tasks at industry comparable rates.
- Allocates an appropriate proportion of project cost dedicated to project completion (versus travel, administration, or other expenses).

- Demonstrates the level of service provided is in line with the proposal cost.
- While not a required element of the RFP, voluntary cost share will be evaluated under this component of the evaluation criteria.

Schedule/Work Plan:

- Demonstrates the ability to address NYSERDA program needs and deliver high-quality work on tight deadlines.
- Commits and shows a demonstrated ability to starting and completing work according to the timeframes described above.

NYSERDA reserves the right to accept or reject proposals based on the following factors:

- The degree to which pricing and hourly rates are in line with the rest of the market.
- 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/-/media/Project/Nyserda/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making one or more awards under this solicitation. NYSERDA anticipates a contract duration of up to two years, depending on funding category, 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 five (5) weeks from the proposal due date whether your proposal has been selected to receive an award. Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting transportation@nyserdera.ny.gov. 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 on the [Doing Business with NYSERDA page](#) or download [NYSERDA's Accessibility Requirements \[PDF\]](#).

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. 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 Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Commission on Ethics and Lobbying in Government. 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. 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSEDA's sole discretion and are final decisions. NYSEDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

Information Security: The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as "ITS Security Policies") for State Entities, including NYSEDA. Contractors, vendors, and solution providers conducting work on behalf of NYSEDA including, but not limited to, application development, web development, hosting, or managing NYSEDA's sensitive data are required to comply with the NYS requirements. These requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities, and accepted behaviors to establish and maintain a secure environment and achieve the State's information security objectives. Contractors that manage NYSEDA's data outside of NYSEDA's systems with a High or Moderate rating as per the NYS ITS Information Asset Identification Worksheet must comply with the following requirements.

High Rating	Moderate Rating
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<ul style="list-style-type: none">• Maintain up-to-date SOC 2 Type 2 Assessment Report and provide to NYSERDA upon request.• Maintain Cyber Security Insurance• Provide a signed self-attestation on an annual basis for multiyear contracts	<ul style="list-style-type: none">• Maintain Cyber Security Insurance• Provide a signed self-attestation on an annual basis for multiyear contracts
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VI. **Attachments:**

Attachment A – Budget

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



**Build-Ready Project Auction
Request for Proposals (RFP) No. BRRFP23-1
RFP Release Date: October 2, 2023
RFP Revision Date: February 23, 2024**

SUMMARY OF REVISIONS

Updates to BRRFP23-1 – February 23, 2024

Section 2.1.4 (Financial Qualifications)

The Letter of Credit support requirement was updated to remove reference to Annex B.

Section 3.1.5.2 (Index REC Pricing)

The Reference Capacity Price formula has been revised in accordance with the Public Service Commission's November 20, 2023 Order Addressing Capacity Accreditation Rules in Case 15-E-0302.

Section 3.1.5.4 (Inflation Risk Adjustment)

The final Index_B value that will be used in the REC Agreement has been provided.

Section 3.1.5.5 (Settlement Mechanism)

Guidance related to selection of seasonal UCAP Production Factors has been removed because this term is no longer included in the Reference Capacity Price formula.

Section 3.2.1 (Bid Price Evaluation)

The nominal discount rate and long-term inflation rate assumption that will be used in the LNRC calculation procedure have been updated based on the most recent issuance by the New York State Department of Public Service Office of Accounting, Audits and Finance.

Section 8 (Acronyms and Definitions)

Definitions of Summer Capability Period, UCAP Production Factor, and Winter Capability Period have been deleted in alignment with the revised Reference Capacity Price formula.

Attachment A (BRRFP23-1 Draft Standard Form REC Agreement)

See posted redline for changes.



**Step One Eligibility Applications Due:
Thursday, December 7, 2023, by 3:00 pm Eastern Time (ET)
Step Two Bid Proposals Due:
Thursday, March 14, 2024, by 3:00 pm ET**

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Appendix 2. Step One Proposer Certification Form

Appendix 3. Non-Disclosure Agreement

Appendix 4. BRRFP23-1 Step One Proposer Checklist

Appendix 5. Step Two Bid Proposal Form

Appendix 6. Step Two Proposer Certification Form

Appendix 7. BRRFP23-1 Step Two Proposer Checklist

Attachment A. BRRFP23-1 Draft Standard Form REC Agreement

Attachment B. BRRFP23-1 Draft Membership Interest Purchase Agreement (MIPA)

PART I – RFP OVERVIEW

The New York State Energy Research and Development Authority (NYSERDA) seeks to auction the BR Benson Mines Solar Project (the “Project” or “BR Facility”) as the inaugural project of the [Build-Ready Program](#). NYSEDA will select the best-value Bid Proposal among those submitted by qualified Proposers under this Request for Proposals (RFP or BRRFP23-1) in accordance with the criteria and processes described below. Upon completion of the selection process under this RFP, NYSEDA will transfer the membership interests in the project company that holds the assets (which consist of certain development rights) of the BR Facility to the Awardee via a Membership Interest Purchase Agreement (MIPA) and enter into a 20-year agreement to purchase Tier 1 Renewable Energy Certificates (RECs) generated by the BR Facility (REC Agreement).

1.1 BUILD-READY PROGRAM

On April 3, 2020, New York State passed the Accelerated Renewable Energy Growth and Community Benefit Act (the “Benefit Act”) as part of the 2020-2021 enacted State budget. The Benefit Act created the Clean Energy Resources Development and Incentives Program (the “Build-Ready Program”) to be administered by NYSEDA. On June 5, 2020, NYSEDA filed a [petition](#) to implement the Build-Ready Program.¹ On October 15, 2020, the New York Public Service Commission (PSC) issued its [Order Approving the Build-Ready Program](#).² NYSEDA filed its [Build-Ready Program Implementation Plan](#) with the PSC on January 12, 2021.³

The Build-Ready Program advances large-scale renewable energy projects on underutilized land, such as brownfields, landfills, and abandoned or existing commercial and industrial sites. Working with local partners and stakeholders, the Build-Ready Program identifies and de-risks projects by carrying out design, engineering, environmental, permitting, and electric grid interconnection activities as well as developing project host community benefit packages. The Build-Ready Program runs competitive solicitations, such as this RFP, to transfer projects to the private sector for final design, financing, construction, ownership, and operation and to procure Tier 1 RECs created through the production of renewable energy from Build-Ready projects. For the avoidance of doubt, NYSEDA will acquire Tier 1-

¹ NYSEDA. “Petition Regarding Clean Energy Standard, Clean Energy Resources Development and Incentives Program.” June 5, 2020. Available at:

<https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={A391FA8F-5E21-480C-88DC-B2F7BCB2D172}>.

² New York State Public Service Commission. Case 15-E-0302 - Proceeding on Motion of the Commission to Implement a Large Scale Renewable Program and a Clean Energy Standard. “Order Approving Build-Ready Program.” Issued and Effective October 15, 2020. Available at:

<https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={B0F6CC45-490C-48A7-B0FB-6D3C7924993C}>

³ NYSEDA. “Build-Ready Implementation Plan.” January 12, 2021. Available at:

<http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={277A546B-8DD7-4D19-8532-E4049B1141E1}>

eligible RECs only, and will not have any claim to associated energy, capacity, or ancillary services revenues associated with Build-Ready projects.⁴

1.2 THE NEW YORK CLEAN ENERGY STANDARD AND RENEWABLE ENERGY STANDARD

The Build-Ready Program is a part of the Clean Energy Standard (CES). The PSC's [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 part of the overall CES, as the State's principal means of achieving its climate goals.⁵ The Orders authorized NYSERDA, as central procurement administrator for the RES,⁶ to offer long-term contracts to renewable energy generators for the purchase of Tier 1-eligible RECs, in the form of Tier 1 NYGATS certificates.⁷ New York's load serving entities (LSEs) purchase RECs from NYSERDA to meet the RES obligation.

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 (Climate Act), 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.^{8 9}

Information regarding NYSERDA's implementation of the RES and prior solicitations under the RES can be found on [NYSERDA's RES Solicitation website](#). The Orders can be accessed from the [NYS Public Service Commission's website](#). Proposers are strongly advised to review prior RES solicitations and the Orders before participating in this RFP.

1.3 PURPOSE OF THE SOLICITATION

NYSERDA's Build-Ready Program is soliciting Proposals for two purposes:

⁴ 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 Clean Energy Standard (CES) Framework Order.

⁵ Prior to the 2016 CES Order, on July 6, 2015, the New York State Energy Planning Board issued the 2015 State Energy Plan (SEP) which stated the goal to achieve 50% of the State's electricity generated from renewable resources by 2030 (50x30 goal). 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>.

⁶ 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 Phase 3 Implementation Plan](#) and the [Final Phase 3 Implementation Plan](#) filed by NYSERDA on January 11, 2019.

⁷ 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.

⁸ See [New York State Senate Bill S6599](#), <https://www.nysenate.gov/legislation/bills/2019/s6599>.

⁹ On October 15, 2020, the PSC issued its [Order Adopting Modifications to the Clean Energy Standard](#) (CES Modification Order) in Case 15-E-0302. In the CES Modification Order, the PSC adopted several modifications to the CES to align it with the Climate Act mandates.

1. To competitively select an Awardee to which the membership interests in the company that owns the assets (which consist of certain development rights) of the BR Facility will be transferred via a MIPA, for the Awardee to obtain final permits and approvals, secure financing, construct, own and operate the BR Facility, and
2. To competitively procure Tier 1 RECs from the Awardee and enter into a 20-year agreement to purchase Tier 1 RECs generated by the BR Facility.

1.4 BR FACILITY INFORMATION: BR BENSON MINES SOLAR PV PROJECT

This section provides a summary of the BR Facility. Proposers that receive a Notice of Qualification for Step One and are invited to Step Two will receive access to the BR Facility's data room where more detailed information and project development documents will be made available.

The BR Facility is currently specified to have a total AC rating of 12 MW. The BR Facility's New York Independent System Operator (NYISO) interconnection queue position is #1166, and the proposed point of interconnection (POI) is located adjacent to National Grid's Star Lake Station.

1.4.1 Site Overview

The BR Facility will be sited on a mine tailings pile within the [Benson Mines, Inc.](#) lands, located in the Town of Clifton, St. Lawrence County, New York, at the intersection of NY Rt. 3 (Olympic Trail Road) and CR 50 (Newton Falls Road), spanning multiple parcels, see Figure 1.^{10 11}

Benson Mines, Inc., is the owner of the former iron ore mine known as Benson Mines. The mine was closed in the 1970's and today produces construction aggregates and sustainably harvested timber. The tailings pile has not been used since the mine closure, other than for transient recreational snowmobile use. The site is mostly southward facing, requires minimal fill, and is largely void of wetlands.

Most of the surrounding land is a mix of forest, barren graded tailings, woody wetlands, and open water. Northwest of the Project is the St. Lawrence County Transfer Station. The J&L Steel Superfund Site is across State Highway 3 to the north. There are a few residential properties located west of the BR Facility Site along State Highway 3. East of the BR Facility Site is a small cemetery. South of the Project area are several forest preserves that are a part of New York State Department of Environmental Conservation (NYSDEC) lands used for public recreation. Approximately 1.4 miles west of the Project area is the Hamlet of Star Lake.

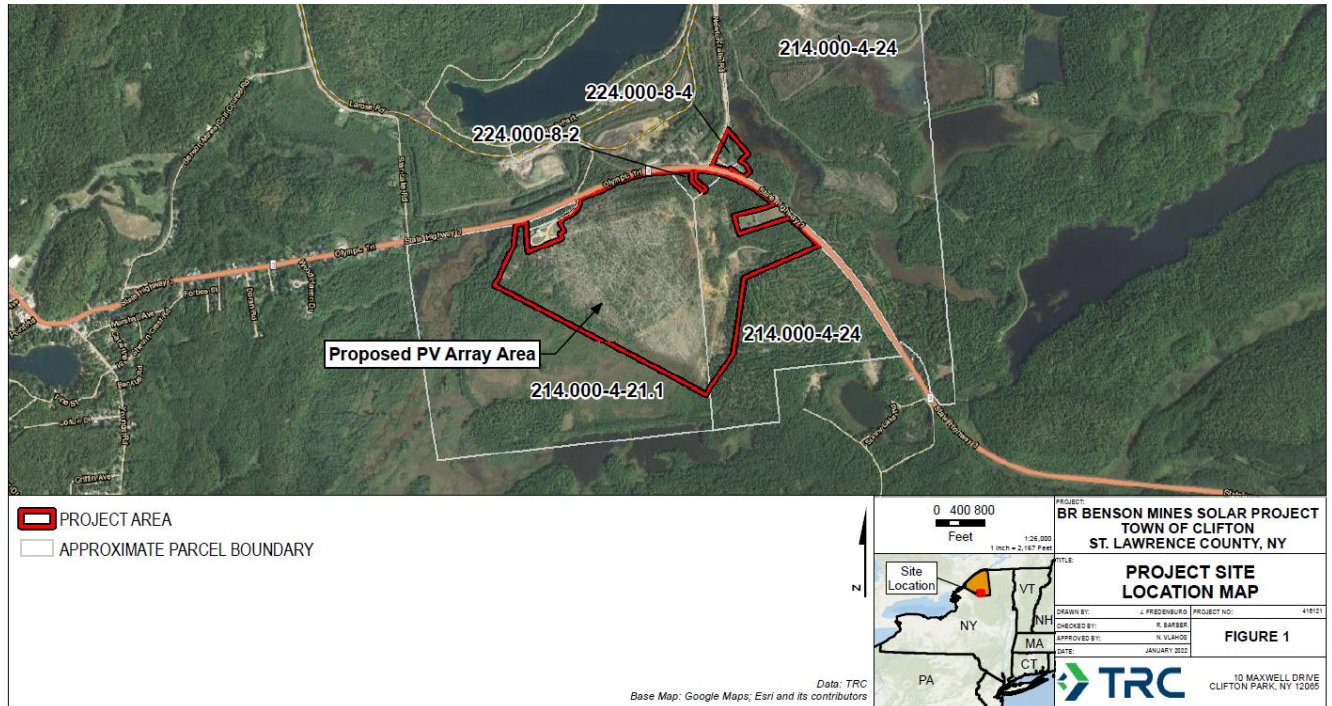
Portions of Parcels 214.000-4-21 and 214.000-4-24, where the array and access road are proposed, are within the Benson Mines State Superfund Program Listing (Site Code: 645051), with a classification of "N." There are no restrictions or easements associated with development on these parcels. Per NYSDEC

¹⁰ NYSERDA. "BR Benson Mines," <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Landowners-and-Local-Governments/Build-Ready-Program/Build-Ready-Project-Sites/BR-Benson-Mines>.

¹¹ NYSERDA. "Build-Ready Program Auction RFI 5024. Appendix 2," https://portal.nyserda.ny.gov/CORE_Solicitation_Document_Page?documentId=a0l8z0000000uju&_gl=1*kd8bwe*_ga*MTA5MjlzNDUyLjE2NjAwNjMzODA.*_ga_DRYJB34TXH*MTY3MTAzMzlwMS4xNC4xLjE2NzEwMzMyMDluMC4wLjA.

records and based on the data collected, these parcels do not qualify for the placement on Registry of Inactive Hazardous Waste Sites.

Figure 1. BR Benson Mines Solar Project Site Location Map



1.4.2 Project Corporate Organization

NYSERDA is the sole member of BR Project 1 LLC, which was formed in January of 2022. NYSERDA formed BR Project 1 LLC to serve as a single-purpose project holding company pursuant to Public Authorities Law § 1902 (5). The assets of the BR Facility (further described below) have been or will be transferred from NYSERDA to BR Project 1 LLC. 100% of the membership interests in BR Project 1 LLC will be transferred from NYSERDA to the Awardee in accordance with the MIPA.

1.4.3 Real Property

Benson Mines, Inc. has a full fee-ownership interest in the property where the BR Facility is sited. NYSERDA currently holds, and will transfer to BR Project 1 LLC, an unexercised but exclusive option (the “Option”) to lease the limits of the boundaries as depicted in Figure 1.

1.4.4 Project Design

The BR Facility will comprise solar arrays, access roads, inverters, buried collection lines, a generation tie line, a single breaker substation and line tap, fencing, and laydown area. The photovoltaic (PV) system consists of (5) SMA Sunny Central 2800 UP-US 2.8 MVA inverters, with a total AC rating of 12 MW.

The Project’s proposed site layout and design utilizes existing access roads and natural boundaries throughout the BR Facility Site and seeks to avoid impacts to sensitive resources such as wetlands,

cultural resources, and listed species. The layout encompasses much of the southern facing slope with minimal grading anticipated.

There is one on-site staging area (approximately 1 acre) located near the proposed entrance gate to the site (identified as “Temporary Laydown Area”). This staging area will be used during construction and will be kept within the limits of disturbance (LOD). It will be used for the storage of construction equipment, materials and employee vehicle parking. After construction, the staging area will be used for staging excess native soil and will require stabilization (per the Storm Water Pollution Prevention Plan (SWPPP)).

The Project proposes to limit ground disturbance as much as possible and excludes grading and clear-cutting in the Adirondack Park Agency (APA) 100-ft wetland buffer in the southern boundary of the Project Area. However, limited tree cutting, as shown on the Project plans, is permitted to minimize the shading impacts to the Project in the southeastern boundary of the Project.

During a site visit with APA staff, it was observed that the areas of proposed tree clearing were sparsely populated with new growth trees that were of insignificant ecological value. It was concluded that a biological survey was not necessary.

1.4.5 Wetland and Waterbody Resources

Wetland and waterbody delineation surveys and jurisdictional determinations were completed for the entire Project Area. APA personnel performed a boundary verification at the Project site. USACE personnel completed the boundary verification and confirmed the Project’s Approved Jurisdictional Determination request.

1.4.6 Permitting

BR Project 1 LLC submitted a Solar Generation Facility Permit to the APA in March 2022, and received approval in September 2022, pursuant to New York State Executive Law §§ 809 and 814, to construct the BR Facility. Additionally, the BR Facility received local site plan approval from the Town of Clifton Site Plan Review Board and St. Lawrence County Planning Board.

NYSERDA notes that the APA permit is for a 20 MWac solar PV facility, although the BR Facility is being auctioned at 12 MWac. Please see further discussion below in Section 1.4.7 Interconnection.

1.4.7 Interconnection

The Project secured an interconnection queue position (#1166 – BR Benson Mines Solar) with the New York Independent System Operator (NYISO). The project proposes interconnecting to the Brown’s Falls to Newton Falls #22 34.5kV sub-transmission line, in National Grid’s service territory.

The System Impact Study (SIS) was finalized in July 2023. The SIS identified non-local upgrades requiring the BR Facility to enter into the Class Year process. NYSERDA completed the NYISO’s modification process and adjusted the project size to 12 MWac. Thus, the BR Facility will only require local upgrades and maintained its queue position within the Small Generator Interconnection Process. It is currently preparing to enter the Facilities Study. The Awardee will have flexibility to increase the project size up to 20 MWac after the asset transfer (please see Section 3.1.3.2 and see REC Agreement).

1.4.8 Host Community Engagement and Benefits

The Awardee will be responsible for funding the following community benefits that NYSEERDA is advancing. More information on each of the benefits will be provided in the data room during Step Two.

1.4.8.1 Host Community Engagement

NYSEERDA engaged with the Town of Clifton and St. Lawrence County throughout the development of the BR Facility to discuss the project, understand the needs of the Town and identify potential benefits the project could provide. NYSEERDA held a virtual public engagement session on May 25, 2021 to introduce the Benson Mines project, explain the purpose and process of the Build-Ready Program, and solicit feedback from the community on the project and potential host community benefits. There were more than thirty attendees that included a mix of residents and government officials. In general, there was support for the project and community members were interested in opportunities for the project to provide community improvements, payment-in-lieu-of-taxes (PILOT) payments, and savings on utility bills. A recording, presentation and a summary of questions and answers is provided on the [Build-Ready Program Benson Mines Solar Project website](#).¹²

Based on the local government and community input, the BR Facility was designed to re-route an active snowmobile trail to allow for continued recreation on the property and to establish a community improvement fund as detailed below in Section 1.4.8.2.

1.4.8.2 BR Benson Mines Community Improvement Fund

As part of the Host Community Benefit Package, NYSEERDA and the St. Lawrence County Industrial Development Agency (SLCIDA) are establishing the Clifton-Fine Solar Community Improvement Fund, funded with an initial allocation of \$200,000 to be paid by the Awardee to the SLCIDA to manage and administer. The goal for the Community improvement Fund is to bolster economic growth and inspire a range of entrepreneurial opportunities within the boundaries of the Clifton-Fine School District. The Fund's activities will aim to retain existing businesses, generate new business and employment opportunities, and improve the customer experience for both residents and visitors by:

- Accelerating business aesthetic improvements
- Enhancing business infrastructure
- Supporting business diversity and innovation
- Leveraging regional tourism
- Furthering climate equity and justice

By focusing on these specific goals, the Community Improvement Fund program will act as a catalyst to accelerate the revitalization and sustainable development of businesses within the boundaries of the Clifton-Fine School District.

1.4.9 Payment-in-Lieu-of-Taxes (PILOT)

NYSEERDA is advancing the terms of a twenty-year PILOT Agreement with the St. Lawrence County IDA, which will include annual payments from the BR Facility owner to the applicable taxing jurisdictions.

¹² NYSEERDA. "BR Benson Mines," <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Landowners-and-Local-Governments/Build-Ready-Program/Build-Ready-Project-Sites/BR-Benson-Mines>.

Once an award is issued, and the REC Agreement and the MIPA are executed, the Awardee shall enter into the PILOT Agreement.

1.5 RFP PROCESS AND SCHEDULE

BRRFP23-1 will be implemented through a two-step process, as outlined in Part II – Submission Requirements, Evaluation and Award consisting of:

1. **Step One Eligibility Application:** A qualifying step through which the Proposer must demonstrate its technical and financial ability to meet the Minimum Eligibility Qualifications for designing, securing financing for, constructing, and owning and operating the BR Facility. Proposers must submit the Step One Eligibility Application Form (Appendix 1) and the other required information described in Section 2.1 to NYSERDA using the Apply Online link available here: [Build-Ready Project Auction Request for Proposals \(BRRFP23-1\)](#). Proposers whose Step One Eligibility Applications are found to be complete and that meet all the Minimum Eligibility Qualifications will receive a Notice of Qualification and will be invited to submit a Step Two Bid Proposal.
2. **Step Two Bid Proposal:** A competitive step, in which Proposers will submit a Bid Proposal, including a Bid Price, as well as the Step Two Bid Form and the other required information as described in Section 3.1 to NYSERDA. NYSERDA will examine and evaluate Bid Proposals based on price and non-price factors including the Proposer’s qualifications, Project Execution Plan, economic benefits the Proposer can provide to New York State, the host community, New York State-certified Minority- and Women-Owned Business Enterprises (MWBEs) and Service-Disabled Veteran-Owned Businesses (SDVOBs), and any surrounding Disadvantaged Communities, and the Proposer’s competitive Bid Price.

NYSERDA recommends that Proposers set aside ample time, well in advance of each deadline, to gather the required information and documentation to understand the requirements to complete the above processes. NYSERDA recommends that Proposers mark any commercially sensitive materials as “Confidential” and/or “Proprietary” in any submission made to NYSERDA pursuant to this RFP.

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. No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. **All questions about this RFP may be submitted in writing via email to build-readyauction@nyserda.ny.gov and should be directed to the BRRFP23-1 Designated Contacts: Emily Chessin, Bram Peterson, Gillian Black, Brian Gyory, Nate Chumley, Alex Stein, and Georges Sassine. 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: (i.) may result in a Proposer being deemed a non-responsible entity, and (ii.) 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 Build Ready Program 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.

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.¹³ RFP responses will not be accepted by hand delivery at any NYSERDA location.

The schedule for BRRFP23-1 is as follows (all times ET):

Table 1. RFP Schedule

Activity	Date
RFP Release Date	Monday, October 2, 2023
NYSERDA opens Step One Eligibility Application	Monday, October 2, 2023
Step One Proposer’s Webinar	Tuesday, October 17, 2023
Responses to Step One Webinar Questions Posted	Monday, October 23, 2023
Deadline for Submission of Step One Questions	Friday, October 27, 2023
Responses to Written Questions Posted	Thursday, November 9, 2023
RFP Addendum Deadline (if issued)	Monday, November 20, 2023
Deadline for Step One Eligibility Application Submission	Thursday, December 7, 2023
NYSERDA responds with Notice of Qualification Determinations	Thursday, January 11, 2024
NYSERDA opens Step Two Bid Proposal and Data Room	Thursday, January 11, 2024
Step Two Proposers’ Webinar	Tuesday, January 23, 2024
Responses to Step Two Webinar Questions Posted to Data Room	Tuesday, February 6, 2024
Deadline for Submission of Step Two Questions	Tuesday, February 13, 2024
Responses to Step Two Questions Posted to the Data Room	Tuesday, February 20, 2024
RFP Addendum Deadline (if issued)	Thursday, February 22, 2024
Deadline for Bid Fee Submission	Thursday, March 7, 2024
Deadline for Step Two Bid Proposal Submission	Thursday, March 14, 2024
NYSERDA notifies Proposer receiving Award	Q2 2024
Agreements Executed (within 180 days of Award Notification Date)	Q3 2024

Please note that the above dates are subject to change. Notifications of any changes to the solicitation, solicitation schedule, or solicitation documents will be posted on [NYSERDA’s Build Ready Program website](#)¹⁴ and an email notification will be sent to those that have signed up for [NYSERDA’s Build-Ready Program Email List Sign-Up Page](#).¹⁵

1.5.1 Step One Eligibility Application

NYSERDA will hold a Step One webinar for prospective Proposers on Tuesday, October 17, 2023, at 11:00 AM ET. During the webinar, NYSERDA will review the Step One Eligibility Application requirements

¹³ Unless otherwise agreed to by NYSERDA. Contact a Designated Contact for more information if needed.

¹⁴ NYSERDA. “Build-Ready Program,” <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Landowners-and-Local-Governments/Build-Ready-Program>.

¹⁵ NYSERDA. “Build-Ready Program,” <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Landowners-and-Local-Governments/Build-Ready-Program/Connect-with-Us>.

and provide a description of the BR Facility. Questions will be taken but will not be answered during the webinar. **Proposers who intend to participate in the webinar must register prior to the webinar on NYSERDA's Build Ready Program website.**¹⁶

Proposers may submit comments and questions on the Step One Eligibility Application and requirements until Friday, October 27, 2023, to build-readyauction@nyserda.ny.gov. Answers to comments and questions received during the webinar and via build-readyauction@nyserda.ny.gov will be posted on [NYSERDA's Build Ready Program website](#) on or before November 9, 2023.

Proposers must submit the full Step One Eligibility Application including the Step One Eligibility Application Form (Appendix 1) and other requested attachments and information, as described in Part II. Section 2.1 Eligibility Application Requirements by 3:00 p.m. ET on Tuesday, December 7, 2023, using the Apply Online link available here: [Build-Ready Project Auction Request for Proposals \(BRRFP23-1\)](#). Proposers are encouraged to use the BRRFP23-1 Step One Eligibility Application Checklist (Appendix 4) to ensure complete applications are submitted. It is the Proposer's responsibility to ensure that all required information is provided. Late submissions will not be accepted.

NYSERDA will contact Proposers regarding any instances where it is unclear if a Minimum Eligibility Qualification is met or where the Eligibility Application contents are incomplete when compared to the Eligibility Application Requirements. Proposers will be provided with a short, one-time opportunity to cure the deficiency prior to removing the Eligibility Application from consideration, however, submittals that are materially incomplete or non-responsive to cure requests may be rejected.

Proposers whose Step One Eligibility Applications are found to be complete and that meet all the Minimum Eligibility Qualifications 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 including access to the BR Facility data room.

Proposers whose Step One Eligibility Applications are found not to satisfy the Minimum Eligibility Qualifications or to be deficient in some other respect will receive notification that they are not eligible to submit a Step Two Bid Proposal. Proposers have the right to request a debrief regarding the eligibility determination.

1.5.2 Step Two Bid Proposal

NYSERDA will hold a Step Two webinar for prospective Proposers that receive a Notice of Qualification that is currently scheduled for Tuesday, February 6, 2024. During the webinar, NYSERDA will review the Step Two Bid Proposal requirements, contract documents and BR Facility Data Room. Questions will be taken but will not be answered during the webinar. A registration link will be provided in the Notice of Qualification.

Proposers may submit comments and questions on the Step Two Bid Proposal requirements and Agreements until Tuesday, February 13, 2024. Answers to comments and questions received during the webinar and via the build-ready email inbox (build-readyauction@nyserda.ny.gov) will be posted in the

¹⁶ To sign up for the Step One Proposers' Webinar please register here: <https://nyserdany.webex.com/weblink/register/ra5df0788671d67abad0596a46af28005>

data room on or before February 20, 2024. An addendum to the RFP may also be issued in response to feedback from Proposers and other stakeholders.

The complete Step Two Bid Proposal package, including the Step Two Bid Proposal Form (Appendix 5) and other requested attachments and information as described in Part II. Section 3, must be **received** by NYSERDA no later than **3:00 PM ET on Tuesday, March 14, 2024, via the submission form linked in the Notice of Qualification. NYSERDA strongly recommends that Proposers reserve ample time to address each of the requirements and consult the BRRFP23-1 Step Two Proposer Checklist (Appendix 7) to ensure a completed Step Two Bid Proposal package is submitted. The Step Two Bid Proposal package must be completed and submitted online, 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 permit Proposers to cure deficiencies in Step Two Bid Proposal packages, however, Bid Proposals that are materially incomplete, non-responsive to cure requests, or that failed to complete Step One may be rejected. NYSERDA may request additional information and documents at any time. Once submitted, Step Two Bid Proposal packages become the property of NYSERDA. Unnecessary attachments or lengthy responses beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the Bid Proposal.

1.5.3 Modification or Cancellation of the RFP and Solicitation Process

Notification of any changes in the RFP process or documents will be posted on [NYSERDA's Build Ready Program website](#) and sent via email to parties that have submitted contact information to [NYSERDA's Build-Ready Program Email List Sign-Up Page](#).¹⁷ Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news.

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.

1.5.4 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 on salesforce 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. These requests are for informational purposes only and will not be treated by NYSERDA as a change or revision to the submission. However, if there are any material events that affect the validity of a submission, Proposers must promptly notify NYSERDA in writing.

¹⁷ NYSERDA. "Connect with Us," <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Landowners-and-Local-Governments/Build-Ready-Program/Connect-with-Us>.

1.5.5 Requests for Additional Information and/or Interview

Following the submission of Step Two Bid Proposals, NYSERDA and the Technical Evaluation Panel may request clarification and additional information from Proposers at any time throughout the duration of the evaluation process. Such information will be subject to protection of proprietary information as described in General Conditions Section 7.1 Proprietary Information, consistent with other Bid Proposal submission materials. If the Proposer does not respond promptly to such information requests or does not provide adequate information, the affected Bid Proposal(s) will be evaluated based on the information as originally submitted.

NYSERDA may request in-person and/or videoconference interviews with Proposers, to be scheduled at a mutually convenient time following the Step Two submission deadline.

1.5.6 Confidentiality

Proposers should indicate whether specific information in the Step One Eligibility Application or Step Two Bid Proposal is 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 an Eligibility Application or Bid Proposal, must be marked "Confidential" or "Proprietary" at the time such information is provided to NYSERDA. Specific sections of the Eligibility Application or Bid Proposal must be individually marked as "Confidential" or "Proprietary" (See General Conditions Section 7.1).

NYSERDA reserves the right to publish the Agreements executed with the Awardee, including relevant terms within the Agreements. Prior to such publication, NYSERDA will redact any critical electric infrastructure information (CEII) 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 the REC Agreement, specifically the Bid Price.

PART II – SUBMISSION REQUIREMENTS, EVALUATION AND AWARD

2 STEP ONE ELIGIBILITY APPLICATION

2.1 ELIGIBILITY APPLICATION REQUIREMENTS

Step One is a qualifying step through which Proposers must demonstrate their proven ability in designing, securing financing for, constructing, and owning and operating solar PV projects.

For information on the Step One Eligibility Application and submission process, please review Part I, Section 1.5.1 Step One Eligibility Application.

2.1.1 Project Team Description and Structure

In addition to filling out Part I of the Step One Eligibility Application Form (Appendix 1), the Proposer shall submit a narrative description of the Project Team, limited to five (5) pages, including the Proposer and any subcontractors or other organizational partners that will lend experience to meet the Minimum Eligibility Qualifications for the Step One process or support scoring of the Step Two Bid Proposal. The Proposer shall provide a clear description of each Project Team entity (including the Proposer), including each entity's organizational structure, legal form, and proposed role in development of the BR Facility.

An Organizational Chart must be provided that shows the relationship among the various Project Team entities that would design, secure financing for, construct, own and operate the BR Facility, as well as any subsidiaries and their intermediate and ultimate parents. It should be clear which organization is the primary entity responsible for the Application/Proposal, and who will be the main point of contact with NYSERDA the ("Authorized Representative"), as identified in the Step One Eligibility Application Form.

Joint ventures or teaming arrangements with subcontractors can fully participate in BRRFP23-1.¹⁸ To the extent that a Proposer intends to form a joint venture or other teaming arrangement, it should provide the details of such arrangements, including a draft copy of any proposed teaming agreement, joint venture agreement or similar arrangement¹⁹ governing its relationship with any other participants.

If a Proposer receives a Notice of Qualification and subsequently needs to revise the Project Team entities, the Proposer must notify NYSERDA and receive written authorization to make the change, subject to NYSERDA's reasonable consent, prior to submitting the Step Two Bid Proposal.

Minimum Eligibility Qualification: Proposer must provide the requested information in the Step One Eligibility Application Form and in the accompanying narrative. The Project Team must include entities that will (i.) design and engineer, (ii.) secure financing for, (iii.) procure major equipment (e.g., main power transformers, PV modules, inverters, racking) (iv.) construct and (v.) own and operate the BR Facility, as evidenced by the Step One Narrative (including Organizational Chart), Step One Eligibility

¹⁸ All organizations in a joint venture may be required to agree to joint and several liability as it relates to project development and operational matters in the Step Two Bid Proposal.

¹⁹ A non-binding letter submitted by each organization, on organizational letterhead, stating each party's intent to team, signed by an Authorized Representative is sufficient to meet this requirement.

Application Form and draft copy of proposed teaming agreement, joint venture agreement, or similar arrangement. Step One Eligibility Applications that do not include all five roles will be deemed ineligible.

2.1.2 Key Personnel and Other Personnel

Key Personnel

Proposers must identify the following Key Personnel that would work on the BR Facility using Part II of the Step One Eligibility Application Form (Appendix 1):

- Project Manager
- Design and Engineering Team Lead
- Construction Team Lead

Key Personnel are preferred to have experience on projects of a similar size, type of work, and complexity as the BR Facility, and meet the qualifications described below. One person may hold multiple Key Personnel roles, but each Key Personnel role can only be held by one person.

Proposers must provide the following for Key Personnel:

- Resumes not longer than three pages each that clearly state the proposed role for each person.
- Management Chart that illustrates the relationships between Key Personnel and proposed internal governance structure for the Project Team.
- Documentation demonstrating New York State licenses (or equivalent) for engineering and other applicable professional services required to complete the BR Facility must be provided.

Other qualifications to consider highlighting amongst Key Personnel include:

- Project Manager
 - At least two years of experience as a Project Manager of 2 MWac or larger solar PV projects during the last five years.
 - Experience managing projects of similar size, type of work, and complexity, ideally managing at least one project that was acquired through commercial operation.
 - Located in New York State or the ability to relocate near the Project area during the construction.
- Design Team Lead
 - At least two years of experience as a Design Team Lead of 2 MWac or larger solar PV projects during the last five years.
 - Experience designing solar PV projects of similar size, type of work, and complexity, ideally in New York State.
 - Licensed and registered as a Professional Engineer (PE). Must demonstrate that they are licensed in the State of New York or eligible for licensure in the State of New York within twelve months of the Bid Proposal due date.

- Construction Team Lead
 - At least two years of experience as a Construction Team Lead of 2 MWac or larger solar PV projects during the last five years.
 - Prior experience constructing solar PV projects of similar size, type of work, and complexity.
 - Located in New York State or the ability to relocate near the Project area during the construction.
 - Relevant experience (i.e., North American Board of Certified Energy Practitioners PV Installation Professional Certification, International Brotherhood of Electrical Workers, or National Electrical Contractors Association Electrical Journeyman & Apprentice Training).

If a Proposer receives a Notice of Qualification and subsequently needs to revise the identified Key Personnel, the Proposer must notify NYSEDA and receive written authorization to make the change, subject to NYSEDA's reasonable consent, prior to submitting the Step Two Bid Proposal. Key Personnel will be expected to serve through Commercial Operation of the BR Facility. Should the Proposer need to modify the Key Personnel as presented in response to this RFP following an award, only replacements with qualifications that are equal to or better, will be considered by NYSEDA pursuant to Section 8.07 of the REC Agreement.

Minimum Eligibility Qualification: Design Team Lead must be a licensed Professional Engineer and must either be (i) licensed in the State of New York or (ii) eligible for licensure in the State of New York within twelve months of the Bid Proposal due date. Each of the designated Key Personnel (Project Manager, Design Team Lead and Construction Team Lead) must have at least two years of experience developing 2 MWac or larger solar PV projects during the last five years, as evidenced by the Step One Eligibility Application Form. Key Personnel that have experience exceeding the Minimum Eligibility Qualification and experience similar to the BR Facility in terms of the type of work, size, and site characteristics, will be evaluated favorably in Step Two.

Other Personnel

Proposers are not required to but may voluntarily identify up to seven Other Personnel that are expected to work on the BR Facility. Proposers may provide the following for Other Personnel during Step One.

- Resumes not longer than three (3) pages each that clearly state the proposed role for each person
- Part II, Other Personnel fields of the Step One Eligibility Application Form (Appendix 1)
- Management Chart that includes Other Personnel and illustrates the relationships among Key Personnel and Other Personnel

If qualified for Step Two, Proposers will have an opportunity to provide and/or change the proposed Other Personnel.

Minimum Eligibility Qualification: Proposers are not required to submit Other Personnel to meet the Minimum Eligibility Qualifications for Step One. Other Personnel will only be evaluated in Step Two. Other Personnel that have experience on projects similar to the BR Facility in terms of the type of work, size, and site characteristics, will be evaluated favorably in Step Two.

2.1.3 Previous Project Experience and References

Using Part III of the Step One Eligibility Application Form (Appendix 1), Proposers must identify at least one solar PV project that was designed, financed, constructed and/or owned and operated by the Proposer or a Project Team entity and indicate their role in bringing the project to commercial operation. If the Proposer or a Project Team entity has previously developed a solar PV project in New York State to commercial operation, this should be included in the list of identified projects. If the Proposer or a Project Team entity has developed a solar PV project on an underutilized property or previously developed, existing, or abandoned commercial and industrial site, brownfield, landfill, dormant electric generating facility, mine, superfund site, or other challenging site, this should be included in the list of identified projects. It is not required that a Proposer has developed a project in New York State or on a challenging site to meet the Minimum Eligibility Qualifications for Step One.

The Step One Eligibility Application Form requests information on each project reference including:

- The project name and location;
- A description of the site's land use characteristics prior to the development of the renewable energy project;
- The project nameplate capacity in MWac and MWdc;
- The renewable technology utilized (wind, solar or other);
- The development status;
- The commercial operation date, if applicable;
- Relevant external website, if applicable;
- Project Team entities involved;
- The role of the Proposer and/or Project Team member(s), in the project (design, secure financing, construct and/or own and operate). If a project was completed under a different entity, provide an explanation of the Proposer's relationship to that project;
- A description of each project's financing structure including the debt/equity amounts, financing sources, and financing partners;
- A project reference, including email and telephone contact information, for the authority having jurisdiction (AHJ) over the project. Project references may not be related to the Proposer, or a member of the Proposer's Project Team, nor may references be an employee of the Proposer's company, an affiliate company, or joint-venturer. Proposer must contact all project references to verify their contact information and to inform them that they may be contacted by NYSERDA.

If previous project experience is associated with a specific Project Team entity, and subsequent to receiving a Notice of Qualification the Proposer needs to revise the Project Team to remove that entity, the Proposer must notify NYSERDA and receive written authorization to make the change, subject to NYSERDA's reasonable consent, prior to submitting the Step Two Bid Proposal.

Minimum Eligibility Qualification: Proposers must demonstrate that the Project Team has experience in designing, securing financing for, constructing, and operating solar PV projects of at least 2 MWac. Specifically, the Proposer or a Project Team entity must have developed at least one solar PV project of at least 2 MWac to commercial operation. Proposers that have experience exceeding the Minimum Eligibility Qualification will be evaluated favorably in Step Two.

2.1.4 Financial Qualifications

Proposers must provide the following information concerning their financial condition sufficient to conduct a comprehensive evaluation of their overall creditworthiness and ability to undertake the further design, securing of financing for, construction and ownership and operation of the BR Facility. At a minimum, Proposers must provide the following:

- A letter from a commercial bank or other financial institution confirming that it is prepared to issue a letter of credit on behalf of the Proposer, in the form of Exhibit B of the REC Agreement, for the full amount of the contract security referenced in Section 15.01 of the REC Agreement (\$1,500,000).
- A letter from a commercial bank or other financial institution confirming that it would be prepared to issue a performance bond or other guarantee of \$30,000,000 to support the Proposer if requested by the Proposer. Please note, NYSERDA will not require that a performance bond or guarantee be furnished by the Awardee's surety but is using this requirement as a means for Proposers to demonstrate appropriate financial qualifications prior to award.

The following financial information must be provided: (i.) audited, consolidated, and consolidating annual financial statements for the most recently ended fiscal year, and (ii.) unaudited consolidated and consolidating quarterly financial statements for all fiscal quarters since its annual financial statement, prepared in accordance with GAAP.²⁰

To the extent that a Proposer, or the ultimate parent of a Proposer, has rated debt, the Proposer should provide the latest rating agency information concerning the debt, including the latest credit rating as well as any upgrades or downgrades or other rating agency reports issued or occurring in the past three years. If the Proposer is unrated, that should be stated.

Minimum Eligibility Qualification: Proposers must provide the required letters from a commercial bank or other financial institution demonstrating the ability to be issued a letter of credit in the full required amount of contract security and the above-described performance bond. Proposers must provide the required information regarding financial statements and for rated debt, or state that the Proposer is unrated.

2.1.5 Non-Disclosure Agreement (NDA)

Proposers must submit an executed Non-Disclosure Agreement (NDA), provided as Appendix 3 to this RFP for any Project Team member that will need access to the BR Facility data room if the Proposer receives a Notice of Qualification and is invited to submit a Step Two Bid Proposal. By having an NDA on file for each Project Team member, NYSERDA will be able to share access to the BR Facility data room when the Notice of Qualification is issued providing maximum time for Proposers to prepare Step Two Bid Proposals.

²⁰ SEC reporting companies may satisfy this requirement by providing a ticker symbol or other information sufficient to enable NYSERDA to identify and access all available SEC reporting.

2.1.6 Mark-up of Agreements

The draft REC Agreement (Attachment A. BRRFP23-1 Draft Standard Form REC Agreement) and the draft MIPA (Attachment B. BRRFP23-1 Draft Membership Interest Purchase Agreement) are provided as attachments in this RFP. Proposers may redline in track-changes contract draft(s) and agreements, including an attachment in the form of a memorandum that specifically identifies any terms and conditions that the proposer wishes to clarify or negotiate prior to execution referencing the Article in the Agreement and the nature of the issue to be discussed.

Proposers can submit comments and mark-ups at any point in time, but no later than the Step Two Bid Proposal due date. If a Proposer does not have any requested changes to the agreements, the Authorized Representative must attest to the fact that they have reviewed the agreements and do not have any mark-ups or comments as part of the Step Two Proposer Certification Form (Appendix 6).

The indication by a Proposer that it wishes to negotiate the terms of one or both of the Agreements will have no impact on the Step One Eligibility Application or the scoring of the Step Two Bid Proposal.

Note that BRRFP23-1 is a competitive procurement. Competitive procurement rules and the Orders limit NYSERDA's ability to alter the terms of the REC Agreement, MIPA, and associated agreements.

Should the Proposer receive an award, NYSERDA will contact the Proposer to schedule a discussion regarding the terms identified in the redlined markup of the REC Agreement and/or MIPA.

2.1.7 Executive Order No. 16 Certification

Pursuant to Executive Order No. 16 (EO 16) issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to EO 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

A Certification Under EO 16, as published by the Office of General Services and available here: <https://ogs.ny.gov/EO-16>, must be submitted for the Proposer as part of the Step One Eligibility

Application.²¹ If the Proposer is a joint venture, all joint venture participants must submit an EO 16 Certification.

2.1.8 Executive Order No. 192 Certification

As per Executive Order 192, NYSERDA is required to do business only with responsible entities. As a result, a Vendor Responsibility Review will be conducted for all BRRFP23-1 Proposers. Proposers are required to complete NYSERDA's [Vendor Responsibility Checklist](#).²² The Vendor Responsibility Checklist 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: (i.) current investigation(s) by any governmental agency; (ii.) 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 (iii.) any debarment action (detail any exceptions), within the last four (4) years.

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.

The Vendor Responsibility Checklist will also include the Proposer's attestation regarding the accuracy and truthfulness of the information and documentation provided by the Proposer. The NYSERDA Build-Ready Program team will review the responses to the Vendor Responsibility Checklist and reserves the right to make a determination of vendor responsibility if a non-responsibility concern is noted.

2.1.9 Step One Proposer Certification Form

Proposers must complete and submit the Step One Proposer Certification Form (Appendix 2). The Step One Proposer Certification Form must be signed by the Authorized Representative.

Accredited Investor Certification

This RFP is only open to Proposers that qualify as "accredited investors" as such term is defined in Rule 501(a) of Regulation D promulgated under the Securities Act of 1933 ("Accredited Investors"). Proposers will be required to provide any information reasonably requested by NYSERDA in order to verify their Accredited Investor status. Step Two Bid Proposals from Proposers that are not Accredited Investors will not be accepted.

²¹ Also available at: <https://www.nyserda.ny.gov/-/media/Project/Nyserda/Files/FO/Standard-Forms-and-Agreements/Executive-Order-No-16-Certification.pdf>.

²² <https://portal.nyserda.ny.gov/servlet/servlet.FileDownload?file=00P8z000003EWOUEA4>

Proposers are required to certify that they are qualified as an Accredited Investor.

Forced Labor Prevention

In order to ensure an ethical and sustainable supply chain for renewable energy, NYSERDA is requiring the BRRFP23-1 Awardee to have signed SEIA's [Forced Labor Prevention Pledge](#) (Pledge), opposing forced labor practices and heightening awareness of human rights abuses against Uighurs, an ethnic minority living in the Xinjiang region of China. Companies that sign the Pledge agree to conduct their business in an ethical manner.

Proposers are required to certify that they have signed the Pledge and provide the date on which the Pledge was signed on the Proposer Certification Form.

Confirmation of MyNYISO Access

Proposers are required to certify that the relevant Project Team members have a MyNYISO account and identify these personnel on the Step One Proposer Certification Form.

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, the "Commission on Public Integrity"), and if so, a brief description must be included indicating how any matter before the Commission on Public Integrity was resolved or whether it remains unresolved.

Anti-Collusion Certification

Proposers are required to certify that their Step One Eligibility Application has been developed independently without collusion, consultation, communication or agreement, for the purpose of restricting competition with any other Proposer or with any competitor on the Step One Proposer Certification Form.

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 <https://ogs.ny.gov/acpl>.

Proposers are required to certify that they will comply with State Finance Law Sections 139-j and 139-k and provide a disclosure statement regarding whether Proposer has been found non-responsible under

Section 139-j of the State Finance Law within the previous four years on the Step One Proposer Certification Form.

2.2 ELIGIBILITY APPLICATION EVALUATION

Following submission, Step One Eligibility Applications will first be examined for completeness, to determine whether the Proposer has provided all required information as identified in the Eligibility Application Requirements section above. NYSERDA will contact Proposers whose Step One Eligibility Application is incomplete. Proposers will be provided with a short, one-time opportunity to complete the application. If a complete Eligibility Application is not updated within the specified timeframe, the application will be rejected.

Complete Eligibility Applications will be evaluated on a pass/fail basis. To pass the Eligibility Application round, Proposers must demonstrate that they meet all Step One Eligibility Application Requirements. NYSERDA staff will examine Applications to determine that all the Minimum Eligibility Qualifications are met. It is incumbent upon Proposers to make their Step One Eligibility Applications as comprehensive as possible in demonstrating that all Minimum Eligibility Qualifications have been met.

NYSERDA will contact Proposers regarding any instances where it is unclear if a Minimum Eligibility Qualification is met. Proposers will be provided with a short, one-time opportunity to cure the deficiency prior to removing the Eligibility Application from consideration, however packages that are incomplete or non-responsive to cure requests may be rejected.

Proposers whose Step One Eligibility Applications are found to be complete and that meet the Minimum Eligibility Qualifications 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 including access to the BR Facility data room.

Proposers whose Step One Eligibility Applications are found not to satisfy the Minimum Eligibility Qualifications will receive notification that they are not eligible to submit a Step Two Bid Proposal. Proposers have the right to request a debrief regarding the eligibility determination.

3 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 more detailed information about the Proposer and the Proposer's development plan for the BR Facility and a Bid Price. The Notice of Qualification will include a description of and access to the process and forms to be used to submit a Step Two Bid Proposal including access to the BR Facility data room.

BRRFP23-1 is a competitive procurement. The MIPA and REC Agreement will be legally binding documents; it is recommended that Proposers consult with an attorney. The CES Framework Order, the Build-Ready Order, subsequent Implementation Plans and corresponding Orders, and NYS competitive procurement rules limit NYSEDA's ability to alter the terms of the Agreements issued with this RFP. As discussed in Section 2.1.6, Proposers can submit comments and mark-ups on the Agreements at any point in time, but no later than the Step Two Bid Proposal due date.

3.1 STEP TWO BID PROPOSAL REQUIREMENTS

Under the Step Two Bid Proposal there are several requirements a Proposer must fulfill including:

- **Project Bid Fee:** Proposers are required to provide a bid fee in the amount of \$100,000, consisting of a \$10,000 non-refundable proposal fee, and a \$90,000 bid deposit (the "Contract Execution Deposit"), which will either be credited toward the Awardee's payment of the MIPA purchase price, or, for Proposers that are not the Awardee, refunded within one hundred and eighty (180) days of the Award Notification Date.
- **Proposer Qualifications:** The Step One Eligibility Application will be used to evaluate Proposer Qualifications.
- **Project Execution Plan:** Bid Proposals must include a Project Execution Plan that will include a step-by-step plan and schedule to complete the remaining project development requirements, including final design, securing financing for, construction, ownership and operation and eventually decommissioning of the BR Facility.
- **New or Additional Incremental Economic Benefits:** Bid Proposals can identify new or additional Incremental Economic Benefits that will accrue to New York State because of the development, construction/modification, and operation of the BR Facility beyond what the Build-Ready team has already secured.
- **Bid Price:** Proposers are required to submit a Bid Price that must conform to either the Index REC or Fixed REC pricing structure.
- **Step Two Proposer Certification Form:** Proposers must complete and submit the Step Two Proposer Certification Form (Appendix 6) signed by the Proposer's Authorized Representative.

The following sections further detail the BRRFP23-1 Step Two Bid Proposal requirements.

3.1.1 Project Bid Fee

Each Step Two Bid Proposal must be accompanied by a Project Bid Fee, in the form of electronic wire (preferred) or certified funds, in the amount of \$100,000, consisting of a \$10,000 non-refundable proposal fee, and a \$90,000 bid deposit (the "Contract Execution Deposit"), which will either be credited toward the Awardee's payment of the MIPA purchase price, or, for Proposers that are not the Awardee,

refunded within one hundred and eighty (180) days of the Award Notification Date. **The Project Bid Fee is due by Thursday, March 7, 2024.**

In the event that the Awardee fails to execute the REC Agreement and MIPA, and consummate the purchase of the Project Company membership interests, within sixty (60) days from the Award Notification Date, NYSEDA reserves the right to rescind the award, in which case the Awardee's Contract Execution Deposit will be forfeited, and such Awardee may be prohibited from participating in future RFPs.

Full Project Bid Fee submission instructions with account and routing information will be provided in the data room. Proposers must indicate that they have submitted the Project Bid Fee with their Step Two Bid Proposal and attach proof of the provision of the Project Bid Fee, such as a receipt or transfer confirmation.

3.1.2 Proposer Qualifications

Information provided in the Step One Eligibility Application will be used to evaluate Proposer Qualifications. If a Proposer receives a Notice of Qualification and subsequently needs to revise the identified Key Personnel or project experience and references, the Proposer must notify NYSEDA and receive written authorization to make the change, subject to NYSEDA's reasonable consent, prior to submitting the Step Two Bid Proposal. NYSEDA will pre-populate the Step Two Bid Proposal Form with the information provided in the Step One Eligibility Application Form so that Proposers can make any approved changes.

Evaluation Considerations: The Technical Evaluation Panel (TEP) will award up to 10 points for Proposer Qualifications based on submission of the required forms and statements and narratives provided in Step One. Proposers that demonstrate the following will be evaluated favorably:

- Key Personnel and previous project experience will be evaluated favorably to the extent it exceeds the Minimum Eligibility Qualifications in Step One, including but not limited to experience on projects similar to the BR Facility in terms of the type of work, size, and site characteristics.
- Other Personnel that have experience on projects similar to the BR Facility in terms of the type of work, size, and site characteristics.
- Proposers and/or Project Teams that have successfully designed, secured financing, constructed, and owned and operated solar PV facilities as a single entity or established team will be evaluated favorably.
- Experience with projects in New York State is more relevant and will be evaluated favorably.
- Experience with projects similar to the BR Facility in terms of nameplate capacity, setting, and/or site characteristics.
- Experience self-performing upgrades as part of an interconnection agreement for a project in New York State (if applicable for the BR Facility utility area).

3.1.3 Project Execution Plan

Bid Proposals must include a step-by-step plan and schedule to complete the remaining project development requirements, including final design, securing financing for, construction, ownership and operation and eventually decommissioning of the BR Facility.

Evaluation Considerations: The TEP will award up to 20 points for the Project Execution Plan based on submission of the required forms, statements and narrative as described below and how well the provided information supports the quality of the plan.

3.1.3.1 Preliminary Engineering, Procurement and Construction Plan

Bid Proposals must include a preliminary, but reasonable, engineering, procurement and construction plan which will include the following information:

- Engineering: In the Engineering Plan, Proposers should provide a layout for the equipment on the BR Facility Site (see Acronyms and Definitions section) to the extent available
- Procurement: In the Procurement Plan, Proposers should outline the major equipment to be used, and shall commit to procuring photovoltaic module model type(s) listed as a Top Performing Module on PVEL’s most current version of their Top Performer Module Scorecard.²³ Information to be included in the Procurement plan includes:
 - Technical specifications (including photovoltaic modules and model type, inverters, and racking, fixed or tilt system, panel wattage, panel and inverter efficiency ratings)
 - Potential manufacturers / suppliers of the equipment
 - The terms (or expected terms) of the warranties and/or guarantees on major equipment that the Proposer is seeking
 - Expected lead time for availability of equipment that aligns with the Project Schedule, including any master agreements or other strategies that may allow the Proposer to optimize the procurement timeline (if applicable)
 - Proposers must describe their planned reliance on SF6 and any efforts that can be taken to minimize or avoid its usage in associated interconnection facilities.
 - Proposers may also consider demonstrating their commitment to follow SEIA’s [Solar Equipment Buyers’ Guide for Supply Chain Traceability](#) in their procurement plans.²⁴
- Construction: In the Construction Plan, Proposers should provide a preliminary, but reasonable, construction plan that aligns with the Engineering and Procurement Plans and is consistent with the Project Schedule as presented below.

The plan must conform to and be consistent with the site constraints, interconnection requirements, permit requirements, and other information that is available to Proposers in the data room. Proposers must identify permit modifications, if any, that may be necessary in order to accommodate the proposed project design.

Proposers should identify potential risks, risk mitigation opportunities and contingencies included in the plan to offset risks.

Proposers must describe how quality will be ensured during project development and construction. Proposers must provide documentation of the construction contractor’s Experience Modification Rating (EMR) as stated in the Step Two Bid Proposal Form and provide a commitment that an effective and

²³ PVEL. “The 2023 PV Module Reliability Scorecard,” <https://scorecard.pvel.com>.

²⁴ Solar Energy Industry Association (SEIA). “Solar Supply chain Traceability Protocol,” <https://www.seia.org/research-resources/solar-supply-chain-traceability-protocol>.

understandable Safety & Health policy will be defined and enforced, consistent with OSHA regulations and industry-recognized standards.

Proposers must describe how the U.S. Department of Commerce antidumping/countervailing duty investigation²⁵ has affected the timing and expected costs of the proposed generating equipment for the BR Facility. This description should include what equipment the Proposer intends to use, and whether and how their procurement plan has been affected by the U.S. Department of Commerce investigation and its outcomes. For the avoidance of doubt, the content of this section of the Bid Proposal is informational only and will not affect the scoring of the Bid Proposal.

In accordance with General Condition 7.8, as a matter of procurement policy in promoting the intent of the New York Buy American Act, any Proposer awarded a contract in BRRFP23-1 is required to establish that it expends a minimum of \$30,000 per MWdc on iron and/or steel components that are manufactured in the U.S. with iron and steel produced by U.S. steel mills for use in the BR Facility. Claimed expenditures associated with purchasing commitments for U.S. Iron and Steel per MWac of Nameplate Capacity will be entered in the REC Agreement as Expected U.S. Iron and Steel Dollars/MW. To the extent the BR Facility falls short of the minimum dollar requirement determined for the project, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the REC Agreement.

In accordance with Section 8.08 of the REC Agreement, if an Awardee must change the manufacturer of the solar photovoltaic modules and racking system as specified in the Awardee's Bid Proposal Preliminary Engineering, Procurement and Construction Plan, the Awardee must notify NYSERDA and receive written approval. The replacement equipment must be of equal to or better quality than the equipment proposed in the Bid Proposal and the PV module model must be listed as a Top Performing Module on PVEL's most current version of their Top Performer Module Scorecard listed on PVEL's PV Module Reliability Scorecard.

Evaluation Considerations: Plans will be evaluated based on reasonableness, completeness, quality, and level of detail. Plans must propose with and commit to procuring a PV module model type(s) listed as a Top Performing Module on PVEL's most current version of their Top Performer Module Scorecard. Plans that identify potential risks and offer risk mitigation strategies will be evaluated favorably. Plans that are specific to and customized for the BR Facility site will be evaluated favorably. Plans that are aligned with the Project Schedule will be evaluated favorably. Plans that commit to follow SEIA's Solar Equipment Buyers Guide for Supply Chain Traceability will be evaluated more favorably.

3.1.3.2 Energy Production Estimate and Bid Quantity

Proposers must submit the Expected Annual Production and Bid Quantity for the BR Facility, which will not exceed the P(50) long-term Energy Production Estimate. In establishing the Expected Annual Production and Bid Quantity, the Proposer must review the BR Facility PV System Report provided in the data room.

Proposers must submit an Energy Production Estimate report that includes the Expected Annual Production. The Proposer's P(50) Energy Production Estimate must align with the Proposer's 8760

²⁵ Department of Commerce, International Trade Administration, [A-570-979, C-570-980], "Crystalline Silicon Photovoltaic Cells, Whether or Not Assembled Into Modules, From the People's Republic of China: Initiation of Circumvention Inquiry on the Antidumping Duty and Countervailing Duty Orders."

hourly profile that is representative of the production at the BR Facility over the Contract Tenor. The Bid Quantity shall not exceed the P(50) long-term Energy Production Estimate. Please identify any factors that result in variance in the Expected Annual Production relative to the estimate in the BR Facility PV System Report.

Proposers must complete the 8760 20-year template in the Step Two Bid Proposal Form (Part V) and provide their PVSyst report (or equivalent), a narrative explanation of curtailment and/or degradation assumptions over the REC Agreement contract tenor and a copy of the post-production modeling excel spreadsheet that was used to refine the Energy Production estimate.

The REC Agreement allows for developing or upgrading the BR Facility up to 20 MWac. The Proposer should include a Bid Quantity for the expected MWs for the near and future term of the REC Agreement. However, the REC Agreement can be amended to increase the Bid Quantity to 20 MWac as the Agreement has an Annual REC Cap scaled to a 20 MWac project, based on whether Proposer (or Awardee) estimates the BR Facility to be economic above 12 MWac at any point during the REC Agreement's Contract Tenor of 20 years.

Evaluation Considerations: Bid Quantities that are equal to or higher than the value provided in NYSERDA's PVSyst report will be evaluated favorably, to the extent reasonable and adequately supported and that would not result in a major modification under the current permitting or interconnection process. Bid Quantities that are not reasonably supported will not be evaluated favorably.

3.1.3.3 Project Schedule

Proposers must specify two Critical Milestones in the project schedule section of the Step Two Bid Proposal Form (Part VIII, Appendix 5): (i.) the Interconnection Agreement Milestone Date; and (ii.) Commercial Operation Milestone Date. These two dates will be incorporated into the MIPA and REC Agreement, respectively.

In addition, Proposers must specify the following Non-Critical Milestones in the project schedule section of the Step Two Bid Proposal Form (Part VIII, Appendix 5), which will be used to monitor progress during the course of the project development, as described in Section 6.02 of the REC Agreement:

- Final permits obtained
- Project Final Design
- Financial Close
- Notice to Proceed to EPC
- Civil site work completed /or/Complete foundations for facility building(s), transformers
- Rack and Modules installation completed
- Delivery and installation of transformers
- Interconnection facilities completed

Beyond the project schedule required in Part VIII of the Step Two Bid Form, Proposers must also submit a Gantt chart or similar timeline showing the start and end dates of each task and dependencies among the different tasks and milestones and accompanying narrative that identifies and describes the remaining project development and construction milestones and the proposed Commercial Operation Milestone Date.

In the narrative, Proposer must address potential schedule risks, any allowance for schedule delay that is built into the schedule, and Proposer's contingency plans and mitigation strategies in the event that there is a potential that a Critical or Non-Critical Milestone cannot be achieved. Proposer should also identify opportunities that may be available to accelerate the project schedule and Critical Milestones.

Evaluation Considerations: The Bid Proposal must demonstrate that the BR Facility can reasonably complete any outstanding development milestones and be financed and constructed within the proposed schedule. Proposers must submit reasonable milestones that are achievable, thereby placing the BR Facility on a realistic milestone schedule to support the proposed Commercial Operation Milestone Date. Bid Proposals with an earlier proposed Commercial Operation Milestone Date will be evaluated favorably, as long as the proposed Commercial Operation Milestone Date is determined to be reasonable and achievable and is supported by the overall Bid Proposal, including the project schedule.

3.1.3.4 Project Budget and Cost Assumptions

Proposers must provide a detailed project budget providing annual budgets for each construction year through COD, annual operations and maintenance costs through the projected lifetime of the project, as well as decommissioning costs. The project budget must be provided in Part IX of the Step Two Bid Proposal Form (Appendix 5). Proposers may, but are not required to, provide an accompanying narrative.

Proposers must also provide project cost assumptions in Part VII of the Step Two Bid Proposal Form. Proposers must declare whether and to what extent they intend to utilize the Production Tax Credit (PTC) or Investment Tax Credit (ITC) as part of their project financing. Proposers should include their assumption of the percentage of their energy production or project costs that will be compensated under the PTC or ITC, including any expanded tax credit eligibility afforded under the Inflation Reduction Act of 2022, *i.e.*, Domestic Content Bonus Credit, Energy Community Bonus Credit and prevailing wage and qualified apprenticeship bonus.²⁶ NYSERDA will pre-populate some line items in the cost assumptions worksheet. During Step Two, NYSERDA will provide an updated Step Two Bid Form to all qualified proposers that will include the pre-populated line items.

Evaluation Considerations: The project budget and cost assumption must provide all required line items. Project budgets and cost assumptions which are consistent with the Bid Price will be evaluated favorably. Project budgets and cost assumptions with a reasonable contingency will be evaluated favorably.

3.1.3.5 Financing Plan

Proposers must demonstrate they have the financial capability to complete construction, commence operation by the proposed Commercial Operation Milestone Date (or an alternate date if justified by the schedule narrative) and sustain operation over the REC Agreement term. The Financing Plan should contain the following information if available and applicable:

²⁶ NYSERDA acknowledges that not all sites are eligible for the Energy Community Bonus Credit. The Benson Mines site does not currently appear to qualify for the Energy Community Bonus Credit. Prospective Proposers are encouraged to seek advice from a qualified tax advisor.

- A detailed description of the anticipated financing arrangements, including equity, any additional pre-construction and development expenditures, contract security, construction debt, mezzanine / subordinated debt, permanent debt and the amortization of the debt; and plans for monetizing of any available tax credits.
- Written expressions of interest from potential debt and tax equity providers or tax credit purchasers, and commitment letters, if available, sufficient to fund the full anticipated debt and any tax equity or tax credit sale component of project development, construction, and operation.
- Identification of any prior projects submitted in Step One that successfully used the same financing strategy as that proposed for the BR Facility.

Evaluation Considerations: Financing Plans will be evaluated based upon their comprehensiveness and viability. More mature financing plans will be evaluated favorably. Financing strategies that have been utilized successfully by the Project Team for prior renewable energy projects will be evaluated favorably. Financing plans that maximize tax credits will be evaluated favorably.

3.1.3.6 Labor Plan

Proposers must describe their plan for complying with the following labor-related contractual requirements:

- Prevailing Wage (see Section 18.10 of the REC Agreement and New York State Labor Law § 224-d)
- Project Labor Agreement (see Sections 18.10 and 18.11 of the REC Agreement, Exhibit J to the Agreement, and Labor Law §§ 220, 220-b, 222 and 224-d)
- Labor Peace Agreement (see Section 18.13 of the REC Agreement, pursuant to and to the extent legally required by New York State Public Service Law § 66-r (3))

Evaluation Considerations: Proposers must demonstrate their ability to comply with the labor requirements. Bid Proposals that include a clear and well-defined strategy to comply with the requirements will be evaluated favorably.

3.1.3.7 Community Engagement Plan

The public and local governments play an important role in the process of evaluating and advancing renewable energy 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, construction, and operation of the proposed BR Facility.

Proposers must submit a Community Engagement Plan for fulfilling the host community benefit commitments and PILOT commitment, as described in Part I., Section 1.4.8 that NYSERDA has developed in consultation with the local government. Proposers are responsible for providing a Community Engagement Plan with suggested enhancements.

All Proposers are expected to explore how they can build upon the existing commitments to provide additional community benefits and reduce burdens on Disadvantaged Communities in accordance with the 2020 CES Modification Order and Build-Ready Implementation Plan. The Proposer must provide a complete description of the benefits and burdens associated with the development of the BR Facility on

any host communities or proximate communities designated as Disadvantaged. Benefits of BR Facility development may include establishment of education and training opportunities, the hiring of residents from Disadvantaged Communities, and contracting with minority- and women-owned business enterprises (MWBE) and service-disabled veteran-owned businesses (SDVOB) or other community investments.

The Community Engagement Plan shall be incorporated into the Project Schedule and Finance Plan. 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, based on past experiences with community engagement.

All Proposers must provide a complete Community Engagement Plan including planned engagement activities associated with the BR Facility, as described below.

- 1) Detail outreach strategies and activities the Proposer will use to engage stakeholders and interested parties, including affected agencies, and to encourage public involvement throughout the remaining development phases, and construction, and operation phases (consistent with the project schedule), including methods of communication and specific channels the Proposer intends to use to disseminate BR Facility information.
- 2) Any benefits to Disadvantaged Communities that would be realized with the development and construction of the BR Facility.
- 3) 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.
- 4) Details of direct benefits to the community the Proposer will advance.
- 5) Describe plans to respectfully respond to any opposition that arises to the BR Facility.
- 6) Identify strategies the Proposer will use to mitigate concerns raised in the future by the public regarding the BR Facility.
- 7) Method for soliciting feedback and input from the public and affected agencies and the process for sharing feedback and responses publicly.

Evaluation Considerations: Proposers making incremental community engagement commitments will be evaluated favorably.

3.1.3.8 Operations and Maintenance Plan

Proposers must provide an operation and maintenance plan outline, no longer than five pages, that specifies the activities that the Proposer will undertake to operate and maintain the BR Facility over the term of the REC Agreement. Proposers must describe the proposed quality control processes to ensure proper operations and safety during the operations phase.

Evaluation Considerations: Plans will be evaluated based on completeness, quality, and level of detail.

3.1.3.9 Decommissioning Plan

Provide a plan for responsibly decommissioning the BR Facility at the end of its useful life, including identification of the party(ies) responsible for decommissioning. The plan should include defined

conditions upon which decommissioning will be initiated (e.g., end of land lease, no operation for 12 months, prior written notice to facility owner, etc.) and the timeframe for completion of decommissioning activities. The plan should include a discussion of required steps to remove the system, dispose of or recycle its components, and restore the land to its original state. Plans must include an estimated cost schedule and a form of decommissioning security.

Evaluation Considerations: Plans that incorporate the APA permit requirements will be evaluated favorably. Plans that maximize opportunities for beneficial reuse and recycling will be evaluated favorably.

3.1.4 New or Additional Incremental Economic Benefits

Proposers can identify new or additional Incremental Economic Benefits that will accrue to New York State because of the development, construction/modification, and operation of the BR Facility beyond what the Build-Ready team has already secured.

Incremental Economic Benefits are those that: (i.) will accrue after the Award Notification Date because of an award under this RFP, and (ii.) would not have accrued but for the award of a contract under this RFP.

There are two categories of Incremental Economic Benefits that Bid Proposals will be evaluated against as defined below and in greater detail in Section 3.1.4.1 and 3.1.4.2.

- 1) Long-Term Economic Benefits to New York State (Category 1) are those lasting longer than three years and are evaluated based on total eligible dollars²⁷ normalized by Anticipated Nameplate Capacity; and
- 2) Short-Term Economic Benefits to New York State (Category 2) are those lasting less than three years and are evaluated based on total eligible dollars normalized by Anticipated Nameplate Capacity.

The Incremental Economic Benefits the Build-Ready team secured for the BR Facility are described in Part I, Section 1.4.8 and 1.4.9 of this RFP. For Proposers qualified for Step Two, these Incremental Economic Benefits, and the corresponding values, will be pre-populated in the Step Two Proposal Bid Form (Appendix 5) and additional information will also be available in the data room. These Incremental Economic Benefits are considered Category 1 claims and will be included in the awarded REC Agreement as part of the total Expected Dollars/MW.

Only those Incremental Economic Benefits falling within the two categories defined above and as entered in the Step Two Bid Proposal Form will be considered for evaluation. In no instance will NYSERDA 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.

²⁷ The total dollar amount of Incremental Economic Benefits per MW of Anticipated Nameplate Capacity is defined as the Expected Dollar/MW in the REC Agreement. The Expected Dollar/MW will be presented in the Bid Proposal, accepted by NYSERDA, and is expected to accrue to New York as a result of the development, construction and operation of the Bid Facility from the BRRFP23-1 Launch Date through the end of the first three (3) Contract Years.

Proposers are strongly encouraged to consider what additional Incremental Economic Benefits can be provided through contracting with MWBEs and SDVOBs, and bringing benefits to New York Disadvantaged Communities, such as sourcing of laborers, workers, mechanics, and operations and maintenance workers from Disadvantaged Communities throughout 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 BR Facility must be paid at least the Prevailing Wage applicable in the area where the BR 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 BR Facility is located. Claimed jobs must also meet the Project Labor Agreement (see Sections 18.10 and 18.11 of the REC Agreement, Exhibit J to the Agreement, and Labor Law §§ 220, 220-b, 222 and 224-d) and Labor Peace Agreement (see Section 18.13 of the REC Agreement, pursuant to and to the extent legally required by New York State Public Service Law § 66-r (3)).

Independent audit and verification of the actual Incremental Economic Benefits of the BR 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 BR Facility under the categories and within the eligibility requirements listed in this RFP. The Economic Benefits Report will be funded at the Awardee's expense. Proposers must report on MWBE and SDVOB utilization, as well as certain commitments to utilize structural U.S. Iron and Steel, from transfer of the BR Facility from NYSERDA to the Proposer until the end of the REC Agreement Contract Delivery Term. Should the Awardee fail to reasonably demonstrate that the total dollar amount of Incremental Economic Benefits is at least 85% of Expected Dollars/MW, NYSERDA may at its option upon Notice to Seller, modify the REC Agreement by reducing the Bid Price payable for the remainder of the Contract Delivery Term.

Evaluation Considerations: The TEP will award up to 15 points to Proposers whose Bid Proposal demonstrates that new or additional Incremental Economic Benefits will accrue to New York State. For Long-Term and Short-Term Economic Benefits, points will be awarded in proportion to the level of eligible claims.

Table 2, below, summarizes the types of economic benefits claims that will receive greater or lower scoring weight. As displayed in Table 2, claims associated with MWBE and SDVOB will receive greater weight in scoring. Claims associated with Disadvantaged Communities will also receive greater weight in scoring. Lower scoring weight will be given to claims occurring after the third year of the Contract Delivery Term, and thus not memorialized in the REC Agreement as Expected Dollars, Expected MWBE and SDVOB Dollars or Expected U.S. Iron and Steel Dollars (Category 2).

Table 2. Economic Benefits Scoring Hierarchy

Greater Scoring Weight	Lower Scoring Weight
Disadvantaged Communities	Benefits occurring after the third year of the Contract Delivery Term (not contractually committed)
MWBE and SDVOB	

All other New York Economic Benefits will receive a baseline scoring weight. If a specific claim falls under multiple criteria, such as a MWBE/SDVOB claim benefitting a Disadvantaged Community or a MWBE/SDVOB claim occurring after the third year of the Contract Delivery Term, both weights will be applied.

3.1.4.1 Long-Term Economic Benefits to New York State (Category 1)

The Proposer should describe the degree to which the development, construction, and operation of the BR Facility will directly create long-term (those lasting longer than three years) economic benefits including jobs and/or accrue payments to the New York State economy, its municipalities and/or residents, payments that will provide 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. Economic Benefits already secured by the Build-Ready team are considered Category 1 claims that will be included in the awarded REC Agreement. Eligible claims can include, but are not limited to:

- 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 and long-term project development;
 - Employment of workers from Disadvantaged Communities will be given greater weighting in evaluation of long-term benefits. Proposers are strongly encouraged to explore what employment resources are available to establish targeted hiring practices to support residents of Disadvantaged Communities.
- 2) Establishment of a project office in New York State, including any remaining 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) Host community payments, Community Benefits agreements (separate from PILOT and the Host Community Benefit Fund secured by Build-Ready – see Section 1.4.8), 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 BR 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.*);
 - Programs established in host towns or proximate communities to specifically direct benefits to Disadvantaged Communities will be given materially greater weighting in evaluation of long-term benefits.

3.1.4.2 Short-Term Economic Benefits to New York State (Category 2)

The Proposer should describe the degree to which both local and statewide economic activity will increase as a result of short-term (less than three years) jobs and in-state purchases. Eligible claims can include, but are not limited to:

- 1) Employment of workers in New York in the form of short-term jobs (jobs lasting less than three years). These can include, but are not limited to, construction, 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 BR 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. BR Facility components (*e.g.*, solar panels) not manufactured within New York are not eligible for eligible for consideration in this category or in any Economic Benefits category.

3.1.4.3 Disadvantaged Communities Economic Benefit Commitments

Through this solicitation, NYSERDA seeks to actively support investments made as a result of the BR Facility that provide benefits to and reduce burdens on Disadvantaged Communities²⁸ in accordance with the 2020 CES Modification Order and Build-Ready Implementation Plan. NYSERDA will favorably evaluate economic benefits to New York State that will be realized in part or in full by Disadvantaged Communities.

The TEP will award more points to Bid Proposals that demonstrate that the associated Incremental Economic Benefits to New York State will be realized in part or in full by Disadvantaged Communities. It is incumbent upon Proposers to clearly identify which Economic Benefits claims and to what extent the benefits will be realized by Disadvantaged Communities, and how the Proposer will substantiate that any Incremental Economic Benefits claimed as being directed to Disadvantaged Communities have accrued to those communities via interim reporting requirements and a final audit of the Proposers' Incremental Economic Benefits claims following the third year of commercial operation of the BR

²⁸ The Climate Justice Working Group voted on the current disadvantaged community criteria on March 27th, 2023. Proposers should only use the current disadvantaged community criteria when assessing benefits toward disadvantaged communities in their proposals. For more information on the current disadvantaged community criteria see "Disadvantaged Communities" in Section 8 – Acronyms and Definitions of this document.

Facility. Commitments made by Proposers to benefit Disadvantaged Communities will be incorporated into the REC Agreement for awarded Proposers. See Section 6.10 of the REC Agreement.

Proposers are encouraged to make elective commitments in their Step Two Bid Proposals that will commit the Proposer to a certain dollar amount of expenditures per MWac of nameplate capacity that will accrue to Disadvantaged Communities. Such commitments will receive greater weight in scoring and will be incorporated into the REC Agreement as Disadvantaged Community Commitments. To the extent a BR Facility falls short of the minimum dollar requirement set forth in the REC Agreement, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the REC Agreement.

Proposers are also encouraged to consult the following resources maintained by NYSERDA, the New York State Department of Labor (DOL), and other entities in New York State that are actively supporting the development and sourcing of trained workforce participants (including laborers, workmen, mechanics, electricians, and operations and maintenance workers) from Disadvantaged Communities.

- NYSERDA [On-the-Job Training \(OJT\) program](#) for clean technology businesses seeking to recruit new hires.
 - Browse [examples of previously supported training projects](#), including multiple partnerships that have trained workers from Disadvantaged Communities to prepare the clean energy workforce.
 - For questions, contact PONOJT@nyserda.ny.gov
- [NYSERDA Energy Efficiency and Clean Technology \(EE&CT\) Training](#) program is a competitive solicitation with multiple due dates through November 18, 2025. Projects funded through this solicitation are intended to develop and/or deliver technical training, relevant education, and hands-on experience to ensure that both new and existing workers, apprentices, journeypersons, and students, as applicable, have the skills, experience, and qualifications required to meet industry demand.
- [NYSERDA Internship & Pre-Apprenticeship Program](#) funds internships for students and recent graduates at New York State's clean energy companies. New York based businesses and organizations doing work in the energy efficiency, clean technology, and renewable energy sector are encouraged to apply to become an approved business and provide funded internships to students and recent graduates.
- [NYSERDA Climate Justice Fellowship Program](#) seeks applications from organizations who wish to host full-time Climate Justice Fellows from priority populations for 1 year. NYSERDA provides \$37,000 for the fellow's salary as well as \$3,000 for professional development and/or wrap-around services. Host organizations must be working to advance climate justice and clean energy priorities for disadvantaged communities.
- [NYSERDA Regional Clean Energy Hubs](#)
 - Clean Energy Hubs connect people to the clean energy economy.
- [DOL Apprenticeship Program](#)
 - For questions, contact the appropriate [local apprenticeship representative](#) or contact ATCO@labor.ny.gov
- [DOL Career Center Events & Recruitment program](#) also supports regularly scheduled job fairs where employers can actively source workforce participants from Disadvantaged Communities.
- [Office of Strategic Workforce Development \(OSWD\) within Empire State Development \(ESD\)](#) is a new division within ESD charged with better aligning workforce development efforts with the needs and priorities of today's employers.

3.1.4.4 MWBE and SDVOB Economic Benefit Commitments

Proposers and their contractors/sub-contractors/other partners are strongly encouraged to pursue partnership with New York State Certified MWBEs and SDVOBs. Proposers are encouraged to make elective Category 1 commitments in their Step Two Bid Proposals that will commit the Proposer to a certain dollar amount of expenditures per MWac of nameplate capacity that will accrue to MWBE and SDVOB. Commitments made by Proposers to benefit MWBE and SDVOB will be incorporated into the REC Agreement (Category 1). Such commitments will receive greater weight in scoring and will be incorporated into the REC Agreement as Expected MWBE and SDVOB Dollars/MW. To the extent a BR Facility falls short of the minimum dollar requirement set forth in the REC Agreement, any shortfall will be addressed through the remedy provided in Section 5.02 (f) of the REC Agreement.

The TEP will award more points to Bid Proposals that demonstrate that the associated Incremental Economic Benefits to New York State will be realized in part or in full by New York State certified MWBE and SDVOB.²⁹ It is incumbent upon Proposers to clearly identify which Incremental Economic Benefits claims will accrue to MWBE and SDVOBs. The Proposer will substantiate that any Incremental Economic Benefits claimed as being directed to MWBE and SDVOB have actually accrued to those entities via interim reporting requirements and a final audit of the Proposers' Incremental Economic Benefits claims following the third year of commercial operation of the BR Facility. See Sections 5.02 (f) and 18.14 of the REC Agreement.

In evaluating proposals, the TEP will favorably consider programs that invest in the development of local businesses and provide quantifiable metrics to assess the Proposer's capacity building efforts, including number and value of contracts completed, number of employees, wages/salaries paid, increase in trade specialties, customer base, and increased revenue.

3.1.5 Bid Price

Proposers must submit their Bid Price in Part IV of the Step Two Bid Proposal Form (Appendix 5). 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 BR Facility. Proposers must submit a non-inflation adjusted and an inflation adjusted Bid Price (See Section 3.1.5.4).

For both forms of pricing, only level nominal dollar pricing will be accepted. All Proposals will include a Contract Tenor of twenty years.

Except as provided for in Article V of the REC Agreement and as allowed under the Interconnection Cost Adjustment described in Section 3.1.5.3, NYSERDA cannot adjust the binding Fixed or Index REC Bid Price submitted by the awarded Proposer.

3.1.5.1 Fixed REC Pricing

Under the Fixed REC pricing, the Monthly REC Price is equal to the Fixed REC Price.

$$\text{Monthly REC Price} = P^{\text{Fixed}}$$

²⁹ Businesses certified by entities other than New York State will not count toward increased points.

where:

$$P^{Fixed} = \text{Fixed REC Price (\$/MWh)}$$

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.

3.1.5.2 Index REC Pricing

Under the Index REC pricing, the Monthly REC Price varies monthly during the Contract Delivery Term and is calculated:

$$\text{Monthly REC Price} = SP^{Index} - REP - (RCP \times MF)$$

where:

$$SP^{Index} = \text{Index REC Strike Price (\$/MWh)}$$

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

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

$$MF = \text{Mitigation Factor (\%), defined in Section 4.01 of the REC Agreement}$$

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.

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 BR Facility's Delivery Point is physically located.³⁰ Proposers should characterize their analysis of basis risk and shape risk to estimate what the BR Facility will receive for energy revenue relative to the Reference Energy Price.

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 BR Facility is located as published by NYISO.³¹

The Reference Capacity Price is converted to its \$/MWh equivalent through the following equation:

³⁰ 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>.

³¹ 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.

$$RCP = \frac{RUP \times IC \times 1,000 \times CAF}{Total\ RECs}$$

where:

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

IC = Installed capacity of the generator (MW)

Total RECs = Total number of Tier-1 RECs produced from the BR Facility in the subject month 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)

1,000 = kW to MW conversion factor

CAF = Capacity Accreditation Factor for the resource's Capacity Accreditation Resource Class

3.1.5.3 Interconnection Cost Adjustment

Upon substantial completion of the interconnection facilities, when the final Interconnection Cost Allocation is known, the Fixed REC Price or Index REC Strike Price will be adjusted. The adjustment will account for the change, if any, between the final Interconnection Cost Allocation and the Interconnection Cost Allocation Baseline. The Interconnection Cost Allocation Baseline is the interconnection cost as estimated by the SIS and provided by NYSERDA to Proposers in Appendix 5. Step Two Bid Proposal Form – prior to the Step Two Bid Proposal submission deadline. If the final Interconnection Cost Allocation is greater than the Interconnection Cost Allocation Baseline, the Index REC Strike Price or Fixed REC Price will be increased to allow the BR Facility to recover 100% of the incremental cost over the Contract Tenor. See Section 5.03 and Exhibit M of the REC Agreement for the method of calculating this adjustment.

If the final Interconnection Cost Allocation is less than the Interconnection Cost Allocation Baseline, the Index REC Strike Price or Fixed REC Price will be reduced in a manner to share the savings between the Awardee and NYSERDA. See Section 5.03 and Exhibit M of the REC Agreement for the method of calculating this adjustment.

3.1.5.4 Inflation Risk Adjustment

Proposers must also submit an inflation adjusted Bid Price. If selected, the Index REC Strike Price or Fixed REC Price will be adjusted to account for inflation between the Bid Proposal Submission Deadline and the commencement of Construction Activities related to the BR Facility. This adjustment, governed by Section 5.04 and Exhibit L of the REC Agreement, will be based on the PPI All Commodities index.³² The Index REC Strike Price or Fixed REC Price for the inflation adjusted Bid Price will be calculated as:

³² U.S. Bureau of Labor and Statistics (<https://www.bls.gov/data/>), Series ID WPU00000000, PPI Commodity data for All commodities, not seasonally adjusted.

$$REC_{adj} = REC_{bid} \times \frac{Index_T}{Index_B}$$

where:

REC_{adj} is the Index REC Strike Price or Fixed REC Price after adjustment

REC_{bid} is the Index REC Strike Price or Fixed REC Price as submitted with the Bid Proposal

Index_B is the value of the PPI All Commodities index established prior to the Bid Proposal Submission Deadline

Index_T is the value of the PPI All Commodities index established at the commencement of Construction Activities

Index_B will be the average of the last six months or two quarters of published data available prior to the Step Two Bid Proposal Submission Deadline. The final *Index_B* value that will be used in the REC Agreement is 254.211. NYSERDA will publish the final *Index_B* value that will be used in the REC Agreement prior to the Step Two Bid Proposal Submission Deadline.

Index_T will be calculated as the average of the monthly or quarterly values for the six-month period comprising the three months prior to and following the commencement of Construction Activities. *REC_{adj}* will therefore be calculated when the published monthly prices or indices become available, but no earlier than 6 months after the commencement of Construction Activities.³³

If a Bid Proposal using the Fixed REC price structure is submitted with inflation adjustment, the adjustment will be applied to the Fixed REC Price.

3.1.5.5 Settlement Mechanism

NYSERDA will calculate the Reference Energy Price and Reference Capacity Price for each month according to the calculation outlined in the REC Agreement. The Monthly REC Price will be calculated during a settlement period following the conclusion of each month. Proposers should reference Article IV. Pricing and Payment of the BRRFP23-1 Standard Form REC Agreement for the full settlement mechanism.

To calculate the amount payable to Seller, the Monthly REC Price will be multiplied by the lessor of (i.) the number of RECs produced from Actual Production in the prior month, 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 REC Agreement.

³³ There is a lag of two months or more from the end of a month to the issuance of a BLS PPI index. The PPI indices are considered preliminary and may be updated by BLS up to four months after publication. The adjusted Index REC Strike Price or Fixed REC Price will not be finalized until the final PPI values are published by BLS.

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 REC Agreement.

3.1.6 Step Two Proposer Certification Form

Proposers must complete and submit the Step Two Proposer Certification Form in Appendix 6. The Step Two Proposer Certification Form must be signed by the Authorized Representative.

3.2 STEP TWO BID PROPOSAL EVALUATION

Under Step Two, NYSERDA will examine each Step Two Bid Proposal for completeness and to confirm that all Step One Minimum Eligibility Requirements are still met. NYSERDA may permit Proposers to cure deficiencies in Step Two Bid Proposal packages, however packages that are incomplete or non-responsive to cure requests, may be rejected.

Step Two Bid Proposals that are determined to be complete, eligible and include a viable BR Facility project execution plan will be evaluated and scored based on: (i.) the Fixed REC Bid Price or Index REC Bid Price, weighted at 55% of the overall score, and (ii.) non-price factors, which have a combined weight equaling 45% of the overall score.

The 45% non-price evaluation component is divided into three categories:

- 1) Incremental Economic Benefits to New York State (15%)
- 2) Proposer Qualifications (10%)
- 3) Project Execution Plan (20%)

The following sections describe the Bid Price evaluation and the non-price evaluation in more detail.

3.2.1 Bid Price Evaluation

The Bid Price evaluation will be conducted by NYSERDA. 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, the Bid Price 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 and REC quantities.

For evaluation purposes, regardless of the proposed Commercial Operation Milestone Date, Bid Proposals will be evaluated with a Contract Delivery Term commencement month of January 2026 therefore a $COMD_p$ of January 2026.³⁴

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 Production over the same period. The annual

³⁴ The use of this date for evaluation purposes represents a generalized schedule. Proposers should submit schedules and CODs based on the Proposer's reasonable expectations consistent with the Project Execution Plan.

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)

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

$PVNRC_{p,Index}$ = PV of Net REC Cost for Proposal p , pricing form Index (\$ PV)

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

$PVRQ_p$ = PV of REC delivery quantities for Proposal p (MWh)

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

$RQ_{p,m,y}$ = REC delivery quantity for Proposal p applicable to month m of calendar year y (REC or MWh), as provided in Attachment E – P(50) 8760 Template

$RPE_{m,y}^{Pred}$ = 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)

$COMD_p$ = Calendar month 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 7.55% per year and a long-term inflation rate assumption of 2.26% per year will be used in the LNRC calculation procedure.³⁵

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.

For evaluation of inflation adjusted Bid Proposals, a multiplier representing NYSERDA's expectation of the inflation for the identified indices between the Bid Proposal Submission Deadline and the estimated date of Notice to Proceed for the BR Facility, consistent with the *COMD_p* of 2026, will be applied to the Index REC Strike Price or Fixed REC Price to determine the total price used in the evaluation.

All bids, including both Index REC bids and Fixed REC bids, will be sorted in ascending order per LNRC. The lowest LNRC bid will receive the maximum points available for the Bid Price component (55 points), and higher LNRC bids will receive lower scores (less than 55 points). NYSERDA will implement a method designed to cause the scores of higher LNRCs to be sufficiently dispersed below the maximum of 55 points such that the final score aggregating Bid Price, Proposer Qualifications and Project Execution Plan, and Incremental Economic Benefits retains the intended scoring emphasis on the LNRC to a reasonable extent.

3.2.2 Non-Price Factor Evaluation

Pursuant to the Build-Ready Program Implementation Plan, a Technical Evaluation Panel (TEP) will be convened to evaluate and award points for the non-price evaluation components of each Bid Proposal. As described in the Build-Ready Implementation Plan, the TEP will consist of NYSERDA staff, DPS Staff, and Independent Evaluators who possess unique proficiency in the evaluation of energy generation projects. The Independent Evaluators will be competitively selected and will execute a non-disclosure agreement. NYSERDA may also enlist other state agencies, authorities, and subject-matter experts to inform the non-price evaluation conducted by the TEP.

3.2.2.1 Non-Viability

The CES Modification Order authorizes NYSERDA to reject a Bid Proposal based upon a unanimous determination by the TEP that the project is not presently viable. If a Bid Proposal is rejected based on the evaluation of viability, NYSERDA will notify the Proposer of the determination following the submission of the Step Two Bid Proposal and the receipt of responses to any clarifying questions and provide an explanation. A Bid Proposal may be determined to be non-viable if it is predicated on unrealistic economic or regulatory assumptions, such as an unrealistic engineering, procurement, and construction plan. Non-viability determinations will only be recommended for a clear, objective case that the Bid Proposal is non-viable based upon the consensus of NYSERDA, TEP, and Specialist Reviewers' assessment of the Bid Proposal.

³⁵ The discount rate (DISCO Discount Rate or DDR) and inflation rate for Bid Price evaluation were established by the New York State Department of Public Service Office of Accounting, Audits and Finance, revised February 12, 2024.

If NYSERDA raises a potential non-viability concern for a Bid Proposal, the Proposer will be given the opportunity to respond. The time to respond will depend on the nature of the potential non-viability determination but will not be less than five business days.

If a Bid Proposal is rejected based on the evaluation of viability, NYSERDA will notify the Proposer of the determination following the submission of the Step Two Bid Proposal and the receipt of responses to any clarifying questions and provide an explanation. Proposers with Bid Proposals that are rejected in this manner may apply to future Build-Ready Program solicitations and will be evaluated without prejudice.

3.2.3 Bid Proposal Ranking and Selection

A ranking of Bid Proposals will be established based on the sum of the final TEP scores for the non-price categories (Incremental Economic Benefits, Proposer Qualifications, Project Execution Plan), and the points awarded for the Levelized Net REC Cost as a result of the Bid Price evaluation.

The highest ranked Bid Proposal will be selected for award. NYSERDA and DPS may also establish a waitlist of Bid Proposals in rank order below the Bid Proposal offered an initial award. **The submission of a Step Two Bid Proposal will constitute a binding offer to contract under the terms of the REC Agreement; such offer must remain open for a period of at least one hundred and eighty (180) days from the Step Two Bid Proposal deadline. Upon award notification, NYSERDA reserves the right to request an extension of the binding offer.**

NYSERDA reserves the right, in its sole and absolute discretion, to: A) reject any or all Bid Proposals; B) require another round of Bid Proposals; C) cancel, modify or withdraw the entire RFP; amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available; D) waive minor technicalities/informalities; and E) request Best and Final Offers (BAFOs) from all Proposers. Proposers should not assume that NYSERDA will in fact request BAFOs.

In accordance with Section 7.7, NYSERDA reserves the right to request additional information as to indictments, convictions, enforcement proceedings, investigations, and significant character or ethical questions in accepting or rejecting a bid. Notifications to the Proposer will be made by voice communication and via email to the Proposer's Authorized Representative. The Proposer's Authorized Representative must be authorized to respond and to commit to counteroffers on behalf of Proposer.

NYSERDA will notify the Awardee of the award via the Authorized Representative in writing and may also provide notification via phone call or videoconference. The date upon which NYSERDA provides such written notification shall be the Award Notification Date. NYSERDA will also inform Proposers who are not initially selected for award. Upon receipt of this notification, a Proposer may request to schedule a debrief on the selection process and the strengths and weaknesses of its Proposal by contacting build-readyauction@nyserda.ny.gov. Once selected for an award, the Awardee must negotiate a final version of the REC Agreement and MIPA with NYSERDA. As a reminder, except as provided for in Article V of the REC Agreement and as allowed under the Interconnection Cost Adjustment described in Section 3.1.5.3, NYSERDA cannot adjust the binding Fixed or Index REC Bid Price or other settlement-related terms submitted by Proposers following the notification of an award, either upon award or during the Contract Tenor.

4 PART III – POST-AWARD PROCESS

4.1 CONFIDENTIALITY

The Proposer shall not distribute any press release or contact the media until after the MIPA and REC Agreement are executed by both parties and any New York State press releases regarding the award have been issued. As part of Step One, NYSEDA requires Proposers to execute a Non-Disclosure Agreement covering the solicitation, award/non-award notifications and execution of the MIPA and REC Agreement. If the Proposer wishes to contact the press regarding the award, the Awardee must do so in accordance with the terms of the NDA, with NYSEDA's written approval, and must collaborate with NYSEDA's Build Ready Team and the Director of Communications to prepare any press release and/or to plan for any announcement.

4.2 PROVISION OF AGREEMENTS FOR EXECUTION

After NYSEDA provides the Awardee with notice of award, NYSEDA will prepare a conformed copy of the MIPA and REC Agreement (drafts of which are included on the Build-Ready website as part of the Step One process), which will be delivered to the Awardee, in a manner to be agreed upon, for the Awardee's execution and return.

NYSEDA may rescind an award to an Awardee who fails to execute the MIPA and the REC Agreement within one hundred and eighty (180) calendar days of the Award Notification Date and may then issue an award to the next highest-scoring Proposer. If an Awardee fails to execute the MIPA and the REC Agreement within the time period mentioned above following notification of an award, the Proposer may be ineligible to participate in one or more future NYSEDA Build-Ready solicitations.

NYSEDA may publish the executed REC Agreement and MIPA, and/or relevant terms within the REC Agreement and MIPA, executed with the Awardee. Prior to such publication, NYSEDA will redact any critical electric infrastructure information contained in the REC Agreement and MIPA, if any, including in the exhibits thereto, and will consider requests to redact confidential business information; provided, however, that NYSEDA will not entertain any request to redact price information contained in the REC Agreement.

4.3 PROVISION OF CONTRACT SECURITY

Unless otherwise agreed to by NYSEDA in writing, the Awardee must provide NYSEDA with Contract Security in an amount equal to the product of the Bid Quantity and \$40.00 within thirty (30) calendar days of the Award Notification Date. NYSEDA accepts Contract Security in the form of cash, certified funds, or a Letter of Credit. The criteria for accepting a Letter of Credit includes:

- 1) the issuing bank is a member of the New York Clearinghouse Association,³⁶ 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

³⁶ Please see the owner bank membership for The Clearing House available from <https://www.theclearinghouse.org/about/owner-banks>

- 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 REC Agreement that must be used in the event that the Awardee elects to provide Contract Security via a Letter of Credit. If the issuing bank seeks modification to these terms, NYSERDA recommends that a draft letter of credit is sent to NYSERDA for review and consideration prior to issuance. NYSERDA may rescind an award to an Awardee who fails to provide Contract Security within thirty (30) days of the Award Notification Date.

As the Awardee progresses the BR Facility through the development process and achieves key milestones within the REC Agreement, NYSERDA will incrementally allow for reductions in the amounts of required Contract Security.

4.4 MIPA PURCHASE PRICE

NYSERDA has set the Purchase Price for the membership interests in BR Project 1 LLC at three million four thousand dollars (\$3,400,000.00 USD). The Purchase Price corresponds to NYSERDA's costs of developing the BR Facility through the date of purchase under the MIPA. The Awardee will not have an opportunity to negotiate the Purchase Price pursuant to the terms of the MIPA.

4.5 DOCUMENTS REQUIRED FOR CONTRACTING PURPOSES

After receiving notice of award, but prior to executing the REC Agreement and MIPA, the Awardee shall provide NYSERDA with the following documents:

- 1) Post-Award Contracting Information Form, to be provided by NYSERDA to the Awardee, requesting information such as Legal Business Name, State of Incorporation, Tax Identification Number (EIN), and other contractual information of the entity that will take title to the membership interests of BR Project 1 LLC; and
- 2) Pursuant to Tax Law Section 5-a, if not previously filed for the Awardee, 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 name of the entity that will take title to the membership interests of BR Project 1 LLC under "Contractor name" on the form. This form is filed with the NYS Tax Department and NYSERDA does not need a copy. If form ST-220-TD was previously filed for the Awardee, a completed form Tax Law ST-220-CA is required. On this form, the Awardee will indicate to NYSERDA that it has filed the ST-220-TD form or the Awardee previously filed ST-220-TD with the Tax Department. As a reminder, please indicate the name of the entity that will take title to the membership interests of BR Project 1 LLC under "Contractor name" on the form; and
- 3) Certificate of Incorporation, Articles of Organization, Certificate of Good Standing and other formative documents for the entity that will take title to the membership interests of BR Project 1 LLC; and
- 4) A certificate of an appropriate officer of the Awardee's entity that will take title to the membership interests of BR Project 1 LLC, in form and substance certifying: (i.) the names and signatures of the officers of such entity authorized to sign any documents to be delivered to NYSERDA, and (ii.) the accuracy and completeness of resolutions of the Awardee, authorizing and approving all matters in connection with the transactions contemplated in the MIPA and REC Agreement. NYSERDA does not have a preferred standard.

- 5) As applicable, updated EO 16 Certification and/or Vendor Responsibility Questionnaire for the Awardee, and the entity that will take title to the membership interests of BR Project 1 LLC, if different than the Awardee.

4.6 CONFORMANCE WITH NYGATS OPERATING RULES

If awarded under BRRFP23-1, Proposers must maintain a NYGATS Account and create and maintain a valid NYGATS ID for the BR Facility, obtain a Statement of Qualification, achieve Operational Certification, and operate in conformance with the [NYGATS Operating Rules](#).³⁷ 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 BR Facility delivered to NYSERDA's NYGATS account.

³⁷ [New York Generation Attribute Tracking System \(NYGATS\)](#)

PART IV – AGREEMENTS AND GENERAL CONDITIONS

5 RENEWABLE ENERGY CERTIFICATE (REC) AGREEMENT

Proposers will have access to the draft REC Agreement during Step One (see Attachment A BRRFP23-1 Draft Standard Form REC Agreement). Pursuant to Part II, Section 2.1.6 of this document, Proposers can submit comments and mark-ups to the REC Agreement and associated Exhibits at any point in time, but no later than the Step Two Bid Proposal due date. The REC Agreement is a legally binding document; it is recommended that Proposers consult with an attorney. NYSERDA cannot adjust the binding Fixed or Index REC Bid Price or other settlement-related terms submitted by Proposers as part of a Step Two Bid Proposal. Of particular note, Awardee will provide Contract Security at execution of the REC Agreement and at various milestones thereafter if the Commercial Operation Milestone Date is extended.

5.1 CONDITIONS/CONTINGENCIES

NYSERDA may include conditions and/or contingencies to address matters concerning any issues NYSERDA deems relevant regarding the Awardee's Bid Proposal.

5.2 MATERIAL CHANGES TO BID PROPOSAL/AGREEMENT TERMS

NYSERDA will not make material adjustments to the REC Agreement or MIPA or adjust any award to accommodate changes unforeseen by the developer, including the Index REC Strike Price or Fixed REC Price beyond those contemplated by Article V of the REC Agreement. Proposers awarded under BRRFP23-1 that do not execute the MIPA and the REC Agreement may be barred from future participation in Build-Ready Solicitations.

6 MEMBERSHIP INTEREST PURCHASE AGREEMENT (MIPA)

NYSERDA recommends that Proposers review the MIPA, attached hereto as Attachment B, and all associated Exhibits prior to participating in BRRFP23-1. The attached MIPA includes template Schedules. NYSERDA will release the populated Schedules of all assets and liabilities of the Project Company in the data room at Step Two.

Pursuant to Part II, Section 2.1.6, Proposers can submit comments and mark-ups to the MIPA and associated Schedules at any point in time, but no later than the Step Two proposal due date. Except as specifically provided in the MIPA, the membership interests in the Project Company and its assets will be sold "AS IS" without any representations or warranties. Proposers should have the required level of sophistication, knowledge, and experience in financial and business matters in order to be able to evaluate the merits, risks, and suitability of entering into the MIPA, and consummating the acquisition of the membership interests in the Project Company.

Note that NYSERDA has not made an Entity Classification Election under IRS Form 8832 for the Project Company. In accordance with Treasury Regulations section 301.7701-2, BR Project 1 LLC is automatically, without affirmative election by the Seller, treated as a corporation for U.S. federal income tax purposes. Proposers should consult with their legal and tax advisors concerning any requirement to make an Entity Classification Election after its acquisition of the membership interests of the Project Company should the Proposer's Bid Proposal be awarded under this RFP.

The MIPA is a legal document and should be reviewed by legal counsel. Of particular note, the MIPA includes a repurchase option held by NYSERDA which is enforceable until the Interconnection Agreement is executed. The option is enforceable only if the Awardee does not execute the Interconnection Agreement by a certain date as submitted by Proposer at Step Two, which is extendable upon bona-fide "Utility Delay", as defined in the MIPA. The repurchase option is priced at 50% of the MIPA purchase price, along with reasonable post-closing expenses borne by Awardee. This mechanism is used to help ensure Awardee carries the BR Facility through to Commercial Operation. Further, by executing the MIPA, Awardee agrees that prior to the expiration of NYSERDA's above-mentioned repurchase option, it will not sell, transfer, assign or convey the membership interests in the BR Facility without prior consent to NYSERDA, subject to certain exceptions.

7 GENERAL CONDITIONS

7.1 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 (available at: <https://www.nyserda.ny.gov/about/new-york-state-regulations>).

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 REC Agreement executed with any awarded Bid Proposal. However, the REC Agreement and other documents associated with this BRRFP23-1 are subject to FOIL and may be released publicly prior to the fifth anniversary of the award date.

7.2 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 a REC 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>.

7.3 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

7.4 PRESS RELEASES AND MEDIA CONTACT

Proposers shall not distribute any press release or contact the media until after the Agreements are executed by both parties and any New York State press releases regarding the awards have been issued. If a Proposer wishes to contact the press regarding the award it must collaborate with NYSERDA's Designated Contacts and Director of Communications to prepare any press release and/or to plan for any announcement.

7.5 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 Technical Evaluation Panel, 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.

7.6 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"). 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.

The 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.

7.7 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 Technical Evaluation Panel. 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 Technical Evaluation Panel, 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.

7.8 U.S. IRON AND STEEL (BUY-AMERICAN)

New York State Public Service Law (PSL) § 66-r (4) (a) (the Buy-American Act) requires public entities to include within the terms and conditions of any covered contracts a contractual requirement that "iron and structural steel used or supplied in the performance of the Contract or any subcontract thereto[,] and that is permanently incorporated into the public work, [be] produced or made in whole or substantial part in the United States, its territories or possessions." However, PSL § 66-r (4) (b) provides

that the Buy-American requirement “shall not apply if the head of the department or agency constructing the public works, in his or her sole discretion, determines that the provisions would not be in the public interest, would result in unreasonable costs, or that obtaining such steel or iron in the United States would increase the cost of the contract by an unreasonable amount, or such iron or steel, including without limitation structural iron and structural steel cannot be produced or made in the United States in sufficient and reasonably available quantities and of satisfactory quality.” The Buy-American Act requires the soliciting agency to make such determination in each RFP.

In the context of BRRFP23-1, NYSERDA finds that “structural” iron and steel subject to PSL §66-r includes the following components: (i.) the iron or steel piers, piles, or ground screws that are driven into the ground to provide support to the solar system racking; and (ii.) the solar system racking that is mounted to the system foundation and provides support to the solar photovoltaic modules and other electrical systems.

Similarly, NYSERDA determined that the following components are operational by nature and are therefore not “structural” iron or steel components that are “permanently incorporated” into a utility-scale solar project, and therefore are not subject to the PSL §66-r: (i.) solar modules; (ii.) wiring; (iii.) trackers systems; (iv.) inverters; (v.) transformers; (vi.) electrical equipment; and (vii.) cables, screws, nuts, bolts, clamps, and other fasteners.

In accordance with the objectives of the Buy-American Act, NYSERDA conducted a study³⁸ to examine the implications of the Buy-American Act as applied to the BR Facility components anticipated to be the subject of Bid Proposals submitted in response to this RFP (BRRFP23-1). On the basis of this study, NYSERDA has determined that due to the potential for increased costs, schedule delay, current market dynamics, manufacturer availability, and steel availability, including the requirement that all structural iron or steel be sourced domestically in BRRFP23-1 would not be in the public interest, as it may result in unreasonable increased costs and schedule delays.³⁹ The study also examined the feasibility of contractual requirements to use domestic structural iron and steel. The study found that a contractual requirement for reasonable minimum amount of U.S. iron and steel to be used in each BR Facility would align with New York State’s policy goals to incentivize utilization and growth of the renewable energy supply chain, including the U.S. steel industry that supports it, and reduce embodied carbon.

The President and CEO of NYSERDA hereby determines to not require all structural iron or steel to be produced in the United States for utility-scale solar PV generation systems; however, use of iron and steel that is produced in New York, and in the United States, is valued by NYSERDA. Accordingly, as a matter of procurement policy in promoting the intent of the New York Buy American Act, any Awardee awarded a contract under this BRRFP23-1 is required to establish that it expends a minimum of \$30,000 per MWdc on iron and/or steel components that are manufactured in the U.S. with iron and steel produced by U.S. steel mills for use in the BR Facility. To the extent the Awardee falls short of the

³⁸ <https://www.nyserda.ny.gov/-/media/Project/Nyserda/Files/Programs/Clean-Energy-Standard/NYSERDA-Buy-American-Supplemental-Study-Onshore-Wind-UtilityScale-Solar.pdf>

³⁹ For more, see Appendix 3. RESRFI22-1 Preliminary Determination Memorandum, Public Service Law (PSL) § 66-r (the New York “Buy-American” law), revised September 2022, available at <https://prod-cm.nyserda.ny.gov/-/media/Project/Nyserda/Files/Programs/Clean-Energy-Standard/NYSERDA-Buy-American-Supplemental-Study-Onshore-Wind-UtilityScale-Solar.pdf>

minimum dollar requirement determined for the project, the shortfall will be addressed through the remedy provided in Section 5.02 (f) of the REC Agreement.

8 ACRONYMS AND DEFINITIONS

Actual Production – The amount, in MWh, of the total electric energy production from the BR Facility during any period within the Contract Delivery Term, in MWh delivered to the Injection Point.

Agreements – The term Agreements refers to the REC Agreement and Membership Interest Purchase Agreement (MIPA).

Authority Having Jurisdiction (AHJ) – The town(s) or city(ies) within which the BR Facility is located.

Applicable REC Price Method – The method employed by NYSERDA in each month for determining the Monthly REC Price as determined in Article IV of the REC Agreement.

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

Awardee – The Proposer selected for award under this RFP.

Anticipated Nameplate Capacity – 12 MWac.

Bid Price – The price per REC offered by Proposer, offered either as a Fixed REC Price or an Index REC Price.

Bid Proposal – An offer to sell a Bid Quantity of RECs from a BR Facility at a proposed Price Structure and Contract Tenor.

Bid Quantity – The annual quantity of RECs that the Proposer proposes to deliver under an Agreement with NYSERDA.

BR Facility – The Benson Mines Solar Project, a solar energy project with an Anticipated Nameplate Capacity of 12 MWac located south of the intersection of New York State Route 3 and Benson Mines – Newtown Falls Road, in the Town of Clifton, County of St. Lawrence, New York.

BR Facility Site – All land area occupied during the commercial operation of the BR Facility and the associated interconnection equipment. Generally, this will include all areas within the facility's perimeter security fence(s) and the applicable facility related improvements outside of fenced areas. The BR Facility Site shall include the area "inside the fence" of the project including all fencing inclosing the mechanical equipment such as the solar arrays, inverters, location of any combiner boxes, fuses, switches, meters, distribution boards, monitoring systems such as Balance of Systems components, interconnection equipment, and stormwater controls. The Facility Area shall additionally include improvements of the project "outside of the fence" including access roads, parking areas, stormwater controls and other permanent facilities, or structures installed at the Facility Area, except vegetative landscape screenings or appropriately buried utilities such as electrical conductors or conduit(s).

BR Project 1 LLC – a single-purpose project holding company, formed pursuant to the New York Limited Liability Company Law and Public Authorities Law § 1902 (5), to facilitate the transfer of the assets (consisting of certain development rights) of the BR Facility from NYSERDA to the Awardee.

CES – Clean Energy Standard.

Climate Act – Climate Leadership and Community Protection Act.

Climate Justice Working Group (CJWG) – An advisory group in the Climate Action Council process, responsible for providing strategic advice for incorporating the needs of Disadvantaged Communities.

Commercial Operation – A state of operational readiness under which (i.) generating capacity is available and physically producing electric energy and associated Tier-1 RECs, and (ii.) all rights, abilities, permits and approvals to schedule and deliver energy to the Injection Point have been obtained.

Commercial Operation Milestone Date (COMD) – The Commercial Operation date as proposed by Proposer in Step Two of BRRFP23-1.

Construction Activities – The physical activities associated with the construction of any on-site structure or civil site works including, but not limited to, the clearing, grubbing, grading, staging, installation, erection and placement of the BR Facility and electrical interconnection, as well as start-up and commissioning of the BR Facility.

Contract Delivery Term – The period of performance under the REC Agreement. The Contract Delivery Term commences on the first day of the month after the BR Facility commences Commercial Operation. The Contract Delivery Term shall extend for the term of the Contract Tenor.

Contract Tenor – The duration, in years, of the Contract Delivery Term, as stated in Schedule 1 of the REC Agreement

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 – The generator bus or location where (i.) NYISO, or (ii.) the operator of the transmission/distribution utility, public authority or municipal electric company, measures, or otherwise determines, energy production from the Project.

Disadvantaged Communities – The Climate Act directed the [Climate Justice Working Group](#) (CJWG) to establish criteria for identifying Disadvantaged Communities. On March 27, 2023, the CJWG finalized the disadvantaged communities’ criteria. See <https://www.nyserda.ny.gov/ny/disadvantaged-communities> for a map of communities, including the ability to search if addresses are within a disadvantaged community. Additional detail on the disadvantaged community criteria, including a list of census tracts that meet the disadvantaged community criteria as well as a detailed indicator map, can be found on the [Climate Act Website](#) under the Resources section “Disadvantaged Communities Criteria.

Disadvantaged Community Commitments – Shall be those commitments contained in the Seller’s Bid Proposal and described in Section 6.10 of the REC Agreement.

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 Production by a BR Facility, consistent with the delineation of attributes set forth in the REC Agreement.

EO 16 – Executive Order No. 16, Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia, issued and effective March 17, 2022.

Expected Dollars – The total dollar amount of Incremental Economic Benefits, as presented in the Bid Proposal and accepted by NYSERDA, expected to accrue to New York as a result of the development, construction, modification, and operation of the BR Facility from the Award Notification Date through the end of the first three Contract Years.

Expected MWBE and SDVOB Dollars – The total dollar amount expected to accrue specifically to New York State Certified Minority or Women-Owned Business Enterprises (MWBE) and Service-Disabled Veteran-Owned Businesses (SDVOB). MWBE businesses must be [certified by the Division of MWBE](#) and SDVOB businesses must be [certified by NYS Office of General Services](#).

Expected U.S. Iron and Steel Dollars – The total dollar amount associated with expenditures for iron and steel components of the BR Facility manufactured in the United States using iron and steel from steel mills located in the United States.

Fixed REC Price – A fixed, as-Bid Price in dollars per REC as described in Section 4.02 of the REC Agreement.

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

Incremental Economic Benefits – Those economic benefits within the categories specified in Section 3.1.4 that a Proposer can demonstrate: (i.) will accrue subsequent to an award under this RFP, and (ii.) would not have accrued but for the award of a contract under this RFP.

Index REC Price – An adjustable price in dollars per REC that nets the Index REC Strike Price monthly against a reference price expressed in a market index pursuant to Section 4.01 of the REC Agreement.

Index REC Strike Price – The fixed as-Bid Price in dollars per REC as described in Section 4.01 of the REC Agreement.

Injection Point – The Delivery Point.

Installed Capacity – Equal to the Nameplate Capacity of a BR Facility that receives an SoQ and achieves Commercial Operation.

Interconnection Agreement –The Standard Small Generator Interconnection Agreement, as defined in Attachment Z of the NYISO OATT, for the Bid Facility.

Interconnection Agreement Milestone Date – The date, as included within the Awardee’s Step Two Bid Proposal, by which the Interconnection Agreement must be in effect pursuant to the terms of the MIPA.

Interconnection Cost Allocation – The total costs actually paid by the Seller in relation to the interconnection of the Bid Facility and memorialized in the Bid Facility’s Interconnection Agreement.

Key Personnel – Means the Project Manager, Design Team Lead and Construction Team Lead all of whom must be employed by the Proposer or a Proposer Team member and serve in that position within their respective entities.

Levelized Net REC Cost (LNRC) – A means of comparing Bid Proposals with different Bid Prices, Bid Quantities, and Commercial Operation Milestone Dates, as described in Section 3.2.1. **Error! Reference source not found.**

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

LSE – Load-serving entity.

Management Chart – An illustrative chart that displays the relationships between Key Personnel and the proposed internal governance structure for the Project Team.

Membership Interest Purchase Agreement (MIPA) – The Membership Interest Purchase Agreement, referred to as the MIPA, is the contract between the seller (NYSERDA) and the buyer (the Awardee) to transfer the ownership and all of the assets and liabilities of BR Project 1 LLC.

MW or MWac – A megawatt of alternating current electric energy generating capacity.

MWdc – A megawatt of direct current electric energy generating capacity.

MWh – A megawatt-hour of electric energy.

Monthly REC Price – A price in dollars per REC determined by NYSERDA for each month of the Contract Delivery Term. If the Applicable REC Price Method is the Index REC Price, the Monthly REC Price shall be calculated pursuant to Section 4.01 of the REC Agreement. If the Applicable REC Price Method is the Fixed REC Price, the Monthly REC Price shall be calculated pursuant to Section 4.02 of the REC Agreement.

Nameplate Capacity – The gross generating capacity of the entire BR Facility in MW.

New York Control Area (NYCA) – The control area 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 Tier 1 RECs. NYGATS will create exactly one Tier 1 REC per MWh of RES eligible generation.

New York Independent System Operator (NYISO) – Administrator of the wholesale power markets in New York and manages the physical electrical operations of the NYCA.

OATT – NYISO's Open Access Transmission Tariff.

Operating Rules – The NYGATS Operating Rules, the General Terms of Use and other guidelines posted to the NYGATS website at: <https://www.nysesda.ny.gov/All-Programs/nygats/registration-documents>.

Orders – August 1, 2016 CES Framework Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, "Order

Adopting a Clean Energy Standard,” issued and effective August 1, 2016), January 16, 2020 Tier 1 Modification Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Modifying Tier 1 Renewable Procurements,” issued and effective January 16, 2020), October 15, 2020 Order Approving Build-Ready Program (Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large Scale Renewable Program and a Clean Energy Standard), October 15, 2020 CES Modification Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “Order Adopting Modifications to the Clean Energy Standard,” issued and effective October 15, 2020) and January 20, 2022 PGS Order (Case No. 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard, “[Order on Power Grid Study Recommendations](#),” issued and effective January 20, 2022).

PILOT – Payments in Lieu of Taxes, as negotiated with the St. Lawrence County Industrial Development Agency (IDA).

Prevailing Wage – Shall have the meaning set forth at and shall be interpreted in accordance with Section 18.10 of the REC Agreement.

Price Structure – Either a Fixed REC or Index REC price.

Project Company – BR Project 1 LLC, the limited liability company formed and owned by NYSERDA for purposes of developing the BR Facility, the membership interests of which shall be purchased by the Awardee. The Project Company is the entity which will be the Seller for purposes of the REC Agreement.

Project Team – the Project Team means the Proposer and any subcontractors or other organizational partners that will lend experience to meet the Minimum Eligibility Qualifications for the Step One process or support scoring of the Step Two Bid Proposal.

Proposer – The business entity that submits a Step One Eligibility Application and submits the Step Two Bid Proposal in response to this RFP.

Reference Capacity Price – An index of NYISO Capacity Market prices as set forth in Section 4.01 of the REC Agreement.

Reference Energy Price – An index of zonal NYISO Energy Market prices as set forth in Section 4.01 of the REC Agreement.

Renewable Energy Certificate (REC) – 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 a Renewable Energy System delivered into the New York Control Area and registered with the NYGATS tracking system. The attributes represented in each REC include all environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, allocations, howsoever characterized, denominated, measured or entitled, attributable to the generation of Actual 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 REC 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.

REC Agreement – RES Standard Form Agreement, provided as Attachment A, including Exhibits A – H if applicable.

Renewable Energy System – As defined in the Climate Act, and for purposes of this RFP, a system that generates electricity through use of the following technologies: solar thermal, photovoltaics, on land and offshore wind, hydroelectric, geothermal electric, geothermal ground source heat, tidal energy, wave energy, ocean thermal, and fuel cells which do not utilize a fossil fuel resource in the process of generating electricity.

Seller – A Proposer selected by NYSERDA who has executed a REC Agreement to sell Tier 1 RECs to NYSERDA pursuant to this RFP.

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

SoQ – NYGATS Statement of Qualification.

Technical Evaluation Panel (TEP) – Members of NYSERDA Staff, New York State Department of Public Service Staff, and competitively-selected Independent Evaluators (outside reviewers who possess proficiency in the evaluation of energy generation projects) responsible for evaluating Bid Proposals received through this RFP.



Heat Recovery Solutions
Request for Qualifications List (RFQL) 5217

Summary of Revisions

The following changes have been made to RFQL 5217:

- The title changed from *Enhanced Ventilation* to ***Heat Recovery Solutions***.
- Increased evaluated and qualified solutions to the complete suite of heat recovery products.
- Advances the adoption of heat recovery solutions for New York State's real estate decision-makers and the architects, engineers, and retrofit construction communities.
- Working with NYSERDA through RFQL 5217 will help qualified solution providers access the New York market, receive support for technology transfer and participate in exchanges with key market stakeholders.
- Reference for the NYSERDA [*Heat Recovery Project Development*](#) PON (Program Opportunity Notice) 5547, launched in Q4 2023. This new initiative will provide funding for the development of heat recovery retrofit projects in New York buildings.
- Evaluation stages expanded to include **Technical** and **Market Acceptance Reviews**.



Heat Recovery Solutions
Request for Qualifications (RFQL) 5217

There is no NYSERDA funding associated with this RFQL.

Open Enrollment Applications accepted through December 31, 2025 at 3:00 PM Eastern Time

New York State Energy Research Development Authority (NYSERDA) is seeking solutions that can significantly improve heat recovery efficacy, making it more practical and economical to enable new heat recovery opportunities in New York State's existing buildings. RFQL 5217 seeks to advance the adoption of ***Heat Recovery Solutions*** for New York State's real estate decision-makers and the architects, engineers, and retrofit construction communities. Through this qualification of solution providers and their products, NYSERDA will publish insights about qualified heat recovery solutions and their real-world efficacy. Working with NYSERDA through RFQL 5217 will help qualified solution providers access the New York market, receive support for technology transfer and participate in exchanges with key market stakeholders.

Heat recovery is defined as recovering and repurposing a building's wasted thermal energy to reduce energy consumption and carbon footprint. Well-known thermal energy recovery applications in buildings include forms of heat recovery in ventilation, refrigeration/chiller condenser, steam condensate, and flue-gas.

An example of a heat recovery solution is a high-efficiency ERV (energy recovery ventilation) core integrated with DOAS (dedicated outside air systems) which is designed to recover 80% of total sensible and latent heat from exhaust air. This technology is provisioned with variable speed fans capable of high CFM (Cubic Feet per Minute) per watt efficiency at designed conditions.

NYSERDA is looking to support heat recovery solutions that are common in other markets but novel to New York State as well as emergent heat recovery solutions. An example of a heat recovery solution that is novel to New York but common in other markets is an Exhaust Air Heat Pump, widely used in European markets to save energy and reduce carbon emissions. Currently, there is very limited deployment of exhaust air heat pumps in existing buildings in New York. An example of an emergent heat recovery solution are heat recovery panels designed to harvest thermal energy from underground surfaces, such as walls and tunnels, to tap into ground-source thermal energy to heat water or air in buildings. Through field demonstrations and pilot installations, there is an opportunity to create significant value for New York's existing building stock.

Both New York State and New York City have ambitious climate policies aimed at reducing the carbon emissions of building operations. New York offers excellent business opportunities for products and manufacturers who can advance heat recovery goals.

NYSERDA is accepting applications to qualify products on technical metrics and test market acceptance for broad and innovative ***Heat Recovery Solutions***.



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 an Application (online or paper submission), click the link [“Application Instructions and Portal Training Guide \[PDF\]”](#).

If you have questions concerning this solicitation, contact Alexander Jahn at HeatRecovery@nyserda.ny.gov.

Applications will be accepted on a continuous basis until December 31, 2025 at 3:00 PM Eastern Time. If changes are made to this solicitation, notification will be posted on NYSERDA’s website at www.nyserda.ny.gov.

Introduction

This RFQL contains the following sections:

Section I	Initiative Overview
Section II	Benefits of Participation
Section III	Application & Evaluation Stages
Section IV	Required Information

I. Initiative Overview

Heat Recovery Solutions RFQL 5217 promotes the adoption of heat recovery products that are innovative and efficient solutions for existing commercial, institutional, industrial, and/or multifamily buildings. Heat recovery solutions can improve indoor-air quality, occupant comfort and can contribute to decreased energy use. New York State commercial, institutional, industrial, and multifamily buildings include, but are not limited to, multifamily residential and office buildings, retail, colleges and universities, health care facilities, state and local governments, not-for-profit and private institutions, and public and private P-12 schools.

NYSERDA is seeking advanced products that can significantly improve heat recovery efficacy to enable opportunities in New York State’s buildings that are both practical and economical.

NYSERDA encourages all innovators and manufacturers of heat recovery products from the following building systems to apply to RFQL 5217:

- Exhaust and ventilation airstreams
- Comfort treatment of heating, cooling and dehumidification
- Byproduct wasted energy from building equipment and systems
- Heat rejected by data processing equipment and data centers

- Heat by products from refrigeration, air/gas compression, energy production, energy conversion, and other processing plants
- Solar energy incident on the building's exterior surface and fenestration
- Infrastructure below ground
- Discharged wastewater
- Others

Summary of Online Application Requirements:

- Provide product information (examples: cut sheets, brochures, product presentations) and proof of efficacy documentation (examples: laboratory test reports, compliance reports, feasibility study reports, research papers, validation data).
- Identify the product's commercialization technology readiness level (must be at least Technology Readiness Level (TRL) 6 for consideration).
- Describe examples of the product performing as claimed in its intended environment, including other manufacturers or providers of like-products worldwide.
- Identify customers or other efficacy references for NYSERDA to verify effectiveness claims.
- If available, identify at least one location of accessible installations where NYSERDA may witness actual product performing as claimed.

Similar to the objective of *Heat Recovery Solutions* RFQL 5217 – [NYSERDA's Empire Buildings Challenge](#) [EBC] program has attracted best-in-class manufacturers, solution providers, and entrepreneurs worldwide to help transform New York's existing building stock. Participants and awardees have demonstrated a willingness to explore and invest in the most promising approaches to implement heat recovery into building upgrades. For example, all ten demonstration projects funded through NYSERDA's EBC program incorporate heat recovery as a central tenet in their decarbonization strategies.

EBC Project	RE Partner	Heat Recovery Measures
Empire State Building	ESRT	- 1st Floor Lobby Ventilation Reheat using waterside heat recovery - ERV pilot on floor outdoor AHU - Retail tenant condenser water heat recovery
345 Hudson	Hines	- Enable heat recovery using ambient temperature loop with WSHPs - DOAS + ERV
The Heritage	L+M Fund Management	- Ventilation upgrades with ERV
Whitney Young Manor	Omni	- DOAS + ERV - Wastewater heat recovery - WSHP for DHW
The Towers (3965 - 3975 Sedgwick Ave, BX)	Amalgamated Housing Corp.	- Wastewater heat recovery - Ground source heat pump
601 Lexington Ave	BXP	- Condenser water heat recovery
660 5th Ave	Brookfield Properties	- DOAS + ERV - Condenser water heat recovery
59-17 Junction Blvd, QN	LeFrak	- Enable heat recovery between core and perimeter systems
520 Madison Ave	Tishman Speyer	- Condenser water heat recovery - Ground source heat pump
Penn One	Vornado	- Condenser water heat recovery

Figure 1. NYSERDA *Empire Building Challenge* projects including heat recovery measures

II. Benefits of Participation

NYSERDA offers the following potential benefits:

- NYSERDA recognition as a qualified heat recovery solution that has been technically evaluated and market acceptance tested.
- Reference for the NYSERDA [*Heat Recovery Project Development*](#) PON (Program Opportunity Notice) 5547, launched in Q4 2023. This new initiative will provide funding for the development of heat recovery retrofit projects in New York buildings.
- Participation in customer roundtables and interviews through partnerships with other NYSERDA Programs such as *Empire Building Challenge*, as well as through partnerships with real estate trade associations to understand specific New York building requirements.
- Publicity through NYSERDA's website at www.nyserda.ny.gov via public qualified listings, case studies highlighting success stories, and other materials, as available.
- Promotional materials such as NYSERDA Heat Recovery literature and advertising templates.

New York State has implemented policies to increase efficiency and decrease carbon emissions in buildings. New York City, a top real estate market globally, has passed legislation to reduce buildings' energy and carbon footprints. Together, New York offers excellent business opportunities for products and manufacturers who can advance these goals.

NYSERDA offers ongoing assistance to the real estate market to meet New York policies, such as [*Heat Recovery Project Development*](#) PON 5547. The Program provides funding for assessing and designing heat recovery projects in New York buildings.

PON 5547 will provide the following funding categories:

- Funding assistance for assessing heat recovery opportunities in New York buildings
- Supporting the clean-sheet design of heat recovery projects ready for implementation at a New York building

No fee or payment is required to submit a product solution for NYSERDA consideration, becoming a qualified product is completely voluntary. NYSERDA may revoke the status of the qualified product and remove them from the website if the product solution does not meet all program requirements. Applicants may also request to be removed from the qualified list.

III. Application and Evaluation Stages

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 an Application (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)".

The online application will gather information on the capabilities of the products for NYSERDA to verify the capability. Verification options as part of the online application include supplying NYSERDA with marketing and sales literature, specification sheets, testing reports, operating manuals, case studies, or live demonstrations depending on the capability being reviewed.

NYSERDA Evaluation Stages [2]:

NYSERDA's application review process consists of two screens: technical review, and market acceptance review. During the review process, an interview may be conducted between the applying solution provider and NYSERDA. Each of these stages is described further below.

1) **Technical Review:**

NYSERDA will review the submitted online application and documentation [see Required Information below]. NYSERDA will evaluate each completed application as a standalone product submission. To help NYSERDA review the application more efficiently, included below is a list of the technical focused questions from the online application. Providing clear responses will help NYSERDA understand the benefits of your products to New York buildings.

- What is the product's relevancy as a retrofittable measure in existing New York buildings? NYSERDA is interested in products that are applicable to New York's built environment.
- What types of buildings (office, multifamily, etc.) and their attributes (facade material, roof area, mechanical system, construction era, etc.) would be suitable for the proposed product? NYSERDA is looking for products that are compatible with New York's retrofit practices.
- Can the product be practically retrofitted in its targeted built environment? NYSERDA is especially interested in heat recovery products compatible with New York's existing buildings' construction methods, materials, labor practices, codes, and regulations.
- Does the product belong to a category of heat recovery equipment already known and available from multiple manufacturers? If that is the case, what is the competitive

uniqueness separating the proposed product from others available in the market? Examples are that the proposed product can recover wasted energy with significantly higher efficacy or offer a much more attractive economic return than other similar products.

- How can the products overcome recovery and reuse of wasted thermal energy that is currently unfamiliar or uncommon in the New York market? Where has the proposed heat recovery product already seen acceptance and been deployed and how does the product apply to New York's existing buildings?
- Does the product meet or exceed Technology Readiness Level (TRL) 6? RFQL 5217 is seeking products that have been demonstrated and are ready for commercial scale or have been commercialized in a different market and can be localized to meet U.S. market requirements. Ideas still in concept validation or only having laboratory prototypes are unsuitable and will be rejected. Therefore, RFQL 5217 is aimed at a minimum of TRL 6, although product readiness at TRL 7 or higher is preferred.

2) **Market Acceptance Review:**

As the final step in the application process, for applications that have passed the technical review, NYSERDA will form a Scoring Committee that consists of owners and operators of the targeted building types, practicing engineers, architects and industry experts. The Scoring Committee will consist of NYSERDA staff and external subject matter experts, if deemed appropriate by NYSERDA. NYSERDA staff and external subject matter experts will evaluate all proposals based on the same pre-established evaluation criteria.

- Which sector or sectors of buildings is the product applicable to?
- Is a significant advantage provided in comparison to other similar, alternative, or existing heat recovery solutions?
- Does the product address a significant problem or overcome retrofit barriers?
- Can the heat recovery solution integrate with existing design, shipping, construction, and commissioning practices?
- Will the product meet the supply requirements for necessary consumables?
- Is it possible to train current employees to operate and maintain this solution?
- Are adequate resources and support available for property operating staff to perform ongoing maintenance and troubleshooting?

Complete and eligible applications will be reviewed and evaluated no less than quarterly. NYSERDA internal along with external reviewers through a Scoring Committee, will determine

whether the submitted product satisfies the goals of the RFQL 5217 in promoting *Heat Recovery Solutions*.

IV. Required Information

The following should be submitted with the online application and will be reviewed by NYSERDA:

1. **Overview of Firm:**

The Applicant must provide a description of its organizational structure and the office(s) that serve heat recovery solutions to customers.

2. **Product Specification Sheets:**

The Applicant must provide relevant heat recovery product specification sheets for all products being considered (examples: cut sheets, brochures, product presentations) and proof of efficacy documentation (examples: laboratory test reports, compliance reports, feasibility study reports, research papers, validation data). Identify the product's commercialization technology readiness level (See NYSERDA Evaluation Stages above).

3. **Demonstration of Efficacy:**

The Applicant must provide examples of the product performing as claimed in its intended environment, including other manufacturers or providers of like-products worldwide. The Applicant must include customers or other efficacy references for NYSERDA to verify effectiveness claims. If available, identify at least one location of accessible installations where NYSERDA may witness actual product performing as claimed.

New York State Flexible Energy Technical Analysis
Request for Qualifications (RFQL) 5548

Summary of Revisions

Revisions to RFQL 5548 include:

- The initial due date for proposals of October 6, 2023 was removed. All proposals are now due by December 31, 2026 by 3:00 PM Eastern Time.
- New Support Areas have been added:
 - O. Agriculture, Forestry and Other Land Use: Assistance may be requested for assessing carbon sequestration, storage, and greenhouse gas (GHG) emissions at a landscape scale through field measurements, aggregating literature-based GHG emission/removal factors, analysis of Landsat and other satellite-based imaging metrics of land cover and land use, lidar, field measurements of GHG emissions and removals, surveys of landowners/renters and facility owners, and facility inventories. Proposers should be familiar with the tiered methods identified by the Intergovernmental Panel on Climate Change (IPCC) for creating national GHG inventories.
 - P. Multi-sectoral Analysis and Research: Assistance may be requested in evaluating (1) cross-sectoral emissions reduction pathways, (2) cross-cutting policies and programs, (3) the interactive impacts of various decisions, and (4) other initiatives and topics that span multiple sectors or involve interactions between sectors. Sample work activities may include but are not limited to: (a) assessing the impact of varying levels of electrification on fuel use, fuel supply chains, and electricity demand across multiple sectors; and (b) assessing the balance between use of alternative fuels and electricity across multiple sectors, including impacts on demand, emissions generation, cost, reliability, and other factors. *In their response, proposers are asked to explain the specific sectors in which they offer high levels of expertise.*
 - Q. Environmental Market Analysis and Research: Assistance may be requested in analyzing and developing market-based environmental policies and initiatives. This assistance may encompass both (1) analyzing and developing individual market-based environmental policies and (2) considering the interaction of multiple such policies within and across sectors. Such policies could include but are not limited to cap and trade, clean transportation standards (also known as low carbon fuel standards or clean fuel standards), clean heat standards, and other market-based regulations designed to deliver on emissions reductions and/or advance alternative energy deployment in one or more sectors. Sample work activities may include but are not limited to: (a) developing emissions, cost, and price projections for such policies; (b) supporting air quality analysis associated with such policies; (c) assessing economic development and other impacts associated with such policies; and (d) providing specific recommendations for policy development. *In their response, proposers are asked to explain any existing tools that they have relevant to this support area and/or their ability to develop such tools.*
 - R. Energy Equity Policy Analysis and Research: Assistance may be requested in undertaking research into various policy topics from an energy equity and climate justice perspective that centers the lived experiences of New York’s historically marginalized communities, frontline communities, and low-

and moderate-income households (or disadvantaged communities as identified by the [criteria adopted by New York's Climate Justice Working Group](#)). Sample work activities may include but are not limited to: (a) evaluating energy vulnerability and energy burden; (b) assessing energy system impacts as they intersect with social determinants of health; (c) assessing energy system impacts as they interact with access to energy services, access to transportation and mobility, and access to economic development opportunities and jobs associated with an inclusive clean energy transition; and (d) characterizing relevant quantitative and qualitative household and community metrics, conditions, and perspectives under current and potential future scenarios in a spatially granular manner. Proposers in this support area may be requested to conduct research that incorporates substantial engagement with community-based organizations and representatives of disadvantaged communities. *In their response, proposers are asked to explain and demonstrate their deep understanding of underlying root causes of inequitable historical patterns of investment and disinvestment, their technical expertise in characterizing (both qualitatively and quantitatively) the resulting sociodemographic stratification of energy system impacts, as relevant to a variety of metrics, effects, outcomes, and topics, and the expertise, training, and skills their proposed team offer with regard to facilitating meaningful engagement with community-based organizations and representatives of disadvantaged communities.*

- S. **Building Sector Analysis:** Assistance may be requested to evaluate across a broad range of building types (1) decarbonization potential, pathways, and options; (2) energy demand dynamics; (3) efficiency, affordability, reliability, and resilience considerations; (4) best practices, planning and strategic support focused on policies, regulations, programs and interventions supporting building decarbonization, (5) market insights/market context for retrofit and decarbonization technologies and markets relevant to the building sector in NY State. Sample work activities may include but are not limited to: (a) analyzing a broad range of decarbonization options / pathways relevant to different building types and typologies, such as energy efficiency, demand management, electrification, alternative fuel use/low carbon fuels, fuel cells, load flexibility/grid integration, thermal energy networks, and other; (b) developing, planning and supporting evaluation of implementation options for buildings-focused policies, regulations and initiatives, including but not limited to regulated and unregulated affordable housing, nonprofit-owned properties, and others targeting LMI communities; and (c) evaluating the impacts of buildings-focused interventions, including but not limited to impacts to energy systems, air quality and carbon emissions, consumer and wholesale costs, air pollution, and other. *In their response, proposers are asked to explain their experience with decarbonization, energy transition and planning for the building sector.*
- T. **Social Dimensions of Energy Systems and the Clean Energy Economy Analysis and Research:** Assistance may be requested to undertake research into the social and institutional dimensions of an equitable, inclusive, and rapid energy transition across all sectors of New York's energy system and clean energy economy. Proposers in this support area may be requested to use their expertise in energy-related social sciences and humanities fields to produce inter- and multi-disciplinary research and analysis that effectively maps relationships between energy systems and social systems. Sample work activities may include but are not limited to: socio-spatial and socio-demographic analysis, ethnographic research, participatory action research, and other forms of inquiry that situate energy systems topics and issues within the lived experiences of people and communities. Research may involve a variety of objectives, scales, and scopes, ranging from -developing data and approaches to center household- and community-scale analysis and narratives within the context of macro energy systems modeling to conducting ethnographic or participatory action research at various field sites in

collaboration with communities. Resulting analysis and research may leverage existing contributions from the fields of behavioral sciences, economics, energy systems analysis, and design to offer interdisciplinary breadth where appropriate. However, proposals that incorporate perspectives from diverse disciplines and conceptual frameworks in the social sciences and humanities, such as but not necessarily limited to sociotechnical systems, sociology/anthropology, political science, geography, and history, without overreliance on behavioral science and economic frames of inquiry are specifically and strongly encouraged. *In their response, proposers are asked to explain the tools, approaches, methodologies, and disciplinary perspectives they utilize and demonstrate their experience conducting social and institutional research that is both rigorous and policy relevant.*

○

Questions regarding this solicitation should be directed to Elaine Chau by email Flexergy@nyserda.ny.gov.



New York State Flexible Energy Technical Analysis
Request for Qualifications (RFQL) 5548

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

Proposals will be reviewed on a rolling basis until December 31, 2026 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing solicitation RFQL 5548 to establish a pool of consulting firms qualified to provide NYSERDA with diverse technical, energy, economic, and environmental analytical capacity, some of which may be requests for services on short notice (with exceptions, short notice is typically considered to be three to six months). NYSERDA’s mission includes the provision of research, analytic and modeling support on a range of topics, often with finite time horizons. Access to a pool of consultants with wide-ranging high-quality technical expertise established through this solicitation will augment and enhance NYSERDA’s expertise when undertaking individual, discrete projects with firm timelines. These retained resources will be made available to all NYSERDA Programs, providing technical expertise when such services are needed and appropriate.

NYSERDA anticipates entering into zero-dollar Umbrella Agreements with successful proposers. As needs arise, individual Task Work Orders will emanate from these Agreements and will clearly define the Contractors’ required obligations that, if fulfilled, would result in payment. Work issued under this solicitation will vary in scope and budget. The earliest expected start date for any potential work under this effort is January 2024, and January 31, 2029 is the anticipated end date. RFQL 5548 will also allow for an “open enrollment” mechanism whereby potential contractors may submit additional proposals until December 31, 2026. Further information regarding the process for participation in the open enrollment mechanism is provided in this document. NYSERDA has broadly defined potential needs across the following Support Areas, which are described in greater detail in this solicitation document:

- A. Electric System Analysis
- B. Life-Cycle Assessment
- C. Macroeconomic Analysis and Modeling
- D. Forecasting of Energy Use, Energy Prices, and Greenhouse Gas & Co-Pollutant Emissions
- E. Benefit Cost Analysis
- F. Transportation Systems Analysis
- G. Health and Environmental Impacts Analysis and Research
- H. Fuel Delivery Infrastructure
- I. Nuclear Energy
- J. Policy Analysis and Technology Assessment
- K. Facilitation Services
- L. Workforce Assessment and Labor Economics
- M. Climate Change Impacts and Adaptation Analysis
- N. Large Scale Renewables Technical and Review
- O. Agriculture, Forestry, and Other Land Use
- P. Multi-sectoral Analysis and Research
- Q. Environmental Market Analysis and Research
- R. Energy Equity Policy Analysis and Research
- S. Building Sector Analysis
- T. Social Dimensions of Energy Systems and the Clean Energy Economy Analysis and Research

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

Proposal Submission: 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 Elaine Chau (Designated Contact) at (518) 862-1090, ext. 3676 or by e-mail Flexergy@nyserda.ny.gov or Sarah Rambacher (Designated Contact) at (518) 862-1090, ext. 3604 or by e-mail Flexergy@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 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. Please see [Solicitation Proposal and Vendor Responsibility Questions.pdf](#) for a complete list of the questions proposers must answer as part of a submission. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

NYSERDA offers objective information and analysis, innovative programs, technical expertise, and support to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. A public benefit corporation, NYSERDA has been advancing energy solutions and working to protect the environment since 1975. Visit www.nyserda.ny.gov to learn more about NYSERDA's offerings.

NYSERDA Program areas engage in policy and technical analysis support to groups within NYSERDA and to other external State energy policy and decision-makers. NYSERDA also routinely works collaboratively with other State agencies and entities to develop, implement, and evaluate energy policies and programs to support the State's clean energy and carbon reduction goals. Moreover, NYSERDA seeks to address the needs of disadvantaged communities¹ or otherwise underserved communities in the creation of an inclusive clean energy economy. Often, NYSERDA is called upon to support these efforts by undertaking research and analytic work to advance deliberations on general or specific energy and environmental proposals. RFQL 5548 establishes a pool of consulting firms qualified to support NYSERDA's program areas, with diverse technical, energy, economic, and environmental analytical capacity, and which can provide some services on short notice. NYSERDA frequently provides research, analytic, and modeling support on a range of topics, often with constrained time horizons. Access to the pool of consultants, with wide-ranging, high-quality technical expertise, established through this RFQL will augment and enhance NYSERDA's ability to undertake individual, time-sensitive projects. These retained resources will also be available to all NYSERDA Programs, providing technical expertise, as needed. The Support Areas described in this solicitation illustrate NYSERDA's current and anticipated mission.

II. Program Requirements

A. Services Requested

¹ **Disadvantaged Communities** – *New York's Climate Act recognizes that climate change doesn't affect all communities equally. The Climate Act charged the Climate Justice Working Group (CJWG) with the development of criteria to identify disadvantaged communities to ensure that frontline and otherwise underserved communities benefit from the state's historic transition to cleaner, greener sources of energy, reduced pollution and cleaner air, and economic opportunities. On March 27, 2023, the CJWG finalized the disadvantaged communities criteria. An interactive map and associated resources are available online: <https://climate.ny.gov/Resources/Disadvantaged-Communities-Criteria>*



As a result of RFQL 5548, NYSERDA expects to retain qualified contractors to provide services in each of the specified Support Areas. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, the volume and frequency of the services requested by NYSERDA, the contractor's past performance and the absence of conflicts of interest. NYSERDA does not guarantee that all types of services will be requested or that all selected contractors will receive work pursuant to executed Umbrella Agreements. Upon a successful demonstration within a proposal, NYSERDA may designate contractors that have demonstrated "specialized capabilities" in specific areas. For example, a contractor may be designated as having specialized capabilities for a particular type of service requested if it demonstrates that it possesses exceptionally scarce qualifications or experience; specialized equipment or facilities not readily available from other sources; or proprietary data or methods. Submitted proposals must clearly articulate any proposed specialized capabilities, supported by a justification as to why these attributes may be exceptionally scarce, specialized, or proprietary. NYSERDA reserves the right to make all decisions regarding a successful demonstration of a specialized capability. Proposers are permitted, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in the identified Support Areas.

B. Support Areas

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

- A. Electric System Analysis: Assistance may be requested for analysis and modeling of the electric power system. Assessments may include the economic and physical impacts of changes to elements of the electricity system such as generation, energy storage, transmission, and distribution, including new technologies and deactivation of existing fossil fuel infrastructure. Analyses may include capacity expansion, resource adequacy, and production cost modeling as well as thermal, voltage, and stability power flow analyses, production cost modeling and any other similar activities, and may include analysis of associated greenhouse gas and co-pollutant emissions.
- B. Life-Cycle Assessment: Assistance may be requested to perform life cycle and/or energy cycle assessments for clean technologies, and materials and/or products as well as life cycle analysis, including total fuel cycle analysis, for all relevant fuel pathways and energy end-uses in New York. Fuels of interest may include, but not be limited to, fossil fuels, nuclear power, renewable and alternative fuels, and energy carriers (e.g., electricity and hydrogen). Fuel cycle analysis may include, but not be limited to, the following processes: energy feedstock production; feedstock transportation and storage; fuel production; fuel transportation, storage and distribution; provision of energy service involving a conversion process (e.g., combustion in an engine or boiler), and disposal and/or recycling of resulting residual materials. The primary analytic outputs of interest may include: embodied energy by fuel type, energy required to produce a fuel, energy required to perform a service (e.g., miles of travel or space heating), fossil fuel energy requirements, emission levels of the various greenhouse gases, other pollutants, and other environmental indicators (e.g., water). Assistance may also be requested for evaluating the relative embedded emissions of various materials and products, applying or developing systems and databases for product and material metrics and/or the effects of policies or strategies related to materials and products.
- C. Macroeconomic Analysis and Modeling: Assistance may be requested to assess the impacts of energy and environmental policies on New York State's employment, income, output, disadvantaged communities² and mobility levels, and other global level parameters and social indicators. Analyses may be required to account for changes in investment and incremental costs of new technologies, energy savings from use of new technologies, changes in the price of electricity and other fuels, changes in energy expenditures and revenue to energy providers, opportunity costs, and changes from consumer and business expenditure patterns due to revenue that may be collected to cover the costs of the policies. Analyses may be conducted on a net impact basis; and any other similar activities. The Contractor may also be requested to conduct BCA analysis for NYSERDA.

² See Section I. Introduction of this RFQL for details on disadvantaged communities.



- D. Forecasting of Energy Use, Energy Prices, and Greenhouse Gas & Co-pollutant Emissions: Assistance may be requested to model New York State's energy system or components of the system on a "bottom-up" or "top-down" basis and produce long-term scenarios and forecasts. Outputs may include projections of energy demand by sector, subsector, technology, and fuel/energy carrier; projections of energy supply by technology and fuel; projections of fuel and electricity prices; and projections of greenhouse gas and co-pollutant emissions. Fuels may include but are not limited to natural gas; distillate and residual oil with varying sulfur content; various types and grades of coal; renewable or partly renewable resources including hydro, land-based and offshore wind, biomass, landfill gas, hydrogen from different feedstocks and processes, various bio- and renewable liquid fuels, photovoltaic systems, battery storage, and nuclear power. Sectors may include electricity, commercial, industrial, residential, and transportation. Prices for each fuel and customer sector may include commodity prices (e.g., the price at Henry Hub for natural gas or the price of crude oil for petroleum products), electricity capacity prices, retail prices (i.e., gas, electric, fuel oil), and transportation costs to various New York delivery points; and any other similar activities.
- E. Benefit Cost Analysis (BCA): Assistance may be requested to develop inputs necessary to conduct BCA of NYSERDA's public benefits programs including programs that target electric energy efficiency, natural gas and fuel oil efficiency, demand response, renewable electricity and fuels, distributed generation, and transportation efficiency. Inputs to BCA include estimation of benefits such as avoided energy and capacity costs, avoided distribution and transmission costs, wholesale price suppression, system reliability benefits, options benefits, macroeconomic impacts, and monetization of non-market goods such as comfort, health, and environmental impacts. In addition, the proposer must have experience with monetizing impacts of innovative building technologies as well as experience with estimating positive and negative impacts on operations and maintenance (O&M), water use, waste, and labor costs associated with the energy efficiency and other programs. Proposers must also have experience in identifying appropriate baselines, development of incremental measure costs, use of appropriate discount rates and time horizons, and life cycle analysis. Specific types of benefit-cost analyses may follow those in the New York State BCA Handbook for Total Resource Cost Test and/or other methods employed by NYSERDA and may also include Societal Cost Test, Utility Cost Test, Participant Cost Test, and Ratepayer Impact Measure; and any other similar activities.
- F. Transportation Systems Analysis: Assistance may be requested to analyze the effects of transportation programs and policies on energy efficiency and use and the effects of energy policies and pricing on transportation demand and use, and on ensuing greenhouse gas and co-pollutant emission. The proposer should be knowledgeable about and have expertise to analyze some or all of the following: alternative fuels and vehicle technologies; transit systems; on- and non-road systems and vehicles in all transportation subsectors; urban planning, mixed use developments and integrated transport systems; transportation demand; advanced transportation technologies, such as -intelligent transportation systems; transportation systems management and operations; and travel demand modeling. Examples of possible requests could include: evaluation of investment strategies for electric vehicle infrastructure deployment; comparative assessment of transportation demand reduction policies and strategies; analysis of state fleet electrification options; modeling of timing, scale, and locational needs of electric truck deployment; development of plans for addressing barriers to hydrogen fuel cell vehicle and infrastructure adoption; analysis of benefits and costs of utility investments in transportation electrification; and any other similar activities.
- G. Health and Environmental Impacts Analysis and Research: Assistance may be requested to perform environmental and health assessments related to energy policy options in support of a multi-pollutant policy analysis framework. This may include but not be limited to emissions measurements for different purposes and scale, emission inventory estimates, regional or micro-scale air quality measurements, modeling, and/or health impacts analysis, or retrospective studies to evaluate air quality trends and whether past policies have achieved anticipated environmental benefits. Activities may include compiling and analyzing best practices for energy technology deployment; measuring or modeling air quality with high time resolutions or performing health impact assessments due to emissions from existing and emerging energy technologies. Successful proposers may be requested to conduct analyses of environmental issues associated with energy policy and planning and development including but not limited to:



- Technology operational duty-cycle characterization;
- Development of realistic duty-cycle test-methods of characteristics energy efficiency and emissions performance of energy technologies;
- Emissions measurements (laboratory or field) or estimates (e.g., PM2.5 and precursors, SO2, CO, NOx, CO2, CH4 and other greenhouse gases or tracers, NH3, mercury, particulate number, size, and composition, volatile organic compounds, particulate matter, ozone precursors, and air toxics);
- Development of representative emissions inventories through laboratory and field studies to improve emission factors or activity information. Studies may inform New York State's Greenhouse Gas Inventory, the National Emissions Inventory, or develop a grided inventory for top-down and bottom-up reconciliation;
- Air quality monitoring or modeling using various existing and emerging tools for the pollutants listed above;
- Development of integrated energy systems, air quality, and health impact models;
- Estimates of the direct and indirect effects of energy production, use, transport, and storage on:
 - i. local, regional, national, or global air quality including climate
 - ii. human exposure health effects, and public health impacts
 - iii. wildlife,
 - iv. performance and costs of technologies,
 - v. water quality,
 - vi. changes in ecosystems, and
 - vii. economic impacts of ecosystem degradation and recovery
- Health and environmental impacts of climate change;
- Costs and benefits of mitigation of environmental impacts; and
- Costs and benefits of incumbent and emerging energy technologies on health impacts.

Activities could also include reviewing and commenting on draft environmental or energy regulations; draft environmental impact assessments and statements, as well as State and federal licensing and permitting actions; providing technical analysis to support the review and development of studies related to such actions; and identifying viable alternatives to proposed activities addressed in the assessments and categorizing and developing responses to public comments; and any other similar activities.

- H. Fuel Delivery Infrastructure: Assistance may be requested to undertake projects (1) evaluating changes in domestic gas supply and pipeline projects on the cost, reliability and capabilities of the natural gas infrastructure serving New York and the Northeast, (2) using modeling software to simulate pipeline operating conditions, (3) customizing and running models to produce simulations of day-to-day operations, (4) using transient hydraulic modeling software to look at changing system conditions following contingency events, (5) using the database of gas pipelines operating in New York to analyze the effects of increasing demand, new supply sources, and limited transportation capacity, and (6) identifying the potential natural gas system impact from emerging end-use applications such as, but not limited to, compressed natural gas (CNG) and liquefied natural gas (LNG) for transportation related uses.

Assistance may also be requested to analyze fuel supply and associated infrastructure in New York. This may include assessment of current and possible future supply and demand of petroleum products, coal, natural gas, renewable fuels (e.g., gaseous and liquid biofuels as well as solid biomass), and alternative energy carriers such as hydrogen. Such assessment may include fuel specific analysis of production costs, characterization of technological change (i.e., extraction or conversion technologies), and market dynamics affecting supply, demand, and prices. Analyses may also include an assessment of the current and future required infrastructure to develop, produce, process, refine, transport, and deliver these fuels to end-users in New York. The contractor may be requested to identify possible energy assurance issues such as supply disruption scenarios and strategies to respond to such events; and any other similar activities.

- I. Nuclear Energy: Assistance may be requested related to current, new, and advanced nuclear reactors, nuclear power plants, and other nuclear technology applications. Assistance may be requested regarding design, fuel cycle, materials, construction, operation, or decommissioning. Assistance may be requested for: (1) review, evaluation, and response to reports, initiatives, rulemakings, and guidance from industry and the state and federal government pertaining to safety, design, cost, security, or environmental impact of nuclear generating and other nuclear fuel cycle facilities; (2) materials, design, and technology



applications research; ; (3) review, evaluation, and response to license amendment, exemption, and relief requests, as they relate to safety, design, security, and engineering issues; (4) review and evaluation of decommissioning reports, submittals, and activities; (5) decommissioning fund evaluation and analysis including sufficiency of funds and appropriate use; and (6) providing technical expertise and advice on nuclear matters as they may relate to potential health, radiological, economic, emergency preparedness, and environmental risks and impacts; and any other similar activities.

- J. Policy Analysis and Technology Assessment: Assistance may be requested to perform analyses and assessments of energy-related public policy initiatives and novel technologies. Analyses sought may be qualitative or quantitative and could include, but not limited to: assessments of best practices regarding regulatory and market-based policies to promote clean energy goals and objectives; analysis of proposed and/or enacted policy initiatives in regards to energy supply and costs and project siting guidelines/restrictions in New York and/or other regions, estimated effects on businesses in the State, impacts on consumers (i.e., ratepayers, taxpayers, or disadvantaged communities³), direct job impacts, and fiscal and tax implications for the State's general fund; technical and economic feasibility assessments of zero emissions technologies; and penetration studies including analysis of market activity of specific energy technologies, relative to other technologies, and changes over time, including historic information and forecasting of future activity; and any other similar activities.
- K. Facilitation Services: Assistance may be requested to develop strategic engagement plans, create collaborative processes for problem solving, moderate, mediate, and/or facilitate meetings or workshops. Proposers may be asked to support identifying stakeholders to invite to meetings, draft meeting agendas and briefing documents, conduct issue-specific research and interviews, as well as summarize meeting outcomes. Proposers must have experience in strategic facilitation, project management and planning, and encouraging dialogue to advance common understanding and problem solving among diverse groups of stakeholders. These stakeholder groups commonly include, but are not limited to, project developers, economic development organizations, the public, labor and workforce development organizations, non-governmental organizations, and local, state, and federal government entities.
- L. Workforce Development and Labor Economics: Assistance may be requested to estimate and characterize features of New York State's existing and future energy economy and workforce. Estimates might include but are not limited to: numbers of firms and workers engaged in activity directly or indirectly related to the energy sector, both statewide and for smaller geographies within the State; levels of investment and spending by firms, workers, and supply chains; levels of activity by firms and workers on different types of energy-related projects and training in different regions. Characterization might include: the skills, certifications, and educational backgrounds of workers by occupation, technology, and intra-state region; the size of firms and their connections with educational and governmental institutions; workers' levels of compensation and benefits by firm size, occupation, technology, disadvantaged community⁴ residents, or region; and worker demographics and affiliations, including but not limited to race, gender, income, veteran status, and union membership. Contractors may be requested to conduct analysis on equity and inclusion dimensions of workforce development and labor economics from a worker-centered perspective. Contracts may be asked to assess the effects of policies focused directly or indirectly on workforce outcomes and develop recommendations for programmatic changes or novel interventions in the energy sector and related labor markets. In addition, contractors may be asked to support implementing various workforce strategies and programs across a wide range of areas including but not limited to offshore wind, energy storage, energy efficiency, etc.
- M. Climate Change Impacts and Adaptation Analysis: Assistance may be requested to analyze the impacts of climate change in New York State, as well as adaptation and resilience strategies. Requests could be either quantitative (e.g., modeling) or qualitative (e.g., literature review and synthesis). Proposers should be knowledgeable about climate change in New York and demonstrate climate-related experience in one or more of the following sectors: agriculture, buildings, coastal zones, ecosystems, energy, health, telecommunications, transportation, or water resources. Proposers should note if they have experience with climate-related equity issues. Examples of types of requests could include: climate impacts to

³ See Section I. Introduction of this RFQL for details on disadvantaged communities.

⁴ See Section I. Introduction of this RFQL for details on disadvantaged communities.



vulnerable populations or disadvantaged communities⁵; impacts to the physical systems; financial or economic impacts various sectors, benefit-cost analysis of adaptation or resilience measures; case studies of adaptation implementation; and any other similar activities.

- N. Large Scale Renewables Technical Analysis and Review: To strengthen NYSERDA's engagement in advancing clean energy projects and industry development in New York, assistance may be requested to support services relating to offshore wind, large distributed (~5 MW AC), and utility-scale land-based wind and PV solar, and bulk energy storage systems (BESS), as well as the combination of renewable energy with storage and other dispatchable "Power-to- X" complementary technologies. Such support and review services are subdivided into the following categories⁶:
- Environmental, Ocean Users and Regulatory: Support or develop environmental impact studies, permitting analysis, planning studies and risk assessment studies, site characterization campaigns, resource assessments such as historic or cultural, spatial mapping exercises, geotechnical and geophysical, marine, aviation, and safety/security risk assessments and cumulative effects assessments, Support with filings to regulatory proceedings, carbon accounting and life-cycle assessment and other related workstreams.
 - Technology, Industry and Costs: Analyze and provide estimates for potential project costs, including transmission, the impact of new and emerging technologies on cost, construction and construction operations cost estimates by major components or activity, costs associated with various wildlife mitigation options and requirements, maintenance costs, and the benefits of potential State actions on these costs. Synthesize and analyze national and international industry intelligence, new and emerging technology assessments and integration, resource assessments, forecasting, planning and other related workstreams.
 - Transmission and Interconnection: Support with grid transmission and interconnection tracking, transmission and/or interconnection analysis and planning, analyzing options and costs of injecting renewable energy into various interconnection points, cumulative regional/inter-regional impact analysis, needs assessments. Evaluate existing and potential local load and congestion points, support with filings to regulatory proceedings and other related workstreams.
 - Supply Chain and Workforce: Workstream to support understanding and enhancement of the supply chain and work force to maximize the economic benefits of renewable energy development. Development of supply chain tracking and analysis, cost benefit analysis, cross-regional supply chain cost comparisons, supply chain intelligence, supply chain investment monitoring, workforce development, workforce training need and opportunities, labor engagement, disadvantaged community⁷ support and engagement, work to identify or develop recommendations for training or advanced degree programs to fill any identified gaps, and related workstreams.
 - Procurement and Financial Analysis: Designing and supporting the implementation of Clean Energy Standard-compatible procurement and contracting to support renewable energy in a manner that fully considers ratepayer costs and benefits as well as potential legal implications of various approaches. Financial modeling or benchmarking studies, O/REC procurement support, Index Storage Credit (ISC) procurement support, project schedules and timelines, and other related workstreams.
- O. Agriculture, Forestry and Other Land Use: Assistance may be requested for assessing carbon sequestration, storage, and greenhouse gas (GHG) emissions at a landscape scale through field measurements, aggregating literature-based GHG emission/removal factors, analysis of Landsat and other satellite-based imaging metrics of land cover and land use, lidar, field measurements of GHG emissions and removals, surveys of landowners/renters and facility owners, and facility inventories. Proposers should be familiar with the tiered methods identified by the Intergovernmental Panel on Climate Change (IPCC) for creating national GHG inventories.
- P. Multi-sectoral Analysis and Research: Assistance may be requested in evaluating (1) cross-sectoral emissions reduction pathways, (2) cross-cutting policies and programs, (3) the interactive impacts of various decisions, and (4) other initiatives and topics that span multiple sectors or involve interactions between



sectors. Sample work activities may include but are not limited to: (a) assessing the impact of varying levels of electrification on fuel use, fuel supply chains, and electricity demand across multiple sectors; and (b) assessing the balance between use of alternative fuels and electricity across multiple sectors, including impacts on demand, emissions generation, cost, reliability, and other factors. *In their response, proposers are asked to explain the specific sectors in which they offer high levels of expertise.*

- Q. Environmental Market Analysis and Research: Assistance may be requested in analyzing and developing market-based environmental policies and initiatives. This assistance may encompass both (1) analyzing and developing individual market-based environmental policies and (2) considering the interaction of multiple such policies within and across sectors. Such policies could include but are not limited to cap and trade, clean transportation standards (also known as low carbon fuel standards or clean fuel standards), clean heat standards, and other market-based regulations designed to deliver on emissions reductions and/or advance alternative energy deployment in one or more sectors. Sample work activities may include but are not limited to: (a) developing emissions, cost, and price projections for such policies; (b) supporting air quality analysis associated with such policies; (c) assessing economic development and other impacts associated with such policies; and (d) providing specific recommendations for policy development. *In their response, proposers are asked to explain any existing tools that they have relevant to this support area and/or their ability to develop such tools.*
- R. Energy Equity Policy Analysis and Research: Assistance may be requested in undertaking research into various policy topics from an energy equity and climate justice perspective that centers the lived experiences of New York's historically marginalized communities, frontline communities, and low- and moderate-income households (or disadvantaged communities as identified by the [criteria adopted by New York's Climate Justice Working Group](#)). Sample work activities may include but are not limited to: (a) evaluating energy vulnerability and energy burden; (b) assessing energy system impacts as they intersect with social determinants of health; (c) assessing energy system impacts as they interact with access to energy services, access to transportation and mobility, and access to economic development opportunities and jobs associated with an inclusive clean energy transition; and (d) characterizing relevant quantitative and qualitative household and community metrics, conditions, and perspectives under current and potential future scenarios in a spatially granular manner. Proposers in this support area may be requested to conduct research that incorporates substantial engagement with community-based organizations and representatives of disadvantaged communities. *In their response, proposers are asked to explain and demonstrate their deep understanding of underlying root causes of inequitable historical patterns of investment and disinvestment, their technical expertise in characterizing (both qualitatively and quantitatively) the resulting sociodemographic stratification of energy system impacts, as relevant to a variety of metrics, effects, outcomes, and topics, and the expertise, training, and skills their proposed team offer with regard to facilitating meaningful engagement with community-based organizations and representatives of disadvantaged communities.*
- S. Building Sector Analysis: Assistance may be requested to evaluate across a broad range of building types (1) decarbonization potential, pathways, and options; (2) energy demand dynamics; (3) efficiency, affordability, reliability, and resilience considerations; (4) best practices, planning and strategic support focused on policies, regulations, programs and interventions supporting building decarbonization, (5) market insights/market context for retrofit and decarbonization technologies and markets relevant to the building sector in NY State. Sample work activities may include but are not limited to: (a) analyzing a broad range of decarbonization options / pathways relevant to different building types and typologies, such as energy efficiency, demand management, electrification, alternative fuel use/low carbon fuels, fuel cells, load flexibility/grid integration, thermal energy networks, and other; (b) developing, planning and supporting evaluation of implementation options for buildings-focused policies, regulations and initiatives, including but not limited to regulated and unregulated affordable housing, nonprofit-owned properties, and others targeting LMI communities; and (c) evaluating the impacts of buildings-focused interventions, including but not limited to impacts to energy systems, air quality and carbon emissions, consumer and wholesale costs, air pollution, and other. *In their response, proposers are asked to explain their experience with decarbonization, energy transition and planning for the building sector.*
- T. Social Dimensions of Energy Systems and the Clean Energy Economy Analysis and Research: Assistance may be requested to undertake research into the social and institutional dimensions of an equitable, inclusive,



and rapid energy transition across all sectors of New York's energy system and clean energy economy. Proposers in this support area may be requested to use their expertise in energy-related social sciences and humanities fields to produce inter- and multi-disciplinary research and analysis that effectively maps relationships between energy systems and social systems. Sample work activities may include but are not limited to: socio-spatial and socio-demographic analysis, ethnographic research, participatory action research, and other forms of inquiry that situate energy systems topics and issues within the lived experiences of people and communities. Research may involve a variety of objectives, scales, and scopes, ranging from -developing data and approaches to center household- and community-scale analysis and narratives within the context of macro energy systems modeling to conducting ethnographic or participatory action research at various field sites in collaboration with communities. Resulting analysis and research may leverage existing contributions from the fields of behavioral sciences, economics, energy systems analysis, and design to offer interdisciplinary breadth where appropriate. However, proposals that incorporate perspectives from diverse disciplines and conceptual frameworks in the social sciences and humanities, such as but not necessarily limited to sociotechnical systems, sociology/anthropology, political science, geography, and history, without overreliance on behavioral science and economic frames of inquiry are specifically and strongly encouraged. *In their response, proposers are asked to explain the tools, approaches, methodologies, and disciplinary perspectives they utilize and demonstrate their experience conducting social and institutional research that is both rigorous and policy relevant.*

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

⁵ See Section I. Introduction of this RFQL for details on disadvantaged communities.

⁶ Proposers should note subcategories listed are for reference only. Subcategories will be established as qualifications when NYSERDA issues mini-bids.

⁷ See Section I. Introduction of this RFQL for details on disadvantaged communities.



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

C. Umbrella Agreements

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

There will be no initial cap to the number of proposers in any one subject matter area. However, NYSERDA may subsequently institute a cap for any or all Support Areas as a means of managing the number of resultant contracts. NYSERDA anticipates the Scoring Committee to convene periodically, no less than twice per year, to review and evaluate new proposals on a schedule depending on NYSERDA's needs and on the number of new proposals that are received. Upon appropriate notice, NYSERDA may forego or discontinue the rolling open enrollments to manage the number of resultant contracts. In deference to the established end of the contract period of January 31, 2029, the open enrollment mechanism will be active through December 31, 2026. No new Umbrella Agreements will be awarded after December 31, 2026.

D. Assignment of Work

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

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

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

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

If a Task Work Order includes a final report, a payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

E. Task Work Orders



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

NYSERDA expects to issue, to selected contractors, requests for services, in the form of a mini-bid, in one or more of the Support Areas. For each such request, the selected contractor shall be required to:

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

At the time of mini-bid issuance, NYSERDA may request and allow teaming arrangements between firms beyond those that were submitted for initial qualification under this RFQL.

Task Work Orders issued may either be milestone-based or time and materials (T&M), however any payments based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

NYSERDA reserves the right to add additional terms and conditions applicable to individual Task Work Orders commensurate with the type of work scope solicited in such Task Work Orders. For example, a particular Task Work Order scope may warrant changes such as additional insurance to reflect risk assessment and industry standards, data protection or cyber security, confidentiality, among other things.

NYSERDA may request qualified Contractors to propose Cost Sharing for individual Task Work Orders. Cost sharing can be from the qualified Contractor, 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 qualified Contractor cannot claim as cost-share any expenses that have already been incurred.

NYSERDA may require qualified Contractors producing content for individual Task Work Orders 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 on the [Doing Business with NYSERDA page](#) or download [NYSERDA's Accessibility Requirements \[PDF\]](#).

F. Funding & Schedule

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

The general Umbrella Agreements that result from this RFQL will remain in effect until January 31, 2029, and no new Task Work Orders will be issued after this date. Task Work Orders initiated prior to January 31, 2029 are intended to remain in effect until all tasks are completed, final work products are delivered to NYSERDA, and payment is issued.

III. Proposal Requirements

Identified Support Areas

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

- A. Electric System Analysis
- B. Life-Cycle Assessment
- C. Macroeconomic Analysis and Modeling
- D. Forecasting of Energy Use, Energy Prices, and Greenhouse Gas, & Co-Pollutant Emissions
- E. Benefit Cost Analysis
- F. Transportation Systems Analysis
- G. Health and Environmental Impacts Analysis and Research
- H. Fuel Delivery Infrastructure
- I. Nuclear Energy
- J. Policy Analysis and Technology Assessment
- K. Facilitation Services
- L. Workforce Assessment and Labor Economics
- M. Climate Change Impacts and Adaptation Analysis
- N. Large Scale Renewables Technical Analysis and Review
- O. Agriculture, Forestry, and Other Land Use
- P. Multi-sectoral Analysis and Research
- Q. Environmental Market Analysis and Research
- R. Energy Equity Policy Analysis and Research
- S. Building Sector Analysis
- T. Social Dimensions of Energy Systems and the Clean Energy Economy Analysis and Research

This RFQL allows for new support areas to be created when unforeseen and ongoing needs are desired by NYSERDA. The ability to create new support areas will be restricted to the first three years of the solicitation, until December 31, 2026, however NYSERDA reserves the right to extend the solicitation. Firms may submit up to two proposals to new and existing support areas over the course of the open enrollment period to accommodate any changes of in-house capabilities. This open enrollment allows contractors to submit proposals up to a defined due date of December 31, 2026 to reflect the planned end date of the anticipated term of the Umbrella Agreements of January 31, 2029.

Length & Format

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, RFQL 5548, and the page number.

Outline

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

Document 1: Cover Letter and Main Body of Proposal

Cover Letter(s) (1 page suggested)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 5548



NYSERDA

- Specifies the Support Area, by name and letter, where services are being offered
- Summarizes the proposer's ability to perform such services
- Is signed by a person with authority to enter into a contract with NYSERDA



Letters from subcontractors included in the proposal must be included in each Support Area proposal and include the same information included in the proposer's cover letter.

Table of Contents (1 page)

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

- a) Overall Experience, Capabilities, and References
- b) Personnel and Qualifications
- c) Conflicts
- d) Résumés

Support Area Proposal(s)

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

Each Support Area proposal must include the following subsections:

- a) **Overall Experience, Capabilities, and References (2-4 pages)** Proposers must describe their expertise and ability as a team/firm to deliver services in the proposed Support Area(s). This should include the aggregate number of years working in this Support Area(s) and a brief summary of at least one, and no more than three, similar projects. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project. For at least one of the projects mentioned, proposers must include customer contact names and phone numbers. Proposers with specialized capabilities must articulate those capabilities in the proposal to assist NYSERDA's understanding of them and the capabilities that may be available to address specific needs identified among broader support areas. Proposers can reference Section II. Program Requirements Section A. Services Requested of this RFQL for further explanation.
- b) **Personnel and Qualifications Summary (2 pages)** Proposers must identify and describe the company or organization that will be the prime contractor under this RFQL and identify all staff members, teams, and subcontractors that are to be involved in providing services in the Support Area(s), with descriptions of qualifications and past working relationships among team members and subcontractors. Proposals should include an organizational chart, if necessary. Proposers must identify the project manager who will serve as the single point of contact under this RFQL. Proposals must describe the accomplishments, experiences, and expertise of the individuals comprising the proposing team relevant to the Support Area and reference one-page résumés (provided as an attachment) that highlight recent experiences of all individuals who would be directly involved in providing services.
- c) **Conflicts (1 page)** The firm, its principals, subcontractors, and any personnel of the firm must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Proposers must submit a statement of conflict of interest and on a yearly basis if a TWO is assigned following the previous year's conflict of interest form. If any affiliations exist, a statement must be provided verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.
- d) **Résumés** Include one-page résumés that highlight recent experiences of all individuals (proposer and any subcontractors) who would be directly involved in providing services. For ease of reference, organize the résumés in alphabetical order by last name of the individuals providing services, referencing in each résumé header the Support Area(s) they will be directly involved with. Individual résumés shall not exceed one (1) page each.



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

Indirect Cost

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

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

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

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

Document 3: Attachment B: Sample Agreement

Please upload a page stating that the terms are acceptable. If a firm does not accept the terms as written, a redline version of those terms and conditions that are unacceptable should be uploaded. Providing alternative terms does not guarantee NYSERDA's acceptance of those alternative terms.

Proposal Materials & Effort

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

IV. Proposal Evaluation

Whether submitted in accordance with the initial due date as provided in this document or in response to the open enrollment period that allows new prospective contractors to submit proposals beyond the first RFQL deadline, all proposals that meet the submission requirements will be reviewed by a Scoring Committee. The Scoring Committee will consist of NYSERDA staff and external subject matter experts, if deemed appropriate by NYSERDA. NYSERDA Staff and external subject matter experts (as deemed appropriate by NYSERDA) will evaluate all proposals based on the same pre-established evaluation criteria of the initial RFQL.

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

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

Overall Experience, Capabilities, and References

- Previous experience in the conduct and delivery of similar or related services.
- Demonstrated ability to complete projects on schedule.



- Quality and relevance of previous work as evidenced by sample projects.
- References substantiating with evidence the contractor's abilities and past performance.
- Responsiveness to NYSERDA's request as specified in this RFQL, including overall clarity and organization of the proposal.

Personnel and Qualifications

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

Other Considerations

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

Fee Schedule

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

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

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/-/media/Project/Nyserda/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:



NYSERDA

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of 5 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the 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 NYSERDA expects to notify proposers following a convening of the Scoring Committee (approximately no less than twice per year). Upon receipt of this notification, a proposer can request to schedule a debrief on the selection process and the strengths and weaknesses of its proposal by contacting Elaine Chau by e-mail Flexergy@nyserda.ny.gov. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information 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 Commission on Ethics and Lobbying in Government, 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 Commission on Ethics and Lobbying in Government, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Commission on Ethics and Lobbying in Government. 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 or apply a program policy factor.

EO 16 Protocols – Pursuant to Executive Order No. 16 issued on March 17, 2022, all vendors responding to bids or contracting with New York State must certify, using the form provided as part of this solicitation, their status with regard to conducting business operations in Russia, and that any such business operations in Russia conducted on behalf of the vendor are determined to be permitted under any of the allowable exemptions. The term vendor is intended to encompass bidders prior to contract award, contractors who have received a contract award, contract assignees, or contractors for whom an extension to an existing contract is being pursued. Exemption decisions are in NYSERDA's sole discretion and are final decisions. NYSERDA reserves the right to solicit additional materials or information regarding the responses or materials provided by a vendor.

Pursuant to Executive Order No. 16, all vendors will be vetted to ensure that they are not on the federal sanctions list at <https://sanctionssearch.ofac.treas.gov/>. There is no waiver or exemption process for vendors appearing on the federal sanctions list.

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case sanctions are lifted during a solicitation, or after award in the case of some solicitations.

Information Security: The NYS Office of Information Technology Services (ITS) establishes and regularly updates policies, standards, and guidelines for information security (collectively referred to as "ITS Security Policies") for State Entities, including NYSERDA. Contractors, vendors, and solution providers conducting work on behalf of NYSERDA including, but not limited to, application development, web development, hosting, or managing NYSERDA's sensitive data are required to comply with the NYS requirements. These requirements include, but are not limited to, the NYS Information Security Policy NYS-P03-002 which sets forth the minimum requirements, responsibilities, and accepted behaviors to establish and maintain a secure environment and achieve the State's information security objectives. Contractors that manage NYSERDA's data outside of NYSERDA's systems with a High or Moderate rating as per the NYS ITS Information Asset Identification Worksheet must comply with the following requirements.

High Rating	Moderate Rating
Maintain up-to-date SOC 2 Type 2 Assessment Report and provide to NYSERDA upon request. Maintain Cyber Security Insurance Provide a signed self-attestation on an annual basis for multiyear contracts	Maintain Cyber Security Insurance Provide a signed self-attestation on an annual basis for multiyear contracts

Attachments:

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



NYSERDA

PON 4089

New York Truck Voucher Incentive Program

Summary of Revisions, March 2024:

The following changes have been made to the NYTVIP Implementation Manual:

- Removed CMAQ Definition
- Removed Cargo Handling Equipment Definition
- Removed Repower Vehicle Definition
- Removed Semi Annual Usage Report Definition
- Removed Uplift/Retrofit Manufacturer Definition
- Added Vehicle Usage Report Definition
- Added language about incentive stacking in Section 1.3 General Program Rules
- Removed language about changing incentive levels and increased funding cap from 25% to 50% in Section 1.4: Voucher Funding Categories and Amounts
- Table 1: Changed Class 8 funding amount to reflect additional VW \$2.65M funding, removed CMAQ funding line, removed Cargo Handling Equipment and School Bus categories, updated funding total to \$46.1M.
- Table 2: Updated Voucher Amounts
- Removed Section 1.3.4: School Bus Funding and Table 5
- Removed Section 1.3.5: Port Cargo Handling Equipment Funding and Table 6
- Removed Section 1.3.6: Funding for Other Vehicle Types, Table 7 and 8
- Removed Section 2: Program Eligibility
- Removed Section 2.1.2: Special Conditions for Repowered Vehicles
- Removed Section 2.1.2.1: Vehicle Eligibility
- Removed Section 2.1.2.2: Vehicle Scrappage Requirements
- Removed Section 2.1.2.3: Repower OEM/Contractor
- Removed Cargo Handling Equipment and School Bus requirements in Table 9
- Removed Cargo Handling Equipment and School Bus requirements in Table 10
- Changed "Semi-Annual Usage Report" to "Vehicle Usage Report" throughout the document.
- Removed Section 2.3.2.1: Special Reporting Requirements for Battery Electric Vehicles
- Removed Section 2.3.5: Special Terms for School Buses
- Removed Section 2.3.6: Special Terms for Port Cargo Handling Equipment
- Removed A.1: CMAQ Funding

The following NYTVIP program documents have been revised:

- NYTVIP Vehicle Operator Addendum
- NYTVIP Vehicle Purchaser Participation Agreement
- NYTVIP Vehicle Eligibility Application

New York Truck Voucher Incentive Program

Implementation Manual

March 2024



**Truck Voucher
Incentive Program**

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Definitions for NYTVIP

Battery Electric Vehicle (BEV) is an on-road, Class 4-8 gross vehicle weight rating (GVWR), zero-emission vehicle that operates solely by use of a battery pack, or that is powered primarily with the use of an electric battery pack that also stores energy produced by the electric motor or by regenerative braking to assist in vehicle operation. For NYTVIP purposes, a hydrogen fuel cell powered vehicle is not considered to be a BEV.

Commercial Fleet is one or more vehicles used solely as part of a commercial enterprise (i.e., not used for individual or personal activities). Vehicles cannot be registered to an individual.

Contractor is the vehicle dealership, Original Equipment Manufacturer (OEM), or Upfit/Retrofit Manufacturer (URM) that sells Eligible Vehicles (new medium- or heavy-duty vehicles) directly to a Vehicle Purchaser or end-user.

[Contractor Portal](#) is an online system, utilizing Salesforce software, that entities selling eligible vehicles use to apply to become a Contractor in the Program.

Disadvantaged Community (DAC) is currently defined as a census block that is either:

1. In the top quartile of the United States Department of Housing and Urban Development (HUD) 50% area median income (AMI) thresholds, and that is also located within a DEC Potential Environmental Justice Area.¹
2. Located in a New York State Opportunity Zone.²

An [interactive map](#) to determine whether a location is in a Disadvantaged Community is available for reference.

Domicile is the location where the vehicle will be registered, stored, maintained, and/or generally be located, such as a Fleet depot, when not performing duties.

Electric Vehicle (EV) is an on-road, Class 4-8 gross vehicle weight rating (GVWR), zero-emission vehicle that operates solely by use of a battery pack (BEV) or hydrogen fuel cell (FCEV), or that is powered primarily through the use of a hydrogen fuel cell or electric battery pack that also stores energy produced by the electric motor or by regenerative braking to assist in vehicle operation. Primary recharge energy must be drawn from a source off the vehicle, such as a connection to grid electric service or a hydrogen fuel dispenser. Under the Program rules, an EV that has received Program incentives must satisfy minimum annual usage requirements for a particular vehicle type during the entire five-year in-service period. Only those vehicles listed on [the Eligible Vehicles List \(Eligible Vehicle\) will qualify for NYTVIP incentives](#).

Factory Build Sheet contains assembly instructions according to detailed vehicle specifications for use at the manufacturing facility.

Fleet is the vehicle Fleet of a commercial, nonprofit, or public sector entity (excluding federal governmental entities) that Domiciles, registers, and/or operates Class 4-8 vehicles in New York State.

Fuel Cell Electric Vehicle (FCEV) is an on-road, Class 4-8 gross vehicle weight rating (GVWR), zero-emission vehicle that operates solely by use of a hydrogen fuel cell, or that is powered primarily with a hydrogen fuel cell along with battery packs.

Gross Vehicle Weight Rating (GVWR) is the maximum operating weight/mass of a vehicle as specified by the manufacturer and described on the original manufacturer Line Setting Ticket provided to the vehicle dealer. See the following table of weight classes.

Vehicle Class	Gross Vehicle Weight Range
Class 4	14,001–16,000 pounds (6,351–7,257 kg)
Class 5	16,001–19,500 pounds (7,258–8,845 kg)
Class 6	19,501–26,000 pounds (8,846–11,793 kg)
Class 7	26,001–33,000 pounds (11,794–14,969 kg)
Class 8	≥33,001 pounds (≥14,969 kg)

Incremental Cost is the difference in cost between the new Eligible Vehicle and a comparable new diesel-fueled vehicle that would be purchased to perform the same function.

Line Setting Ticket is the factory build or construction sheet created when the vehicle order is sent to the vehicle manufacturer.

Nonprofit is an agency or corporation that is exempt from federal income taxes under Section 501 of the Internal Revenue Code (26 U.S.C. § 501).

[NYSERDA Portal](#) is a system utilizing Salesforce software that the Contractor, once approved by the Program, can log into to apply for vouchers, check status of their voucher progress, and upload Program required documents for voucher approval and Voucher Redemption approval.

Original Equipment Manufacturer (OEM) is the company that builds or assembles, at a minimum, the completed drive train and chassis for an Eligible Vehicle.

Paratransit Operator is a public or private entity that provides paratransit service as a Common or Contract provider with Ambulette or Transit Disabled Services Authority from NYSDOT to transport passengers, in compliance with 49 CFR Part 37, Transportation Services for Individuals with Disability.

Participating Vehicle Dismantler is a facility that will perform the Scrappage of an eligible old diesel vehicle according to NYTVIP guidelines.

Program is the New York Truck Voucher Incentive Program.

Program Website <https://www.nyserda.ny.gov/All-Programs/Truck-Voucher-Program>

Replacement Vehicle is a new Eligible Vehicle that replaces an existing diesel vehicle of similar weight class and vocation that has been scrapped to meet Program requirements.

Scrappage (Scrapped or Scrap) is verifiably rendering inoperable a vehicle with a diesel engine dated 1992 through 2009 by verifiably cutting a three-inch hole in the engine block and disabling the chassis by cutting the vehicle’s frame rails completely in half.

Telematics is the technology of sending, receiving, and storing information using telecommunication devices that have been installed in an Eligible Vehicle by a Fleet participant.

Transit Operator is any municipally owned or municipally contracted public transportation provider; public transportation authority; or intercity provider pursuant to Section 14(g) of New York State Transportation Law, that provides transportation service open to the public.

Vehicle Operator is the entity that will operate an Eligible Vehicle. This may be the Vehicle Purchaser or a different entity under a lease agreement with a Vehicle Purchaser.

Vehicle Purchaser is the entity that will directly purchase, own, and operate the vehicle or the leasing company that will lease an Eligible Vehicle to a Vehicle Operator. The Vehicle Purchaser may or may not be the same entity as the Vehicle Operator.

Vehicle Usage Report is a required report submitted by the Vehicle Operator that details the mileage, fuel use, maintenance, breakdown costs, and other information to NYSERDA.

Volkswagen Settlement refers to the January 29, 2018, *Environmental Mitigation Trust Agreement for State Beneficiaries* in which New York State is a listed Beneficiary. New York State's subsequent Beneficiary Mitigation Plan ("CLEAN TRANSPORTATION NY") outlines the overall goals and objectives for use of funds provided by the VW Trust. Visit the [DEC website](#) for more information.

Voucher Application is the process of the Contractor supplying information through the NYSERDA Portal to have a voucher incentive set aside for an Eligible Vehicle.

Voucher Approval Date is the date on which NYSERDA approved a project and set aside funding for a vehicle project. Contractors must submit all documentation for reimbursement within 18 months of the Voucher Approval Date or within 24 months if an extension has been granted.

Voucher Help Center (VHC) is the entity that answers Program questions, takes in, reviews, and processes Voucher Applications and is the primary Program point of contact for OEMs, Contractors, and Fleets. Visit the [VHC website](#) or call 866-595-7917.

Voucher Redemption is the process of the Contractor supplying information through the [NYSERDA Portal](#) to complete the voucher process and satisfy all requirements for a payment to be made to the Contractor.

1 Program Overview

The New York Truck Voucher Incentive Program (NYTVIP or Program) is a voucher incentive program aimed to accelerate the deployment of electric trucks and buses (also referred to as EVs) in the medium and heavy-duty 4-8 vehicle weight classes throughout New York State. By increasing the use of cleaner vehicle technologies, the Program reduces harmful vehicle emissions, including greenhouse gases, and lessens New York State's transportation sector's dependence on petroleum. In partnership with New York State Department of Transportation (DOT) and New York State Department of Environmental Conservation (DEC), the New York State Energy Research and Development Authority (NYSERDA) developed NYTVIP to reduce the cost of medium- and heavy-duty Electric Vehicles (EVs) to help Fleets, leased Vehicle Operators, and vehicle owner-operators switch to vehicles that are better for the environment and often are more cost-effective than equivalent diesel-fueled vehicles.

1.1 Advancing Clean Vehicles through Voucher Incentives

Voucher incentives facilitate Fleet adoption of new EV trucks and buses by reducing the upfront prices of these vehicles, which are typically more expensive than comparable diesel vehicles. Vouchers make it more affordable for Fleets to gain experience with cleaner technologies that may cost less to operate than diesel vehicles. In addition, voucher projects result in verifiable emissions reductions and air quality improvements through new vehicle usage, and by decommissioning diesel vehicles through a Scrappage process. The voucher amount is provided to Fleets by the contractor at the point of purchase in the form of a discount off the total purchase price, making EV acquisitions easier and less expensive and helping to distribute the benefits of EV deployment within New York State.

1.2 About the Implementation Manual

This Implementation Manual outlines the process, requirements, rules, and funding parameters of the Program to provide participants with information on how to participate in NYTVIP. NYSERDA may make changes to the Implementation Manual at any time. Program participants are bound by the version of Implementation Manual in effect at the time they submit a Voucher Application. In other words, Voucher Applications, Voucher Redemption protocols, and all other Program elements associated with those vouchers must follow the directions outlined in the most recent version of the Implementation Manual posted on the Program Website at the time of voucher submittal. The most recent Implementation Manual, as well as all required forms and agreements, can be found on the [Program Website](#), as well as in the NYSERDA [Portal](#) through which Voucher Applications are submitted. Notice of all changes will be provided to Program participants via their designated email addresses, as identified in the Voucher Application.

1.3 General Program Rules

Fleet agrees to purchase an Eligible Vehicle from a vendor/dealer (Contractor) qualified to sell that vehicle through the Program, and the Contractor deducts the value of the voucher from the final sale price. Once the Vehicle Purchaser has Scrapped an eligible diesel vehicle with engine model 2009 or older and the Contractor has supplied all required documentation to verify all steps of the process, NYSERDA reimburses the Contractor for the full voucher amount.

NYSERDA will not make a voucher payment unless all requirements for Voucher Redemption are met and approved by NYSERDA. Failure to comply with all applicable Scrappage requirements will result in the rejection of a voucher payment request, which means the Fleet must pay the full (unreduced) vehicle price to the Contractor. If the Fleet does not provide proper documentation to the Contractor for Voucher Redemption, NYSERDA is NOT responsible for the deficit in funding for the vehicle purchase. Partial voucher payments will not be made on individual vehicles. For multi-vehicle voucher requests, separate payments may be made for individual vehicles.

NYSERDA, at its sole discretion, will determine the final value of the voucher at the time of approval and upon review of the Purchase Order for the new vehicle. For each Eligible Vehicle model, NYSERDA will determine an estimated voucher amount—based on the purchase price difference between EV vehicle and a comparable diesel equivalent—and post that information in the [NYTVIP Eligible Vehicle List](#) on the Program Website³. The final value of the voucher may differ from the estimated voucher amount reflected in the Vehicle Eligibility list, such as in cases where an Eligible Vehicle model's final Incremental Cost changed significantly from the approved Incremental Cost since it was approved for eligibility or based on the availability of funding. Project-specific information, such as Domicile address and funding source, may also impact the final voucher amount and will be determined when the application is approved. This allows prospective Vehicle Purchasers to know the estimated vehicle incentive amount prior to negotiating a vehicle price with the Contractor.

1.3.1 Voucher Publicity

All Program participants must collaborate with NYSERDA's Director of Communications, at least 10 business days in advance, to prepare any press release and to plan for any news conference concerning work related to the Program, if any. Program participants must notify the Voucher Help Center (VHC) and NYSERDA Project Managers in advance of any media interview or press event in which work related to this Program, including vehicles for which the purchase or lease was facilitated using vouchers, is referred to or discussed. Vehicle Purchaser/Vehicle Operators must not use NYSERDA's or New York State Department of Environmental Conservation's (DEC) corporate name, logo, identity, any affiliation, or any related logo, without prior written consent from NYSERDA or DEC.

1.3.2 Voucher Stacking

Fleets may combine, or “stack,” NYTVIP funding with grants or incentives obtained from local, state, or federal sources, but in no case may the total of NYTVIP funds and other grants or incentives exceed 100% of the Incremental Cost of the Eligible Vehicle.

1.4 Program Contacts

All Program questions can be directed to the Voucher Help Center (VHC):

NYTVIP Voucher Help Center

866-595-7917

NYTVIP@energycenter.org

If you are unable to contact personnel at the VHC, or if there are issues that the VHC cannot resolve, please contact the NYSERDA project managers responsible for the Program:

Natalie Tauro

Project Manager

1359 Broadway, 19th Floor, New York, NY 10018-7842

(518) 862-1090 ext. 3519

Natalie.Tauro@nysesda.ny.gov

Adam Lomasney

Program Manager

1359 Broadway, 19th Floor, New York, NY 10018-7842

(518) 862-1090 ext. 3017

Adam.Lomasney@nysesda.ny.gov

1.5 Voucher Funding Overview

Only EVs are eligible for Program incentives and all applicants must Scrap a vehicle (refer to section 5). The Program may receive additional funds over time and may also expand to include additional vehicle types. Once a voucher is approved, that voucher is eligible for up to the incentive amount shown in the Implementation Manual at the time of the voucher approval. Funding amounts may be adjusted over time pursuant to funding source requirements (refer to Appendix A).

- As of March 15, 2024, the funding cap for the categories listed in Table 1 has increased to 50%. If additional funding is added to the Program, a Vehicle Purchaser or Vehicle Operator who has already met this threshold may request vouchers for up to 25% of the new total funding category amount. Incentive levels have also been increased for EV trucks, listed in Table 2.
- As of January 31, 2024, NYTVIP no longer funds school buses. Funding for zero emission school buses and charging equipment is now awarded separately, through the [New York School Bus Incentive Program](#).

- As of March 3, 2024, the incentive period for Cargo Handling Equipment (CHE) has closed and no new applications will be accepted.

Table 1. NYTVIP Funding Categories and Amounts

Funding Source	Vehicle Types	Amount
Volkswagen Settlement	Class 4-7 Trucks	\$4.8M
	Class 8 Trucks	\$6.3M
	Class 4-8 Electric Transit Buses	\$33M
	Class 4-6 Electric Paratransit Buses	\$2M
TOTAL		\$46.1M

The voucher amount for a particular vehicle is calculated as the lesser of either:

1. The applicable, Incremental Cost percentage, or
2. A maximum dollar cap that varies by funding category, weight class, and location.

1.6 Incentive Amounts

1.6.1 Class 4-8 Truck Funding

Fleets purchasing Class 4-8 trucks Domiciled anywhere in the State are eligible for the Program and can receive up to the funding amounts listed in Table 2. Trucks eligible for the NYC Clean Trucks Program (www.nycctp.com) must use funding from that program, if available, before seeking funding through NYTVIP⁴.

Table 2. Voucher Amounts and Caps by Weight Class for Class 4-8 Trucks

Vehicle	Voucher Amounts and Caps					
	Incremental Cost %	Vehicle Weight Class (GVWR)				
		4	5	6	7	8
EV Truck	95%	\$ 100,000	\$ 125,000	\$ 145,000	\$ 170,000	\$ 215,000

1.6.2 Transit Bus Funding

In February 2020, \$16.7 million was made available (Round 1) for 18 transit agencies to procure electric transit buses. Those agencies must have submitted Voucher Applications on or before August 18, 2021, to access Round 1 transit funding. In December 2020, an additional \$16.4 million was released (Round 2) for the following five Transit Operators to procure electric transit buses⁵:

- Capital District Transportation Authority
- Niagara Frontier Transportation Authority
- Rochester-Genesee Regional Transit Authority

- Suffolk County Transportation
- Westchester County Bee-Line Bus System

These five agencies must submit Voucher Applications on or before August 18, 2024, to access Round 2 transit funding at the funding amounts listed in Table 3.

Table 3. Voucher Amounts and Caps by Weight Class for Class 4-8 Transit Buses

		Voucher Amounts and Caps				
Vehicle	Incremental Cost %	Vehicle Weight Class (GVWR)				
		4	5	6	7	8
EV Transit Bus	100%	\$ 100,000	\$ 125,000	\$ 150,000	\$ 250,000	\$ 385,000

1.6.3 Paratransit (Shuttle) Bus Funding

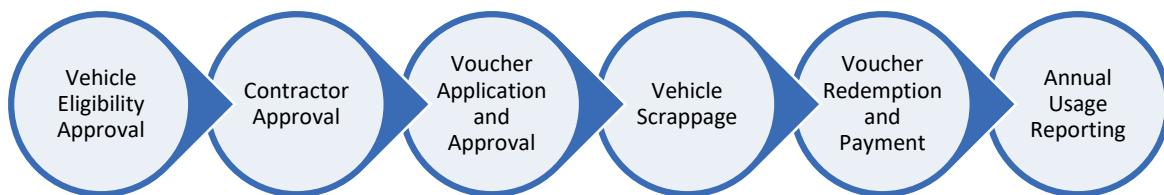
Eligible Paratransit Operators must submit Voucher Applications on or before December 18, 2024, if funding is available, to access paratransit shuttle bus funding. Eligible Paratransit Operators can access voucher incentives for Class 4-6 electric paratransit shuttle buses at the funding amounts listed in Table 4.

Table 4. Voucher Amounts and Caps by Weight Class for Class 4-6 Paratransit Buses

		Voucher Amounts and Caps		
Vehicle	Incremental Cost %	Vehicle Weight Class (GVWR)		
		4	5	6
EV Paratransit Bus	100%	\$ 100,000	\$ 125,000	\$ 150,000

1.7 NYTVIP Process Steps

Figure 1. NYTVIP Process Steps



1. **Vehicle Eligibility Approval** – An OEM submits a completed Vehicle Eligibility Application to the VHC via email. The applicant provides information on the vehicle to be reviewed for eligibility as well as a comparable diesel vehicle to determine the applicable Incremental Cost and related

voucher amount. Once approved, vehicles are listed on the Eligible Vehicles list. (Refer to section 2 for details on Vehicle Eligibility requirements.)

2. **Contractor Approval** – A Contractor authorized to sell an Eligible Vehicle submits a Contractor Application to NYSERDA to become an approved Contractor (requirements detailed in section 3). If the Contractor is a vehicle dealer and is not the OEM, the Contractor must submit proof of OEM authorization to sell the vehicle as part of the approval process. Approved Contractors may then market Program incentives to prospective Vehicle Purchasers and submit Voucher Applications to NYSERDA.
3. **Voucher Application and Approval** – When a Vehicle Purchaser is ready to purchase an Eligible Vehicle from an approved Contractor, the Contractor submits a Voucher Application through the NYSERDA Portal to reserve a voucher for that specific purchase and identifies the vehicle that the Vehicle Purchaser wants to Scrap (refer to section 8 for details on the Voucher Application process). The VHC and NYSERDA will review the Voucher Application and notify the Contractor if there are any issues or missing information, or if the application is approved. If the Voucher Application is approved, funds are reserved for the Eligible Vehicle(s) identified in the application. New EVs must be delivered to Vehicle Purchasers after the date of application to be considered eligible for funding.
4. **Vehicle Scrappage** – Scrappage can occur any time between the date of voucher approval and up to 21 days after vehicle delivery. The Scrappage process is outlined in section 5. The Vehicle Purchaser must provide the Contractor with all required Scrappage documentation within this timeframe, and the Contractor must upload all Scrappage documentation to the NYSERDA Portal before Voucher Redemption.
5. **Voucher Redemption** – After the Vehicle Purchaser takes delivery of the new Eligible Vehicle, registers the new vehicle, pays for it in full and satisfies all Scrappage requirements, the Contractor completes the Voucher Redemption process in the NYSERDA Portal. This consists of uploading all required documentation for final approval (refer to section 8.4). This information must be uploaded for each individual vehicle for which the Contractor seeks to receive a voucher payment. Vouchers must be redeemed within 18 months of the Voucher Approval Date. Contractors may apply for extensions, refer to Section 8.4.2.
6. **Voucher Payment** – The VHC and NYSERDA review the Voucher Redemption request, and if the request is approved, NYSERDA will issue the voucher payment to the Contractor. Vouchers that have not been redeemed within 18 months of the Voucher Approval Date (or within 24 months of the Voucher Approval Date if an extension has been granted) will be canceled.
7. **Vehicle Usage Reporting** – The Vehicle Purchaser is required to submit Vehicle Usage Reports for a minimum of three years after voucher payment. Refer to section 7 “Reporting Requirements” for additional details.

2 Vehicle Eligibility and Approval

2.1 Vehicle Eligibility Requirements

To qualify for voucher incentives through NYTVIP, eligible EVs must meet the following requirements:

- The vehicle must be a Class 4-8 EV. Personal passenger vehicles are NOT eligible for Program funding.
- All Eligible Vehicles must be new, including the vehicle chassis and drivetrain. The model year (MY) of the new vehicle must be either one model year older, the same model year, or one model year newer compared to the calendar year in which the vehicle was purchased. For example, for a vehicle purchased (e.g., based on purchase order date) during calendar year 2023, the new vehicle's model year must be 2021, 2022, or 2023. Similarly, the new vehicle's engine model year (EMY) must be one engine model year older, the same engine model year, or one engine model year newer compared to its model year. As examples, an eligible model year 2021 truck must have an engine model year of 2020, 2021, or 2022; an eligible model year 2022 truck must have an engine model year of 2021, 2022, or 2023, etc.
- Eligible Vehicles must meet all federal and New York State requirements for operation. The OEM must also certify that the vehicle model complies with all applicable federal safety standards for new motor vehicles and new motor vehicle equipment issued by the National Highway Traffic Safety Administration (NHTSA). The Federal Motor Vehicle Safety Standards (FMVSS) are found in Title 49 of the Code of Federal Regulations (CFR) Part 571.
- Manufacturers, as part of submitting documentation to the VHC for vehicle eligibility, must submit the costs of the electric vehicles they want to be included in the Program, and for each vehicle, the cost of a comparable conventional diesel vehicle with equivalent payload, vocation, and features. The difference in price between those two vehicles is the Incremental Cost. The applicable voucher amount may cover only a portion of the Incremental Cost up to the maximum voucher amount by weight class, vocation, and fuel type. In cases where the Incremental Cost is not immediately clear, such as with low-volume or specialty vehicles, NYSERDA may request the Contractor provide documentation of Incremental Cost as part of the Voucher Application in addition to the Vehicle Eligibility Application.
- Vehicles and/or vehicle chassis cannot be previously registered in any state, fully paid for by the Vehicle Purchaser (other than a vehicle down payment) or have been delivered to the Vehicle Purchaser prior to the Contractor applying for a voucher. Used vehicles (including vehicles used by dealers, OEMs, or other entities or for demonstration purposes) are NOT eligible. Where applicable, vehicles are exempt from these requirements.
- Program funding may not be used to pay for the purchase or installation of fuel-fired heaters (although these may be installed at Fleet or owner's cost and noted within the application, Section 2.2. Eligible Vehicles must meet all federal and New York State requirements for operation. The OEM or URM must also certify that the vehicle model complies with all applicable federal safety standards for new motor vehicles and new

motor vehicle equipment issued by the National Highway Traffic Safety Administration (NHTSA). The Federal Motor Vehicle Safety Standards (FMVSS) are found in Title 49 of the Code of Federal Regulations (CFR) Part 571.

- The vehicle engine or electric motor, drive train, and battery pack (if applicable) must be covered by a manufacturer's warranty. The warranty must provide protection for a minimum of 36 months or 50,000 miles (whichever comes first); see Section 4 for special warranty provisions for transit buses and paratransit buses. The first 36 months or 50,000 miles of the coverage period must be a full warranty covering, at a minimum, the engine or motor (whichever is applicable), powertrain components, batteries, parts, and labor. If the warranty is extended beyond 36 months or 50,000 miles and is prorated, the percentage of the original value of the vehicle component to be covered or refunded must be at least as high as the percentage of the prorated coverage period remaining. Program funding may not be used to pay for extended warranties (although these may be purchased at Fleet or owner's expense and noted within the application). Prior to approving a vehicle, NYSERDA may request that the OEM provide copies of representative warranties for vehicle, engine, and/or powertrain components (e.g., battery pack) and documentation (such as warranty contracts) of the OEM's plans to provide warranty and routine vehicle service.
- If an OEM or their authorized dealer, does not own a New York State repair facility or does not have a contract with a New York State entity to provide repair and warranty service (copy of contract must be provided and approved by NYSERDA), the OEM or authorized dealer must submit a written plan (including contracts) for how it intends to provide warranty service, replacement parts, and technical support in New York State. The maintenance/repair plan must be submitted to the VHC for approval. The plan must receive written approval from NYSERDA for vehicles to be eligible to receive incentives under the Program.

2.2 Eligible Vehicle Approval Process

1. The OEM downloads the Vehicle Eligibility application from the Program Website.
2. The OEM enters general information about the vehicle for which they are requesting eligibility, including the following information, in the [Vehicle Eligibility Application](#):
 - Model year
 - Make and model
 - Fuel type (e.g., BEV, FCEV)
 - Gross Vehicle Weight Rating (GVWR)
 - Energy/environmental attributes (e.g., kWh/mile for BEVs)
 - Manufacturer suggested retail price (MSRP) (or Buyer's Sheet) indicating the pre-tax retail of the EV and of a comparable new diesel vehicle
 - Location and nature of activities involved in final vehicle assembly
 - Whether the vehicle uses an auxiliary fuel-fired heater (note any associated costs are not eligible under the Program)
3. Manufacturer emails the completed Vehicle Eligibility Application to the VHC, including signed checklist and certifications page, along with required documentation. Documentation shall include, at a minimum, the following items:
 - Attestation that the vehicle meets federal and State requirements.
 - Documents that justify price of Eligible Vehicle and a comparable diesel vehicle.
 - Name and contact information for a New York State repair facility under contract for servicing and repairing New York State vehicles or a written maintenance and repair plan if there are no New York State repair facilities.
 - Proof of a guaranteed warranty for motor, powertrain, parts, and labor for the minimum amount of time specified.
4. NYSERDA and the VHC review the [Vehicle Eligibility Application](#) and additional documentation for accuracy and completeness. If additional information is needed, NYSERDA or the VHC will notify the Manufacturer via email. If NYSERDA or the VHC find that the application is complete, and the vehicle(s) are eligible, the Manufacturer will be notified of approval.
5. NYSERDA will list the newly Eligible Vehicle(s) on the [Eligible Vehicle List](#) on the [Program Website](#).

3 Contractor Eligibility and Approval

3.1 Contractor Eligibility Requirements

In NYTVIP, the Contractor is the entity that sells an approved Eligible Vehicle to the Vehicle Purchaser. Contractors are required to pass on the full Program incentive to a Vehicle Purchaser by reducing the purchase cost of Eligible Vehicles by the full incentive amount. Contractors may not charge fees to the Vehicle Purchaser in association with processing vouchers. Contractors must make all Program-related records available for review by NYSERDA during the first five years after the sale of a vehicle that receives support through the Program.

Entities interested in becoming an eligible Contractor must:

- Be any of the following types of entities:
 - A truck or bus dealership that has a written agreement with a medium- and/or heavy-duty vehicle OEM, and sells or leases fully assembled Eligible Vehicles to Vehicle Purchasers
 - An OEM that builds and sells or leases complete Eligible Vehicles directly to Vehicle Purchasers
- Have a valid business license for the past two years.

3.2 Contractor Approval Process

1. To submit a [Contractor Application](#), the applicant accesses the online Contractor Portal from the [Program Website](#).
2. Once in the Contractor Portal, the applicant enters general company information and company contact details.
3. The applicant selects at least one make of Eligible Vehicle it plans to sell as part of the Program.
4. The applicant reviews and completes uploads the required documents, which include:
 - [Contractor Participation Agreement](#),
 - Documentation showing how the Contractor will provide service and support to Fleets participating in the Program, if the Contractor is located outside of New York State.
 - [Vehicle Manufacturer Authorization](#) form with a signature from the Manufacturer authorizing the applicant to market and sell that brand's vehicles if the applicant is not a manufacturer.
5. The applicant submits completed Contractor Application.
6. NYSERDA and the VHC review the application for completeness. If the Contractor Application is incomplete or the applicant is not certified to sell the Eligible Vehicle(s), the VHC will notify the applicant. If the Contractor Application is complete, NYSERDA will notify the applicant that they are now an approved Contractor and will receive an automated email with a form to complete

to receive payment via electronic funds transfer (EFT). This approval will create an account for the Contractor in the [NYSERDA Portal](#) in Salesforce.

7. NYSERDA lists the Contractor on the [Eligible Vehicles List](#), next to the vehicle they are approved to sell on the [Program Website](#). Once a Contractor has been approved in the Program, it is then approved to market the Program incentives to Vehicle Purchasers (refer to section 3).

4 Fleet Eligibility and Special Conditions

4.1 Fleet Eligibility

Fleets eligible to participate in the Program (i.e., Vehicle Purchasers) may be Commercial Fleets, Non-Profit agencies, or public Fleet entities (excluding the federal government) that operate diesel vehicles that are registered and domiciled in New York State.

4.2 Special Conditions for Transit Buses

- Replacement buses receiving incentive levels shown in Table 3 must be Domiciled within, or within 0.5 miles of, a Disadvantaged Community (check NYSERDA's [Disadvantaged Community maps](#)), or the Transit Operator must identify proposed operational route(s) for the buses that serve one or more Disadvantaged Community (DAC).⁶
- NYTVIP vouchers may only be combined with additional competitive funding sources to equal a maximum of 100% of the Incremental Cost of the Replacement Vehicle. NYTVIP vouchers can be combined with regular, noncompetitive federal funding (e.g., FTA Formula Grant 5307 and 5311 programs) that fund ordinary vehicle replacement. Federal Low-No funds (FTA 5339(c)) cannot be used in combination with the NYTVIP voucher.
- When submitting a Voucher Application, Contractors must indicate whether their customer plans to combine NYTVIP funding with other funding sources, and if so, which programs. Replacement buses must be delivered to Transit Operators on or after August 1, 2019, to be considered eligible for funding under this Program.
- Buses must have a battery warranty of at least 5 years and 300,000 miles.
- Battery leases will be considered on a case-by-case basis and will be approved at the sole discretion of NYSERDA.

4.3 Special Conditions for Paratransit Buses

- Paratransit buses receiving voucher incentives must average no less than 7,000 miles per year during the five-year in-service period. Case-by-case exceptions to the 7,000-mile annual requirement may be granted if operation within or near disadvantaged communities is achieved.
- NYTVIP vouchers may only be combined with additional competitive funding sources to equal a maximum of 100% of the Incremental Cost of the Replacement Vehicle. NYTVIP vouchers can be combined with regular, noncompetitive federal funding (e.g., FTA Formula Grant 5307 and 5311 programs) that fund ordinary vehicle replacement. Federal Low-No funds (FTA 5339(c)) cannot be used in combination with the NYTVIP voucher.
- When submitting a Voucher Application, Contractors must indicate whether their customer plans to combine NYTVIP funding with other funding sources, and if so, which programs.

Replacement paratransit buses must be delivered to operators on or after December 1, 2022, to be considered eligible for funding under this Program.

- Buses must have a battery warranty of at least 5 years and 300,000 miles.
- Battery leases will be considered on a case-by-case basis and will be approved at the sole discretion of NYSERDA.

Note that the Program does not provide paratransit bus replacement funding for fuel types other than electricity or hydrogen (e.g., BEV or FCEV). Voucher applications for Paratransit Funding must be submitted on or before December 18, 2024 (depending on the availability of funds).

Paratransit funding is reserved for eligible Paratransit Operators until June 18, 2024. Any funding remaining in the received \$2,000,000 incentive pool after June 18, 2024, can be used to fund either eligible electric paratransit shuttle buses or transit buses until the end of the 60-month incentive period (December 18, 2024).

4.4 Special Conditions for Leased Vehicles

Vehicles purchased by a leasing or rental company and leased to a Fleet are Eligible Vehicles under the Program if the term of the vehicle lease is at least five years from the Voucher Approval Date. In these circumstances, the leasing or rental company is considered the Vehicle Purchaser.

Any vehicle leasing or rental company that purchases a voucher-funded vehicle must identify the Fleet that will be the Vehicle Operator in the Voucher Application and supply at least a conditional lease (signed by both the Vehicle Purchaser and the Vehicle Operator) prior to voucher approval. A Vehicle Purchaser cannot request a voucher to purchase a demonstration vehicle with the intention of finding a prospective Fleet to lease the vehicle.

A copy of the draft lease agreement, inclusive of the [Vehicle Operator Addendum](#) available on the [Program Website](#), must be submitted to NYSERDA through the [NYSERDA Portal](#) as part of the Voucher Application process. The only restriction that can be left for the lease to be fully finalized is receiving a voucher approval for the incentive application from the Program.

The lease must be fully executed within one month of voucher approval to be eligible for Program incentives. Any Vehicle Purchaser that leases a vehicle purchased with a voucher must disclose the full voucher amount and voucher terms to the Vehicle Operator in the lease, which must reflect the full extent of capital cost reduction from the applicable voucher amount.

The Vehicle Purchaser, whether acting as Vehicle Operator or lessor, must sign the [Vehicle Purchaser Participation Agreement](#). As part of the Voucher Redemption process, a copy of the vehicle purchase agreement between the Contractor and the leasing company must also be submitted, along with a signed copy of the [Vehicle Operator Addendum](#).

NYSERDA reserves the right to review lease agreements to confirm appropriate disclosures are made regarding the voucher amount received and other Program requirements. Vehicle Purchasers must also provide NYSERDA with all requested information related to any vehicle purchased with a

Program voucher (including lease agreements) within 10 days of a written request from the VHC for such information. The Vehicle Operator is also responsible for ensuring annual usage reports are accurate and submitted to NYSERDA as required in the Vehicle Purchaser Participation Agreement and the Vehicle Operator Addendum. All leasing projects are subject to final NYSERDA approval.

5 Scrappage Requirements

To guarantee that voucher-supported vehicle projects result in material and verifiable emissions reductions and local air quality improvements, NYTVIP requires that voucher-supported vehicle purchased be accompanied by a corresponding Scrappage of a vehicle with a diesel engine model year 1992 through 2009. Vehicles with alternative fuel powertrains, including diesel-electric hybrid powertrains, are not eligible to be Scrapped.

Existing Class 4-7 diesel vehicles should generally be replaced with the same weight class, one class lower, or one class higher EV. Existing Class 4-7 diesel vehicles may, however, be replaced with an EV up to two weight classes higher with prior written approval. Only Class 8 vehicles can replace Class 8 diesel vehicles.

A diesel vehicle eligible for Scrappage must be:

- Fully functional and operational at the time of Scrappage.
- Registered in New York State for 24 of the previous 27 months prior to the date of the initial Voucher Application.
- Satisfy minimum annual usage requirements for the applicable vehicle type during recent operation (Table 9). Minimum annual usage requirements for Class 4-8 trucks and may be satisfied by a previous vehicle owner.
- Owned by the Vehicle Purchaser, or another Fleet that meets all eligibility requirements, over the last 24 months (all NYS requirements including but not limited to title transfer and applicable sales tax must be satisfied).

If a Fleet wishes to Scrap a vehicle that has changed ownership in the last two years, the Fleet must comply with the following rules:

- All applicable NYS requirements, including but not limited to title transfer, and sales tax payment, must have been satisfied prior to application for funding under NYTVIP.
- For Replacement Vehicles proposed for operation in the rest of New York State, the diesel vehicle being Scrapped must have been previously registered within New York State for the previous two years.

Table 5. Minimum Usage Requirements Scrapped Vehicles

Vehicle Type	Annual In-Service and Term Requirements for Scrapped Vehicle
Truck	≥5,000 miles annually over the two most recent years.
Transit Bus	Must be part of active Fleet for at least the previous 24 months. A transit bus that is part of a contingency Fleet, or considered a spare bus, is not eligible.
Paratransit Bus	≥2,500 miles annually over at least one of the last two years and must be part of active Fleet for at least the previous 24 months. A paratransit bus that is part of a contingency Fleet, or considered a spare bus, is not eligible.

5.1 Scrappage Conditions for Transit Buses

The following conditions apply to all transit buses:

- Transit buses eligible for replacement include diesel-powered Class 4-8 transit buses with an engine model year of 2009 or older. Diesel-hybrid Class 4-8 transit buses may be considered a Scrappage-Eligible Vehicle on a case-by-case basis if a Transit Operator no longer has Scrappage-eligible diesel buses in their Fleet.
- Government-owned transit buses proposed for replacement must have been owned by an eligible New York State authority or municipality (see Table 8) for at least the previous 24 months. The eligible authorities and municipalities must provide documentation (i.e., NYS registration) that this requirement is met.
- Eligible authorities and municipalities must certify that the transit bus to be replaced is in operation and has been part of the active Fleet for at least the previous 24 months. A transit bus that is part of a contingency Fleet, or considered a spare bus, is not eligible for funding under this Program. The eligible authorities and municipalities must provide documentation (i.e., service records) that this requirement is met.
- Transit buses receiving voucher incentives must be of the same or one lower weight class, be of similar or lesser length and passenger capacity and have similar or lower horsepower rating as the diesel-powered bus being Scrapped.

5.2 Scrappage Conditions for Paratransit Buses

The following conditions apply to all paratransit buses:

- Paratransit shuttle buses eligible for replacement include diesel-powered Class 4-6 paratransit buses with an engine model year of 2009 or older. Diesel-hybrid Class 4-6 paratransit buses may be considered as a Scrappage-Eligible Vehicle on a case-by-case basis if a Transit Operator no longer has Scrappage-eligible diesel buses in their Fleet.
- Paratransit bus operators must hold the title for the diesel-powered paratransit shuttle bus to be Scrapped.

- Eligible entities must certify that the paratransit bus to be replaced is in operation and has been part of an active Fleet for at least 24 of the previous 27 months. A paratransit bus that is part of a contingency Fleet, or considered a spare bus, is not eligible for funding under this Program. The eligible authorities and municipalities must provide documentation (i.e., service records) that this requirement is met.
- Paratransit buses receiving voucher incentives must be of the same or one lower weight class, be of similar or lesser length and passenger capacity and have similar or lower horsepower rating as the diesel-powered bus being Scrapped.
- Replacement buses receiving incentive levels shown in Table 4 must be Domiciled within, or within 0.5 miles of, a Disadvantaged Community (check NYSERDA's [Disadvantaged Communities maps](#)), or the Paratransit Operator must submit an Operations Plan as part of the NYTVIP application that prioritizes electric paratransit shuttle bus operations within Disadvantaged Communities. The Operations Plan must demonstrate how operation within Disadvantaged Communities will occur at no less than a weekly basis during the 5-year in-service time.⁷ The Operation Plan must contain an estimate, expressed as a percentage, of the shuttle bus's vehicle miles travelled within Disadvantaged Communities during the 5-year in-service period. Operation Plans with less than 50% of the total vehicle miles traveled (VMT) within Disadvantaged Communities will be considered on a case-by-case basis and may require revisions.

6 Operating Requirements

The vehicles must be continuously registered and domiciled in New York State and must continue to be Domiciled in the same county as they are originally registered for the entire five-year period. The Vehicle Purchaser or Vehicle Operator must register the vehicle receiving Program incentives with the New York State Department of Motor Vehicles and the vehicle registration must list **both a mailing address and a Domicile address in the State.**

Vehicle Purchasers and Vehicle Operators must make all Program-related records available for review by NYSERDA during the first five years after the purchase or lease of a vehicle that receives support through the Program.

By participating in the Program, Vehicle Purchasers and Vehicle Operators allow NYSERDA to share the vehicle model and the address where the vehicle will be Domiciled with the electric distribution utility serving that location, for the purpose of informing the utilities' system planning efforts.

Vehicles receiving Program incentives must satisfy minimum annual usage requirements during the entire five-year in-service period (see Table 10). Any vehicle sold or retired before the required minimum five years, as stipulated in this Implementation Manual, and agreed to in the Vehicle Purchaser Participation Agreement, is subject to prorated reimbursement penalty of 1.667% per month.

For example, a vehicle sold or retired after 30 months would have 30 months remaining. The early sale penalty would be 50% (i.e., 30/60) of the original incentive amount and must be reimbursed to NYSERDA within 60 days of the resale or retirement of the vehicle. Subject to NYSERDA approval, vehicles rendered inoperable by damage may be exempt from the five (5) year minimum maintenance, usage, or resale requirements.

6.1 Special Operating Requirements for Vehicle Leases

The Vehicle Purchaser must ensure that if the vehicle is part of a lease or rental agreement, the term of the agreement shall be no less than five years and the Vehicle Operator must agree to operate the vehicle in New York State for at least 80% of the time during the term of the lease agreement.

Table 6. Minimum Usage Requirements for New EVs

Vehicle Type	Annual In-Service and Term Requirements for New Vehicle
Truck	≥5,000 miles annually on average during the five-year in-service period
Transit Bus	≥15,000 miles annually on average during the five-year in-service period
Paratransit Bus	≥7,000 miles annually on average during the five-year in-service period

The Vehicle Purchaser must operate the vehicle or stipulate through a lease agreement that the Vehicle Operator operate the vehicle, in New York State for at least 80% of the vehicle's operating time and for a minimum of five years from the date of Voucher Redemption unless the vehicle is an emergency response vehicle, which may be deployed out of state, or the vehicle address identified in the Voucher Application is in a county that borders another state or Canada. In these two cases only, the vehicle may operate outside of New York State for up to 25% of its mileage only if a written request is included with the Voucher Application and approved by the VHC and NYSERDA.

7 Reporting Requirements

A Vehicle Usage Report is a brief, online form with several basic questions about vehicle operation experience, including information on vehicle mileage, fuel use, maintenance issues, and vehicle location. Vehicle Purchasers, or in the case of leased vehicles, Vehicle Operators are required to submit Vehicle Usage Reports for NYSERDA to document the use, vehicle emissions changes due to installation of aftermarket equipment, and operating costs of NYTVIP-funded vehicles. Individual Fleets' information will not be made available to the public and is intended solely for NYSERDA's tracking of Program analytics.

Failure to submit a Vehicle Usage Report in a timely manner is a violation of the terms and conditions of the NYSERDA funding and may result in the Vehicle Purchaser being subject to a prorated reimbursement penalty based on the number of missed reports as well as a ban from any further participation in the Program.

For leased vehicles, the Vehicle Purchaser (leasing or rental company) is responsible for ensuring the Vehicle Operator submits the required Vehicle Usage Reports. This requirement should be included in the lease agreement with the Vehicle Operator.

Data will be collected at least twice a year. NYSERDA will need at a minimum:

- Vehicle Identification Numbers (VINs) for your purchased vehicles.
- Vehicle odometer readings, or equipment hours of use, the amount of electricity used for battery charging (kWh) for the applicable reporting period, and for cumulative reporting. NYSERDA may obtain this data from network providers if applicable.
- Drive cycle, range, and location information.
- Fuel consumption and mileage information.
- Maintenance and repair information including associated costs, vehicle down time due to maintenance and repair needs shall be included. Vehicle Purchasers/Vehicle Operators must also provide maintenance and repair reporting for similar diesel-powered vehicles in enough detail to allow a technical evaluation.
- Infrastructure or capital investment information (e.g., in fueling facilities).
- An example survey can be downloaded from the [Program Website](#);
- Vehicle Purchasers/Vehicle Operators must collect feedback from drivers/users of EVs funded under the Program each reporting period. Feedback will include any issues, positive or negative, on the EV driving experience.

NYSERDA may require the use of Telematics of NYSERDA's choice and at NYSERDA's expense. Vehicle Purchasers will be given access to the data for their vehicles with the required Telematics installed. Full details can be found in the document entitled "Vehicle Purchaser Participation Agreement" and the "Vehicle Operator Addendum."

NYSERDA reserves the right to recapture incentive funds (i.e., recovering a prorated share of the applicable voucher amount) from the Vehicle Purchaser and/or bar the Vehicle Purchaser from receiving future vouchers if it does not provide timely and accurate Vehicle Usage Reports for the required three-year term, as specified in the Vehicle Purchaser Participation Agreement.

8 Voucher Application and Redemption

8.1 Voucher Application Process

The Contractor works with the Vehicle Purchaser to complete the Voucher Application process.

In the [NYSERDA Portal](#), the Contractor will complete the following:

1. Create a new application and enter contact information for the Contractor and Fleet.
2. Enter Domicile address(es).
3. Select Eligible Vehicle(s) to be sold.
4. Enter details of new vehicle(s) and vehicle(s) to be Scrapped (a [Vehicle Purchaser Checklist](#) that contains all the required information can be found on the [Program Website](#)).
5. Agree to Program terms and conditions.
6. Upload the following documents:
 - Signed [Vehicle Purchaser Participation Agreement](#)
 - Signed [Vehicle Operator Addendum](#) (if the Vehicle Purchaser leases the vehicle to a different entity)
 - Buyer's Order for new vehicle(s) (vehicle purchase order/lease agreement) (may be provisional)
 - Copy of current vehicle registration for vehicle to be Scrapped (if applicable)
 - Fleet certification letter.
 - Photos of vehicle to be Scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches)
 - Front of vehicle to be Scrapped, clearly showing license plate and entire height/width of vehicle.
 - Photo of engine tag for engine to be Scrapped, clearly showing engine family and engine serial number and engine model year⁸.
 - Photo of side of vehicle to be Scrapped, clearly showing the official DOT federal ID number and any unique identifiers such as a truck or bus #
 - Intact chassis (side photo that shows the whole length of the truck)
7. Submit the application.

8.2 NYSERDA Voucher Application Review

NYSERDA and the VHC review the Voucher Application for eligibility, accuracy, and completeness. If the Voucher Application is incomplete or inaccurate, NYSERDA or the VHC will notify the Contractor that they must resubmit the required information. The Voucher Application will be rejected if the information is not corrected within thirty (30) business days after the initial request. A rejected Voucher Application can be resubmitted.

8.2.1 NYSERDA Voucher Approval Notification

Once NYSERDA determines the Voucher Application is complete and meets all applicable requirements, the VHC will notify the Contractor of voucher approval and reserve funds for the vehicle purchase. The voucher is valid for eighteen (18) months, after which it may be canceled. Prior to the expiration, the Contractor may request an extension of the voucher for up to six (6) months (refer to Section 8.4.2) by emailing a request to the VHC at NYTVIP@energycenter.org that verifies the expected delivery date of the vehicle, such as a Line Setting Ticket from the vehicle manufacturer that shows the expected completion date.

8.3 Vehicle Scrappage

Scrappage must be performed by a Participating Vehicle Dismantler; a current list of [Participating Vehicle Dismantlers](#) is available on the Program Website. Eligible Vehicle dismantler facilities may be located across New York State and adjacent states to facilitate convenient Scrappage.

Scrappage is a required step in the Voucher Redemption process for all projects. Failure to comply with all Scrappage requirements will result in non-payment of the voucher incentive to the Contractor. Contractors and Vehicle Purchasers should be aware that NYSERDA is not responsible for any voucher incentive payments to the Contractor if the Scrappage requirements are not met. Vehicle Purchasers should also be aware that, depending on the contractual agreement between the Contractor and the Vehicle Purchaser, failure to meet the Scrappage requirements may result in the Vehicle Purchaser being required to pay the full (unreduced) price of the new vehicle to the Contractor.

Vehicle Purchasers must arrange for vehicle Scrappage and provide the Contractor with the date of scheduled Scrappage before they can take delivery of the new vehicle(s). Scrappage can occur any time after approval of a Voucher Application but it must be completed with all documentation submitted to the Contractor within twenty-one (21) days of taking delivery of the new vehicle(s).

Scrappage must comply with the Scrappage requirements as outlined in the following section.

8.3.1 Scrappage Definition

A vehicle is considered Scrapped when rendered inoperable and available for recycle, by cutting a three-inch hole in the engine block and disabling the chassis by cutting the vehicle's frame rails completely in half.

- To destroy the engine: Cut or drill a minimum three-inch hole through the engine block.
- To destroy the chassis: Cut or shear both the chassis rails between the two axles. The vehicle must arrive at the Scrappage location with the chassis attached, the engine intact, and in drivable condition and its registration still valid. Do not remove anything from the truck except for personal items. The Program cannot process vouchers until the Scrappage is satisfactorily completed and photographed. Failure to comply with Scrappage requirements will result in the rejection of a Voucher Redemption submission.

It is recommended that a Fleet representative attend the Scrappage event to ensure it is properly documented and that all required before and after photos are taken to avoid delay or denial of voucher payment.

8.3.2 Scrappage Requirements

The following documents are required to be submitted to a Voucher Redemption as part of the Scrappage process:

1. The completed Scrappage Checklist (to be completed by Contractor, Vehicle Purchaser, and Participating Vehicle Dismantler)
2. "Before" photos of the vehicle being Scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches)
 - Side of the vehicle: A photo of the entire side of the vehicle, showing any unique identifiers like a truck or bus number.
 - Vehicle engine: A photo of the vehicle engine from a few feet back that includes some of the truck or bus color.
 - VIN plate: A photo of the Vehicle Identification Number (VIN) plate that clearly shows the entire VIN and GVWR.
 - Engine tag: A photo of the engine tag that includes the engine serial number, engine family, and engine model year. The engine serial number and engine model year must be legible.
3. "After" photos of the vehicle being Scrapped (minimum image size of 1200 x 1800 pixels or 4 x 6 inches)
 - Engine destruction: A photo of the three-inch hole cut or drilled into the engine block with the NYTVIP-supplier sticker from a few feet back that shows some of the color of the truck or bus.
 - Area of the cut chassis: A close-up photo of the cut chassis that shows some of the color of the truck or bus.

- Destroyed vehicle: A photo of the Scrapped vehicle from the side, showing the cab, and the front and rear axle. The DOT number or unique truck/bus number should be visible in the photo, and the chassis should be clearly cut in half, with the hood open to display the destroyed engine. The engine hole does not need to be visible in this distance photo. During the Scrapage process, before any crushing or shredding, vehicles must be decommissioned, meaning having potential environmental contaminants including, but not limited to, fluids, batteries, refrigerants, mercury switches and airbags, drained and/or properly removed, consistent with New York State Department of Environmental Conservation regulations for Vehicle Dismantling Facilities under Subchapter B, Subpart 361-7: [https://govt.westlaw.com/nycrr/Browse/Home/NewYork/NewYorkCodesRulesandRegulations?guid=116cb4c30d90711e7b1b4dba4afbaec92&originationContext=documenttoc&transitionType=Default&contextData=\(sc.Default\)&bhcp=1](https://govt.westlaw.com/nycrr/Browse/Home/NewYork/NewYorkCodesRulesandRegulations?guid=116cb4c30d90711e7b1b4dba4afbaec92&originationContext=documenttoc&transitionType=Default&contextData=(sc.Default)&bhcp=1) and Article 27, Title 23: <https://www.dec.ny.gov/chemical/28650.html>.

Additional guidance for vehicle Scrapage may be found on the [Program Website](#). Both the approved Participating Vehicle Dismantler and the vehicle owner will be required to sign and submit certifications that the Scrapage was performed in accordance with Program rules.

The Vehicle Purchaser shall acknowledge that they may be responsible to the Contractor for the value of the voucher if they fail to complete the Scrapage requirement within a 21-day period after vehicle delivery and acceptance by the Vehicle Purchaser or Vehicle Operator.

8.4 Voucher Redemption Process

Once a vehicle has been purchased and delivered, the remaining unpaid balance (if any) has been paid by the Vehicle Purchaser, a corresponding vehicle Scrapage has been completed (if required), and the purchased vehicle is delivered, without open recalls and ready to be placed into service, the Contractor may complete the Voucher Redemption process by returning to the [NYSERDA Portal](#) and submitting additional required documentation. It is strongly encouraged that the Contractor ensures the Scrapage of the old vehicle is completed prior to initiating the Voucher Redemption process.

8.4.1 Voucher Redemption Process Steps

1. To redeem a voucher, the Contractor returns to the [NYSERDA Portal](#) and selects the appropriate project for the voucher it wishes to redeem. A voucher may include multiple vehicle purchases for the same Fleet, each vehicle will constitute its own “milestone” within the redemption process for a given voucher.
2. Contractors may request payment for some or all vehicles that are part of a single voucher at a time. Contractors should review the [Vehicle Purchaser Checklist](#)—available through the [NYSERDA Portal](#) and the Program Website—of required information and documentation they will need to submit for Voucher Redemption and collect any required information and documentation from the Vehicle Purchaser they do not already have.
3. The Contractor supplies additional vehicle information:

- New vehicle license plate number
 - New vehicle VIN
 - New vehicle engine/motor serial number
 - Date new vehicle was placed in service
 - Date of old vehicle Scrappage
4. The Contractor is required to upload the following documentation:
- Signed [Vehicle Operator Addendum](#) (if the Vehicle Purchaser leases the vehicle to a different entity).
 - Signed final invoice/vehicle purchase order – must show the final purchase price less the voucher amount and any other additional incentive funding.
 - Financial documentation (proof of payment) – copy of check, money/wire transfer, or financial arrangements identifying the lien holder and indicating terms of lease.
 - NYS Department of Motor Vehicles Registration or Vehicle Registration / Title Application (form MV-82) for new vehicle.
 - Factory Build Sheet, clearly indicating VIN and GVWR.
 - Photos of new vehicle (vehicle from left side showing entire length and DOT federal ID number, engine/motor tag, VIN tag, odometer reading, and front showing plates and full weight/width of vehicle).
 - Copy of NYS vehicle registration for Scrapped vehicle showing active registration at the time of Scrappage.
 - Photos of Scrapped vehicle (VIN tag, engine block with three-inch hole and NYTVIP-supplied sticker, disabled chassis cut in half).
 - Completed NYTVIP [Vehicle Scrappage Certification](#).
 - Additional documentation (refer to section 8.3.2) showing full compliance with the Scrappage process.

Note: *A significant amount of the information required to redeem a voucher will need to be supplied by the Vehicle Purchaser. The Contractor is responsible for obtaining this documentation from the Vehicle Purchaser. If the Contractor cannot provide the documentation required to redeem a voucher, even if such documentation is unavailable through no fault of the Contractor, no payment will be made on the voucher. It is recommended that Contractors consider this obligation when entering purchase contracts with Vehicle Purchaser to ensure their ability to receive this documentation from the Vehicle Purchaser.*

5. NYSERDA and the VHC will review the submitted information for completeness and eligibility. The review includes verifying whether the Vehicle Purchaser and delivered vehicle information match those listed on the voucher. If the Voucher Redemption submission is deemed complete and valid, NYSERDA will approve the submission. NYSERDA will then inform the Contractor of Voucher Redemption approval. If the Voucher Redemption submission is incomplete or inaccurate, NYSERDA will inform the Contractor of incomplete or inaccurate redemption

documentation and the Contractor will have seven calendar days to correct, complete, and resubmit the documents for approval.

If Voucher Redemption is Denied: If a Voucher Redemption submission is denied, NYSERDA or the VHC will respond by email detailing the reasons that disqualify the voucher redemption submission.

Appeals for Voucher Redemption Denials: NYSERDA will consider appeals to the denial of a voucher incentive application on a case-by-case basis and at its sole discretion. To submit an appeal, contact the VHC. NYSERDA is in no way obligated to consider an appeal.

6. Within 30 calendar days of NYSERDA approval of the Voucher Redemption submission, NYSERDA will pay the voucher amount to the Contractor, in accordance with the Prompt Payment Policy (refer to Section 8.5), also described in Exhibit B to the [Contractor Participation Agreement](#).

8.4.2 Voucher Extension

A voucher must be redeemed within eighteen (18) months of the Voucher Approval Date as shown in the email the Contractor receives when the Voucher Application is approved. At any point within that period, a Contractor may request a voucher extension by sending an email, with supporting documentation such as:

- Line Setting Ticket from the vehicle manufacturer that shows the expected completion date, to the VHC.
- Expected date of vehicle delivery.
- A copy of the current registration and DOT inspection report may also be requested to ensure the vehicle to be Scrapped is still in service.

Voucher extensions are available for up to an additional six months (180 days). No more than one extension will be granted per voucher. A voucher that is not extended or redeemed within eighteen (18) months will be deemed expired and canceled. Extensions may be granted solely at NYSERDA's discretion and are not guaranteed to be approved.

If granted, the voucher extension approval the Contractor receives via email from the VHC will contain the voucher's new expiration date, no later than twenty-four (24) months from the date of original voucher approval. The Contractor is responsible for awareness of this date. If a voucher is not redeemed and is canceled, a Contractor may reapply to NYTVIP for the same vehicle with a new Voucher Application if the vehicle has not yet been delivered, subject to the availability of funds.

8.5 Voucher Payment Process

Vouchers will be issued to Contractors via electronic payment. To sign up for electronic payment, Contractors must visit NYSERDA's [Seamless Docs](#) website to complete the form. Per NYSERDA's Prompt Payment Policy, payments to Contractors can be expected within 30 days of Voucher Redemption approval.

A voucher will not be issued if the Vehicle Purchaser returns the vehicle prior to the voucher payment being issued. Contractors must notify the VHC if a vehicle is returned and request the voucher be canceled.

Furthermore, NYSERDA reserves the right to seek reimbursement from the Contractor if the Vehicle Purchaser returns the vehicle to the Contractor within 30 days of voucher payment.

Appendix A. Funding Source Rules

The Program may add additional funds and Eligible Vehicle types over time. The Program is currently funded by the Volkswagen Settlement agreement administered by the DEC. The Program rules have been designed to be consistent with the rules established by this funding source and apply to all projects.

Volkswagen Settlement Funding

The DEC Volkswagen Settlement program intends to remedy the excess air pollution emitted from Volkswagen's diesel cars in New York State as a result of their implementation of "defeat devices" to evade regulations on emissions of oxides of nitrogen (NO_x), a harmful pollutant that leads to smog formation.

Volkswagen Settlement funding can support clean transportation projects that fit within nine eligible mitigation action categories established by Volkswagen Settlement and further defined within New York State's [Clean Transportation NY plan](#); currently the categories being implemented through NYTVIP are Item 1 (Class 8 Local Freight Trucks), Item 2 (Class 4-8 School, Paratransit Buses, and Transit Buses), Item 6 (Class 4-7 Local Freight Trucks), and Item 8 (Port Cargo Handling Equipment).

- Funding can generally be used anywhere in New York State, but vehicle projects must be matched one-for-one with the verified retirement and Scrappage of a diesel engine from 1992 through 2009 and associated vehicle chassis to ensure that NO_x pollution is definitively removed from the transportation system. Scrappage vehicles must have been registered in New York for the previous two years and must satisfy the minimum usage requirements outlined in 9.
- Additional VW funding for diesel truck replacements operating in certain New York City Industrial Business Zones, separate from this Program, has been provided to the New York City Department of Transportation to support the NYC Clean Trucks program.
- No more than 33% of the VW funds provided for NYTVIP truck funding could be spent on non-EV technologies (i.e., PHEV, HEV, CNG, propane). Effective April 1, 2022, NYTVIP no longer provides incentives for PHEV, HEV, CNG, or propane fueled vehicles.

NYSERDA shall allocate voucher amounts from one or both funds based on project features and at its sole discretion; Contractors are not permitted to determine which funding source will apply to a project.

Endnotes

¹ DEC website: <https://www.dec.ny.gov/public/911.html>

² Empire State Development Website: <https://esd.ny.gov/opportunity-zones>

³ Program Website: <https://www.nyserda.ny.gov/All-Programs/Truck-Voucher-Program>

⁴ For more information on the NYC Clean Trucks program, visit <https://www.nycctp.com/>

⁵ In February 2020, \$16.7 million was made available (Round 1) for all the transit agencies listed below to procure electric transit buses. Agencies were required to submit Voucher Applications on or before August 18, 2021, to access Round 1 transit funding.

- Broome County Transit
- Capital District Transportation Authority (CDTA)*
- Central New York Regional Transportation Authority (Centro)
- Chemung County (C Tran)
- The City of Long Beach, Department of Transportation
- Clinton County Public Transit
- Dutchess County Public Transit
- Greater Glens Falls Transit
- Huntington Area Rapid Transit
- Nassau Inter-City Express (NICE)
- Niagara Frontier Transportation Authority (NFTA)*
- Port Authority of New York and New Jersey (PANYNJ)
- Rochester-Genesee Regional Transit Authority (RGRTA)*
- Suffolk County Transportation*
- Tompkins Consolidated Area Transit (TCAT)
- Transport of Rockland
- Ulster County Area Transit (UCAT)
- Westchester County Bee-Line Bus System*

In December 2020, an additional \$16.4 million was released (Round 2) for five transit operators (indicated above by *) to procure electric transit buses; these five agencies must submit Voucher Applications for electric transit buses on or before August 18, 2024, to access Round 2 transit funding. The five Transit Operators (indicated by * above) are also eligible for electric paratransit shuttle bus funding.

⁶ To locate Disadvantage Communities in New York State, visit [nyserda.ny.gov/ny/disadvantaged-communities](https://www.nyserda.ny.gov/ny/disadvantaged-communities).

⁷ To locate Disadvantage Communities in New York State, visit [nyserda.ny.gov/ny/disadvantaged-communities](https://www.nyserda.ny.gov/ny/disadvantaged-communities).

⁸ Voucher Applications must include an engine tag photo but may still be conditionally approved if engine tag is illegible. If engine tag is illegible or missing, Fleet or Contractor must request replacement tags from the engine manufacturer to complete Voucher Redemption.



NYSERDA

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NYSERDA

Public Authority Law Report

October 1, 2023 to March 31, 2024

Section Break

Projects Selected for Funding by Region
Period 10/1/2023 through 3/31/2024

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	Albany	Central Hudson Gas and Electric	7,216
		National Grid	9,607,366
	Columbia	Central Hudson Gas and Electric	13,266
		National Grid	2,549,458
		NYS Electric and Gas	146,046
	Greene	Central Hudson Gas and Electric	22,251
	Rensselaer	National Grid	2,069,192
		NYS Electric and Gas	8,200
	Saratoga	National Grid	4,265,208
		NYS Electric and Gas	1,518,432
	Schenectady	National Grid	511,567
	Warren	National Grid	928,166
	Washington	National Grid	1,289,824
		NYS Electric and Gas	17,719
	Central New York	Cayuga	NYS Electric and Gas
Cortland		National Grid	3,137,977
Madison		National Grid	579,568
		NYS Electric and Gas	49,450
Onondaga		Municipal Utilities	8,303,295
		National Grid	9,504,968
		NYS Electric and Gas	6,000
Oswego		National Grid	6,979,800
Finger Lakes	Genesee	National Grid	4,871,276
	Livingston	National Grid	823,813
		Rochester Gas and Electric	142,630
	Monroe	National Grid	459,985
		Rochester Gas and Electric	12,559,575
	Ontario	NYS Electric and Gas	6,209,352
		Rochester Gas and Electric	188,524
	Seneca	NYS Electric and Gas	3,668,917
	Wayne	NYS Electric and Gas	5,669,649
		Rochester Gas and Electric	554,114
	Wyoming	National Grid	6,000
		NYS Electric and Gas	5,997
	Yates	Municipal Utilities	27,360
NYS Electric and Gas		5,000	
Long Island	Nassau	Long Island Power Authority	599,557
	Suffolk	Long Island Power Authority	635,304
		Municipal Utilities	12,250
Mid-Hudson	Dutchess	Central Hudson Gas and Electric	2,215,128
		NYS Electric and Gas	8,715
	Orange	Central Hudson Gas and Electric	4,556,086
		NYS Electric and Gas	14,345
		Orange and Rockland Utilities	2,947,395

Projects Selected for Funding by Region
 Period 10/1/2023 through 3/31/2024

REDC Region	County	Electric Utility	Total Funded Amount
Mid-Hudson	Putnam	Central Hudson Gas and Electric	21,600
		NYS Electric and Gas	874,906
	Rockland	Orange and Rockland Utilities	316,960
	Sullivan	NYS Electric and Gas	10,988
		Orange and Rockland Utilities	31,216
	Ulster	Central Hudson Gas and Electric	2,583,476
	Westchester	Consolidated Edison	11,929,917
		NYS Electric and Gas	654,414
Mohawk Valley	Fulton	National Grid	938,957
	Herkimer	National Grid	1,428,555
		NYS Electric and Gas	47,360
	Montgomery	National Grid	94,130
	Oneida	National Grid	6,473,737
	Otsego	NYS Electric and Gas	40,000
	Schoharie	National Grid	16,610
New York City	Bronx	Consolidated Edison	11,154,164
	Kings	Consolidated Edison	15,348,248
	New York	Consolidated Edison	24,312,622
		Statewide	214,000
	Queens	Consolidated Edison	8,914,278
	Richmond	Consolidated Edison	1,421,272
North Country	Clinton	NYS Electric and Gas	1,626,970
	Essex	National Grid	119,326
		NYS Electric and Gas	8,975
	Franklin	National Grid	286,250
		NYS Electric and Gas	1,450,967
	Jefferson	National Grid	1,691,743
	Lewis	National Grid	284,585
	St. Lawrence	National Grid	1,675,192
Southern Tier	Broome	NYS Electric and Gas	3,399,517
	Chemung	NYS Electric and Gas	1,879,350
	Chenango	Municipal Utilities	38,343
		NYS Electric and Gas	5,898,191
	Delaware	NYS Electric and Gas	4,014,164
	Schuyler	NYS Electric and Gas	5,036,955
	Steuben	Municipal Utilities	1,805,895
		NYS Electric and Gas	1,930,600
	Tioga	NYS Electric and Gas	885,000
Tompkins	NYS Electric and Gas	3,124,201	
Statewide	STATEWIDE	Statewide	60,000
	Queens	Consolidated Edison	73,500
	STATEWIDE	Statewide	414,626,153
Western New York	Allegany	National Grid	61,910
		NYS Electric and Gas	466,853

Projects Selected for Funding by Region
 Period 10/1/2023 through 3/31/2024

REDC Region	County	Electric Utility	Total Funded Amount
Western New York	Allegany	Rochester Gas and Electric	42,490
	Cattaraugus	Municipal Utilities	55,000
		National Grid	19,194,335
		NYS Electric and Gas	3,817,699
	Chautauqua	Municipal Utilities	221,224
		National Grid	7,130,488
		NYS Electric and Gas	1,808,373
	Erie	Municipal Utilities	37,909
		National Grid	5,799,681
		NYS Electric and Gas	1,508,369
	Niagara	National Grid	251,305
		NYS Electric and Gas	11,673
Grand Total			676,229,904

NYSERDA

Public Authority Law Report

October 1, 2023 to March 31, 2024

Section Break

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	22nd Century Technologies, I..	Albany	National Grid	Intelligent Buildings, TWO # 4 Sr. BA - Sifkat Me..	321,318
	Active Solar Development, LLC	Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	60,743
	Adam C. Boese	Columbia	Central Hudson Gas and Electric	Technical Services, AEAP 1453 - Ronnybrook Fa..	3,500
			NYS Electric and Gas	Technical Services, AEAP 1619 - Hawthore Valley	6,000
		Saratoga	National Grid	Technical Services, AEAP 1591 - Barber Brothers	6,000
		Warren	National Grid	Technical Services, AEAP 1589 - Garden Time	5,380
	ADP, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, ADP Payroll and ..	1,000
	Advanced Energy Group L.L.C.	Albany	National Grid	2024 AEG Sponsorship Renewal	8,333
				>200KW PV, 2024 AEG Sponsorship Renewal	8,333
				Pub Transit & Elect Rail, 2024 AEG Sponsorship ..	8,333
	Allen Power, Inc.	Albany	National Grid	<200KW PV, PON 2112 NY SUN	36,900
	Amazon Capital Servies, Inc.	Albany	National Grid	Consumer Ed and Market Support, Amazon Con..	12,000
	Apex Energy Tek LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	7,912
	Attom Data Solutions, LLC	Albany	National Grid	Eval MCDC Cross Cutting, MF Building Data Ren..	15,000
	Beacon Communities Service..	Rensselaer	National Grid	Tech Assistanc Multifamily LMI, FT14974 - Beac..	9,000
	Bloomberg Finance LP	Albany	National Grid	NY-SUN, '24 Bloomberg Anywhere	24,130
				NY-SUN, Bloomberg Datafeed DPS Staff	27,314
	Bond, Schoeneck & King, PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 6 HR Coun..	25,000
				NYSERDA ADMINISTRATION, TWO 14 - DHR ..	15,000
				NYSERDA ADMINISTRATION, TWO 15 - Antidis..	5,000
	Buro Happold Consulting Engi..	Columbia	NYS Electric and Gas	New Construction- Commercial, Commercial NC..	38,900
	C.T. Male Associates Enginee..	Saratoga	NYS Electric and Gas	SARATOGA TECHNOLOGY & ENERGY PARK, ..	6,800
	C&S Engineers, Inc.	Columbia	National Grid	Technical Services, FT17004 Town of Claverack ..	5,000
		Greene	Central Hudson Gas and Electric	Technical Services, FT17013 The Village of Cats..	5,000
	Carahsoft Technology Corporation	Albany	National Grid	NYSERDA ADMINISTRATION, Salesforce Licen..	1,879,762
				NYSERDA ADMINISTRATION, UiPath Software ..	100,352
				REC:CES REC System Dev Costs, Salesforce Li..	24,282
				Salesforce licenses CLEAResult	16,801
	Carter Ledyard & Milburn LLP	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 7 - Board L..	2,500
	CDATA SOFTWARE, INC.	Albany	National Grid	NYSERDA ADMINISTRATION, DBAmp Enterpri..	12,739
	Centrica Business Solution Se..	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	25,893
	CHA Consulting Inc.	Albany	National Grid	CLEAN TRANSPORTATION, FT14847 - Voorhe..	37,418
				Technical Services, FT17125 Town of Bethlehem..	13,935
	Columbia County	Columbia	National Grid	Clean Energy Communities, CEC410027 - Lawn ..	15,000
	Davies Office Refurbishing, Inc.	Albany	National Grid	Boardroom Tables	1,137
	DCF Energy Group, LLC	Albany	National Grid	<200KW PV, NY-Sun	5,760
				<200KW PV, PON 2112 NY SUN	13,200
	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, KEMP Enterprise..	5,129
	Delta Dental of New York	Albany	National Grid	NYSERDA ADMINISTRATION, Delta Dental Pre..	47,086
				NYSERDA ADMINISTRATION, Delta Dental Pre..	467,000
	DONNELLY & MOORE, Inc	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 1 Web Con..	63,375
	Dorado 2022, LLC	Columbia	National Grid	NY-SUN, NY-Sun ICSA	1,499,040
	Eiger 3970 Consultants Inc.	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	5,000
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,400
	ELP Halfmoon Solar LLC	Saratoga	NYS Electric and Gas	>200KW PV, NY Sun	307,476
				NY Sun	768,690
				NY-SUN, NY Sun	430,466
	Emerson Solar, LLC	Columbia	National Grid	NY Sun	937,500
	Empire Solar Solutions LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	5,576
		Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,000
	Employee Leasing of Greater ..	Albany	National Grid	NYSERDA ADMINISTRATION, TS016_Marketin..	106,080
	Engerists Holdings, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Supplemental Re..	200,000
Energy Catalyst LLC	Rensselaer	National Grid	NYCH: Talent Ppin:CE and OJT, OJT	30,720	
Environment & Energy Publis..	Albany	National Grid	NYSERDA ADMINISTRATION, 2023-24 Subscri..	800	
ePlus inc	Albany	National Grid	NYSERDA ADMINISTRATION, Extreme Network..	9,005	
			NYSERDA ADMINISTRATION, HORIZON AIR H..	9,871	
			NYSERDA ADMINISTRATION, nVidia VDI Licen..	18,315	
			NYSERDA ADMINISTRATION, VMware NSX Lo..	18,072	
Flooring Environment Inc	Albany	National Grid	New Carpet in 17CC Boardroom	5,832	

Projects Selected for Funding by Region
 Period 10/1/2023 through 3/31/2024

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Fort Edward Solar Community Solar I, LLC	Washington	National Grid	>200KW PV, NY Sun	338,148
				NY Sun	845,370
	Friello and Sons Heating and ..	Rensselaer	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	10,080
	Frontier Communications of N..	Albany	National Grid	NYSERDA ADMINISTRATION, Frontier Commu..	8,951
	Fusco Personnel, Inc.	Albany	National Grid	OREC: Technical Support, TS.007 - LSR_Office ..	23,538
				REC4:CES REC4 Tech Support, TS.007 - LSR_...	23,538
				REC:CES REC System Dev Costs, TS.007 - LS...	23,538
	FuzeHub, Inc.	Albany	National Grid	OTHER PROGRAM AREA, 2023 NYS Summit S...	15,000
	Generate C&I Warehouse II, LLC	Saratoga	National Grid	>200KW PV, NY Sun	249,912
				NY Sun	624,780
	Germantown Central School	Columbia	National Grid	CLEAN TRANSPORTATION, FT14959 - German..	28,125
	Guth Deconzo Consulting Eng..	Albany	National Grid	Electric Vehicles - Innovation, FT14699 - North C..	29,145
	Harris Beach PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 5 - Edelwei..	20,000
				SARATOGA TECHNOLOGY & ENERGY PARK, ..	50,000
	Hodgson Russ LLP	Albany	National Grid	OREC: Technical Support, TWO 9 - OSW Litigati..	25,000
				Tech Assistanc Multifamily LMI, TWO 6 - Public ..	50,000
	Holland & Knight LLP	Albany	National Grid	OREC: Technical Support, TWO 3 - IRA Tax Adv..	75,000
				OREC: Technical Support, TWO 5 - ORECRFP2..	25,000
				OREC: Technical Support, TWO 6 - Amendment ..	25,000
				OREC: Technical Support, TWO 7 - OREC Agre..	25,000
				OREC: Technical Support, TWO 9 - ORECRFP2..	150,000
				OREC: Technical Support, TWO 10 - Transmissi..	50,000
	ZEC:CES ZEC System Dev Costs, TWO 6 - Ame..	5,000			
	ICE Data, LP	Albany	National Grid	ENERGY ANALYSIS, WebICE Renewal 2024-20..	26,224
	Illume Advising LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Litigation Support	50,000
	It's About Time Events LLC	Albany	National Grid	NYSERDA ADMINISTRATION, LGBTQ+ Inclusiv..	84,500
	Kasselman Solar LLC	Albany	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	7,216
			National Grid	<200KW PV, PON 2112 NY SUN	7,872
		Columbia	National Grid	<200KW PV, PON 2112 NY SUN	7,900
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,290
		Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	6,419
		Rensselaer	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,200
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	32,432
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
		Washington	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,719
	Kelliher Samets LTD	Albany	National Grid	LMI Marketing, TWO 19 - NY Energy Advisor	471,622
				NENY:CHGE Energy Advisor, TWO 19 - NY Ene..	11,981
				NENY:Con Ed Energy Advisor, TWO 19 - NY En..	151,754
				NENY:KEDLI Energy Advisor, TWO 19 - NY Ene..	33,426
				NENY:KEDNY Energy Advisor, TWO 19 - NY En..	39,616
				NENY:LIPA Energy Advisor, TWO 19 - NY Energ..	96,533
				NENY:NFG Energy Advisor, TWO 19 - NY Energ..	15,974
				NENY:NIMO Energy Advisor, TWO 19 - NY Ener..	50,758
				NENY:NYSEG Energy Advisor, TWO 19 - NY En..	23,961
				NENY:O&R Energy Advisor, TWO 19 - NY Energ..	7,987
				NENY:RGE Energy Advisor, TWO 19 - NY Energ..	19,968
	TWO 7 - NYGB	50,000			
Kool-Temp Heating & Cooling	Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,832	
KPMG LLP	Albany	National Grid	NEW YORK GREEN BANK, NYSERDA Audit Se..	10,161	
			NYSERDA ADMINISTRATION, NYSERDA Audit ..	2,591	
L&S Energy Services, Inc.	Saratoga	National Grid	Technical Services, AEAP 1633 - Pitney Meadows	6,000	
LaBella Associates, P.C.	Albany	National Grid	NYSERDA ADMINISTRATION, Bldg Condition A..	23,200	
Lake George School District	Warren	National Grid	CLEAN TRANSPORTATION, FT15030 - Lake G..	35,278	
Leonard Bus Sales, Inc.	Saratoga	National Grid	NYSBIP - S.GLENS FALLS SD	1,323,000	
			NYSBIP - Shenendehowa SD	882,000	
	Warren	National Grid	NYSBIP - Queensbury SD	661,500	
Level 3 Communications, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Century Link_Ext..	15,377	
Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, Insurance SL/LT/..	30,000	
Livingston Energy Group	Schenectady	National Grid	OJT	10,000	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Long Island Power Solutions	Albany	National Grid	<200KW PV, PON 2112 NY SUN	4,380
	Low-Level Radioactive Waste ..	Albany	National Grid	NYSERDA ADMINISTRATION, 2024 LLW Foru..	5,000
	Lytho Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Lythos 3 year su..	166,929
	Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 4301 Insura..	4,688
	Matthews Buses Incorporated	Schenectady	National Grid	CLEAN TRANSPORTATION, NYTVIP - Niskayu..	400,000
	Meltwater News US Inc.	Albany	National Grid	Innovation, Innovation	11,000
	Microsoft Corporation	Albany	National Grid	NYSERDA ADMINISTRATION, Microsoft Unified..	85,407
	Milton Solar LLC	Saratoga	National Grid	>200KW PV, NY Sun	212,503
				NY Sun	541,883
				NY-SUN, NY Sun	308,130
	Mintzer Mauch PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 5 - Agency ..	5,000
	MRB Group Engineer, Arch & ..	Rensselaer	National Grid	OTHER PROGRAM AREA, Castleton-on-Hudso..	150,000
	National Association of Corpor..	Albany	National Grid	NYSERDA ADMINISTRATION, 2023-24 Member..	14,298
	New York Bus Sales LLC	Albany	National Grid	NYSBIP - North Colonie CSD	342,000
		Warren	National Grid	NYSBIP - Lake George SD	220,500
	New York State Solar Farm Inc.	Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	12,800
	NYS Office for Technology	Albany	National Grid	NYSERDA ADMINISTRATION, O365 Data10Mb ..	3,213
				NYSERDA ADMINISTRATION, Office 365: 4/1/2..	100,000
	NYS Technology Enterprise C..	Albany	National Grid	NYSERDA ADMINISTRATION, NEIS Access Au..	3,203
	Oracle America, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Oracle Peoplesof..	54,308
	OwnBackup Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Own backup for ..	58,644
	PlugPV, LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	15,120
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	22,032
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	15,960
		Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	40,824
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	5,508
	Promantek Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Trackstar License	42,196
	Provantage, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Microsoft Surfac..	29,280
	Raj Technologies Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Private Cloud Ho..	19,135
	Randstad North America, Inc.	Albany	National Grid	Clean Energy Communities, Payroll Services	16,838
				NYSERDA ADMINISTRATION, Intern - DG	16,380
	Research Foundation of SUNY	Albany	National Grid	Workforce Industry Partnership, PON 3715 (R14)..	356,091
	Ridgeline Heating and Cooling..	Albany	National Grid	NYCH: Talent Ppin:CE and OJT, OJT	23,040
	Rosenblum Property Services,..	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	62,608
	Salary.com, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, HR Data Subscri..	21,300
	Service 1st Financial, LLC	Albany	National Grid	GJGNY REVOLVING LOAN FUND, PON 4378 L..	500,000
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Adobe Acrobat li..	118,765
				NYSERDA ADMINISTRATION, Embarcadero ER..	12,499
	Software People, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TWO #2 .Net Sof..	195,000
	SolarCommunities Inc.	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	26,000
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	65,856
	Suite Advice LLC	Albany	National Grid	NYSERDA ADMINISTRATION, HR Coaching/Ad..	182,400
	SV ST CROIX ONE LLC	Rensselaer	National Grid	>200KW PV, NY Sun	374,400
				NY Sun	936,000
				NY-SUN, NY Sun	524,160
	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO # 24 Serve..	61,845
				NYSERDA ADMINISTRATION, TWO #21 Salesf..	203,840
				NYSERDA ADMINISTRATION, TWO #30 Tablea..	81,093
				OREC: System Development, TWO #6 Salesforc..	99,200
				REC2:CES REC2 Tech Support, TWO 1 Salesfor..	47,785
				REC4:CES REC4 Syst Development, TWO #6 S..	20,000
				REC4:CES REC4 Tech Support, TWO 1 Salesfor..	47,785
				REC:CES REC System Dev Costs, TWO 1 Sales..	95,570
				REC:CES REC System Dev Costs, TWO #6 Sale..	99,200
				REC:CES REC System Dev Costs, LSR Proposa..	25,000
The Bonadio Group	Albany	National Grid	OREC: Technical Support, LSR Proposal Eval & ..	25,000	
			REC:CES REC System Dev Costs, LSR Proposa..	25,000	
The Cadmus Group, LLC	Albany	National Grid	ENERGY ANALYSIS, TWO #10 Climate Faciilitati..	300,000	
Throughline Group, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, 2024 Staff Media..	8,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	ThunderCat Technology LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Cisco Umbrella e..	47,066
				NYSERDA ADMINISTRATION, Seamlessdocs Li..	72,205
				NYSERDA ADMINISTRATION, Thundercat - Net..	150,000
	Town of Ancram	Columbia	Central Hudson Gas and Electric	Clean Energy Communities, CEC400050 - Lawn ..	9,766
	Town of Austerlitz, New York	Columbia	NYS Electric and Gas	Clean Energy Communities, CEC400162 - Energ..	6,600
	Town of Fort Edward Union Free School Di	Washington	National Grid	CLEAN TRANSPORTATION, CGSI-74_E - Fort ..	10,752
				K-12 SCHOOLS, CGSI-74_E - Fort Edward UFSD	95,554
	Town of Hillsdale	Columbia	NYS Electric and Gas	Clean Energy Communities, Communities & Loc..	10,000
	Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TWO #8 Tablea..	51,090
				NYSERDA ADMINISTRATION, TWO Sr. Softwar..	193,440
	Verizon Wireless	Albany	National Grid	NYSERDA ADMINISTRATION, Verizon Wireless..	1,312
				NYSERDA ADMINISTRATION, Verizon Wireless..	101,286
	W. B. Mason Co. Inc	Albany	National Grid	NYSERDA ADMINISTRATION, W. B. Mason Offi..	4,000
Zones LLC	Albany	National Grid	NYSERDA ADMINISTRATION, SMARTnet - Mai..	21,806	
ZOOMINFO TECHNOLOGIE..	Albany	National Grid	NYSERDA ADMINISTRATION, Ringlead Renew..	17,916	
Central New York	Abundant Solar Power Inc.	Onondaga	Municipal Utilities	>200KW PV, NY Sun	4,204,199
				NY Sun	2,627,628
				NY-SUN, NY Sun	1,471,468
	Adam C. Boese	Cayuga	NYS Electric and Gas	Technical Services, AEAP 1653 - Martin and Ray..	5,330
				Madison	National Grid
		Onondaga	NYS Electric and Gas	Technical Services, AEAP 1600 - Tuscarora Dairy	5,840
			NYS Electric and Gas	Technical Services, AEAP 1548 - Bridgedale Far..	5,240
	Alternative Power Solutions of..	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	8,600
	AMP US HoldCo Inc.	Oswego	National Grid	>200KW PV, NY Sun	1,500,000
				NY Sun	937,500
				NY-SUN, NY Sun	525,000
	Antares Group, Inc.	Oswego	National Grid	CLEAN TRANSPORTATION, CGSI-78E - Sandy..	31,450
				K-12 SCHOOLS, CGSI-78E - Sandy Creek SD	75,961
	AR NY CDG 001 LLC	Cayuga	NYS Electric and Gas	>200KW PV, NY Sun	350,298
				NY Sun	875,745
	Arcadis of New York, Inc.	Cayuga	NYS Electric and Gas	Technical Services, On-farm Pyrolysis of Dairy	8,500
	Breathe Easy of CNY Inc.	Oswego	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	Buffalo Solar Solutions Inc	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	15,520
	C&S Engineers, Inc.	Onondaga	National Grid	FT17073 - North Ready - FTC	15,582
	Catalyze Holdings, LLC	Onondaga	National Grid	>200KW PV, NY Sun	318,709
				NY-SUN, NY Sun	446,191
				Tech Assistanc Multifamily LMI, FT14973 - Cente..	12,500
	CHA Consulting Inc.	Onondaga	National Grid	Technical Services, FT 15006 - Byrne Dairy - FTC	8,850
	Cortlandville PV, LLC	Cortland	National Grid	>200KW PV, NY Sun	368,768
				NY Sun	921,917
				NY-SUN, NY Sun	516,273
	CP Tully Five LLC	Onondaga	National Grid	>200KW PV, NY Sun	151,164
				NY Sun	377,910
				NY-SUN, NY Sun	211,629
	CP Tully Four LLC	Onondaga	National Grid	>200KW PV, NY Sun	375,001
				NY Sun	937,500
				NY-SUN, NY Sun	524,999
	Cycle Retrotech LLC	Onondaga	National Grid	LMI Multifamily Demos, Syracuse Housing Autho..	100,000
	Davis Hill Development, LLC	Cortland	National Grid	>200KW PV, NY Sun	771,036
				NY Sun	481,898
	Energy Savers Inc	Onondaga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	21,760
OJT				20,017	
Halcyon, Inc.	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	11,624	
Independent Energy Efficienc..	Onondaga	National Grid	Cat C - Demonstrations of Net	500,000	
John Betlem Heating & Coolin..	Onondaga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	11,520	
LaBella Associates, P.C.	Madison	NYS Electric and Gas	CLEAN TRANSPORTATION, CGSI-71E - Morris..	11,952	
			K-12 SCHOOLS, CGSI-71E - Morrisville-Eaton	32,258	
Lamico Enterprises, LLC	Onondaga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	6,080	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	Lamico Enterprises, LLC	Onondaga	National Grid	OJT	5,760
	Leonard Bus Sales, Inc.	Onondaga	National Grid	NYSBIP - Baldwinsville SD	220,500
	Lodestar Energy	Madison	National Grid	>200KW PV, NY Sun	232,200
				NY-SUN, NY Sun	325,080
	Lysander III PV, LLC	Onondaga	National Grid	>200KW PV, NY Sun	177,086
				NY Sun	442,715
				NY-SUN, NY Sun	247,920
	M/E Engineering, P.C.	Onondaga	National Grid	Tenant Energy Management, HeatRecC2_MEEn..	59,648
		Oswego	National Grid	New Construction- Commercial, New Construction	7,600
	New Leaf Energy, Inc.	Onondaga	National Grid	>200KW PV, NY Sun	521,755
				NY Sun	1,304,387
				NY-SUN, NY Sun	294,066
	New York Bus Sales LLC	Onondaga	National Grid	NYSBIP - North Syracuse SD	220,500
				NYSBIP - Onondaga SD	441,000
	Next Generation Solar, LLC	Oswego	National Grid	<200KW PV, NY-Sun	15,200
	Oswego City School District	Oswego	National Grid	K-12 SCHOOLS, CGSI-62 - Oswego CSD(9)	71,300
	Oswego PV, LLC	Oswego	National Grid	>200KW PV, NY Sun	295,757
				NY Sun	739,393
				NY-SUN, NY Sun	414,060
	Oswego South PV I, LLC	Oswego	National Grid	>200KW PV, NY Sun	324,117
				NY Sun	810,290
				NY-SUN, NY Sun	453,762
	Paradise Energy Solutions, LLC	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	61,520
		Cortland	National Grid	<200KW PV, PON 2112 NY SUN	78,085
	Pivot Solar NY 12 LLC	Oswego	National Grid	>200KW PV, NY Sun	217,152
				NY Sun	542,880
	PlugPV, LLC	Madison	National Grid	<200KW PV, PON 2112 NY SUN	13,608
	Port Byron Central School Dis..	Cayuga	NYS Electric and Gas	Electric Vehicles - Innovation, FT15033 - Port Byr..	24,375
	Ramboll Americas Engineerin..	Onondaga	National Grid	New Construction- Commercial, Commercial NC..	49,966
	Ramboll Americas Engineerin..	Onondaga	National Grid	OTHER PROGRAM AREA, JT Toolkit Deliverabl..	15,000
	Rural Generation & Wind (Ro..	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	6,379
	Sustainable Energy Developm..	Cayuga	NYS Electric and Gas	<200KW PV, NY-Sun	57,600
Syracuse Housing Authority	Onondaga	National Grid	Tech Assistanc Multifamily LMI, FT14955 - SHA -..	10,000	
Taitem Engineering, P.C.	Onondaga	National Grid	Buildings of Excellence, RFP3928 Taitem TWO #1	97,500	
TJA-NY-Van Buren Solar Farm, LLC	Onondaga	National Grid	>200KW PV, NY Sun	974,376	
			NY-SUN, NY Sun	341,032	
Village of Fayetteville	Onondaga	National Grid	Clean Energy Communities, CEC200198 - CEC ..	6,600	
Finger Lakes	3rd ROC Solar LLC	Monroe	Rochester Gas and Electric	<200KW PV, NY-Sun	235,759
	733 Portland Properties	Monroe	Rochester Gas and Electric	Low Carbon Tech Demos, MF Low Carbon Path..	133,650
	AB Capital Assets, LLC	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	33,626
				OJT	22,106
	Adam C. Boese	Ontario	Rochester Gas and Electric	Technical Services, AEAP1346 - Andy & Margaret	3,500
	Alternative Carbon Energy Sy..	Monroe	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	18,720
	C.J. Brown Energy, P.C.	Genesee	National Grid	K-12 SCHOOLS, FT17080 Elba CSD (1)_E	14,497
		Livingston	National Grid	K-12 SCHOOLS, FT15129 - York CSD (2)_E - F..	19,933
		Ontario	NYS Electric and Gas	K-12 SCHOOLS, FT14933 - Marcus Whitman CS..	28,765
		Wayne	Rochester Gas and Electric	Technical Services, AEAP 1608 - Wayne County ..	2,997
		Wyoming	NYS Electric and Gas	Technical Services, AEAP 1595 - Keems Dairy F..	5,997
	Catalyze Holdings, LLC	Ontario	NYS Electric and Gas	>200KW PV, NY Sun	372,762
		Wayne	NYS Electric and Gas	>200KW PV, NY Sun	302,562
	CDG Huron Solar 2, LLC	Wayne	Rochester Gas and Electric	>200KW PV, NY Sun	145,673
				NY Sun	356,647
	CHA Consulting Inc.	Monroe	Rochester Gas and Electric	FT17023 - Thermo Fisher - IND	13,400
				Technical Services, FT14919 - MKS Instruments-..	16,800
				Technical Services, FT14962 - Thermo Fisher - F..	12,250
	City of Geneva	Ontario	NYS Electric and Gas	Clean Energy Communities, Communities & Loc..	10,000
	Climate Solutions Accelerator ..	Monroe	National Grid	Talent Pipeline:CE and OJT, PON 4772 R3 (Paul..	40,000
	CPL Architects, Engineers, Landscape	Livingston	Rochester Gas and Electric	Electric Vehicles - Innovation, P12GC-101 Keshe..	30,593
		Monroe	National Grid	Electric Vehicles - Innovation, FT14767 - Wheatl..	26,265

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	Crossfield Home Energy Solut..	Monroe	Rochester Gas and Electric	OJT	9,600
	Dailey Electric Inc	Yates	Municipal Utilities	NYCH: Talent Ppin:CE and OJT, OJT	27,360
	Delaware River Solar, LLC	Ontario	Rochester Gas and Electric	>200KW PV, NY Sun	164,268
	DG New York CS, LLC	Monroe	National Grid	>200KW PV, NY-Sun	375,000
	Dimension Energy LLC	Ontario	NYS Electric and Gas	>200KW PV, NY Sun	649,728
				NY Sun	1,624,320
				NY-SUN, NY Sun	909,619
	FFP NY LeRoy Project1, LLC	Genesee	National Grid	>200KW PV, NY Sun	360,127
				NY Sun	900,315
				NY-SUN, NY Sun	504,176
	FFP NY LeRoy Project2, LLC	Genesee	National Grid	>200KW PV, NY Sun	139,698
				NY Sun	349,245
				NY-SUN, NY Sun	195,577
	Finger Lakes Comfort, Inc	Wayne	NYS Electric and Gas	NYCH: Talent Ppin:CE and OJT, OJT	32,880
				Talent Pipeline:CE and OJT, OJT	14,880
	FINGER LAKES POWER SYSTEMS LLC	Ontario	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	5,000
		Yates	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
	Fusion Energy Services LLC	Ontario	NYS Electric and Gas	<200KW PV, NY-Sun	7,500
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	7,500
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	7,500
	Gananda Central School Distri..	Wayne	Rochester Gas and Electric	Electric Vehicles - Innovation, FT14821 - Ganand..	48,797
	Halcyon Inc.	Ontario	NYS Electric and Gas	NYCH: Talent Ppin:CE and OJT, OJT	104,880
				OJT	45,360
	Halcyon, Inc.	Ontario	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	8,256
	Hawn Heating & Energy Servi..	Monroe	Rochester Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	25,200
	Housing Visions Unlimited, Inc.	Wayne	NYS Electric and Gas	New Construction Housing, NCP Housing 2022	404,000
	Jaycox Creek Solar 2, LLC	Livingston	National Grid	>200KW PV, NY Sun	229,680
				NY Sun	574,200
	John Betlem Heating & Coolin..	Monroe	Rochester Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	23,040
	Lake Country Geothermal, Inc.	Wayne	NYS Electric and Gas	NYCH: Talent Ppin:CE and OJT, OJT	30,000
	Leatherleaf Solar, LLC	Genesee	National Grid	>200KW PV, NY Sun	325,416
				NY-SUN, NY Sun	455,582
	Lodi II PV, LLC	Seneca	NYS Electric and Gas	>200KW PV, NY Sun	368,767
				NY Sun	921,918
				NY-SUN, NY Sun	516,274
	Lodi PV, LLC	Seneca	NYS Electric and Gas	>200KW PV, NY Sun	368,767
				NY Sun	921,918
				NY-SUN, NY Sun	516,274
	M/E Engineering, P.C.	Wyoming	National Grid	Technical Services, AEAP 1638 - CSH Wyoming	6,000
	Matthews Buses Incorporated	Monroe	Rochester Gas and Electric	NYSBIP - Gates-Chili SD	2,580,500
	MicroEra Power, Inc.	Monroe	Rochester Gas and Electric	OJT	11,520
	New Leaf Energy, Inc.	Genesee	National Grid	>200KW PV, NY Sun	331,969
				NY Sun	829,920
				NY-SUN, NY Sun	464,755
	NSF Arcadia Site 1, LLC	Wayne	NYS Electric and Gas	>200KW PV, NY Sun	375,000
				NY Sun	937,500
NY-SUN, NY Sun				525,000	
NSF Arcadia Site 2, LLC	Wayne	NYS Electric and Gas	>200KW PV, NY Sun	247,104	
			NY Sun	617,761	
			NY-SUN, NY Sun	345,945	
NY CDG Ontario 4 LLC	Ontario	NYS Electric and Gas	>200KW PV, NY Sun	310,596	
			NY Sun	776,489	
			NY-SUN, NY Sun	434,834	
RED-Rochester LLC	Monroe	Rochester Gas and Electric	CI Carbon Challenge, Accelerated Efficiency & EI..	5,000,000	
REDAPTIVE, INC.	Monroe	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	185,625	
RESunance, LLC.	Wayne	NYS Electric and Gas	>200KW PV, NY Sun	354,394	
			NY Sun	885,982	
			NY-SUN, NY Sun	496,150	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Finger Lakes	Ryan Plumbing Heating Air Conditioning	Monroe	Rochester Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	23,040	
				OJT	7,360	
	State University of New York ..	Livingston	Rochester Gas and Electric	New Construction- Commercial, Commercial Ne..	112,037	
	Sunlight Associates LLC	Ontario	NYS Electric and Gas	Buildings of Excellence, Buildings of Excellence ..	700,000	
				New Construction Housing, NCP Housing	222,000	
	Sustainable Energy Developments Inc.	Monroe	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	5,670	
		Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000	
	Town of Brighton	Monroe	Rochester Gas and Electric	Clean Energy Communities, Brighton Town Park ..	10,000	
	University of Rochester	Monroe	Rochester Gas and Electric	CI Carbon Challenge, Accelerated Efficiency & EI..	3,875,471	
	Wendel Energy Services, LLC	Monroe	Rochester Gas and Electric	K-12 SCHOOLS, CGSI-104E - Rochester CSD	344,270	
		Seneca	NYS Electric and Gas	Technical Services, FT15061 - Seneca WWTP - ..	55,000	
	Wendel Energy Services, LLC	Wayne	NYS Electric and Gas	CGSI-94 - Clyde-Savannah CSD	39,760	
West Henrietta Housing Devel..				Monroe	Rochester Gas and Electric	Tech Assistanc Multifamily LMI, FT14972 - Butter..
Wise Home Energy, LLC	Monroe	Rochester Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	13,440		
			OJT	26,480		
Long Island	Bonded Energy Solutions Corp.	Nassau	Long Island Power Authority	NYCH: Talent Ppin:CE and OJT, OJT	12,240	
				OJT	53,760	
	Cold Spring Harbor Laboratory	Nassau	Long Island Power Authority	REV CAMPUS CHALLENGE, OsEM117-C - Col..	182,777	
	Empower CES, LLC	Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	62,500	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	6,720	
	Empower CES, LLC	Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	68,750	
				ENERGY STORAGE, PON 2112 NY SUN	17,100	
	GreenLogic, LLC	Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	6,250	
	Harvest Power, LLC	Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	6,250	
	Hytech Solar Inc	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	5,346	
				ENERGY STORAGE, PON 2112 NY SUN	25,000	
	Hytech Solar Inc	Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	37,500	
				ENERGY STORAGE, PON 2112 NY SUN	16,488	
	Leviathan Solar Inc	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	12,888	
	Long Island Power Solutions	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	23,750	
				ENERGY STORAGE, PON 2112 NY SUN	7,693	
	Meltek Inc.	Suffolk	Long Island Power Authority	OJT	34,380	
	NYSS LLC	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	45,068	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	67,139	
	SuNation Solar Systems, Inc.	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	35,800	
				ENERGY STORAGE, PON 2112 NY SUN	3,696	
		SuNation Solar Systems, Inc.	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	141,472
					COMMUNITY SOLAR, PON 2112 NY SUN	5,400
	SuNation Solar Systems, Inc.	Suffolk	Long Island Power Authority	ENERGY STORAGE, NY-Sun	42,900	
	SunPower Capital, LLC	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	6,786	
	Sunrise Energy Corp.	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	6,396	
	SunRun, Inc	Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	2,875	
	Surf Clean Energy Inc	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	25,566	
				ENERGY STORAGE, PON 2112 NY SUN	5,778	
	Surf Clean Energy Inc	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	5,568	
				TITANIUM LINX CONSULTING, INC.	Nassau	Long Island Power Authority
	TITANIUM LINX CONSULTING, INC.	Nassau	Long Island Power Authority	PON 4772 R3 (Steeve Coupeau)	40,000	
				TRC Energy Services	Suffolk	Long Island Power Authority
Village of Greenport	Suffolk	Municipal Utilities	Cat B - Renewables and Innovat	12,250		
Wendel Energy Services, LLC	Suffolk	Long Island Power Authority	CLEAN TRANSPORTATION, FT17011 - Half Hol..	37,275		
64 Solar LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	16,640		
247 North Avenue LLC	Westchester	Consolidated Edison	New Construction Housing, NCP Housing 2022	500,000		
770 Electric Corp.	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	76,540		
AASPEN HVAC	Putnam	NYS Electric and Gas	NYCH: Talent Ppin:CE and OJT, OJT	37,440		
Adam C. Boese	Westchester	Consolidated Edison	K-12 SCHOOLS, FT14858 - Bronxville UFSD (1)E	26,820		
Advanced Radiant Design, Inc.	Ulster	Central Hudson Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	8,640		
All-State Air Control Sales & S..	Westchester	Consolidated Edison	NYCH: Talent Ppin:CE and OJT, OJT	18,000		
Alturus Solar, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	1,299,316		
			NY Sun	812,073		
			NY-SUN, NY Sun	454,761		
Mid-Hudson	64 Solar LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	16,640	
				247 North Avenue LLC	Westchester	Consolidated Edison
	770 Electric Corp.	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	76,540	
	AASPEN HVAC	Putnam	NYS Electric and Gas	NYCH: Talent Ppin:CE and OJT, OJT	37,440	
	Adam C. Boese	Westchester	Consolidated Edison	K-12 SCHOOLS, FT14858 - Bronxville UFSD (1)E	26,820	
	Advanced Radiant Design, Inc.	Ulster	Central Hudson Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	8,640	
	All-State Air Control Sales & S..	Westchester	Consolidated Edison	NYCH: Talent Ppin:CE and OJT, OJT	18,000	
	Alturus Solar, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	1,299,316	
				NY Sun	812,073	
				NY-SUN, NY Sun	454,761	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Mid-Hudson	AMERESCO, Inc.	Putnam	NYS Electric and Gas	>200KW PV, NY Sun	457,250		
				NY Sun	285,781		
		Westchester	Consolidated Edison	NYS Electric and Gas	<200KW PV, NY-Sun	2,307,454	
					<200KW PV, NY-Sun	546,110	
	Bard College	Dutchess	Central Hudson Gas and Electric	New Construction- Commercial, Commercial NC..	239,320		
	Bedford 2030	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 L..	40,000		
	Bettergy Corporation	Westchester	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 R3 Alex ..	40,000		
	Centrica Business Solution Se..	Westchester	Consolidated Edison	>200KW PV, NY-Sun	785,655		
	County Heat & AC, LLC	Putnam	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	17,935		
	Dandelion Energy Inc	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	76,080		
	Distributed Solar Development, LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	479,700		
				NY-SUN, NY-Sun	95,940		
	Dual Fuel Corp	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	18,000		
	Ecogy New York IV LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	38,622		
	Eiger 3970 Consultants Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, NY-Sun	262,500		
				Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	512
	Empire Solar Solutions LLC	Putnam	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,000		
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,064	
		Sullivan	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,000		
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000		
	Energy Management Solution..	Rockland	Orange and Rockland Utilities	NYCH: Talent Ppln:CE and OJT, OJT	14,400		
	Environet Systems, LLC	Rockland	Orange and Rockland Utilities	OJT	15,000		
	EVERGREEN ENERGY	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	80,753		
	Fishtech Energy Partners LLC	Westchester	Consolidated Edison	Technical Services, FT15147 - Milton Harbor - 720	30,000		
	Florenton River LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	42,195		
	G&S Operations LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	1,273,390		
				>200KW PV, PON 2112 NY SUN	84,456		
				NY-Sun	309,420		
				NY-SUN, NY-Sun	434,380		
	Goldman Copeland Associate..	Westchester	Consolidated Edison	Technical Services, FT14961 - IBM Research- F..	48,380		
	Gree Mechanical Yonkers LLC	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	21,600		
	Green Hybrid Energy Solutions Inc.	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	10,856		
				>200KW PV, PON 2112 NY SUN	13,095		
	Greenwood Lake Union Free ..	Orange	Orange and Rockland Utilities	CLEAN TRANSPORTATION, FT14982 - Greenw..	30,000		
	Group-S LLC	Westchester	Consolidated Edison	Technical Services, FT14639 - 765 N Broadway -..	24,673		
	Harris Energy Solutions LLC	Sullivan	NYS Electric and Gas	Technical Services, AEAP 1665 - Maplewood Far..	5,988		
		Ulster	Central Hudson Gas and Electric	Technical Services, AEAP 1659 - Flowering Sun ..	6,000		
	Healthy Home Energy & Consulting, Inc.	Putnam	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	10,560		
				OJT	7,040		
	Indent Builders Inc	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	124,281		
		Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	17,334		
	Infinity Solar Systems, LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	61,500		
	JBA Consulting Engineers, Inc.	Westchester	Consolidated Edison	CLEAN TRANSPORTATION, CGSI-82CT - Tarry..	41,000		
	Johnson Controls, Inc. (Syrac..	Westchester	NYS Electric and Gas	K-12 SCHOOLS, FT15132 - Putnam Northern W..	108,304		
	Kamtech Restoration Corp	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	9,280		
		Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	13,080		
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,760		
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	30,176		
	Kasselmann Solar LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	7,216		
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	8,748		
		Sullivan	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	13,448		
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	6,232		
	L&S Energy Services, Inc.	Orange	Orange and Rockland Utilities	Technical Services, AEAP 1650 - Wessels Farm	6,000		
	Lodestar Energy	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	189,327		
				NY-SUN, NY Sun	261,451		
	Long Island Power Solutions	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	13,020		
				Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000
				>200KW PV, PON 2112 NY SUN	12,960		

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Mid-Hudson	Malcarne Contracting, Inc.	Dutchess	Central Hudson Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	56,880
	Maybrook Solar 1 LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	250,205
				NY Sun	625,511
				NY-SUN, NY Sun	350,286
	Maybrook Solar 2 LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	250,205
				NY Sun	625,511
				NY-SUN, NY Sun	350,286
	Mountain View Ave LLC	Ulster	Central Hudson Gas and Electric	New Construction Housing, NCP Housing 2022	312,500
	New York Engineers, P.C.	Putnam	NYS Electric and Gas	K-12 SCHOOLS, CGSI-61 - Brewster CSD (1)_E	45,076
	New York State Solar Farm Inc.	Dutchess	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,715
		Orange	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	14,345
		Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	52,800
	Novel Approaches Solar Appli..	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	9,000
	OLA Consulting Engineers, P...	Westchester	Consolidated Edison	Technical Services, FT14998 - Diamond Properti..	10,250
	Old Myers NY LLC	Dutchess	Central Hudson Gas and Electric	>200KW PV, NY Sun	132,990
				NY Sun	332,475
				NY-SUN, NY Sun	186,186
	Onsite Energy, Inc.	Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,000
	OPAL ENERGY GROUP LLC	Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	80,640
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	45,864
	Pearl River Campus, LLC	Rockland	Orange and Rockland Utilities	On-Site Energy Manager, OsEM114-I - Pearl Riv..	214,000
	Plains Road NY LLC	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	162,247
				NY Sun	405,616
				NY-SUN, NY Sun	227,145
	PlugPV, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	53,525
	PowerFlex Solar, LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	782,704
	Powerlutions, LLC	Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	13,760
	Pulvers Corner Solar 1, LLC	Dutchess	Central Hudson Gas and Electric	>200KW PV, NY Sun	350,006
	Pulvers Corner Solar 2, LLC	Dutchess	Central Hudson Gas and Electric	>200KW PV, NY Sun	350,006
	RBW Studio LLC	Ulster	Central Hudson Gas and Electric	OJT	15,360
				Talent Pipeline:CE and OJT, OJT	13,424
	Regional Economic Communit..	Orange	Central Hudson Gas and Electric	New Construction Housing, NCP Housing 2022	22,000
	Rivertown Solar LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	132,800
	SOLANTA CORP	Sullivan	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	12,768
	SolarCommunities Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	61,184
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	198,540
	Sun Source Technologies	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	148,512
				NY Sun	371,280
				NY-SUN, NY Sun	207,917
		Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun	375,000
				NY Sun	937,500
				NY-SUN, NY Sun	525,000
				>200KW PV, NY-Sun	64,130
	SuNation Solar Systems, Inc.	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	32,400
	SunPower Capital, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, NY-Sun	9,280
		Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	19,200
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	9,600
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	10,720
	SUNRISE ELECTRICAL SERVICES	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	75,120
		Westchester	Consolidated Edison	<200KW PV, NY-Sun	26,000
	Sunrise Solar Solutions, LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	200,000
				>200KW PV, NY-Sun	200,000
				>200KW PV, PON 2112 NY SUN	374,568
Supreme Green Energy Inc	Orange	Orange and Rockland Utilities	OJT	6,400	
Sustainable Hudson Valley, In..	Dutchess	Central Hudson Gas and Electric	Talent Pipeline:CE and OJT, PON 4772 R3	40,000	
Sustainable Westchester	Westchester	Consolidated Edison	OJT	21,139	
Thermodynamix LLC	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	9,600	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	TotalEnergies Distributed Gen..	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	2,156,280
	Tri State Solar Services	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	7,128
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	24,624
	Umbr Solar Fund, LLC	Orange	Orange and Rockland Utilities	<200KW PV, NY-Sun	153,765
	Urban Energy Inc	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	808
	Venture Home Solar LLC	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000
	Village of Cold Spring	Putnam	Central Hudson Gas and Electric	Clean Energy Communities, EV Chargers	16,600
	Village of Tuckahoe	Westchester	Consolidated Edison	Clean Energy Communities, Communities & Loc..	10,000
	YSG Solar Installers LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	678,040
NY-SUN, NY-Sun				169,510	
Mohawk Valley	Above Grid Rome Solar LLC	Oneida	National Grid	>200KW PV, NY Sun	327,360
				NY-SUN, NY Sun	458,304
	Adam C. Boese	Oneida	National Grid	Technical Services, AEAP 1654 - Dennis Brady ..	6,000
	Albany Solar Solutions L.L.C.	Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	7,040
	Arinna Ventures, LLC	Fulton	National Grid	>200KW PV, NY Sun	146,984
				NY Sun	374,810
				NY-SUN, NY Sun	213,127
	City of Utica	Oneida	National Grid	NYCH: District, PON 4614 - Round 9	500,000
	Community Power Group, LLC	Oneida	National Grid	>200KW PV, NY Sun	375,001
				NY Sun	937,500
				NY-SUN, NY Sun	524,999
	Country Suburban Heating & ..	Oneida	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	55,697
	CPL Architects, Engineers, La..	Fulton	National Grid	Electric Vehicles - Innovation, P12GC-103CT -W..	22,524
	Empire Solar Solutions LLC	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	5,000
	Encompass Energy LLC	Montgomery	National Grid	New Construction- Commercial, Commercial NC..	24,855
	Finlo-BR II LLC	Oneida	National Grid	>200KW PV, NY Sun	637,065
				NY Sun	1,592,662
				NY-SUN, NY Sun	891,891
	Harvest Power, LLC	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	181,511
	Hudson River Renewables	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	8,960
	Leonard Bus Sales, Inc.	Herkimer	National Grid	NYSBIP - Dolgeville SD	514,500
	Little Falls PV, LLC	Herkimer	National Grid	>200KW PV, NY Sun	183,897
				NY Sun	459,743
				NY-SUN, NY Sun	257,456
	Otsego County Conservation ..	Otsego	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 ..	40,000
	Paradise Energy Solutions, LLC	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	131,726
		Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	9,570
	PlugPV, LLC	Herkimer	National Grid	<200KW PV, PON 2112 NY SUN	12,960
		Oneida	National Grid	<200KW PV, PON 2112 NY SUN	12,312
	PURE Cannabis, Inc.	Oneida	National Grid	New Construction- Commercial, Commercial Ne..	23,220
	The Top Gun Group, LLC	Herkimer	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	14,080
				OJT	33,280
	TRC Energy Services	Montgomery	National Grid	Technical Services, AEAP 1560 - Adirondock Ma..	3,000
Wendel Energy Services, LLC	Montgomery	National Grid	CLEAN TRANSPORTATION, CGSI-77CT - Cana..	52,315	
New York City	40 West 67th Street Corp.	New York	Consolidated Edison	Technical Services, FT14950 R. Realty 40 West ..	10,000
	100 Flatbush Developer, LLC	Kings	Consolidated Edison	New Construction- Commercial, Commercial NC..	624,000
	110-118 Owners Corp	New York	Consolidated Edison	Technical Services, FT15082 - AKAM Associates	6,900
	440 E. 62nd Street Owners C..	New York	Consolidated Edison	Technical Services, FT15101 - The Park Sutton	13,500
	601 West End Tenants Corp	New York	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	108,000
	770 Electric Corp.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	81,792
				>200KW PV, NY-Sun	136,320
				>200KW PV, PON 2112 NY SUN	53,280
		Kings	Consolidated Edison	<200KW PV, NY-Sun	29,088
				>200KW PV, NY-Sun	48,480
		New York	Consolidated Edison	<200KW PV, NY-Sun	27,000
				>200KW PV, NY-Sun	45,000
	>200KW PV, PON 2112 NY SUN	42,720			
1704 Seddon Realty LLC	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14804-1704 S..	15,113	
Accelerate Wind LLC	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	10,240	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Accord Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	329,152	
				>200KW PV, NY-Sun	1,129,079	
				>200KW PV, PON 2112 NY SUN	37,140	
				NY-SUN, NY-Sun	184,680	
		Kings	Consolidated Edison	<200KW PV, NY-Sun	1,255,708	
				>200KW PV, NY-Sun	1,921,513	
				NY-SUN, NY-Sun	399,816	
				OJT	17,280	
		Queens	Consolidated Edison	<200KW PV, NY-Sun	5,184	
				<200KW PV, PON 2112 NY SUN	11,664	
				>200KW PV, NY-Sun	12,702	
				>200KW PV, PON 2112 NY SUN	500,263	
	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,832		
	Adam C. Boese	Bronx	Consolidated Edison	Technical Services, FT14797 - 4525 & 4555 - FTC	14,805	
		New York	Consolidated Edison	Technical Services, FT14806 - Ludlow Street - F..	25,710	
		Queens	Consolidated Edison	Technical Services, FT17103 Sapphire Center fo..	14,400	
	Agarabi Engineering, PLLC	New York	Consolidated Edison	OJT	15,230	
	AKF-engineers	New York	Consolidated Edison	Technical Services, FT14800 - Mount Sinai Adva..	42,400	
				Technical Services, FT14817 - Vornado Realty - ..	30,000	
				Technical Services, FT14874 - NYU Langone Ort..	58,937	
				Technical Services, FT15077 - 300 East 93 - FTC	69,450	
				Tenant Energy Management, HeatRecC2_AKF_..	49,500	
	Queens	Consolidated Edison	Technical Services, FT14752 - Mount Sinai Quee..	290,936		
	AltPOWER, Inc.	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	28,975	
	Amergy Solar Inc.	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	6,468	
>200KW PV, PON 2112 NY SUN				15,015		
AMS Construction Corp	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,544		
Archimaera Architecture PC	New York	Consolidated Edison	<200KW PV, NY-Sun	101,664		
			>200KW PV, NY-Sun	169,440		
Archimaera Architecture PC	New York	Consolidated Edison	Buildings of Excellence, BoE Rnd. 3 DTL Cont.	150,000		
ASB Allegiance Investments L..	New York	Consolidated Edison	Technical Services, FT15105 - 625 Broadway Ve..	16,880		
Association for Energy Affordability, In	Bronx	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	444,600		
			Tech Assistanc Multifamily LMI, FT14996 - HPH..	11,050		
			Tech Assistanc Multifamily LMI, FT15013 - Hunts..	10,000		
			Tech Assistanc Multifamily LMI, FT15014 - Hunts..	10,000		
			Tech Assistanc Multifamily LMI, FT15017 - Hunts..	8,000		
			Tech Assistanc Multifamily LMI, FT15018 - Hunts..	8,000		
			Tech Assistanc Multifamily LMI, FT15019 - Hunts..	8,000		
			Tech Assistanc Multifamily LMI, FT15020 - Hunts..	8,000		
			Tech Assistanc Multifamily LMI, FT15059	6,800		
			Tech Assistanc Multifamily LMI, FT15069 - 1220 ..	9,500		
			Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14909 - Bright..	17,224
			New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14911 - Echo ..	12,788
					Tech Assistanc Multifamily LMI, FT14914 - 2183-..	12,023
					Tech Assistanc Multifamily LMI, FT14947 -Palac..	9,975
Tech Assistanc Multifamily LMI, FT15024 - West..	25,811					
Association of Energy Engine..	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT15058 - 737 H..	8,000		
Bernstein Management Corp	New York	Consolidated Edison	Technical Services, FT14678 - Bernstein RealEst..	5,225		
			Technical Services, FT14679 - Bernstein RealEst..	5,225		
Best Energy Power	Bronx	Consolidated Edison	<200KW PV, NY-Sun	258		
			>200KW PV, NY-Sun	27,099		
			NY-SUN, NY-Sun	5,265		
			>200KW PV, NY-Sun	62,775		
	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	71,370		
			NY-SUN, NY-Sun	12,555		
			>200KW PV, NY-Sun	67,230		
	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	16,380		
			NY-SUN, NY-Sun	13,446		
			>200KW PV, NY-Sun	155,115		
Queens	Consolidated Edison	>200KW PV, NY-Sun				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Best Energy Power	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	326,900		
				NY-SUN, NY-Sun	31,023		
	Bliss Solar, LLC	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	122,310		
				Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	66,960
		Queens	Consolidated Edison	>200KW PV, NY-Sun	190,960		
				>200KW PV, PON 2112 NY SUN	268,990		
	NY-SUN, NY-Sun	47,740					
	BREIT Operating Partnership ..	New York	Consolidated Edison	NYCH: Technical Assistance, FT15000 - Beam Li..	54,675		
	Bright Power, Inc.	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14667 - 1168 ..	7,650		
				Tech Assistanc Multifamily LMI, FT14791 -SEBC..	6,950		
				Tech Assistanc Multifamily LMI, FT14792 -SEBC..	7,050		
				Tech Assistanc Multifamily LMI, FT14814 - Acaci..	8,150		
				Tech Assistanc Multifamily LMI, FT14859-SEBC..	8,150		
				Tech Assistanc Multifamily LMI, FT14860 -SEBC..	8,750		
				Tech Assistanc Multifamily LMI, FT14861- SEBC..	8,600		
				Tech Assistanc Multifamily LMI, FT14928 - OUB ..	11,550		
				Tech Assistanc Multifamily LMI, FT15184 Diego ..	12,481		
				Tech Assistanc Multifamily LMI, FT17041 Grote ..	27,000		
				Tech Assistanc Multifamily LMI, FT17043 - 1011 ..	24,000		
				Technical Services, FT14926 - Robert E. Hill	12,000		
				Technical Services, FT15091 - Related Retail Hub	12,000		
				Technical Services, FT15100 - Knolls Cooperative	27,000		
				Technical Services, FT17058 ACACIA Network - ..	7,050		
				Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14924 - Colon..	19,500
						Tech Assistanc Multifamily LMI, FT14975 - 212 S..	19,500
						Tech Assistanc Multifamily LMI, FT15029 - The H..	7,850
						Tech Assistanc Multifamily LMI, FT15073 - 4112 ..	8,500
						Tech Assistanc Multifamily LMI, FT15074 - 1215 ..	8,850
						Tech Assistanc Multifamily LMI, FT15076 - 415 B..	9,400
						Tech Assistanc Multifamily LMI, FT15083 - 918 K..	7,200
						Tech Assistanc Multifamily LMI, FT15085 - 41 1 -..	8,300
						Tech Assistanc Multifamily LMI, FT15106 - Moha..	16,500
						Tech Assistanc Multifamily LMI, FT15144 - Catho..	6,500
						Tech Assistanc Multifamily LMI, FT15166 Riverw..	16,500
						Tech Assistanc Multifamily LMI, FT17092 Cumbe..	12,600
						Tech Assistanc Multifamily LMI, FT17093 Catholi..	19,500
						Technical Services, FT14826 - 71 Ocean Parkway	13,500
						Technical Services, FT14917 - 345 Montgomery ..	14,250
						Technical Services, FT14922 - 7259-7261 Shore	16,500
						Technical Services, FT14927 - DSJ - 657 E 26	13,500
						Technical Services, FT14976-Avalon 100 Willoug..	45,000
	Technical Services, FT15005 - NBM - 80 Winthrop	15,000					
	Technical Services, FT15009 - Argo - 160 Henry	10,000					
	Technical Services, FT15011 - Charlton Tenants	10,500					
	Technical Services, FT15048 - New Bedford Man..	12,000					
	Technical Services, FT15078 - 99 commercial - F..	12,000					
	Technical Services, FT15142 Argo - 115 Willow	10,000					
Technical Services, FT15143 - Clermont Armory ..	16,500						
Technical Services, FT15160 - Acadia Realty - 6..	12,000						
Technical Services, FT15183 Colonial Park Coop..	10,000						
Technical Services, FT15194 Bay Terrace Sectio..	21,000						
Technical Services, FT17084 Arlington Owners - ..	14,000						
New York	Consolidated Edison	NYCH: Technical Assistance, FT15127 - Allied - ..	36,000				
		Tech Assistanc Multifamily LMI, FT14703 - 223-2..	10,000				
		Tech Assistanc Multifamily LMI, FT15016 - Fred ..	21,000				
		Tech Assistanc Multifamily LMI, FT15107 - The T..	12,500				
		Tech Assistanc Multifamily LMI, FT15118 - Relat..	33,000				
		Tech Assistanc Multifamily LMI, FT17062 HAB Cl..	18,000				
		Technical Services, FT14653 - 139 East 94 - FTC	12,000				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Bright Power, Inc.	New York	Consolidated Edison	Technical Services, FT14716 - 120 Greenwich - ..	16,500		
				Technical Services, FT14805 - 530 Park Ave - F..	20,250		
				Technical Services, FT14854 - Orsid Realty	19,500		
				Technical Services, FT14867 - 24535 Owners Co..	15,000		
				Technical Services, FT14907 - RM - 400 East 84	22,500		
				Technical Services, FT14921 - 55 Hudson - FTC	15,000		
				Technical Services, FT14946 - 444 Owners -444 ..	10,000		
				Technical Services, FT14948 -93 Worth Street C..	22,500		
				Technical Services, FT14956 - AKAM - 263 9	18,000		
				Technical Services, FT14963 - AKAM - 124 East ..	15,000		
				Technical Services, FT14990 - Hoffman - 145 E ..	18,000		
				Technical Services, FT14992 - 320 West 30	10,000		
				Technical Services, FT15008 - Argo Corp. - FTC	21,000		
				Technical Services, FT15010 - Orsid Realty - 250..	12,750		
				Technical Services, FT15015 - Argo Corp - 304 W	10,000		
				Technical Services, FT15022 - Gramercy 29 APT..	12,000		
				Technical Services, FT15028 - 761-779 Seventh ..	37,500		
				Technical Services, FT15045 - Solstice Residenti..	10,000		
				Technical Services, FT15050 - Matthew Adam Pr..	21,000		
				Technical Services, FT15051 - 380 Riverside Te..	24,000		
				Technical Services, FT15053 - Related Compani..	40,500		
				Technical Services, FT15057 - 445 Lafayette - F..	24,000		
				Technical Services, FT15066 - 450 West 17 - FTC	39,750		
				Technical Services, FT15068-245 W 104 Street ..	19,500		
				Technical Services, FT15075 - New Bedford Man..	10,000		
				Technical Services, FT15093 - Solstice Residenti..	22,500		
				Technical Services, FT15103 - Akam - 112 West ..	12,000		
				Technical Services, FT15123 - Akam - 205 E 59	21,000		
				Technical Services, FT15124 - 562 Realty CO - 5..	14,000		
				Technical Services, FT15135 - Plymouth - 257 W..	12,750		
				Technical Services, FT15137 Akam - 30 Crosby	13,500		
				Technical Services, FT15138 - 300 West 53rd Co..	18,000		
				Technical Services, FT15139 - Related - 1 Union ..	26,250		
				Technical Services, FT15140 Akam - 130 Bradhu..	21,000		
				Technical Services, FT15141 - One Lincoln Plaza	40,500		
				Technical Services, FT15164 230 Apartments Co..	18,750		
				Technical Services, FT15165 Blue Woods Mana..	10,000		
				Technical Services, FT15169 Weber Realty - 414..	10,000		
				Technical Services, FT15185 100 Park Terrace ..	14,000		
				Technical Services, FT17029 140 E 83 St Tenants	7,000		
				Technical Services, FT17035 Murray Hill East Su..	10,500		
				Technical Services, FT17052 - Audubon Realty	11,750		
				Queens	Consolidated Edison	Tech Assistanc Multifamily LMI, FT15043 - QFC ..	27,000
				Tech Assistanc Multifamily LMI, FT15084 - 105-2..		7,350	
				Technical Services, FT14707 Washington Plaza -..		24,000	
				Technical Services, FT14991 - Bonafide Estates		11,750	
				Technical Services, FT15056 - New York Real E..		18,000	
Technical Services, FT15136 - Beverly House - 84	21,000						
Technical Services, FT15186 Elbern Apartment - ..	12,600						
Technical Services, FT17101 Beverly Apartment ..	9,000						
Broadwall Management Corp.	New York	Consolidated Edison	Technical Services, OsEM75-C -Broadwall Mana..	45,870			
Brooklyn Solar Partners LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	21,600			
Brooklyn SolarWorks LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	54,320			
	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	92,780			
	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,206			
	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	83,341			
Burns Engineering, PC	Queens	Consolidated Edison	Tenant Energy Management, HeatRecC2_Burns..	78,094			
Buro Happold Consulting Engi..	New York	Consolidated Edison	Technical Services, FT14894 - ARE - East River	322,156			
Cameron Engineering & Asso..	Bronx	Consolidated Edison	Technical Services, FT15032 - Sweet Sams Baki..	20,000			

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	CEC Stuyvesant Cove, Inc.	New York	Consolidated Edison	NY-SUN, HPD Technical Assistance	573,260
	Centers for Care LLC	Bronx	Consolidated Edison	Technical Services, OsEM107-C Centers Busine..	209,000
	CHA Consulting Inc.	New York	Consolidated Edison	Technical Services, FT14960 - Mesa Realty - 15 ..	7,543
	Cobble Hill School Condomini..	Kings	Consolidated Edison	Technical Services, FT14878 - Cobble Hill - 501	12,926
	Code Green Solutions, Inc.	New York	Consolidated Edison	Technical Services, FT14983 - L&L Holding Co	41,000
				Technical Services, FT17027 Trinity Hudson Hol..	29,600
				Technical Services, FT17032 - Trinity Hudson	29,600
				Technical Services, FT17050 Trinity Hudson Hol..	29,600
				Technical Services, FT17077 183 Madison Owne..	36,200
	Commercial Cleaning NY Sunshine, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Cleaning 1359 S..	13,310
				NYSERDA ADMINISTRATION, Janitorial Cleanin..	83,160
	Comrie Enterprises, LLC	Bronx	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 R3 Evely..	40,000
	Control Solutions Group, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, 1359 Bldg Sys S..	11,670
	Curtis + Ginsberg Architects L..	New York	Consolidated Edison	Buildings of Excellence, BoE Rnd. 3 DTL Cont.	150,000
	Cutone & Company Consultan..	New York	Consolidated Edison	Technical Services, OsEM124-C - Columbia REIT	200,000
	Cycle Architecture PLLC	Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 (..	40,000
	Daniel Rice Engineering, D.P.C.	Bronx	Consolidated Edison	Technical Services, FT14916 - 800 Owners - FTC	15,000
		Kings	Consolidated Edison	Technical Services, FT17048 Pratt Institute - 200	220,000
	Discover Green Renewable Energy LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	26,400
				>200KW PV, NY-Sun	44,000
	Dream Team Associates LLC	New York	Consolidated Edison	Technical Services, FT14855 - Tishman Hotel	6,500
	DSM Engineering Assoc, P.C.	New York	Consolidated Edison	Technical Services, FT14918 - 444 East 75th Str..	30,731
				Technical Services, FT15041 - Memorial Sloan	23,950
	Ecogy Solar LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	329,184
				NY-SUN, NY-Sun	82,296
	Ecosystem Energy Services U..	New York	Consolidated Edison	Tenant Energy Management, HeatRec C1_Ecos..	11,104
	Edison Energy, LLC	Kings	Consolidated Edison	Technical Services, FT14952 - OBH Brookdale	500,000
				Technical Services, FT14953 - OBH Interfaith	200,000
				Technical Services, FT14954 - OBH Kingsbrook	300,000
		New York	Consolidated Edison	Technical Services, FT14979 - Verizon - 215 West	84,531
				Technical Services, FT14981 - Verizon - 227 East	72,933
				Technical Services, FT17074 Mount Sinai Health..	300,000
				Technical Services, FT14935 - Manhattan College	125,407
		Bronx	Consolidated Edison	Technical Services, FT14940 - Calvary Hospital	90,000
				Technical Services, FT15002 - Benenson Capital	13,900
				Technical Services, OSEM116-C - Calvary Hospi..	200,000
	Technical Services, FT14757 - United States Ar..			27,500	
	Kings		Consolidated Edison	Technical Services, FT15095 - Pacific Heights	10,000
				Technical Services, OsEM123 - C - Interfaith Med	200,000
				Technical Services, OsEM127-C - Brookdale Hos..	200,000
	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14877 - River..	9,975	
			Tech Assistanc Multifamily LMI, FT14994 - Clinto..	21,900	
			Technical Services, FT14958 - Barnard College	17,540	
			Technical Services, FT15027 - 205 West End Co..	24,375	
			Technical Services, FT17075 International House..	30,275	
			Technical Services, FT17117 NYU Langone Hos..	60,000	
			CGSI-880 - NYC DOE 19,24,25,30	569,063	
	Technical Services, FT17088 10 Holder Place Ap..	15,840			
	Emes Solar	Bronx	Consolidated Edison	>200KW PV, NY-Sun	709,686
				>200KW PV, PON 2112 NY SUN	1,393,206
NY-SUN, NY-Sun				76,095	
Kings		Consolidated Edison	<200KW PV, NY-Sun	51,798	
			>200KW PV, NY-Sun	155,394	
New York		Consolidated Edison	>200KW PV, PON 2112 NY SUN	204,670	
Queens		Consolidated Edison	>200KW PV, PON 2112 NY SUN	76,095	
Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	13,448		
Empire State Realty OP, LP	New York	Consolidated Edison	Tenant Energy Management, HeatRec C2_Empir..	80,000	
Empower CES, LLC	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	14,112	
Empower Equity Inc	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 (Fellow)	40,000	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Energy EDC Corp.	New York	Consolidated Edison	OJT	18,000		
	Energy Technology Savings, Inc.	New York	Consolidated Edison	Workforce Industry Partnership, Operating Energ..	346,150		
		Queens	Consolidated Edison	Workforce Industry Partnership, PON 5357	211,400		
	Enica Engineering, PLLC	New York	Consolidated Edison	Technical Services, FT14875 - Weill Cornell Med	63,096		
	Environet Systems, LLC	Bronx	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	12,538		
	Ethergroup LLC	New York	Consolidated Edison	OJT	12,320		
	F&D Partners	New York	Consolidated Edison	OJT	11,552		
	Ficazzola Consulting, LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	7,275		
	Fishtech Energy Partners LLC	Kings	Consolidated Edison	Tenant Energy Management, HeatRec C2_Fisht..	74,281		
				Workforce Industry Partnership, RFR WFDT PO..	261,488		
		New York	Consolidated Edison	Technical Services, FT15039 - RXR Realty - 61 ..	11,470		
				Technical Services, OsEM128-C - ESRT	200,000		
				Tenant Energy Management, HeatRec C1_Fisht..	39,427		
				Tenant Energy Management, HeatRec C1_Fisht..	39,427		
				Tenant Energy Management, HeatRec C1_Fisht..	39,427		
				Workforce Industry Partnership, Moinian WFDT ..	341,448		
				Workforce Industry Partnership, Moinian WFDT ..	298,292		
				Flamingos Clean Energy, LLC	Bronx	Consolidated Edison	>200KW PV, NY-Sun
	Florenton River LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	16,800		
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	154,440		
	Fordham Hill Owners Corp.	Bronx	Consolidated Edison	Technical Services, FT14879 -Fordham 2400 Se..	27,578		
				Technical Services, FT14908 - Fordham - 2431 ..	31,515		
	Geatrain Engineering PLLC	New York	Consolidated Edison	OJT	12,763		
	Generate Capital Inc.	Kings	Consolidated Edison	>200KW PV, NY-Sun	260,208		
	Goldman Copeland Associates, P.C.	Kings	Consolidated Edison	Technical Services, FT15046 - The Anthony Own..	13,649		
				New York	Consolidated Edison	Technical Services, FT14756 - Madison Ave Pre..	16,985
		New York	Consolidated Edison	Technical Services, FT14949 - CBRE - 280 Park	45,971		
				Technical Services, FT14951 - SL Green - 215 P..	22,994		
				Technical Services, FT14980 - NYU - 25 Union S..	19,179		
				Technical Services, FT14999 - Omni Berkshire Pl..	23,476		
				Technical Services, FT15072 - Lighthouse Guild	14,985		
				Technical Services, FT15079 - Relide Realty	9,472		
				Technical Services, FT17005 Mega International ..	9,976		
				Technical Services, FT17007 The Shubert Organ..	28,000		
				Technical Services, FT17022 JLL - 460 Park	10,980		
				Technical Services, FT17024 SL Green Manage..	11,997		
				Technical Services, FT17033 Jones Lang LaSall..	15,973		
				Technical Services, FT17034 Jones Lang LaSall..	18,974		
				Technical Services, FT17079 Columbia University	184,954		
	Queens	Consolidated Edison	Technical Services, FT15126 - Hartz Mountain Ind	8,991			
	Green Home Logic, Inc.	Queens	Consolidated Edison	OJT	7,360		
	Group-S LLC	Bronx	Consolidated Edison	REV Campus Challenge, FT15080 - Columbia U..	192,282		
				Technical Services, FT15111 - Century Tower - 2..	45,000		
				Technical Services, FT15146 - FirstService - Net..	42,750		
				Technical Services, FT15148 - Gramatan - 2630 ..	32,500		
				Technical Services, FT15156 - 2390 Tiebout Ass..	14,250		
				Technical Services, FT15157 - Anthony Eq - 1818	15,000		
				Technical Services, FT15172 Sweet Sam's Bakin..	10,050		
				Kings	Consolidated Edison	Technical Services, FT14965 - Isabella Condomi..	25,500
						Technical Services, FT15036 - Rockrose Develo..	28,500
						Technical Services, FT15070 - Bobover Yeshiva ..	17,500
		Technical Services, FT15071 - Maimonides Medi..	140,000				
Technical Services, FT15112 - Rose Associates -.		14,250					
New York		Consolidated Edison	Technical Services, FT15177 FirstService - 715	17,800			
			K-12 SCHOOLS, FT15037 - Abraham Joshua He..	62,250			
			Low Carbon Tech Demos, Low Carbon Pathways	93,000			
	NYCH: Technical Assistance, FT15122 - TF Corn..		33,109				
	NYCH: Technical Assistance, FT15125 - 20 Broa..		61,808				
NYCH: Technical Assistance, FT15155 - ROC - L..	40,069						

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount				
New York City	Group-S LLC	New York	Consolidated Edison	Technical Services, FT14125 - 110 Horatio - FTC	9,500				
				Technical Services, FT14886 - Bloomingdales	70,205				
				Technical Services, FT14887 - HSS Properties C..	22,500				
				Technical Services, FT14888 - HSS Properties C..	18,500				
				Technical Services, FT14937 - Stonehange -920 ..	25,800				
				Technical Services, FT14938 -Penny Lane - 215 ..	27,000				
				Technical Services, FT14943 -Trump Palace 200..	52,500				
				Technical Services, FT14964 - Washington Court	31,500				
				Technical Services, FT14966 - Pride - 98 Park	12,375				
				Technical Services, FT14988 - Shelbourne Sone..	11,250				
				Technical Services, FT14993 - 120 East 79	19,950				
				Technical Services, FT14995 - Akam - 392 Central	37,500				
				Technical Services, FT15089 - Benjamin Royal S..	22,500				
				Technical Services, FT15090 - Fifty Sonesta Sel..	22,500				
				Technical Services, FT15094 - BDC 56 - 15 West..	16,500				
				Technical Services, FT15109 - Orsid Realty - 188..	43,500				
				Technical Services, FT15113 Brodsky - 160 Wes..	33,746				
				Technical Services, FT15117 - Maxwell Kates - 5..	55,500				
				Technical Services, FT15119 - 123 Washington ..	24,500				
				Technical Services, FT15120 - BOTA - 520 East ..	37,500				
				Technical Services, FT15130 - Wolcott Hotel	14,500				
				Technical Services, FT15131 - GFP Real Estate	11,476				
				Technical Services, FT15133 - The Continental	19,500				
				Technical Services, FT15150 - Wallack Mgmt - 2..	40,500				
				Technical Services, FT15152 - Orsid Realty - 233..	18,600				
				Technical Services, FT15154 - 24 Fifth Owners - ..	36,120				
				Technical Services, FT15159 - 677 Owners - 677..	19,500				
				Technical Services, FT15163 Akam - 305 East 40	31,485				
				Technical Services, FT15171 281 Edgecome Par..	12,900				
				Technical Services, FT15174 Akam - 325 Fifth	40,535				
				Technical Services, FT15178 1120 Park Avenue	30,746				
				Technical Services, FT15180 Brown Harris Steve..	30,746				
				Technical Services, FT15190 Orsid Realty - 144 ..	21,302				
				Technical Services, FT15192 Broadway 111 Ow..	30,746				
				Technical Services, FT17025 Akam - 137-139 W..	10,500				
				Technical Services, FT17054 HSS Properties Co..	68,500				
				Technical Services, FT17060 Friedman Manage..	11,500				
						Queens	Consolidated Edison	Technical Services, FT14128 - 2 Park - FTC	19,500
								Technical Services, FT15114 - Northern Mgmt - ..	49,335
				Technical Services, FT15121 - FirstService - 70-..	22,500				
Harris Energy Solutions LLC	Kings		Consolidated Edison	Technical Services, OsEM119-C - Kingsbrook	200,000				
Harvest Power, LLC	Queens		Consolidated Edison	>200KW PV, PON 2112 NY SUN	12,920				
Housing and Services, Inc.	New York		Consolidated Edison	Technical Services, FT14556-206 West 118th-P..	11,343				
Hytech Solar Inc	Queens		Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,184				
INF Associates LLC	Kings		Consolidated Edison	Technical Services, FT14942 - Belmont Metals - ..	24,928				
		New York	Consolidated Edison	K-12 SCHOOLS, FT17028 Spence School (1)_E	53,132				
				OJT	14,400				
				Technical Services, FT14832 - Sage Realty	7,588				
			Technical Services, FT14835 - Sage Realty	10,025					
Integrated Energy Service Corp	Kings		Consolidated Edison	RTEM and Tenants, IntegratedEnerg-110Gree-R..	97,636				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-420Lex-RT..	271,178				
	New York		Consolidated Edison	RTEM and Tenants, IntegratedEnerg-10E53-RT..	251,900				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-11Mad-RT..	357,973				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-100chur-R..	223,350				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-125Park-R..	470,739				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-461fift-RTE..	78,584				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-555w57-RT..	82,583				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-711thir-RT..	70,906				
			Consolidated Edison	RTEM and Tenants, IntegratedEnerg-1185AoA-R..	192,572				

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Integrated Energy Service Corp	New York	Consolidated Edison	RTEM and Tenants, IntegratedEnergy-1350AoA-R..	129,690
	Ithaca College	Bronx	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 R3 (Anni..	40,000
	J Synergy Solar LLC	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	17,668
				>200KW PV, PON 2112 NY SUN	34,435
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,832
				>200KW PV, PON 2112 NY SUN	27,540
	Richmond	Consolidated Edison	<200KW PV, NY-Sun	584	
	Jaros, Baum & Bolles	New York	Consolidated Edison	Empire Building Challenge, Lincoln Square Deco..	100,000
				New Construction- Commercial, Commercial NC..	199,998
				Technical Services, FT17008 215 West 28th Stre..	18,000
				Technical Services, FT17071 - FirstService Resi..	18,000
	JBI Construction Group	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,776
				>200KW PV, PON 2112 NY SUN	19,880
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	24,408
				>200KW PV, PON 2112 NY SUN	13,740
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	13,740
				>200KW PV, PON 2112 NY SUN	15,552
	Richmond	Consolidated Edison	<200KW PV, NY-Sun	15,552	
	Joe - Gerry SNA LLC	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	131,812
				>200KW PV, PON 2112 NY SUN	12,150
	Joy Gree LLC	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	25,200
	JP Bus & Truck Repair LTD	Kings	Consolidated Edison	NYSBIP - NYC SD	399,000
	Kamtech Restoration Corp	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	11,520
				>200KW PV, PON 2112 NY SUN	21,250
				>200KW PV, NY-Sun	190,900
		Kings	Consolidated Edison	<200KW PV, NY-Sun	24,592
				<200KW PV, PON 2112 NY SUN	47,664
				>200KW PV, PON 2112 NY SUN	50,480
				>200KW PV, NY-Sun	36,320
		New York	Consolidated Edison	<200KW PV, PON 2112 NY SUN	25,088
				>200KW PV, NY-Sun	190,900
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	25,088
	Richmond	Consolidated Edison	<200KW PV, NY-Sun	190,900	
			>200KW PV, PON 2112 NY SUN	36,320	
	NY-SUN, NY-Sun	38,180			
	NY-SUN, NY-Sun	38,180			
	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	17,676	
	Kastle New York, LLC	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Installation of GB..	15,651
	Kawi Energy Group Corp.	New York	Consolidated Edison	OJT	15,000
	LaBella Associates, P.C.	Kings	Consolidated Edison	LMI Multifamily Demos, CHARTERED PROPER..	100,000
	Lemor Development Group, L..	New York	Consolidated Edison	New Construction Housing, NCP Housing 2022	292,000
	Live Building Systems LLC	Kings	Consolidated Edison	Real Time Enrgy Management, LiveBuilding_147..	90,440
	Long Island Power Solutions	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	29,064
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	13,860
	Manhattanville Community Pa..	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14984- Manh..	73,733
	Mark MaGrann Associates	Bronx	Consolidated Edison	LMI Multifamily Demos, JOE NYC	75,000
				LMI Multifamily Demos, Ascendant Neighborhoo..	100,000
		New York	Consolidated Edison	LMI Multifamily Demos, JOE NYC	25,000
				Technical Services, FT14729 - 125 West 76th - F..	10,000
				Technical Services, FT14730 - 72 Park Terrace - ..	45,000
	Technical Services, FT14932 - 136 E 36 Apartme..	15,710			
	Mayflower Energy Engineerin..	New York	Consolidated Edison	Technical Services, FT17012 - Hampton House -..	15,000
MBD Community Housing Corp	Bronx	Consolidated Edison	New Construction Housing, NCP Housing 2022	358,000	
Meltek Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	17,309	
Mid-Hudson Energy Transition	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 Fellow	40,000	
Monadnock Constuction, Inc.	Kings	Consolidated Edison	<200KW PV, NY-Sun	71,982	
			>200KW PV, NY-Sun	119,970	
Morgan Stanley	New York	Consolidated Edison	Technical Services, OsEM115 - Morgan Stanley ..	199,594	
Morton Barrow Condominium	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT15098 - 456 H..	10,000	
MR. AIR NYC Corp.	Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	20,942	
			NYCH: Talent Ppln:CE and OJT, PON 4772 R3	40,000	
MRO Tech NY LLC	New York	Consolidated Edison	Technical Services, FT14872 - West 23rd Owner..	16,988	
Netgains Engineering P.C.	New York	Consolidated Edison	Technical Services, FT14945 - The Blair House 2..	46,500	
New Penn Development LLC	Kings	Consolidated Edison	New Construction Housing, NCP Housing 2022	292,000	

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	New York Engineers, P.C.	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14969 - Webs..	17,308		
				Tech Assistanc Multifamily LMI, FT14970 - 2120 ..	13,794		
		Kings	Consolidated Edison	Technical Services, FT14870 - WIN - 4612 - FTC	66,002		
		New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14967 - 250 ..	6,626		
				Technical Services, FT15021 - United East - 239 ..	10,500		
	New York Institute for Human ..	Bronx	Consolidated Edison	New Construction Housing, NCP Housing	100,000		
	New York Presbyterian Hospital	Kings	Consolidated Edison	Technical Services, OsEM110-C - NYPH - Colum..	214,000		
		New York	Consolidated Edison	Technical Services, OsEM109-C - NYPH - Brookl..	214,000		
				Technical Services, OsEM111-C - NYPH Weill C..	214,000		
	New York Public Library	Richmond	Consolidated Edison	Clean Energy Communities, CEC811010- New Y..	180,000		
	Noresco LLC	New York	Consolidated Edison	Technical Services, FT17014 Beekman Residenc..	11,138		
				Technical Services, FT17049 Columbia University	211,872		
	NY Building Systems Consultant Inc.	Kings	Consolidated Edison	Technical Services, FT14925 - Active -234 Skillm..	20,300		
						Technical Services, FT17000 70 Remsen St Ten..	6,800
						Technical Services, FT14920 - 169 E 78 St	10,930
				Technical Services, FT14934 - 43 Tenants Corp -..	18,350		
				Technical Services, FT14936 - Centria Condo -18	22,800		
				Technical Services, FT14957 - 301 E 78 St. Own..	24,000		
				Technical Services, FT15049 - Chatsworth Realt..	38,550		
				Technical Services, FT15065 - 67 East 11 - FTC	29,550		
				Technical Services, FT17019 The Claremont - 25..	8,500		
				Technical Services, FT17042 333 West End	10,400		
		Queens	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	23,040		
	NY CDG 007 LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	677,196		
				NY-SUN, NY-Sun	169,299		
	NYS Essential Power	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	11,136		
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	42,088		
	NYSS LLC	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	14,400		
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	37,120		
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	161,440		
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	200,138		
	Olivet St. Vincent's Housing Development	Richmond	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	153,750		
				Tech Assistanc Multifamily LMI, FT14930 - Olivet..	10,000		
	Opt-In Consultants Inc	Bronx	Consolidated Edison	Workforce Industry Partnership, PON 5357	81,925		
	Parity Inc	New York	Consolidated Edison	Real Time Enrgy Management, Parity-500E83-R..	6,786		
	Partridge Venture Engineering..	Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14944 - GHD ..	18,251		
	Patriot Energy Solutions Corp	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,040		
						<200KW PV, NY-Sun	6,845
				<200KW PV, PON 2112 NY SUN	35,588		
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	20,160		
	Pivot Energy Development LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	131,328		
	Pro Custom Solar LLC	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000		
	PROLOGIS LOGISTICS SERVICES INCORPORATED	Kings	Consolidated Edison	>200KW PV, NY-Sun	508,944		
				NY-SUN, NY-Sun	124,989		
	Provantage, LLC	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Wireless headset..	6,825		
						NYSERDA ADMINISTRATION, Wireless headset..	19,500
Research Foundation of The ..	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, PON3981 Roun..	497,255			
Resilience Education Training ..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 R3 Fellow	40,000			
Richair Mechanical Inc.	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	61,440			
RKB Group LLC	New York	Consolidated Edison	Technical Services, OSEM118C - GFP Real Esta..	198,296			
					Technical Services, OsEM129-C - Meadows Part..	168,697	
RLM Engineering PLLC	New York	Consolidated Edison	Technical Services, FT17094 Colliers International	5,500			
Robert Derector Associates	Kings	Consolidated Edison	Tenant Energy Management, HeatRecC1_RDere..	27,000			
					Technical Services, FT14985 - 70 West 36th St	19,000	
					Technical Services, FT14986 - 131 West 33rd St	19,000	
					Technical Services, FT15026 - Nassau Street Eq..	17,475	
					Technical Services, FT15052 - Broadway Equities	19,200	
		Queens	Consolidated Edison	Technical Services, FT15025 - Beave Equities Gr..	19,031		
				Technical Services, FT15040 - Dutch Land LLC	18,375		

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Robert Ettinger PE, PC	Richmond	Consolidated Edison	LMI Multifamily Demos, St Elizabeths Manor Dec..	100,000
	Rogers Training & Consulting,...	Kings	Consolidated Edison	OJT	9,922
	Ross Energy Consulting, LLC	New York	Consolidated Edison	OJT	64,099
				Talent Pipeline:CE and OJT, OJT	15,360
	RUHL TecConsult LLC	Queens	Consolidated Edison	Tech Assistanc Multifamily LMI, FT15195 - Lefra..	134,960
	RUHL TecDesign	New York	Consolidated Edison	Tenant Energy Management, HeatRec C1_Ruhl_..	39,920
				Tenant Energy Management, HeatRec C1_Ruhl_..	39,920
				Tenant Energy Management, HeatRecC1_Ruhl_..	39,920
				Tenant Energy Management, HeatRecC1_Ruhl_..	39,920
				Tenant Energy Management, HeatRecC2_Ruhl_..	80,000
	SafariNY Corp.	Queens	Consolidated Edison	OJT	15,360
				Talent Pipeline:CE and OJT, OJT	15,360
	Sea Bright Solar, LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	12,210
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	14,850
	Sisters of Charity Health Care ..	Richmond	Consolidated Edison	Tech Assistanc Multifamily LMI, FT14931 - Sister..	10,000
	Smart Roofs Solar, Inc.	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	123,190
	Smith Engineering PLLC	Kings	Consolidated Edison	Workforce Industry Partnership, Vornado WFT 1	313,502
				Technical Services, FT15092 - Weill Cornell Med	91,403
		New York	Consolidated Edison	Technical Services, FT15104 - BFP 300 Madison	72,258
				Technical Services, FT17116 - 345 Park Avenue ..	52,627
				Workforce Industry Partnership, Ruden WFT 2	273,102
		Queens	Consolidated Edison	Workforce Industry Partnership, Vornado WFT 2	302,204
				Workforce Industry Partnership, Ruden 1 WFT	279,042
	Socotec, Inc	New York	Consolidated Edison	Technical Services, FT14912 - Romarco - 1520 ..	59,934
	SOLANTA CORP	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,900
		Kings	Consolidated Edison	<200KW PV, NY-Sun	15,200
				>200KW PV, PON 2112 NY SUN	26,700
		New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	13,750
	Solar Energy Systems, LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	43,650
				>200KW PV, NY-Sun	72,750
				>200KW PV, PON 2112 NY SUN	32,495
	Solar One, Inc.	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	25,070
	Solar Pro Inc	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	26,160
	Soulful Synergy, LLC	Queens	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 R3 (Andr..	40,000
	St. John's University	Queens	Consolidated Edison	CI Carbon Challenge, C&I Carbon Challenge	1,792,750
	St. Nicks Alliance	Kings	Consolidated Edison	New Construction Housing, NCP Housing 2022	312,000
	Stanley Ruth Co., LLC	Bronx	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	18,000
	Steven Winter Associates, Inc.	Kings	Consolidated Edison	LMI Multifamily Demos, RiseBoro - EBC Cohort 3	100,000
				Technical Services, FT14065 - 43 W 61st - FTC	14,130
		Queens	Consolidated Edison	Technical Services, FT14741 - Douglas Elliman -..	21,100
				LMI Multifamily Demos, HANAC - EBC Cohort 3	100,000
				Technical Services, FT14354 - 2 Bay Club - FTC	48,375
	Technical Services, FT14815 - BPP Parker Towe..	48,788			
	STRATCO PROPERTY GROUP INC	New York	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	1,500,000
				NYCH: Talent Ppln:CE and OJT, OJT	31,728
	Success Academy Charter Sc..	Bronx	Consolidated Edison	New Construction- Commercial, Commercial NC..	465,371
	SuNation Solar Systems, Inc.	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	12,480
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	46,252
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	17,136
	Sunkeeper Solar LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	74,690
		Kings	Consolidated Edison	<200KW PV, NY-Sun	274,170
				>200KW PV, NY-Sun	457,398
New York		Consolidated Edison	<200KW PV, NY-Sun	118,146	
>200KW PV, NY-Sun	196,910				
Sunlight General Capital LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	411,180	
	New York	Consolidated Edison	<200KW PV, NY-Sun	558,304	
			>200KW PV, NY-Sun	139,576	
SunPower Capital, LLC	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	11,200	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	SunPower Capital, LLC	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	27,328		
	Sunrise Solar Solutions, LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	42,500		
	Sunwealth LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	893,620		
				>200KW PV, NY-Sun	893,620		
	Surf Clean Energy Inc	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	6,480		
				Queens	Consolidated Edison	<200KW PV, NY-Sun	5,252
					<200KW PV, PON 2112 NY SUN	34,752	
					>200KW PV, PON 2112 NY SUN	82,050	
	Sustainable Investment Group	Queens	Consolidated Edison	Technical Services, FT14868 - 25 Broadway Offi..	23,950		
	TBL Building Sciences, LLC	New York	Consolidated Edison	NYCH: Technical Assistance, FT13938 - 30 E 37..	7,909		
	The 489 Atlantic Ave & 480 St..	Kings	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	45,450		
	The Fortune Society, Inc.	Bronx	Consolidated Edison	Buildings of Excellence, BoE Rnd. 3	850,000		
	The Goldman Sachs Group, I..	New York	Statewide	Technical Services, OsEM120-C - Goldman Sachs	214,000		
	The Royale c/o Douglas Ellim..	New York	Consolidated Edison	Technical Services, FT15055 - Douglas Eliman P..	13,500		
	The Spence School	New York	Consolidated Edison	Technical Services, OsEM112-C - The Spence S..	110,000		
	The Trustees of Columbia Uni..	New York	Consolidated Edison	Cleantech EIR, CTV ClimateTech Expertise Net	4,500,000		
	TotalEnergies Distributed Gen..	Queens	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	1,200,000		
	Trane	New York	Consolidated Edison	Real Time Enrgy Management, Trane - 502 Park ..	155,000		
				Real Time Enrgy Management, Trane-106CPS-R..	232,497		
				Real Time Enrgy Management, Trane-220Riversi..	232,497		
				Real Time Enrgy Management, Trane-240Riversi..	232,497		
				Real Time Enrgy Management, Trane-845 UN Pl..	232,497		
				Technical Services, FT13549 - Lincoln Center - F..	10,531		
	University Mews Owners Inc	New York	Consolidated Edison	Technical Services, FT15102 - University Mews ..	12,000		
	Urban Energy Inc	Bronx	Consolidated Edison	>200KW PV, NY-Sun	1,156,788		
				NY-SUN, NY-Sun	195,030		
		Kings	Consolidated Edison	OJT	84,290		
		New York	Consolidated Edison	>200KW PV, NY-Sun	48,600		
				NY-SUN, NY-Sun	8,100		
	Urban Green Council	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, PON3981 Roun..	145,995		
	Urban Homesteading Assistan..	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	19,901		
	Verizon NY Inc.	New York	Consolidated Edison	Technical Services, FT14903 - Verizon - 430 W 51	49,610		
		Queens	Consolidated Edison	Technical Services, FT14901 - Verizon - South O..	13,018		
	Voltaic Solaire LLC	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	8,100		
				Queens	Consolidated Edison	<200KW PV, NY-Sun	25,120
						<200KW PV, PON 2112 NY SUN	36,216
	Vornado Office Management ..	New York	Consolidated Edison	New Construction- Commercial, New Construction	448,274		
	Waste Connections of New Y..	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Trash and Recyc..	15,840		
	Waverly Mews Corp	New York	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	468,000		
	WB Engineers+Consultants, I..	New York	Consolidated Edison	Technical Services, FT15031 - Trinity Centre - 111	18,000		
	Wendel Energy Services, LLC	New York	Consolidated Edison	Technical Services, FT14939 - Weill Cornell Med	440,173		
	Westhab, Inc.	Bronx	Consolidated Edison	HPD Direct Injection, La Olazul	1,150,000		
Willdan Lighting & Electric, Inc.	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	13,848			
Yeshiva University	New York	Consolidated Edison	Technical Services, OsEM113-C - Yeshiva Unive..	214,000			
North Country	Adam C. Boese	Jefferson	National Grid	Technical Services, AEAP 1493 - Brotherton Far..	5,880		
				Technical Services, AEAP 1554 - Robbins Family	5,600		
				Technical Services, AEAP 1574 - North Harbor D..	6,000		
	Adirondack North Country Ass..	Franklin	National Grid	Talent Pipeline:CE and OJT, PON 4772 R3 K.J	40,000		
	ADK Solar	Clinton	NYS Electric and Gas	OJT	9,600		
	Algonquin Power Fund America Inc	St. Lawrence	National Grid	>200KW PV, NY Sun	222,750		
				NY Sun	556,875		
				NY-SUN, NY Sun	311,850		
	Ampersand Electric	Essex	National Grid	OJT	7,680		
	Antares Group, Inc.	Essex	National Grid	Electric Vehicles - Innovation, CGSI-84E - Ticond..	29,849		
				K-12 SCHOOLS, CGSI-84E - Ticonderoga CSD	81,798		
	Arcadis of New York, Inc.	Essex	NYS Electric and Gas	Technical Services, AEAP 1636 - Echo Farm	5,975		
	C.J. Brown Energy, P.C.	Clinton	NYS Electric and Gas	K-12 SCHOOLS, P12GC-86E Northeastern Clint..	23,733		
	Fourth Coast, Inc.	Lewis	National Grid	<200KW PV, PON 2112 NY SUN	27,335		
	G.R.O. Energy Solutions, LLC	Jefferson	National Grid	OJT	13,440		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
North Country	Jenkins Road Solar, LLC	Jefferson	National Grid	>200KW PV, NY Sun	311,750	
				NY-SUN, NY Sun	436,450	
	L&S Energy Services, Inc.	Clinton	NYS Electric and Gas	Technical Services, AEAP 1611 - Circle K	3,000	
	Leonard Bus Sales, Inc.	Clinton	NYS Electric and Gas	NYSBIP - Saranac SD	514,500	
		Franklin	NYS Electric and Gas	NYSBIP - CHATEAUGAY School Dis	392,000	
		Lewis	National Grid	NYSBIP - BEAVER RIVER SD	257,250	
	Mathews Buses Incorporated	Franklin	National Grid	CLEAN TRANSPORTATION, NYTVIP - Brushton..	200,000	
	NY USLE Chasm Rd I LLC	Franklin	NYS Electric and Gas	>200KW PV, NY Sun	302,562	
				NY Sun	756,405	
	Pathfinder Engineers & Archit..	St. Lawrence	National Grid	K-12 SCHOOLS, CGSI-59 - Gouverneur CSD (1)..	80,053	
	Pivot Energy Development LLC	Jefferson	National Grid	>200KW PV, NY Sun	249,828	
				NY Sun	624,570	
	PlugPV, LLC	Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000	
	Potsdam Scensors LLC	St. Lawrence	National Grid	OJT	19,680	
	Saranac Lake Central School	Franklin	National Grid	FT17053 - Saranac Lake CSD (3)	26,250	
	TRC Energy Services	Essex	NYS Electric and Gas	Technical Services, AEAP 1476 - North Country	3,000	
	TRC Engineers, Inc.	St. Lawrence	National Grid	BR: Design, BR Benson Mines Engineering	181,103	
	Village of Saranac Lake	Franklin	National Grid	Clean Energy Communities, CEC701022 - LR EV	20,000	
	Wendel Energy Services, LLC	Jefferson	National Grid	CGSI-91 - Sackets Harbor CSD	38,225	
		St. Lawrence	National Grid	Technical Services, FT17098 St. Lawrence Unive..	302,881	
	Yellow 19 LLC	Clinton	NYS Electric and Gas	>200KW PV, NY Sun	218,600	
				NY Sun	546,499	
				NY-SUN, NY Sun	306,039	
	Southern Tier	3 Sisters Solar Farm 2 LLC	Schuyler	NYS Electric and Gas	>200KW PV, NY Sun	331,240
					NY Sun	828,100
		3 Sisters Solar Farm 3 LLC	Schuyler	NYS Electric and Gas	>200KW PV, NY Sun	370,370
					NY Sun	925,925
3 Sisters Solar Farm 4 LLC		Schuyler	NYS Electric and Gas	>200KW PV, NY Sun	363,545	
				NY Sun	908,863	
3 Sisters Solar Farm LLC		Schuyler	NYS Electric and Gas	>200KW PV, NY Sun	333,060	
				NY Sun	832,650	
3rd ROC Solar LLC		Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,600	
Adam C. Boese		Chenango	NYS Electric and Gas	Technical Services, AEAP 1404 - Balsam View D..	2,880	
		Tioga	NYS Electric and Gas	Technical Services, AEAP 1599 - Stronghaven F..	5,840	
Antares Group, Inc.		Steuben	NYS Electric and Gas	K-12 SCHOOLS, CGSI-85E - Wayland - Cohocton	85,500	
Barton Solar Farm LLC		Tioga	NYS Electric and Gas	NY Sun	819,000	
BWC Basset Brook, LLC		Delaware	NYS Electric and Gas	>200KW PV, NY Sun	209,986	
				NY Sun	524,965	
				NY-SUN, NY Sun	293,980	
BWC Rexamere Lakes, LLC		Delaware	NYS Electric and Gas	>200KW PV, NY Sun	350,437	
				NY Sun	876,090	
				NY-SUN, NY Sun	490,610	
C & B Mechanical		Tompkins	NYS Electric and Gas	OJT	11,789	
C.J. Brown Energy, P.C.		Schuyler	NYS Electric and Gas	CGSI-63E - Bradford CSD - FTC	35,677	
Carrowmoor Solar, LLC		Tompkins	NYS Electric and Gas	>200KW PV, NY Sun	351,000	
				NY Sun	877,500	
				NY-SUN, NY Sun	491,400	
CHA Consulting Inc.		Tompkins	NYS Electric and Gas	Technical Services, FT15004 - Ithaca College - 9..	64,531	
Community Power Group, LLC		Steuben	NYS Electric and Gas	>200KW PV, NY Sun	375,001	
				NY Sun	937,500	
				NY-SUN, NY Sun	524,999	
Cornell Cooperative Extension - Tompkins		Tompkins	NYS Electric and Gas	Clean Energy Hub, Regional Clean Energy Hub	305,000	
				NYCH: Communities, Regional Clean Energy Hub	250,000	
County of Chenango	Chenango	NYS Electric and Gas	Clean Energy Communities, CEC011260 - Electri..	15,000		
CP Breesport One LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun	367,500		
			NY Sun	937,125		
			NY-SUN, NY Sun	532,875		
CPL Architects, Engineers, La..	Schuyler	NYS Electric and Gas	CLEAN TRANSPORTATION, CGSI-67CT - Bradf..	37,525		
Delaware River Solar, LLC	Delaware	NYS Electric and Gas	>200KW PV, NY Sun	367,960		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Southern Tier	Delaware River Solar, LLC	Delaware	NYS Electric and Gas	NY-SUN, NY Sun	508,136	
	Dimension Energy LLC	Chenango	NYS Electric and Gas	>200KW PV, NY Sun	295,296	
				NY Sun	738,237	
				NY-SUN, NY Sun	413,413	
	Eastgate Associates LLC	Chemung	NYS Electric and Gas	Tech Assistanc Multifamily LMI, FT17061 - Eastg..	14,625	
	EMCOR Services Betlem	Tompkins	NYS Electric and Gas	Technical Services, FT17059 - BorgWarner -FTC..	20,977	
	Empower Equity Inc	Broome	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT Sean O'Neill	13,493	
		Tompkins	NYS Electric and Gas	OJT	19,618	
	FINGER LAKES POWER SY..	Chemung	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	10,218	
				<200KW PV, PON 2112 NY SUN	27,225	
	Foam It Insulation, LLC	Broome	NYS Electric and Gas	OJT	33,920	
	LaBella Associates, P.C.	Tioga	NYS Electric and Gas	K-12 SCHOOLS, P12GC-53E - Spencer Van-Ett..	52,000	
	Leonard Bus Sales, Inc.	Broome	NYS Electric and Gas	NYSBIP - Johnson City SD	771,750	
		Delaware	NYS Electric and Gas	NYSBIP - Sidney SD	392,000	
	M/E Engineering, P.C.	Broome	NYS Electric and Gas	Technical Services, FT14885 - Binghamton U	49,640	
	New Leaf Energy, Inc.	Chenango	NYS Electric and Gas	>200KW PV, NY Sun	207,805	
				NY Sun	519,513	
				NY-SUN, NY Sun	290,927	
	New York Independent Syste..	Tompkins	NYS Electric and Gas	BR: Interconnection, BR Interconnection Studies	331,000	
	New York State Veterans Ho..	Chenango	NYS Electric and Gas	<200KW PV, NY-Sun	244,944	
	NSF Bath Site 4, LLC	Steuben	Municipal Utilities	>200KW PV, NY Sun	368,551	
				NY Sun	921,375	
				NY-SUN, NY Sun	515,969	
	Payne Solar Farm 2 LLC	Chenango	NYS Electric and Gas	NY Sun	786,078	
	Payne Solar Farm 3 LLC	Chenango	NYS Electric and Gas	NY Sun	789,428	
	Payne Solar Farm 4 LLC	Chenango	NYS Electric and Gas	NY Sun	784,068	
	Payne Solar Farm LLC	Chenango	NYS Electric and Gas	NY Sun	802,828	
	Phoenix AMP RSCc Industrial..	Broome	NYS Electric and Gas	CI Carbon Challenge, Accelerated Efficiency & EI..	2,485,653	
	PlugPV, LLC	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,172	
		Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,776	
	Renovus Energy, Inc.	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,768	
	Singlebrook Technology Inc.	Tompkins	NYS Electric and Gas	CJF Program Support	263,000	
	Taitem Engineering, P.C.	Broome	NYS Electric and Gas	Technical Services, FT15081 - Town of Fenton	6,290	
		Tompkins	NYS Electric and Gas	Technical Services, FT14798 - City of Ithaca	58,801	
	Tamco, LLC	Chenango	Municipal Utilities	CLEAN TRANSPORTATION, CGSI-69_CT - Gre..	38,343	
	The Insulation Man LLC	Broome	NYS Electric and Gas	OJT	21,600	
	Tioga Opportunities Inc.	Tioga	NYS Electric and Gas	OJT	8,160	
	Tompkins County	Tompkins	NYS Electric and Gas	Clean Energy Communities, CEC011216 - Custo..	30,000	
	Town of Dryden	Tompkins	NYS Electric and Gas	Clean Energy Communities, Dryden DPW office i..	26,600	
	Village of Montour Falls	Schuyler	NYS Electric and Gas	Clean Energy Communities, Communities & Loc..	70,000	
	Statewide	22nd Century Technologies, Inc.	STATEWIDE	Statewide	REC4:CES REC4 Tech Support, SA.001_TWO# ..	229,680
					Tech Assistanc Multifamily LMI, SA.006_TWO# 1..	510,000
		25th Street Suites, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2024 NYC NYSE..	6,950
110 Holdings LLC		STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	500,000	
				EMPOWER NY, RFP4886 RES Market Engage..	262,294	
				Home Perf w Energy Star, RFP4886 RES Market..	40,000	
				NYCH: Comfort Home, RFP4886 RES Market En..	375,000	
				NYCH: Technical Assistance, RFP4886 RES Mar..	325,000	
				RFP4886 RES Market Engagement	2,803,698	
258 West 97th Street Housing..		STATEWIDE	Statewide	Direct Injection Program, HPD Fortune Castle	845,171	
Abt Associates Inc.		STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 1 - 2022 GHG Invent..	49,964	
				TWO #3 Pathways Health Phase 2	100,000	
Accure Battery Intelligence Inc.		STATEWIDE	Statewide	Pub Transit & Elect Rail, Battery intelligence for e..	50,000	
Actalent Inc		STATEWIDE	Statewide	REC:CES REC System Dev Costs, SA.101_TW..	153,029	
AECOM USA INC.		STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, Tech Review_Pr..	23,750	
				Technical Services, Tech Review_Program Supp..	115,750	
Air-Conditioning, Heating & R..		STATEWIDE	Statewide	NYCH: Innovation, Refrigerants - AHRI	257,407	
Allegheny Science & Technol..		STATEWIDE	Statewide	Consultant for Residential IRA	749,655	
Alliance for Sustainable		STATEWIDE	Statewide	Electric Vehicles - Innovation, TWO 11 EVSE Mo..	313,300	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Alliance for Sustainable Energy, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 1 - 100% Carbon-fre..	200,000
				Hydrogen Innovation, TWO 6 NYS Hydro Strateg..	60,000
				OTHER PROGRAM AREA, TWO #10 New York ..	923,000
	Alliance to Save Energy	STATEWIDE	Statewide	Prof & Expert Engagement, 2024 Board of Direct..	50,000
	Altanova LLC	STATEWIDE	Statewide	Green CHIPS	271,825
	American Clean Power Associ..	STATEWIDE	Statewide	INNOVATION CAPACITY & BUSINESS DEVEL..	75,000
	American Institute of Chemica..	STATEWIDE	Statewide	Hydrogen Innovation, Center for Hydrogen Safety	25,000
	American Society of Heating,Refrigeratin	STATEWIDE	Statewide	Code to Zero, Decarb Conference 2024	25,000
				Empire Building Challenge, Decarb Conference 2..	25,000
				Low Carbon Tech Demos, Decarb Conference 2..	50,000
				New Construction Housing, Decarb Conference 2..	25,000
				RTEM and Tenants, Decarb Conference 2024	25,000
				Technical Services, Decarb Conference 2024	50,000
	Antares Group, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, TWO for 2 A..	2,240
	Aon Risk Consultants, Inc.	STATEWIDE	Statewide	REC4:CES REC4 Tech Support, Tier 4 Insuranc..	30,000
				Risk consulting for e2i	7,000
	Apprise, Incorporated	STATEWIDE	Statewide	Eval MCDC: Low Inc Engy Bill, TWO 4 - LIEBUS	105,400
	Arcadia Power, Inc	STATEWIDE	Statewide	Real Time Enrgy Management, RTEM Data War..	46,195
	Arcadis of New York, Inc.	STATEWIDE	Statewide	New Construction Housing, SA.039_TWO #2_Ne..	16,000
				New Construction Housing, SA.039_TWO #3_Ne..	13,000
				New Construction- Commercial, SA.039_TWO #..	8,000
				New Construction- Commercial, SA.039_TWO #..	6,500
				Single Family New Construction, SA.039_TWO #..	8,000
				Single Family New Construction, SA.039_TWO #..	6,500
	Assembly OSM, Inc.	STATEWIDE	Statewide	Natural Carbon Solutions, A1 - Building Challenge	2,281,993
	Association for Energy Afforda..	STATEWIDE	Statewide	Workforce Industry Partnership, PON 3715 (R15)..	191,175
	Atlas Public Policy	STATEWIDE	Statewide	Electric Vehicles - Innovation, TWO No. 1 EValua..	399,620
	BDO USA LLP	STATEWIDE	Statewide	Background Investigation Servi	33,600
	Bergmann Associates, Architects,	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, Cross-sector Pro..	123,468
				Tech Assistanc Multifamily LMI, Program Support..	23,750
				Tech Assistanc Multifamily LMI, REQ 5288 - Ber..	60,204
				Technical Services, Cross-sector Program Suppo..	123,468
				Technical Services, Program Support_QAQC	23,750
				Technical Services, REQ 5288 - Bergmann Cros..	14,796
	BioDiversity Research Institute	STATEWIDE	Statewide	OREC: Technical Support, OSW-mediated Benth..	499,203
				OREC: Technical Support, TWO 1 - Offshore Wi..	1,500,000
	BlocPower LLC	STATEWIDE	Statewide	NYCH: Innovation, Buildings Innovations	283,807
	Bloomberg Finance LP	STATEWIDE	Statewide	ENERGY ANALYSIS, Bloomberg Datafeed Acce..	26,248
				NEW YORK GREEN BANK, Bloomberg Datafee..	60,000
				REC:CES REC System Dev Costs, Bloomberg D..	29,169
	Booz Allen Hamilton, Inc.	STATEWIDE	Statewide	Building Envelope Systems, TWO 18 - CEF 2.0 P..	100,000
				Cleantech Ignition, TWO 18 - CEF 2.0 Petition	45,000
				Energy Storage Tech/Prod Dev, TWO 18 - CEF 2..	100,000
				Future Grid Perf. Challenges, TWO 18 - CEF 2.0 ..	100,000
				Hydrogen Innovation, TWO 18 - CEF 2.0 Petition	100,000
	Borrego Energy Holdings, LLC	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, Energy Storage ..	96,598
	Brattle Group Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 2 - Gas Util Planning..	199,600
				Mkt Char: Tech Assist, TWO 3 -Prod Cost Modeli..	100,000
				REC:CES REC System Dev Costs, Transmission..	445,000
	Buckeye Terminals, LLC	STATEWIDE	Statewide	FUEL NY, Upstate NY Strategic Fuels Res	1,446,451
	Business Network for Maryland Offshore W	STATEWIDE	Statewide	2024 BNOW Membership	7,550
				OREC: Technical Support, OSW Ready Virtual T..	40,000
	BVG Associates LLC	STATEWIDE	Statewide	OREC: Technical Support, BVG TWO 5 IE Mike ..	85,000
				REC:CES REC System Dev Costs, RESRFP23-..	40,500
	BW Research Partnership	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #3 CE Industry Report	345,000
				NYCH: LMI, Economic Impact Analysis	49,300
				NYS Clean Energy Transition, Economic Impact ..	49,300
				TWO #3 CE Industry Report	53,000
	C Hazard Consulting LLC	STATEWIDE	Statewide	Consumer Ed and Market Support, SFR market e..	100,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	C Hazard Consulting LLC	STATEWIDE	Statewide	Market Support Tools &Activity, SFR market eng..	150,000
				SFR market engagement	350,000
	Cadence OneFive Inc.	STATEWIDE	Statewide	Housing Agencies Support, SUPPORT FOR LO..	250,000
	Capital District Regional Planning Comm.	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, Clean Energy Co..	330,000
				Clean Energy Communities, Clean Energy Com..	2,000,000
	Carter Ledyard & Milburn LLP	STATEWIDE	Statewide	BR: Program Implementation, TWO 8 - BR Public..	15,000
				OREC: Technical Support, TWO 3 - OSW, NEPA..	20,000
				OREC: Technical Support, TWO#9 Outside Coun..	50,000
	Catholic Health System of Lon..	STATEWIDE	Statewide	CNCD-2022 - Catholic Health	405,684
	Center for Economic Growth	STATEWIDE	Statewide	OREC: Technical Support, IPF 2024 NY Pavilion	45,020
	Center for Sustainable Energy	STATEWIDE	Statewide	>200KW PV, TWO #2 - NY-Sun Shared Service	1,472,167
				CLEAN TRANSPORTATION, TWO #1 - CSE Dri..	1,400,000
				CLEAN TRANSPORTATION, TWO #4 - Charge ..	150,000
				CLEAN TRANSPORTATION, TWO #5 - Truck V..	415,000
				EV Charging and Engagement, TWO #4 - Charg..	150,000
				LMI Community Solar, TWO #2 - NY-Sun Shared..	120,000
				TWO #3 - School Bus Incentive	1,540,000
				Central New York Regional Planning and	STATEWIDE
				NYCH: Communities, Regional Clean Energy Hub	250,000
				Translation Services, Regional Clean Energy Hub	50,000
	CenTrio Energy Syracuse LLC	STATEWIDE	Statewide	NYCH: District, PON 4614 Round 615th Ward	12,000
	CHA Consulting Inc.	STATEWIDE	Statewide	Cl Carbon Challenge, Umbrella Agreement	129,000
				NYCH: District, FT17133 - Troy Local Dev Corp	33,111
				On-Site Energy Manager, Umbrella Agreement	166,000
				Strategic Energy Manager, Umbrella Agreement	129,000
	Citadel SPV LLC	STATEWIDE	Statewide	Citadel AOE Services Agreement	50,000
	City of Yonkers	STATEWIDE	Statewide	Clean Energy Communities, CEC510637- City of ..	125,000
	Clean Power Research	STATEWIDE	Statewide	Electric Vehicles - Innovation, Clean Transportati..	50,000
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	250,960
				EMPOWER NY, Program Ops & Tech Support S..	623,040
				Home Perf w Energy Star, Program Ops & Tech ..	935,626
				NENY:CHGE Empower Electric, Program Ops & ..	89
				NENY:CHGE Empower Gas, Program Ops & Te..	103
				NENY:Con Ed Empower Electric, Program Ops &..	415
				NENY:Con Ed Empower Gas, Program Ops & Te..	1,217
				NENY:NIMO Empower Electric, Program Ops & ..	738
				NENY:NIMO Empower Gas, Program Ops & Tec..	98
				NENY:NYSEG Empower Electric, Program Ops ..	1,371
				NENY:NYSEG Empower Gas, Program Ops & T..	3,401
				NENY:O&R Empower Electric, Program Ops & T..	424
				NENY:O&R Empower Gas, Program Ops & Tech..	1,113
				NENY:RGE Empower Electric, Program Ops & T..	551
				NENY:RGE Empower Gas, Program Ops & Tech..	1,318
				NYCH: Comfort Home, Program Ops & Tech Sup..	282,062
				NYCH: Technical Assistance, Program Ops & Te..	517,748
	Program Ops & Tech Support SFR	13,320,982			
	Climate Action Associates LLC	STATEWIDE	Statewide	Clean Energy Communities, Utility Energy Regist..	105,000
	Clip. Bike Inc	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Fellow Name: Sora..	40,000
	Coastal States Stewardship F..	STATEWIDE	Statewide	OREC: Technical Support, RWSC Organizing Le..	30,000
	Cohen Ventures Inc	STATEWIDE	Statewide	Product Standards, TWO #1 - RFQL 5236	800,000
				Product Standards, TWO No. 2	250,000
	Commercial Fisheries Resear..	STATEWIDE	Statewide	OREC: Technical Support, Mechanical Jigs for O..	354,337
	Community Preservation Corp..	STATEWIDE	Statewide	NY Green Bank, CPC (RFP 23)	25,000,000
	Consensus Building Institute, I..	STATEWIDE	Statewide	OREC: Technical Support, TWO #2 A-TWG Faci..	334,136
	Cornell Cooperative Extension..	STATEWIDE	Statewide	Long Island Clean Energy Hub	555,000
	CVENT, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Event Managem..	5,669
	DealCloud Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, DealCloud Licensing	5,871
	Dewberry Engineers Inc	STATEWIDE	Statewide	TWO 1 - Climate Risk Assesssme	100,000
	Dextall	STATEWIDE	Statewide	NYCH: Innovation, Midrise HVAC - Dextall	181,300

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	DNV Energy Insights USA Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, C-PACE Update Assistance	49,950
				Future Grid Perf. Challenges, Energy Storage Po..	897,922
				Industrial Process Effic, TWO # 3 IPE eval	293,156
				OREC: Technical Support, TWO#3 Ocean Condit..	249,230
Dodge Data & Analytics	STATEWIDE	Statewide	ENERGY ANALYSIS, Dodge Dataset Subscription	8,150	
DTN, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, Purchase 12-month subscr..	27,624	
Dynamo Energy Hub	STATEWIDE	Statewide	OTHER PROGRAM AREA, Dynamo Roundtable ..	50,000	
E Source Companies LLC	STATEWIDE	Statewide	IEDR: Program Manager, IEDR Development	25,124,137	
Eastern Research Group, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #1 CLCPA GHG	49,959	
			ENERGY ANALYSIS, TWO #2 Coordinator Asse..	412,500	
			ENVIRONMENTAL RESEARCH, TWO #2 Coord..	412,500	
ECONcrete Inc	STATEWIDE	Statewide	OREC: Technical Support, Eval of Eco Scour Pro..	356,539	
Ecority	STATEWIDE	Statewide	Ecority	8,820	
Electric Power Research Institute	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 2 - Zero x 40 Tech S..	243,000	
			OTHER PROGRAM AREA, TWO 2 - Zero x 40 T..	162,000	
Ember Strategies, LLC	STATEWIDE	Statewide	Empire Building Challenge, Support for Cohort 3 ..	50,000	
EME Consulting Engineering ..	STATEWIDE	Statewide	Technical Services, SA.084_TWO# 15_MF PM-1	240,759	
Emergent Urban Concepts, LLC	STATEWIDE	Statewide	Empire Building Challenge, EBC Support	125,000	
			LMI Multifamily Demos, EBC Support	125,000	
Empire Holdco I LLC	STATEWIDE	Statewide	NY Green Bank, Greenwood Sustainable Infrastr..	10,000,000	
Empire State Realty Trust, Inc.	STATEWIDE	Statewide	NYGB Equity Roundtable	5,646	
Energy and Environmental Economics Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #10: E3 Integration ..	240,000	
			ENERGY ANALYSIS, TWO#4 Policy Case Revie..	50,000	
			ENERGY ANALYSIS, TWO#7 Future of Gas Pla..	150,000	
			ESTOR: Implementation Support, TWO5 Energy ..	99,926	
			Hydrogen Innovation, Hydrogen Policy Options in..	125,109	
			NYCH: LMI, TWO 8 -LMI Electrifi Cost Model	49,776	
			REC:CES REC System Dev Costs, Transmission..	370,000	
TWO #5 CPRG Support	750,000				
Energy EDC Corp.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON 4772 R3 CJF (..	40,000	
Energy Storage Response Gr..	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, TWO #1 Enrgy..	286,000	
Energy Tax Savers, Inc.	STATEWIDE	Statewide	NYCH: District, Geothermal Tax Credit Analysis	44,250	
Energy Technology Savings, I..	STATEWIDE	Statewide	NYCH: Industry Partnerships, PON 3715 (R15) B..	65,900	
Enica Engineering, PLLC	STATEWIDE	Statewide	Workforce Industry Partnership, PON 3715 (R15)..	137,695	
Ensave, Inc.	STATEWIDE	Statewide	AEAP Implementation Contractor	433,740	
			Technical Services, AEAP Implementation Contr..	756,400	
Enterprise Community Loan F..	STATEWIDE	Statewide	NY Green Bank, ECLF (RFP 23)	25,000,000	
Enterprise Training Solutions, ..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Training	24,950	
Ernst & Young, LLP	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Ernst & Youn..	25,000	
Ferrario Ford Inc	STATEWIDE	Statewide	2024 Dodge Hornet PHEV OGS	35,134	
Firefly Energy Consulting, LLC	STATEWIDE	Statewide	Prof & Expert Engagement, Supp ClnEnegy Interi..	45,000	
First American Commercial B..	STATEWIDE	Statewide	NY Green Bank, Catalyze CDG	100,000,000	
First Colonie Company	STATEWIDE	Statewide	Consumer Ed and Market Support, IRA Stakehol..	23,408	
Foley & Lardner LLP	STATEWIDE	Statewide	RFP 12: NYGB Legal Services	27,500	
Fraunhofer USA Inc.	STATEWIDE	Statewide	Building Envelope Systems, Building Envelopes -..	308,225	
FreeWire Technologies, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, FreeWire DCFC R..	2,872,450	
Frontier Energy, Inc.	STATEWIDE	Statewide	CI Enrgy Siting & Soft Cost Red, Clean Energy Sit..	50,000	
			Intelligent Buildings, Review/Evaluate PON 3519	49,198	
General Electric International, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, Grid Performance Gaps	200,000	
			REC:CES REC System Dev Costs, Transmission..	335,429	
Georgetown University	STATEWIDE	Statewide	Analytical & Tech. Support	10,000	
GridEdge Networks, Inc.	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	510,366	
Group-S LLC	Queens	Consolidated Edison	Technical Services, FT15116 - Garthchester Rea..	73,500	
Guidehouse Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #3 HFC Mitigation	30,000	
			NEW YORK GREEN BANK, TWO #1 - Price For..	225,000	
			REV Connect, REV Connect Initiative	1,000,000	
Hempitecture Inc.	STATEWIDE	Statewide	Natural Carbon Solutions, A1 - Building Challenge	1,100,000	
Henningson, Durham & Richardson PC	STATEWIDE	Statewide	OREC: Technical Support, TWO 4 Master Plan 2..	35,018	
			OREC: Technical Support, TWO#7 Ports&Supply..	216,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Henningson, Durham & Richardson PC	STATEWIDE	Statewide	OREC: Technical Support, TWO#8 Empowering ..	150,000
				Rmve Barriers Dist Enrgy Storg, TWO #1	44,281
				Rmve Barriers Dist Enrgy Storg, TWO #2	255,719
	Hodgson Russ LLP	STATEWIDE	Statewide	BR: Program Implementation, TWO 7 - BR Procu..	50,000
				BR: Program Implementation, TWO 8 - Brownfiel..	50,000
	Holland & Knight LLP	STATEWIDE	Statewide	OREC: Technical Support, TWO 1 - ORECRFP2..	75,000
	Home Performance Coalition, ..	STATEWIDE	Statewide	Market Support Tools &Activity, 2024 NY CE for ..	100,000
	HomeCycle Technologies, Inc.	STATEWIDE	Statewide	BR: Program Implementation, BRRFP23-1 TEP I..	35,800
				REC:CES REC System Dev Costs, RESRFP23-..	40,500
	Housing Trust Fund Corporation	STATEWIDE	Statewide	Direct Injection Program, HCR 2021	12,000,000
				HCR Direct Injection, HCR 2021	4,000,000
	ICF Incorporated LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, TWO 16 RFQL Re..	24,981
				CLEAN TRANSPORTATION, TWO # 10	184,818
				ENERGY ANALYSIS, TWO 2 - Embodied Emissi..	300,000
				EV Charging and Engagement, TWO 16 RFQL R..	24,981
				EV Charging and Engagement, TWO # 10	184,818
	ICF Resources, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 13 - Support for PAR..	100,000
				Prof & Expert Engagement, TWO 12 - ICF CRB ..	298,877
	Illume Advising LLC	STATEWIDE	Statewide	EEC Implementation	22,566
				Equitable Engagement, EEC Implementation	837,416
				TWO 1 - CJWG Facilitation	200,000
	Incorporated Village of Oyster ..	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, CEC900..	10,000
	Indotronix International Corporation	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, SA.007_TWO# 1..	472,500
				Technical Services, SA.007_TWO# 1_EPE_PM-1	472,500
	Industrial Economics, Incorporated	STATEWIDE	Statewide	CLEAN TRANSPORTATION, TWO 2 New York ..	100,000
				Electric Vehicles - Innovation, TWO 6 - NY Trans..	100,000
				ENERGY ANALYSIS, TWO 1 EE Supply Curve ..	35,000
				Eval MCDC Clean Transportation, TWO 6 - NY T..	112,389
				Eval MCDC: MD&IR Case Studies, TWO 3 - Cas..	167,964
	REC:CES REC System Dev Costs, TWO #7 LSR..	50,000			
	Inspiration EV, LLC	STATEWIDE	Statewide	NY Green Bank, Inspiration Mobility	8,500,000
	Integrated Staffing Corporation	STATEWIDE	Statewide	ESTOR: Implementation Support, SA.002_TWO#..	180,261
				Home Perf w Energy Star, SA.002_TWO# 1_SQ..	77,735
				NYCH: Comfort Home, SA.002_TWO# 1_SQA_P..	2,549
				Renewable Heat NY, SA.002_TWO# 1_SQA_PM1	7,938
				SA.002_TWO# 1_SQA_PM1	92,551
	Ithaca College	STATEWIDE	Statewide	Environmental Research, Methane emissions me..	38,865
	JAS Coaching & Training, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, People Manage..	175,000
	JR & SONS EXCAVATING IN..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, O..	330,000
	Judith Abbott	STATEWIDE	Statewide	Environmental Research, Judy Abbott Science A..	35,000
	Kaitlin Moody	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB Strat & Com..	165,000
	Karp Strategies, LLC	STATEWIDE	Statewide	OREC: Technical Support, NYS OSW Training Ef..	15,000
	Kearns & West, Inc.	STATEWIDE	Statewide	OREC: Technical Support, Facilitation Support L..	100,000
				REC:CES REC System Dev Costs, RESRFP23-..	30,000
				RTEM and Tenants, TWO # 2	45,500
	Kelliher Samets LTD	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	400,000
				Clean Energy Hub, TWO 36 -Clean Energy Hubs..	100,000
				Consumer Ed and Market Support, TWO 18 - Sin..	2,000,000
				G1022:SEPBIL Industry EcoDev, TWO 37 - Econ..	500,000
				Low Carbon Tech Demos, TWO 27 - Low Carbon..	66,100
				New Construction Housing, TWO 16 - Bldgs of E..	110,000
				NYCH: Supply Chain, TWO 3 - Clean Heat Conn..	400,000
				TWO 8 - Induction Cooking	472,060
				TWO 18 - Single Family Mktg	1,000,000
				TWO 36 -Clean Energy Hubs Mktg	500,000
	TWO 39 - C&I Spon Content	116,000			
	L&S Energy Services, Inc.	STATEWIDE	Statewide	REV Campus Challenge, L&S Program Support	17,500
				Tech Assistanc Multifamily LMI, Cross-sector Pro..	123,468
				Technical Services, Cross-sector Program Suppo..	123,468

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	L&S Energy Services, Inc.	STATEWIDE	Statewide	Technical Services, L&S Program Support	52,500
	Levitan & Associates, Inc.	STATEWIDE	Statewide	BR: Program Implementation, BR Auction RFP T..	280,000
				REC4:CES REC4 Tech Support, TWO 2 CES So..	234,153
				REC:CES REC System Dev Costs, TWO 3 Trans..	252,950
	Little Bavaria Inc	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2024 Employee ..	5,375
	LM Language Services, Inc.	STATEWIDE	Statewide	OREC: Technical Support, LM Language Service..	100,000
				Technical Services, Translation of EmPower+ an..	29
				Translation of EmPower+ and Ag	5,154
	Local 32BJ Thomas Shortman..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON3981 Round 18	251,148
	Logical Efficiency LLC	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, Eval Clean Wate..	174,000
	Low Income Investment Fund	STATEWIDE	Statewide	NY Green Bank, LIIF (RFP 23)	25,000,000
	M.J. Beck Consulting LLC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, RESRFP23-..	40,500
	Manifold Robotics, Inc.	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	457,500
	Marine Drive JV LLC	STATEWIDE	Statewide	NY Green Bank, Marine Drive Redevelopment	3,300,000
	Mark MaGrann Associates	STATEWIDE	Statewide	HCR Direct Injection, HCR TWO – 200 Court Str..	75,000
	Marriott Hotel Services	STATEWIDE	Statewide	OREC: Technical Support, NY/NJ OSW Supplier ..	198,858
	McKinsey & Company, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, RFP5293 GHG Cap & Inv..	522,000
	Meltwater News US Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Corporate Comm..	62,000
	MicroEra Power, Inc.	STATEWIDE	Statewide	Thermal Energy Storage, Community Heat Pump..	1,126,578
	Minority Millennials	STATEWIDE	Statewide	OREC: Technical Support, 2024 We Are The Fut..	20,000
	Mintz, Levin, Cohn, Ferris, Glo..	STATEWIDE	Statewide	Cleantech Ignition, RFP 12 - NYGB Legal Servic..	9,882
	MRV Group LLC	STATEWIDE	Statewide	OREC: Technical Support, 2024 NCELC Summit ..	25,000
	Mzansi Clean Energy LLC	STATEWIDE	Statewide	Capital Planning, Federal Funding Strategy	50,000
	National Grid	STATEWIDE	Statewide	EVAL MCDC: TRM Support, TRM membership p..	136,038
	Natural Resources Defense C..	STATEWIDE	Statewide	NEW YORK GREEN BANK, 2023 GBN Member..	8,000
	NECEC Institute	STATEWIDE	Statewide	Electric Vehicles - Innovation, NCEC/AEG Northe..	10,000
				Empire Building Challenge, BENYC 2023 Confer..	8,333
				Low Carbon Tech Demos, BENYC 2023 Confere..	8,333
				New Construction Housing, BENYC 2023 Confer..	8,333
	Talent Pipeline:CE and OJT, BENYC 2023 Confe..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, BENYC 2023 Confe..	10,000
				NYCH: Critical Tools, Sponsorship Agreement	50,000
				NYCH: Critical Tools, Sponsorship Agreement	50,000
	New Buildings Institute, Inc.	STATEWIDE	Statewide	NYCH: Critical Tools, Sponsorship Agreement	50,000
	New York Association of Train..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, 2024 Youth Partitio..	10,000
	New York Real Estate Chamb..	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYREC Membershi..	10,000
	New York Solar Energy Industries Assoc.	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	399,928
				NY-SUN, Sponsorship	20,000
	Niagara Frontier Automobile D..	STATEWIDE	Statewide	Electric Vehicles - Innovation, 2024 Buffalo Auto ..	5,900
	Noresco LLC	STATEWIDE	Statewide	Code to Zero, Third-party E-Code Support	45,820
	Northeast States for Coordinated Air Use	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, TWO 2 RESHE..	192,520
				RENEWABLE HEAT NY, TWO 2 RESHEAT	257,480
	Norton Rose Fulbright US LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12: NYGB Leg..	388
	NY DRS Finco XI, LLC	STATEWIDE	Statewide	NY Green Bank, DRS Development	3,000,000
	NYS Office of General Services	STATEWIDE	Statewide	RTEM and Tenants, EE/BE Technical Conference	5,000
	NYS Office of Parks, Recreati..	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, CNCED 2021 - Fre..	1,868,776
	NYS OGS	STATEWIDE	Statewide	EV Charging and Engagement, Lithium Ion Safet..	15,400
	Open Buffalo Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON 4772 R3	40,000
Opinion Dynamics Corporation	STATEWIDE	Statewide	Cleantech Startup Growth, RFQ3183 Umbrella A..	16,585	
			NYCH: Comfort Home, TWO # 1 RFQL 4162	464,777	
Orrick Herrington & Sutcliffe L..	STATEWIDE	Statewide	Cleantech Ignition, RFP 12: NYGB Legal Services	5,355	
Overbite Productions	STATEWIDE	Statewide	OREC: Technical Support, OSW EJTWG website..	50,000	
Owahgena Consulting, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, Technical Consulting Su..	50,000	
OYA Renewables Developme..	STATEWIDE	Statewide	NY Green Bank, Greenbacker Capital - OYA Sol..	300,000	
Pace University	STATEWIDE	Statewide	OREC: Technical Support, ATWG Tech Services	20,000	
Passive House Accelerator LLC	STATEWIDE	Statewide	New Construction Housing, BOE R4 Award Event	40,000	
			New Construction Housing, Reimagine Festival E..	60,000	
			New Construction- Commercial, BOE R4 Award ..	10,000	
			New Construction- Commercial, Reimagine Festi..	15,000	
People United for Sustainable ..	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, CNCED 2021- PU..	137,817	
Performance Systems Development	STATEWIDE	Statewide	Expand and validate Category 6	194,850	
			Market Support Tools &Activity, Expand and valid..	859,428	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Performance Systems Development	STATEWIDE	Statewide	NYCH: Comfort Home, Expand and validate Cate..	194,850
	Pivotal 180, LLC	STATEWIDE	Statewide	2023 New Hire Modeling Course	1,600
				NYSERDA ADMINISTRATION, Pivotal180 Tax E..	20,000
	Power Advisory LLC	STATEWIDE	Statewide	BR: Program Implementation, BR TWO Power A..	200,000
				BR: Program Implementation, BRRFP23-1 TEP I..	36,800
				OREC: Technical Support, TWO 4 IE Michael Kill..	85,000
	PowerGEM, LLC	STATEWIDE	Statewide	BR: Screening, TWO - Build Ready - Cat 1	450,000
	Propmodo Inc.	STATEWIDE	Statewide	RTEM and Tenants, 2023 PropTech Challenge	8,500
	Quanta Technology LLC	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	400,000
				REC:CES REC System Dev Costs, Transmission..	271,429
	Ramboll Americas Engineerin..	STATEWIDE	Statewide	Gas Innovation Studies, TWO 3 DPS UTEN Tech..	999,045
	RE-Nuble, Inc.	STATEWIDE	Statewide	A2 - Enabling Challenge	515,552
	Reactive Technologies USA I..	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	3,000,000
	Red Rochester LLC	STATEWIDE	Statewide	NY Green Bank, RED Rochester Upsize	18,500,000
	Regional Greenhouse Gas Init..	STATEWIDE	Statewide	ENERGY ANALYSIS, RGGI 2024 Funding Agree..	869,664
	Reos US Inc.	STATEWIDE	Statewide	Empire Building Challenge, Facilitation Services&..	22,000
	Resources for the Future Inc	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #3 Carbon Pricing R..	149,985
	Responsible Offshore Science..	STATEWIDE	Statewide	OREC: Technical Support, 2023 ROSA Members..	50,000
	Restoring Communities Housi..	STATEWIDE	Statewide	Direct Injection Program, Multifamily	1,000,000
	Rizzo Compliance Solutions, ..	STATEWIDE	Statewide	Expeditor Services NYC Offices	806
	Rock Property Management C..	STATEWIDE	Statewide	Retrofit NY, PON 4026 RetrofitNY Gap Fundin	2,640,000
	Rocky Mountain Institute	STATEWIDE	Statewide	Empire Building Challenge, Cohort 3 Support for ..	50,000
	Rutgers University	STATEWIDE	Statewide	OREC: Technical Support, Surfclams to Support ..	499,112
	Ruzov & Associates	STATEWIDE	Statewide	OREC: Technical Support, Economic Benefits Su..	200,000
	S&P Global Inc.	STATEWIDE	Statewide	>200KW PV, IHS Market Subscription	21,667
				Cl Engy Siting & Soft Cost Red, IHS Market Subs..	21,667
				NYSERDA ADMINISTRATION, IHS Market Subs..	21,667
	Salary.com, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, HR Data Subscri..	15,300
	Scenic Hudson, Inc.	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, CNCED-2022 Sce..	2,000,000
	Sive Paget & Riesel PC	STATEWIDE	Statewide	REC4:CES REC4 Tech Support, TWO 9 - Tier 4 ..	50,000
				NEW YORK GREEN BANK, RFP 12: NYGB Leg..	74
	Slipstream Group, Inc.	STATEWIDE	Statewide	RFP 12: NYGB Legal Services	16,763
				GJGNY REVOLVING LOAN FUND, Small Comm..	46,150
	Smith Engineering PLLC	STATEWIDE	Statewide	NYCH: Industry Partnerships, PON 3715 (R15) B..	76,143
				Workforce Industry Partnership, Brookfield 5	142,216
	Social Finance Inc.	STATEWIDE	Statewide	Social Finance Contract	526,477
	Sol Developments, LLC	STATEWIDE	Statewide	HCR Direct Injection, HCR TWO – Harrison Plac..	75,000
	St. Francis Friends of the Poo..	STATEWIDE	Statewide	Direct Injection Program, St. Francis Electrification	1,000,000
	Standard Potential Co.	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, Long Duration E..	100,000
	Stantec Consulting Services, I..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, W..	725,328
	Staples, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Staples Office S..	3,000
	State University of New York-..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON 4772 R3 (Lad..	40,000
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	Multifam Performance Pgm, Multifamily	10,000
				NYCHA EM TWO 2023	597,703
	Stony Brook University	STATEWIDE	Statewide	OREC: Technical Support, 2024 State of the Scie..	16,100
	SUNY - ESF	STATEWIDE	Statewide	Natural Carbon Solutions, A3 - Measurement, Mo..	546,534
Sustainable Comfort, Inc	STATEWIDE	Statewide	Direct Injection Program, HCR TWO #4 – 753 Cl..	75,000	
			HCR Direct Injection, HCR TWO #5 – Perry	75,000	
Switched Source PB LLC	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	1,806,000	
Syracuse University	STATEWIDE	Statewide	Building Envelope Systems, Advanced Buildings	800,000	
Taitem Engineering, P.C.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, SQA Charge Read..	52,500	
			Direct Injection Program, HCR TWO – Parliamen..	75,000	
			EV Charging and Engagement, SQA Charge Rea..	47,500	
			HCR Direct Injection, HCR TWO –Center City Co..	75,000	
			NYSERDA ADMINISTRATION, TWO 1 - C-Pace ..	25,000	
			TWO CH4A M&V Services	316,843	
			Remote Energy Management, Technical Support..	473,000	
Tallarna Limited	STATEWIDE	Statewide	REV Connect, IMS PON 4359 - Tallarna	1,000,000	
Tetra Tech, Inc.	STATEWIDE	Statewide	OREC: Technical Support, TWO 2 - OSW F-TW..	1,500,000	

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Statewide	The Architectural League of New York	STATEWIDE	Statewide	New Construction Housing, Blue Ribbon Design ..	40,000				
				New Construction- Commercial, Blue Ribbon Des..	10,000				
	The Bonadio Group	STATEWIDE	Statewide	OREC: Technical Support, LSR Proposal Eval & ..	37,500				
				REC:CES REC System Dev Costs, LSR Proposa..	37,500				
	The Cadmus Group, LLC	STATEWIDE	Statewide	Code to Zero, RFQ3183 Umbrella Agreement	191,358				
				ENERGY ANALYSIS, BEEM Redevelopment: Ph..	149,975				
				ENERGY ANALYSIS, TWO #1 BEEM Revision	150,000				
				ENVIRONMENTAL RESEARCH, TWO 14 - Heat..	368,000				
				Eval MDCD Cross Cutting, Statewide Multifamily ..	451,697				
				Housing Agencies Support, Tech Asst Affordable..	250,000				
				OREC: Technical Support, TWO #17 OSW TWG ..	498,338				
				REV Campus Challenge, Umbrella Agreement	140,000				
				OREC: Technical Support, Monitoring Eco Effect..	351,636				
	The Nature Conservancy	STATEWIDE	Statewide	OREC: Technical Support, IE Doug Pfeister OS..	110,000				
				OREC: Technical Support, TWO#4 Vessel Analy..	75,000				
	The Research Foundation for ..	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, EMEP Air Qual..	449,826				
	Town of Colonie Parks & Recr..	STATEWIDE	Statewide	Clean Energy Communities, CEC410033- Town ..	15,000				
	Town of Cortlandt	STATEWIDE	Statewide	Clean Energy Communities, CEC510632-EV Ch..	11,433				
	Town of Manlius	STATEWIDE	Statewide	Clean Energy Communities, CEC200236 - EV C..	10,000				
	TRC Companies, Inc.	STATEWIDE	Statewide	NYCH: Supply Chain, Single Family Residential	2,675,000				
	TRC Energy Services	STATEWIDE	Statewide	EVPRZ:Implementation, SA.071_TWO#20_Clea..	53,501				
				Multifam Performance Pgm, SA.012_TWO #5_M..	175,000				
				Multifam Performance Pgm, SA.014_TWO #7_M..	100,000				
				Multifam Performance Pgm, SA.016_TWO #8_M..	65,000				
				Multifam Performance Pgm, SA.017_TWO #9_M..	190,000				
				New Construction Housing, SA.040_TWO #36-N..	9,000				
				New Construction Housing, SA.040-M6a - TWO ..	16,500				
				New Construction Housing, SA.040-M6b - TWO ..	2,750				
				New Construction Housing, SA.042_TWO#17 - N..	23,280				
				New Construction- Commercial, SA.040_TWO #..	4,500				
				New Construction- Commercial, SA.040-M6a - T..	8,250				
				New Construction- Commercial, SA.040-M6b - T..	1,375				
				New Construction- Commercial, SA.042_TWO#1..	11,640				
				Single Family New Construction, SA.040_TWO #..	4,500				
				Single Family New Construction, SA.040-M6a - ..	8,250				
				Single Family New Construction, SA.040-M6b - ..	1,375				
				Single Family New Construction, SA.042_TWO#..	11,640				
				Strategic Energy Manager, SA.007_TWO #12_E..	260,000				
					TRC Engineers, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	299,996
								EMPOWER NY, TWO #7 - Single Family Res SS	623,039
								ESTOR: Implementation Support, TWO #6 - Reta..	48,040
								Home Perf w Energy Star, TWO #7 - Single Fami..	299,996
								NENY:CHGE Empower Electric, TWO #7 - Singl..	93
								NENY:CHGE Empower Gas, TWO #7 - Single F..	102
								NENY:Con Ed Empower Electric, TWO #7 - Singl..	410
								NENY:Con Ed Empower Gas, TWO #7 - Single F..	1,220
								NENY:NIMO Empower Electric, TWO #7 - Single..	736
NENY:NIMO Empower Gas, TWO #7 - Single Fa..	1,472								
NENY:NYSEG Empower Electric, TWO #7 - Sing..	1,369								
NENY:NYSEG Empower Gas, TWO #7 - Single ..	3,400								
NENY:O&R Empower Electric, TWO #7 - Single ..	429								
NENY:O&R Empower Gas, TWO #7 - Single Fa..	1,118								
NENY:RGE Empower Electric, TWO #7 - Single ..	550								
NENY:RGE Empower Gas, TWO #7 - Single Fa..	1,313								
NYCH: Comfort Home, TWO #7 - Single Family ..	199,998								
NYCH: Consumer Awareness, TWO #5 - Co-Op ..	45,000								
NYCH: District, CH&C Technical Support	244,541								
NYCH: Technical Assistance, TWO #7 - Single F..	299,996								
NYSERDA ADMINISTRATION, TWO #3 Call Ce..	470,286								

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	TRC Engineers, Inc.	STATEWIDE	Statewide	TWO #7 - Single Family Res SS	7,579,976
	TRC Environmental Corporation	STATEWIDE	Statewide	SA.003_TWO# 2_NY-SUN_PM1	529,800
				SA.005_TWO# 1_AES_PM1	424,740
	Troy Local Development Corp..	STATEWIDE	Statewide	NYCH: District, City of Troy PH 1A	4,000,000
	TruFund Financial Services, L.	STATEWIDE	Statewide	NY Green Bank, TruFund (RFP 23)	10,000,000
	Tully Rinckey Foundation, Inc	STATEWIDE	Statewide	OREC: Technical Support, VETCON 2023 Spons..	6,000
	University of North Carolina at..	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, AQHE PON 39..	124,946
	University of Rochester	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Methane Meas..	290,332
				Workforce Industry Partnership, PON 3715 (R15)..	316,780
	US Building Performance Ass..	STATEWIDE	Statewide	Market Support Tools &Activity, 2024 NY CE for ..	100,000
	VEIR	STATEWIDE	Statewide	Future Grid Perf. Challenges, POLES Project	2,119,159
	Ventolines B.V.	STATEWIDE	Statewide	OREC: Technical Support, Offshore Wind	50,000
				OREC: Technical Support, TWO #4 MP2.0 Cost ..	150,000
	Vervent Inc.	STATEWIDE	Statewide	GJGNY REVOLVING LOAN FUND, Financing S..	350,000
	Village of Baldwinsville	STATEWIDE	Statewide	Clean Energy Communities, CEC200177 - LED ..	10,000
	Village of Homer	STATEWIDE	Statewide	Clean Energy Communities, CEC200285 - V.o. H..	10,000
	Village of Montour Falls	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON 4772 R3 (Aaro..	40,000
	Village of Pelham	STATEWIDE	Statewide	Clean Energy Communities, CEC500806 - EV La..	10,000
	Village of Pleasantville	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, CEC500..	10,000
	VSE Corporation	STATEWIDE	Statewide	EVPRZ:Implementation, Implementation Support ..	1,170,758
	Wendel Energy Services, LLC	STATEWIDE	Statewide	CGSI-89 - CT CGSI Studies	132,653
				FT15196 - CT FTC Studies	404,536
	West Harlem Environmental A..	STATEWIDE	Statewide	Equitable Engagement, WE ACT 2023 Gala	15,000
	West Monroe Partners, LLC	STATEWIDE	Statewide	Consumer Ed and Market Support, RFP4886 RE..	1,380,000
				Home Perf w Energy Star, RFP4886 RES Market..	100,000
				Market Support Tools &Activity, RFP4886 RES M..	1,970,000
				NYCH: Comfort Home, RFP4886 RES Market En..	690,000
				NYCH: Technical Assistance, RFP4886 RES Mar..	1,035,000
				RFP4886 RES Market Engagement	1,725,000
	West Publishing Corporation	STATEWIDE	Statewide	NEW YORK GREEN BANK, Westlaw Core Plan ..	90,376
	WHHC Renaissance & Redev..	STATEWIDE	Statewide	Direct Injection Program, TMN 1002	2,000,000
	Wildlife Conservation Society.	STATEWIDE	Statewide	Environmental Research, Cetaceans Baseline in ..	97,550
	Wood Mackenzie Inc	STATEWIDE	Statewide	ESTOR: Implementation Support, Wind, Solar, & ..	39,380
				NY-SUN, Wind, Solar, & Storage Subscr.	65,628
				REC:CES REC System Dev Costs, Wind, Solar, ..	70,068
	Worley Group, Inc.	STATEWIDE	Statewide	OREC: Technical Support, Determination Study ..	60,000
WSP USA Corp.	STATEWIDE	Statewide	Clean Energy Communities, TA Community Sup..	900,000	
Wythe Partners LLC	STATEWIDE	Statewide	NYCH: Innovation, Panelized Systems - Cycle	350,000	
Western New York	132 Dingens Street, LLC	Erie	National Grid	<200KW PV, NY-Sun	300,122
	Adam C. Boese	Cattaraugus	NYS Electric and Gas	Technical Services, AEAP 1651 - R&D Adams D..	6,000
		Erie	NYS Electric and Gas	Technical Services, AEAP 1628 - Thorpes Organic	6,000
	Akron Central School District	Erie	Municipal Utilities	Electric Vehicles - Innovation, FT14820 - Akron C..	37,909
	Alfred University	Allegany	NYS Electric and Gas	Talent Pipeline:CE and OJT, PON3981 Round 14	466,853
	Antares Group, Inc.	Cattaraugus	NYS Electric and Gas	CLEAN TRANSPORTATION, CGSI-80E - Rando..	25,454
				K-12 SCHOOLS, CGSI-80E - Randolph CSD	77,649
		Chautauqua	National Grid	CLEAN TRANSPORTATION, CGSI-79E - Sherm..	21,266
				K-12 SCHOOLS, CGSI-79E - Sherman CSD	59,974
	Buffalo Solar Solutions Inc	Erie	NYS Electric and Gas	Technical Services, FT14915 - Buffalo Zoo	54,354
				<200KW PV, PON 2112 NY SUN	47,336
		Niagara	National Grid	Talent Pipeline:CE and OJT, OJT	23,040
	Buffalo Vineyard	Erie	National Grid	<200KW PV, NY-Sun	207,113
				Talent Pipeline:CE and OJT, PON 4772 R3 Merc..	40,000
	Busti Solar Project LLC	Chautauqua	National Grid	>200KW PV, NY Sun	305,748
				NY Sun	764,370
	C&R Housing Inc.	Erie	National Grid	OJT	15,120
	CIR ELECTRICAL CONSTRUCTION CORP.	Chautauqua	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,095
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	15,228
	CleanFiber LLC	Erie	National Grid	OJT	72,040
				Talent Pipeline:CE and OJT, OJT	28,400

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	CPL Architects, Engineers, Landscape	Allegany	Rochester Gas and Electric	CLEAN TRANSPORTATION, CGSI-72_CT - Fill..	42,490
		Cattaraugus	Municipal Utilities	CGSI-95 - Salamanca City CSD	55,000
			National Grid	Electric Vehicles - Innovation, P12GC-92_CT - AI..	22,524
		Chautauqua	Municipal Utilities	CLEAN TRANSPORTATION, CGSI-65CT - Broct..	37,525
			NYS Electric and Gas	Electric Vehicles - Innovation, CGSI-33 -Silver Cr..	40,820
	Delaware River Solar, LLC	Chautauqua	NYS Electric and Gas	>200KW PV, NY Sun	189,540
	Ecovis Group Inc	Erie	National Grid	<200KW PV, NY-Sun	282,150
	Erie Coast Solar, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	156,600
				NY Sun	391,500
				NY-SUN, NY Sun	219,240
	Green Machine Equipment Inc	Erie	National Grid	Talent Pipeline:CE and OJT, PON 4772 R3 (Roy..	40,000
	Greenstar Home Services	Erie	National Grid	OJT	16,000
	GSPP 4578 Felton Hill Road East LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	156,130
				NY-SUN, NY Sun	218,582
	GSPP 4578 Felton Hill Road West LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	305,100
				NY-SUN, NY Sun	427,140
	Hyphen Strategies LLC	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, W..	55,000
	IBC Engineering PC	Chautauqua	Municipal Utilities	CGSI-75_E - Jamestown PS	183,699
	KC Management Holdings LLC	Erie	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	63,840
				OJT	14,400
	Leonard Bus Sales, Inc.	Erie	NYS Electric and Gas	NYSBIP - Orchard Park SD	882,000
	Matthews Buses Incorporated	Cattaraugus	NYS Electric and Gas	CLEAN TRANSPORTATION, NYTVIP - Pine Vall..	200,000
	Meltek Inc.	Erie	National Grid	OJT	7,693
	National Solar Technologies	Cattaraugus	National Grid	<200KW PV, NY-Sun	258,216
				NY-SUN, NY-Sun	51,643
				>200KW PV, NY Sun	312,984
	New Leaf Energy, Inc.	Chautauqua	NYS Electric and Gas	NY Sun	798,108
				NY-SUN, NY Sun	453,826
				NYCH: Talent Ppln:CE and OJT, OJT	24,960
	Noco Energy Corp.	Erie	National Grid	Tech Assistanc Multifamily LMI, FT17070 - ODS ..	7,048
				NYS Electric and Gas	Tech Assistanc Multifamily LMI, FT17047 - 6113 ..
	OurGeneration LLC	Chautauqua	National Grid	>200KW PV, NY Sun	732,888
				NY Sun	1,832,220
				NY-SUN, NY Sun	1,026,043
	People Inc	Erie	National Grid	New Construction Housing, NCP Housing 2022	260,000
	Pure Performance Renewable..	Erie	National Grid	OJT	6,400
	RESunance, LLC.	Cattaraugus	NYS Electric and Gas	>200KW PV, NY Sun	716,041
				NY Sun	1,790,100
				NY-SUN, NY Sun	1,002,455
	SANFILIPPO SOLUTIONS INC.	Chautauqua	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	5,760
				OJT	18,560
				Talent Pipeline:CE and OJT, OJT	6,080
	SL Dunkirk, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	312,390
NY Sun				780,975	
NY-SUN, NY Sun				437,346	
SL Evans, LLC	Erie	National Grid	>200KW PV, NY Sun	604,653	
			NY-SUN, NY Sun	840,906	
Sol Source Power, LLC	Erie	National Grid	>200KW PV, NY Sun	375,000	
			NY Sun	937,500	
Solar Liberty Energy Systems,..	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	13,776	
Sustainable Energy Developm..	Erie	National Grid	<200KW PV, NY-Sun	268,400	
SWBR Architecture, Engineeri..	Allegany	National Grid	K-12 SCHOOLS, CGSI-81D - Cuba-Rushford CS..	61,910	
Time Release Sciences, Inc.	Erie	National Grid	<200KW PV, NY-Sun	261,800	
TM Montante Solar Developments, LLC	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	45,752	
		Erie	National Grid	<200KW PV, NY-Sun	5,460
	Niagara	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	73,838	
		National Grid	<200KW PV, PON 2112 NY SUN	37,144	
U.S. Department of Energy/Wv	Cattaraugus	National Grid	WVDP PO – FFY 2024	17,700,000	
W.N.Y. Bus Parts Inc	Erie	National Grid	NYSBIP - Evans-Brant SD	199,500	

Projects Selected for Funding by Region

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Western New York	W.N.Y. Bus Parts Inc	Erie	NYS Electric and Gas	NYSBIP - Iroquois SD	350,000	
				Wendel Energy Services, LLC	Erie	National Grid
	FT17026 - Grand Island CSD (1)	36,120				
	Technical Services, FT14773 - UB North Campus	439,005				
	Technical Services, FT14774 - UB North Campus	431,445				
	Technical Services, FT15001 - Life Technology -..	87,078				
	WinnDevelopment Company ..	Erie	National Grid	NYS Electric and Gas	CLEAN TRANSPORTATION, CGSI-86 - Holland ..	47,915
				LMI Multifamily Demos, Stovroff Towers: EBC Co..	100,000	
	Grand Total					676,229,904

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Contractor	Contract Description	Total Expended Amount
3 BP REIT	Technical Services, OsEM102-C - Hines - 3 BP REIT	53,700
3rd ROC Solar LLC	<200KW PV, PON 2112 NY SUN	101,841
22nd Century Technologies, Inc.	Home Perf w Energy Star, TWO #2 Single Family Res. BA -	54,463
	Intelligent Buildings, TWO # 4 Sr. BA - Sifkat Medhi	36,998
	Tech Assistanc Multifamily LMI, SA.006_TWO# 1_EPE_APM	1,860
25-74 33rd Street Owner, LLC	Multifam Performance Pgm, Multifamily	17,280
50 HYMC Owner LLC	Commercial New Construc, NCP15018-50 HudsonYards-OFLT	327,046
63 Madison Owners LLC	Technical Services, FT13966 - 63 Madison - PON	1,138
70 West MM LLC	Multifam Performance Pgm, Multifamily	5,450
108 St. Edwards Housing Developmen..	New Construction Housing, NCP Housing 2022	84,000
132 Dingens Street, LLC	<200KW PV, NY-Sun	299,754
149-151 Grand Street HDFC	Multifam Performance Pgm, Multifamily	1,944
200 Madison Owner LLC	Technical Services, FT13967 - 200 Madison - PON	1,138
212 Solar Development, LLC	Energy Storage Tech/Prod Dev, Site 1 - PON4169 Round #1	100,000
	Energy Storage Tech/Prod Dev, Site 2 - PON4169 Round #1	100,000
223 East 25th Street LLC	Buildings of Excellence, Buildings of Excellence R1	29,552
	New Construction Housing, 2019 MFCNP	640
237 State Route 96 Site 1, LLC	>200KW PV, NY Sun	440,629
	NY-SUN, NY Sun	207,499
237 State Route 96 Site 2, LLC	>200KW PV, NY Sun	412,386
	NY-SUN, NY Sun	203,336
375 Park Avenue Investors LP	Technical Services, FT14317 - 375 Park - PON	2,698
414 Gerard LLC	New Construction Housing, NCP Housing	49,440
445 GERARD OWNER LLC	<200KW PV, NY-Sun	47,520
	>200KW PV, NY-Sun	142,560
545 Sackett LLC	New Construction Housing, NCP Housing	45,900
570 Broome Condominium	Technical Services, FT14650 - 570 Broome	18,045
770 Electric Corp.	<200KW PV, NY-Sun	66,816
	>200KW PV, NY-Sun	111,360
	>200KW PV, PON 2112 NY SUN	96,000
1500 Lexington Associates LLC.	Multifam Performance Pgm, Multifamily	7,596
2018 Vento XVIII LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,670,248
2050 G.C. Housing Development Fund..	New Construction Housing, New Construction	38,800
3104 Batavia Solar, LLC	>200KW PV, NY Sun	220,174
3232 Batavia Solar, LLC	>200KW PV, NY Sun	211,048
AASPEN HVAC	NYCH: Talent Ppln:CE and OJT, OJT	44,218
AB Capital Assets, LLC	OJT	1,345
Abt Associates Inc.	ENERGY ANALYSIS, TWO 2 formerly 30191 TWO #5	43,589
	ENERGY ANALYSIS, TWO #3 Pathways Health Phase 2	3,115
	ENERGY ANALYSIS, TWO#1 Pathways Health	9,033
	ENVIRONMENTAL RESEARCH, TWO #3 Pathways Health Phase 2	3,115
	TWO #3 Pathways Health Phase 2	51,341
Abundant Solar Power (A2), LLC	>200KW PV, NY Sun	2,029,563
	NY-SUN, NY Sun	1,488,346
Abundant Solar Power (CC3), LLC	>200KW PV, NY Sun	810,937
Abundant Solar Power (E1), LLC	>200KW PV, NY Sun	951,782
Abundant Solar Power Inc.	>200KW PV, NY Sun	345,371
	NY-SUN, NY Sun	456,449

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Contractor	Contract Description	Total Expended Amount
Acacia Real Estate Development Inc.	Multifam New Construction, New Construction	50,000
Accion Group, LLC	REC:CES REC System Dev Costs, RFP 4146 LSR Support	59,257
Accord Power, Inc.	<200KW PV, NY-Sun	24,422
	<200KW PV, PON 2112 NY SUN	6,480
	>200KW PV, NY-Sun	15,486
	>200KW PV, PON 2112 NY SUN	126,752
	COMMUNITY SOLAR, PON 2112 NY SUN	6,400
	NY-SUN, PON 2112 NY SUN	11,440
Actalent Inc	ESTOR: Implementation Support, SA.115_TWO#14 DER	74,068
	NYCH: District, SA.005_TWO #2_CHC_PM	0
	REC:CES REC System Dev Costs, SA.101_TWO#13-LSR_PM-1	9,742
	SA.114a TWO#15 BR	69,433
Activate Global, Inc	Carbontech Development, Carbontech Fellowship Program	1,400,000
Active Energy Systems, Inc.	NYCH: Innovation, NEXT-GENERATION ICE THERMAL EN	49,000
Active Solar Development, LLC	<200KW PV, NY-Sun	194,740
	<200KW PV, PON 2112 NY SUN	10,465
	>200KW PV, NY Sun	155,654
	NY-SUN, NY Sun	90,798
Adam C. Boese	Technical Services, AEAP 1364 - Robbiehill Family	5,380
	Technical Services, AEAP 1441 - Georges Nursery	5,380
	Technical Services, AEAP 1453 - Ronnybrook Farm	6,000
	Technical Services, AEAP 1481 - My BAR K Meadows	5,840
	Technical Services, AEAP 1523 - Ken Corscadden	5,840
	Technical Services, AEAP 1548 - Bridgedale Farms	5,240
	Technical Services, AEAP 1554 - Robbins Family	5,600
	Technical Services, AEAP 1574 - North Harbor Dair	6,000
	Technical Services, AEAP 1589 - Garden Time	5,380
	Technical Services, AEAP 1619 - Hawthore Valley	6,000
	Technical Services, AEAP 1628 - Thorpes Organic	6,000
	Technical Services, AEAP1346 - Andy & Margaret	6,000
	Technical Services, FT13554 - Agricul. Best - FTC	8,640
	Technical Services, GH 11 - Garden Time	6,500
Adirondack Farms LLC	ANAEROBIC DIGESTER, RPS ADG - Adirondack	5,083
Adirondack North Country Association	Cat B - Renewables and Innovat	74,966
	Clean Energy Hub, Regional Clean Energy Hub	224,503
ADK Solar	<200KW PV, NY-Sun	6,300
	<200KW PV, PON 2112 NY SUN	11,091
	OJT	6,280
ADL Ventures LLC	Cleantech Incubator, CliamteTech Growth Platform	666,304
Advent Software Luxembourg S A R L	NEW YORK GREEN BANK, Fund Administration/Loan Inves	237,442
Adviser Compliance Associates, LLC	ComplianceAlpha + e-learning	14,000
	Managed Services	7,738
	NEW YORK GREEN BANK, ComplianceAlpha + e-learning	0
AECOM USA INC.	Code to Zero, NYC DOB	141,586
	Empire Building Challenge, Minibid5327 EBC Tech Reviewer	73,022
	REV Campus Challenge, Tech Review_Program Support	9,489
	REV Connect, Minibid5327 EBC Tech Reviewer	20,994
	Tech Assistanc Multifamily LMI, Tech Review_Program Support	5,928

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Contractor	Contract Description	Total Expended Amount
AECOM USA INC.	Technical Services, FT14575 - 156 W 95th -MF-LCCP	8,963
	Technical Services, Tech Review_Program Support	31,583
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - Cannon Heights	53,460
	Combined Heat and Power, CHPA-Centers-Triboro/DOJ	191,664
AES DE RS X, LLC	>200KW PV, NY-Sun C&I	366,054
AES DE RS XI, LLC.	>200KW PV, NY-Sun C&I	488,582
	NY-SUN, NY-Sun C&I	363,184
	Solar Plus Energy Storage, NY-Sun C&I	0
AES DE RS XV, LLC	>200KW PV, NY Sun	167,564
AES Distributed Energy, Inc.	>200KW PV, NY Sun	275,125
	>200KW PV, NY-Sun	304,536
	>200KW PV, NY-Sun C&I	249,421
Affordable Housing Partnership	Clean Energy Hub, Regional Clean Energy Hub	258,389
	CLEANER GREENER COMMUNITIES, CGC54941 - AHP	348,091
Agarabi Engineering, PLLC	OJT	24,748
AI-ALT STRUCTURAL ENGINEERING ..	OJT	6,155
AIA - New York Chapter	New Construction Housing, General Marketing 2023-2023	6,650
	New Construction- Commercial, General Marketing 2023-2023	2,850
Air Company Holdings, Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 Diana Bunge	21,220
Air-Conditioning, Heating & Refrigerat..	NextGen HVAC, HVAC Materials Testing	220,829
Aircuity, Inc.	Real Time Enrgy Management, Aircuity-85 Murray Hill-RTEM	6,233
AKF-engineers	Empire Building Challenge, EBC COHORT 2 TA CONTRACT AKF	52,800
	NYCH: District, PON 4614 Round #1 Rockefeller	53,200
	NYCH: Empire Build Challenge, EBC COHORT 2 TA CONTRACT AKF	27,200
	Technical Services, FT14752 - Mount Sinai Queens -	55,864
	Technical Services, FT14800 - Mount Sinai Advanced	31,800
	Tenant Energy Management, HeatRecC2_AKF_455W37St	19,800
Akimeka, LLC	Electric Vehicles - Innovation, Used EV Sales Demo	12,251
	EVPRZ:Implementation, Clean Transportation	136,448
	OTHER PROGRAM AREA, Hydrogen economic development	25,000
Albany Solar Solutions L.L.C.	<200KW PV, PON 2112 NY SUN	56,120
Albany, City of,	City of Albany	30,000
	Clean Energy Communities, CEC410001- City of Albany	70,000
	Clean Energy Communities, City of Albany	-30,000
	Talent Pipeline:CE and OJT, PON 4772 R3 Desmond Volmar	29,006
All City Engineering P.C.	OJT	12,000
All-State Air Control Sales & Service In	NYCH: Talent Ppln:CE and OJT, OJT	40,320
Allegheny Science & Technology Corporati	Consultant for Residential IRA	144,999
	NYS Clean Energy Transition, TWO 1 - CE Supply Chain Anl	213,719
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	145,985
	>200KW PV, NY-Sun	48,338
	NY-SUN, NY-Sun	9,668
Alliance for Sustainable Energy, LLC	ENERGY ANALYSIS, TWO #7 T&D Tool Dev Co-Optimiz	44,382
	Hydrogen Innovation, TWO 6 NYS Hydro Strategy Study	60,000
alpha-En Corporation	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	122,108
Altanova LLC	Green CHIPS	63,189
	Tech Assistanc Multifamily LMI, FT14846 -Kent Preservation-FTC	23,006
Alternative Carbon Energy Systems Inc	NYCH: Talent Ppln:CE and OJT, OJT	9,059

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Contractor	Contract Description	Total Expended Amount
Alternative Power Solutions of NY, LLC	<200KW PV, PON 2112 NY SUN	27,904
AltPOWER, Inc.	<200KW PV, NY-Sun	382,157
Amalgamated Housing Corporation	Empire Building Challenge, EBC Phase 2 - Amagamated	93,333
	Multifam Performance Pgm, Multifamily	147,213
	NYCH: Empire Build Challenge, EBC Phase 2 - Amagamated	6,667
AMERESCO, Inc.	<200KW PV, PON 2112 NY SUN	140,760
Amergy Solar Inc.	<200KW PV, PON 2112 NY SUN	5,544
	>200KW PV, PON 2112 NY SUN	405,678
American Energy Care, Inc.	<200KW PV, PON 2112 NY SUN	6,599
	OJT	13,858
American Society of Heating,Refrigera..	Technical Services, REQ5420 ASHRAE NY Healthcare	70,000
American Solar Grazing Association, I..	Environmental Research, PON 4270 PV Site Design	20,559
Amherst Community Solar LLC	NY-SUN, NY-Sun - ICSA	318,938
AMP US HoldCo Inc	>200KW PV, NY SUN C&I	1,205,204
AMP US HoldCo Inc.	>200KW PV, NY Sun	3,661,101
	ESTOR:Retail Storage Incentive, Retail Storage	1,626,800
	NY-SUN, NY Sun	1,648,602
Ampersand Chasm Falls Hydro LLC	REC:CES REC Contracts, RESRFP20-1	37,595
Ampersand Electric	OJT	13,022
Ampersand Tannery Island Hydro, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	7,106
AMS Construction Corp	<200KW PV, NY-Sun	20,520
	>200KW PV, NY-Sun	61,560
Andromeda Community Initiative Inc.	NYCH: Talent Ppln:CE and OJT, PON3981 Round 16	171,247
Antares Group, Inc.	ANAEROBIC DIGESTER, ADG - Antares - TWO	2,754
	Anaerobic Digesters, ADG - Antares - TWO	0
	Combined Heat and Power, ADG - Antares - TWO	2,754
	K-12 SCHOOLS, CGSI-39 Yorkshire-Pioneer_E,B	15,479
	Real Time Enrgy Management, Antares mini bid 4982 RTEM	52,920
	REC:CES REC System Dev Costs, TWO for 2 ADG Projects RFP2554	2,460
	RTEM and Tenants, Antares mini bid 4982 RTEM	52,920
	Technical Services, FT14091 - 42 Ridge - FTC	4,065
	Technical Services, FT14915 - Buffalo Zoo	16,935
Apex Energy Tek LLC	<200KW PV, PON 2112 NY SUN	13,920
Apogee Interactive, Inc.	NYCH: Technical Assistance, PON 4423 Round 2	27,494
Apprise, Incorporated	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	6,233
	Eval MCDC: Low Inc Enrgy Bill, TWO 4 - LIEBUS	52,068
	EVAL MCDC: MF LCP Market Eval, TWO 2 - APPRISE MF LCP Survey	58,798
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	6,233
	Home Perf w Energy Star, Energy & Climate Equity	3,190
	Technical Services, RFQ3183 Umbrella Agreement	6,233
APX Inc.	REC2:CES REC2 Syst Development, NYGATS	3,032
	REC:CES REC System Dev Costs, NYGATS	83,769
	ZEC:CES ZEC System Dev Costs, NYGATS	299,357
Arcadis of New York, Inc.	Commercial New Construc, PON 3525 Umbrella Agreement	12,663
	Low Rise New Construction, PON 3525 Umbrella Agreement	36,299
	Low Rise New Construction, SA.039_TWO #2_New Con_PM	0
	Low Rise New Construction, SA.039_TWO #3_New Con_PM	0
	Multifam New Construction, PON 3525 Umbrella Agreement	14,351

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Arcadis of New York, Inc.	New Construction Housing, PON 3525 Umbrella Agreement	8,442	
	New Construction Housing, SA.039_TWO #2_New Con_PM	0	
	New Construction Housing, SA.039_TWO #3_New Con_PM	0	
	New Construction- Commercial, PON 3525 Umbrella Agreement	12,663	
	New Construction- Commercial, SA.039_TWO #2_New Con_PM	0	
	New Construction- Commercial, SA.039_TWO #3_New Con_PM	0	
	ORES Support, ORES Technical Assistance	131,324	
	OTHER PROGRAM AREA, City of Rensselaer JT Planning	37,898	
	OTHER PROGRAM AREA, SA.093_TWO #5_Innovation PM-2	98,737	
	REC:CES REC System Dev Costs, SA.100a_TWO#6-LSR_PM-1	75,624	
	REC:CES REC System Dev Costs, Tech Supp NYGATS - TWO Minibid	12,461	
	SA.113a-TWO#7 BR APM	78,880	
	Single Family New Construction, SA.039_TWO #2_New Con_PM	0	
	Single Family New Construction, SA.039_TWO #3_New Con_PM	0	
	Strategic Energy Manager, SA.046_TWO #4 - EPE	63,679	
	Technical Services, AEAP 1557 - Morts Maple	5,417	
	Technical Services, FT14666 - Town of Ulster - FTC	1,824	
	Technical Services, On-farm Pyrolysis of Dairy	6,398	
	Arcadis U.S., Inc.	ANAEROBIC DIGESTER, ADG - Arcadis - TWO	2,400
		Anaerobic Digesters, ADG - Arcadis - TWO	0
Combined Heat and Power, ADG - Arcadis - TWO		2,400	
Arch Street Communications, Inc.	OTHER PROGRAM AREA, RFP4459 Marketing Support	136,639	
Ardwork Corporation	NYCH: Technical Assistance, FT13859 - 2865 University -PON	22,000	
Arup US, Inc.	HCR Direct Injection, TWO #7 – HCR Project Selection	288,406	
	New Construction Housing, TWO #8 – Tech Support OGS	21,940	
	New Construction- Commercial, TWO #6CN Policy Support 2022	7,393	
	New Construction- Commercial, TWO #8 – Tech Support OGS	21,940	
Ascendant Neighborhood Developme..	NYCH: Technical Assistance, FT13741 - Ascendant - PON	50,100	
Asian Americans for Equality, Inc.	New Construction Housing, NCP Housing	7,800	
Assembly OSM, Inc.	Natural Carbon Solutions, A1 - Building Challenge	4,982	
Association for Energy Affordability, In	Clean Energy Hub, Regional Clean Energy Hub	64,991	
	Low Carbon Tech Demos, Low Carbon Pathways	44,460	
	Regional Clean Energy Hub	148,884	
	Tech Assistanc Multifamily LMI, FT14142 - 201-203 Hamilton-FTC	4,927	
	Tech Assistanc Multifamily LMI, FT14171 - 2950-70 W 24th - FTC	4,594	
	Tech Assistanc Multifamily LMI, FT14176 - 1238 Simpson - FTC	12,671	
	Tech Assistanc Multifamily LMI, FT14180 - 2228 Adam Clay - FTC	9,165	
	Tech Assistanc Multifamily LMI, FT14181 - 2232 1st - FTC	8,141	
	Tech Assistanc Multifamily LMI, FT14185 - 3235 Grand - FTC	12,671	
	Tech Assistanc Multifamily LMI, FT14450- Birchwood 144-44 -FTC	4,144	
	Tech Assistanc Multifamily LMI, FT14862 - Vincent Cyrus Plaza	9,419	
	Tech Assistanc Multifamily LMI, FT14909 - Brighton - 3161	12,918	
	Tech Assistanc Multifamily LMI, FT14911 - Echo Apt. -1050	9,591	
	Tech Assistanc Multifamily LMI, FT14996 - HPHD - 663-67 - FTC	8,288	
	Tech Assistanc Multifamily LMI, FT15013 - Hunts Point Housing	7,500	
	Tech Assistanc Multifamily LMI, FT15017 - Hunts Point Housing	6,000	
	Tech Assistanc Multifamily LMI, FT15018 - Hunts Point Housing	6,000	
	Tech Assistanc Multifamily LMI, FT15019 - Hunts Point Housing	6,000	

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Association for Energy Affordability, In	Technical Services, FT14661- Wythe Properties -FTC	7,500
	Technical Services, FT14704 - Sanford Kissena -FTC	17,738
	Technical Services, FT14781 - Mayflower - FTC	10,810
	Workforce Industry Partnership, PON 3715 (R15) BOM	16,020
Asteri Ithaca, LLC.	New Construction Housing, 2019 MFCNP	165,000
Aztech Geothermal, LLC	NYCH: District, PON 4614 Round4 SE Albany	34,840
Baker Engineering, LLC	Technical Services, FT14622 - Epic Lafayette LLC	5,000
Baldwin Real Estate Development, Co..	Multifam Performance Pgm, Multifamily	42,300
Banks II Quan Associates, Inc.	CI Carbon Challenge, CICC Intl. Paper Tech Review	137,502
Banta Home Corp	Low Rise New Construction, NC Housing 2022	4,300
	New Construction Housing, NC Housing 2022	1,700
Bard Rao + Athanas Consulting Engineers	Code to Zero, TWO #1	885
	New Construction- Commercial, Commercial New Construction	138,628
Barton & Loguidice, D. P.C.	Technical Services, FT13475 - Webster - FTC	5,524
	Technical Services, FT13576 - City of Fulton WPCP	8,517
	Technical Services, FT14057 - 1 Canal - FTC	26,502
	Technical Services, FT14362 - 2 Shermantown - FTC	3,522
Battelle Memorial Institute	Code to Zero, Modeling & Cost Methodology	111,693
Baxt Ingui Architects	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	19,701
BDO USA LLP	Background Investigation Servi	26,200
Beacon Power, LLC	Pub Transit & Elect Rail, Beacon flywheel ESS for NYCT	49,323
Belmont Housing Resources for WNY,..	New Construction Housing, 2019 LRNCP	11,100
Bergmann Associates, Architects,	CGSI Program M&V Support	2,978
	CGSI Program Technical Review	5,000
	CI Carbon Challenge, CICC1902	4,859
	Flexible Tech Assistance, Bergmann Tech Review TWO	5,479
	Industrial Process Effic, IPE16237	238
	K-12 SCHOOLS, Bergmann Tech Review TWO	1,978
	K-12 SCHOOLS, CGSI Program M&V Support	5,956
	K-12 SCHOOLS, CGSI Program Technical Review	8,333
	K-12 SCHOOLS, CGSI-53_E - Copenhagen CSD	15,819
	OTHER PROGRAM AREA, Dunkirk JT Planning Study	14,500
	OTHER PROGRAM AREA, Just Transition Toolkit	12,012
	REV Campus Challenge, Bergmann Tech Review TWO	10,364
	REV Campus Challenge, Tech Review_Program Support	2,979
	Tech Assistanc Multifamily LMI, Bergmann Tech Review TWO	26,960
	Tech Assistanc Multifamily LMI, Program Support_QAQC	2,298
	Technical Services, AEAP 1388 - Apple Acres LLC	2,882
	Technical Services, AEAP 1452 - Rhodes Farm	429
Technical Services, Bergmann Tech Review TWO	30,334	
Technical Services, FT14784 - Midtown Tower - FTC	30,840	
Technical Services, Program Support_QAQC	2,298	
Technical Services, Tech Review_Program Support	19,351	
Best Energy Power	<200KW PV, NY-Sun	926,882
	<200KW PV, PON 2112 NY SUN	139,410
	>200KW PV, NY-Sun	395,050
	>200KW PV, PON 2112 NY SUN	1,279,877
Big Initiatives, Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Isabella Radka Ni	15,417

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Binghamton Housing Authority	Tech Assistanc Multifamily LMI, FT14825 - Binghamton Housing	6,988
Binghamton Regional	Community RH&C, CH&C Communities Round 3	17,250
	NY-SUN, PON 3414 - CDG Toolkit	30,000
	NYCH: LMI, CH&C Communities Round 3	5,750
BioDiversity Research Institute	OREC: Technical Support, TWO 1 - Offshore Wind E-TWG	147,387
Black Mountain Architecture, PLLC	Buildings of Excellence, RFP3928 BMA TWO #1	157,278
Black River Hydroelectric, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	226,365
Blackrock Financial Management, Inc	Commercial New Construc, Commercial New Construction	205,254
BlocPower LLC	Multifam Performance Pgm, Multifamily	8,000
	NYCH: LMI, Community Thermal Networks	35,200
Bloom Energy Corporation	REC:CES REC Contracts, 11th Main Tier Solicitation	21,587
BLUEPRINT POWER TECHNOLOGIES..	High Performing Grid, A DECARBONIZATION BLUEPRINT	22,500
Bond, Schoeneck & King, PLLC	BR: Program Implementation, BR-Outside Legal	20,775
	BR: Program Implementation, TWO 9 - Benson Mines Tax Filin	162
	BR: Program Implementation, TWO 10 - Caswell Project	949
	NYSERDA ADMINISTRATION, TWO 5 Cybersecurity Counsel	112
	NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	16,111
	NYSERDA ADMINISTRATION, TWO 12 - HR Invest	7,529
	NYSERDA ADMINISTRATION, TWO 13 - Employee Training	23,043
	NYSERDA ADMINISTRATION, TWO 14 - DHR Response	8,447
	OREC: Technical Support, TWO 8 - Labor Law Matters	5,621
Bonded Energy Solutions Corp.	NYCH: Talent Ppln:CE and OJT, OJT	25,018
	OJT	44,871
Booz Allen Hamilton, Inc.	Building Envelope Systems, TWO 8 Buildings Innov	80,336
	Cleantech Ignition, TWO16 T2M	152,684
	Energy Storage Tech/Prod Dev, TWO 13 Renewable Opt & Storage	217,476
	Energy Storage Tech/Prod Dev, TWO 18 - CEF 2.0 Petition	91,712
	Future Grid Perf. Challenges, TWO 11 Grid Modernization	338,268
	Future Grid Perf. Challenges, TWO 18 - CEF 2.0 Petition	52,958
	Hydrogen Innovation, TWO 12 Hydrogen & Clean Fuels	460,140
	Innovation, TWO 18 - CEF 2.0 Petition	132,395
	Nat'l OffShWind R&D Consortium, TWO 18 - CEF 2.0 Petition	-38,754
	Natural Carbon Solutions, TWO 10 Negative Emissions Tech	92,771
	Natural Carbon Solutions, TWO 18 - CEF 2.0 Petition	52,959
	NextGen HVAC, TWO 8 Buildings Innov	71,381
	Novel Bus Models & Offers, TWO 18 - CEF 2.0 Petition	52,958
	NYCH: Innovation, TWO 8 Buildings Innov	80,336
	NYCH: Innovation, TWO 18 - CEF 2.0 Petition	52,958
	OTHER PROGRAM AREA, TWO 9 Climate Resilience	77,183
	OTHER PROGRAM AREA, TWO 10 Negative Emissions Tech	104,173
	OTHER PROGRAM AREA, TWO 17 - Roadmap	157,207
	Thermal Energy Storage, TWO 8 Buildings Innov	80,336
	TWO 14- H2 Hubs	81,152
Borg Warner	Industrial Process Effic, Industrial Process Efficiency	44,102
BP Pulse Fleet North America Inc	Novel Bus Models & Offers, Fleet Charging as a Service	8,860
bp-cgcenter i llc	Empire Building Challenge, EBC Phase 2 - Boston Propertie	40,909
	NYCH: Empire Build Challenge, EBC Phase 2 - Boston Propertie	9,091
Brattle Group Inc.	ENERGY ANALYSIS, TWO 2 - Gas Util Planning Supp	6,876

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Brattle Group Inc.	ENERGY ANALYSIS, TWO #1 NYISO Consult Support	30,000
	REC:CES REC System Dev Costs, Transmission Services-on-Deman	31,748
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT	17,826
Bright Power, Inc.	<200KW PV, NY-Sun	8,496
	>200KW PV, NY-Sun	12,744
	ADVANCED BUILDINGS, PV Battery backup system demo	20,000
	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	12,500
	Campus/Technical Assistance, FT14089 - 39-34 2st - FTC	6,620
	Campus/Technical Assistance, FT14195 – 529-535 W 20th – FTC	4,300
	Market Tests, IMS PON4359 - Bright Power	103,500
	NYCH: Technical Assistance, FT13499 - Glen Oaks - FTC	3,525
	NYCH: Technical Assistance, FT13771 - 535 E. 182nd - FTC	2,560
	Real Time Enrgy Management, BP - 7 Ludlow St - RTEM	8,430
	Real Time Enrgy Management, BP - 188 Warburton - RTEM	7,680
	Real Time Enrgy Management, BP - Multisite - RTEM	10,000
	Real Time Enrgy Management, BP-345 St Ann's Ave-RTEM	5,000
	Real Time Enrgy Management, BP-1755 York-RTEM	8,850
	Real Time Enrgy Management, Brght Pwr-9745 Queens Blv-RTEM	9,544
	Real Time Enrgy Management, Bright Power - 221 E 71st-RTEM	8,794
	Real Time Enrgy Management, Bright Power - Multi - RTEM	8,880
	Real Time Enrgy Management, Bright Power - Multisite- RTEM	7,650
	Real Time Enrgy Management, Bright Power -Multisite- RTEM	13,440
	Real Time Enrgy Management, Bright Power-60 E 86th St-RTEM	7,943
	Real Time Enrgy Management, Bright Power-255E149thSt-RTEM	4,180
	Real Time Enrgy Management, Bright Power-655 Morris-RTEM	7,000
	Real Time Enrgy Management, Bright Power-2980 Park-RTEM	7,000
	Real Time Enrgy Management, Bright Power-3000 Bronx - RTEM	5,725
	Real Time Enrgy Management, Bright Power-Multisite-RTEM	59,452
	Real Time Enrgy Management, Bright Power, Inc - Multisites	42,460
	Real Time Enrgy Management, Bright-41 Barker Ave-RTEM	9,510
	Real Time Enrgy Management, Bright-86Dekalb-RTEM	14,000
	Real Time Enrgy Management, BrightPower-201 E 86th St-RTEM	7,380
	Real Time Enrgy Management, BrightPower-333 Lenox-RTEM	8,868
	Real Time Enrgy Management, BrightPower-2050GrandConcourse	103,440
	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	30,360
	Real Time Enrgy Management, TwoTrees-300 Ashland PI-RTEM	5,684
	REV Campus Challenge, RM36-NYU-Stern Business School	9,470
	Tech Assistanc Multifamily LMI, FT14409 - 951 Prospect - FTC	14,400
	Tech Assistanc Multifamily LMI, FT14444-554 W 53- FTC-MF-AH	8,186
	Tech Assistanc Multifamily LMI, FT14473 - 39 Hegeman - FTC	2,915
	Tech Assistanc Multifamily LMI, FT14494 - 2950 Grand Con - FTC	7,075
	Tech Assistanc Multifamily LMI, FT14495 - 755 White Plains-FTC	14,000
	Tech Assistanc Multifamily LMI, FT14535- 160 W 103- FTC-MF-AH	11,000
	Tech Assistanc Multifamily LMI, FT14566 - 350 St. Ann's - FTC	7,335
	Tech Assistanc Multifamily LMI, FT14641 -Brighton 12th St -FTC	3,150
Tech Assistanc Multifamily LMI, FT14643 - Carnes McKinney -FTC	18,000	
Tech Assistanc Multifamily LMI, FT14644 - 140 Lawrence - FTC	3,285	
Tech Assistanc Multifamily LMI, FT14667 - 1168 Stratford - FTC	3,526	

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Tech Assistanc Multifamily LMI, FT14677 - 330 W 45th St. - FTC	4,080
	Tech Assistanc Multifamily LMI, FT14695 - Southside United HDF	7,700
	Tech Assistanc Multifamily LMI, FT14703 - 223-225 East 4 - FTC	6,063
	Tech Assistanc Multifamily LMI, FT14706 - 443-45 St Ann's -FTC	3,061
	Tech Assistanc Multifamily LMI, FT14712 - WFHA St Albans - FTC	6,765
	Tech Assistanc Multifamily LMI, FT14740 - 455 East 148 - FTC	2,955
	Tech Assistanc Multifamily LMI, FT14747 - 300 W 128th St	11,914
	Tech Assistanc Multifamily LMI, FT14791 -SEBCO Development-FTC	6,255
	Tech Assistanc Multifamily LMI, FT14792 -SEBCO Development-FTC	3,495
	Tech Assistanc Multifamily LMI, FT14814 - Acacia Network - FTC	5,045
	Tech Assistanc Multifamily LMI, FT14859-SEBCO Development-FTC	2,716
	Tech Assistanc Multifamily LMI, FT14860 -SEBCO Development-FTC	2,916
	Tech Assistanc Multifamily LMI, FT14861- SEBCO Development-FTC	2,886
	Tech Assistanc Multifamily LMI, FT14866 - Settlement Housing F	3,435
	Tech Assistanc Multifamily LMI, FT14906 - The Balton-311 W 127	17,280
	Tech Assistanc Multifamily LMI, FT14910 -Jonathan Rose 4-21 27	18,900
	Tech Assistanc Multifamily LMI, FT14924 - Colony Manor Assoc	12,300
	Tech Assistanc Multifamily LMI, FT14928 - OUB Housing - 370	6,362
	Tech Assistanc Multifamily LMI, FT14975 - 212 S Oxford	12,645
	Tech Assistanc Multifamily LMI, FT15016 - Fred Doug 117 - 279	5,145
	Tech Assistanc Multifamily LMI, FT15043 - QFC Owner - 153-30 8	16,733
	Tech Assistanc Multifamily LMI, FT15076 - 415 Bleecker - FTC	3,755
	Tech Assistanc Multifamily LMI, FT15083 - 918 Kent - FTC	2,855
	Tech Assistanc Multifamily LMI, FT15085 - 41 1 - FTC	5,718
	Tech Assistanc Multifamily LMI, FT15107 - The Times Square	8,085
	Tech Assistanc Multifamily LMI, FT15118 - Related - 500 West	22,908
	Tech Assistanc Multifamily LMI, FT15144 - Catholic - 72 Lewis	2,830
	Tech Assistanc Multifamily LMI, FT17043 - 1011 Washington Pres	15,248
	Technical Services, FT13814 - 875 W. 181st - FTC	4,857
	Technical Services, FT14033 - 320 W 76th - FTC	2,827
	Technical Services, FT14056 - 550J Grand - FTC	9,370
	Technical Services, FT14095 - 166-40 Powells - FTC	518
	Technical Services, FT14110 - 10 Liberty - FTC	2,135
	Technical Services, FT14197 – 521 W 20th – FTC	3,040
	Technical Services, FT14387 - 255 West 94th - FTC	14,152
	Technical Services, FT14411- 514 West End - FTC	3,415
	Technical Services, FT14415 - 697 West End - FTC	12,270
	Technical Services, FT14416 - 210 West 101 - FTC	14,051
	Technical Services, FT14455-Akelius- 225 W 23- FTC	15,615
	Technical Services, FT14456-Akelius- 95 Linden-FTC	9,000
	Technical Services, FT14457-Akelius- 1274 5th-FTC	9,945
	Technical Services, FT14462- Maxwell- Kates- FTC	6,995
	Technical Services, FT14471- Akam- 150 E 85th- FTC	12,223
	Technical Services, FT14485 - 892 Bergan - FTC	4,945
	Technical Services, FT14488- Toledo Court- FTC	2,509
	Technical Services, FT14489-72-15 37th -FTC-MF	2,227
	Technical Services, FT14490-134 West 93rd -FTC-MF	1,921
	Technical Services, FT14492-Acropolis Garden-FTC	19,860

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Bright Power, Inc.	Technical Services, FT14512- 229 East 29- FTC-MF	12,088
	Technical Services, FT14514-40-50 Brighton 1st-FTC	8,100
	Technical Services, FT14526-520 W 23- FTC-MF-MR	6,390
	Technical Services, FT14533-520 W 23rd -FTC-MF-MR	7,286
	Technical Services, FT14548 - Akam-5700, 5800, 590	40,422
	Technical Services, FT14560 - 2021 84th St-FTC-MF	2,074
	Technical Services, FT14571 - 35-35 75th-FTC-MF	3,105
	Technical Services, FT14588 - 425 Main St - FTC-MF	6,633
	Technical Services, FT14594 - 3850 Sedgwick - FTC	7,759
	Technical Services, FT14595 - 3635 Johnson - FTC	6,345
	Technical Services, FT14627 - Hawthorne Court -FTC	5,580
	Technical Services, FT14628-Glenwood Managemen-FTC	20,310
	Technical Services, FT14629 - 45 W 60th St. - FTC	7,020
	Technical Services, FT14630 - 1755 York Ave. - FTC	8,010
	Technical Services, FT14636 - 75 West 238 - FTC	6,255
	Technical Services, FT14653 - 139 East 94 - FTC	5,648
	Technical Services, FT14657 - Coral Crystal - FTC	12,682
	Technical Services, FT14659 - AKAM - 315 7 - FTC	11,070
	Technical Services, FT14675 - BJs Wholesale Club	5,730
	Technical Services, FT14683 - Edge 1211 - FTC	10,815
	Technical Services, FT14684 - 163 Ocean - FTC	15,000
	Technical Services, FT14685 - 88-11 Elmhurst- FTC	13,875
	Technical Services, FT14687 - 57 West 93 - FTC	2,945
	Technical Services, FT14689 - 2465 Palisade - FTC	4,099
	Technical Services, FT14707 Washington Plaza - FTC	20,375
	Technical Services, FT14716 - 120 Greenwich - FTC	11,535
	Technical Services, FT14719 - 415 Central Park W	11,430
	Technical Services, FT14721 - 370 Riverside - FTC	11,430
	Technical Services, FT14723 - 360 Riverside - FTC	3,329
	Technical Services, FT14746 - 125 East 84th -FTC	7,005
	Technical Services, FT14750 - 609 West Owners -FTC	7,721
	Technical Services, FT14768 - 22 Riverside - FTC	8,694
	Technical Services, FT14770 - 211 W 71 St	7,346
	Technical Services, FT14787 - 1405 Prospect - FTC	9,204
	Technical Services, FT14788 -Parkchester South-FTC	35,542
	Technical Services, FT14789 -Parkchester North-FTC	24,990
	Technical Services, FT14805 - 530 Park Ave - FTC	12,900
	Technical Services, FT14813 - The Luminiere - FTC	10,605
	Technical Services, FT14826 - 71 Ocean Parkway	8,423
	Technical Services, FT14827 - The Hadrian -225 W	6,855
	Technical Services, FT14851 - 1405 Fifth Ave - FTC	12,106
	Technical Services, FT14854 - Orsid Realty	12,191
	Technical Services, FT14867 - 24535 Owners Corp	9,690
	Technical Services, FT14871 - 11 East 86 - FTC	19,945
	Technical Services, FT14881 - AvalonBay -1 Morning	14,642
Technical Services, FT14907 - RM - 400 East 84	13,935	
Technical Services, FT14917 - 345 Montgomery - FTC	8,895	
Technical Services, FT14921 - 55 Hudson - FTC	9,199	

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Technical Services, FT14922 - 7259-7261 Shore	10,215
	Technical Services, FT14923 - 9902 Owners - 9902 3	11,130
	Technical Services, FT14926 - Robert E. Hill	9,030
	Technical Services, FT14927 - DSJ - 657 E 26	8,505
	Technical Services, FT14948 -93 Worth Street Condo	14,063
	Technical Services, FT14956 - AKAM - 263 9	11,604
	Technical Services, FT14963 - AKAM - 124 East 79	9,597
	Technical Services, FT14976-Avalon 100 Willoughby	31,272
	Technical Services, FT14990 - Hoffman - 145 E 84	11,445
	Technical Services, FT14991 - Bonafide Estates	10,537
	Technical Services, FT14992 - 320 West 30	6,106
	Technical Services, FT15005 - NBM - 80 Winthrop	9,098
	Technical Services, FT15008 - Argo Corp. - FTC	14,440
	Technical Services, FT15009 - Argo - 160 Henry	4,731
	Technical Services, FT15010 - Orsid Realty - 250 W	8,640
	Technical Services, FT15011 - Charlton Tenants	6,240
	Technical Services, FT15015 - Argo Corp - 304 W	6,529
	Technical Services, FT15022 - Gramercy 29 APT - 29	7,200
	Technical Services, FT15028 - 761-779 Seventh Ave	25,714
	Technical Services, FT15045 - Solstice Residential	6,872
	Technical Services, FT15048 - New Bedford Manage	8,160
	Technical Services, FT15051 - 380 Riverside Tenant	16,200
	Technical Services, FT15053 - Related Companies	26,501
	Technical Services, FT15056 - New York Real Estate	8,205
	Technical Services, FT15057 - 445 Lafayette - FTC	16,774
	Technical Services, FT15066 - 450 West 17 - FTC	28,242
	Technical Services, FT15068-245 W 104 Street Housi	12,859
	Technical Services, FT15075 - New Bedford Manage	6,227
	Technical Services, FT15091 - Related Retail Hub	4,745
	Technical Services, FT15100 - Knolls Cooperative	18,690
	Technical Services, FT15123 - Akam - 205 E 59	13,080
	Technical Services, FT15135 - Plymouth - 257 West	8,524
	Technical Services, FT15136 - Beverly House - 84	13,785
Technical Services, FT15138 - 300 West 53rd Condo	12,146	
Technical Services, FT15139 - Related - 1 Union Sq	17,614	
Technical Services, FT15141 - One Lincoln Plaza	27,158	
Technical Services, FT15160 - Acadia Realty - 640	8,022	
Technical Services, FT15164 230 Apartments Corp	13,016	
Technical Services, FT15185 100 Park Terrace West	9,719	
Technical Services, FT15186 Elbern Apartment - 36	8,220	
Technical Services, FT17029 140 E 83 St Tenants	4,561	
Technical Services, FT17035 Murray Hill East Suite	5,515	
Brightcore Energy, LLC	NYCH: Innovation, Advanced Buildings	408,115
Broadwall Management Corp.	Technical Services, OsEM75-C -Broadwall Management	13,202
Brook Avenue Development Company..	Multifam Performance Pgm, Multifamily	3,550
Brookfield Properties USA II LLC	Real Time Enrgy Management, BP LLC - Multisite - RTEM	1,106,861
Brookhaven National Lab	ENVIRONMENTAL RESEARCH, AQHE PON 3921	67,500
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	323,350

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Bruns Associates, LLC	Buildings of Excellence, Buildings of Excellence R1	75,000
BSREP III NERO LLC	Empire Building Challenge, EBC Phase 2 - Brookfield	93,333
	NYCH: Empire Build Challenge, EBC Phase 2 - Brookfield	6,667
BSREP UA 3333 Broadway, LLC	Multifam Performance Pgm, Multifamily	336,216
BTMI Engineering, PC	OREC: Technical Support, State's Engineer for Port Inve	8,625
	OREC: Technical Support, TWO for COWI MTWG support 2021	5,993
Buckeye Terminals, LLC	FUEL NY, Upstate NY Strategic Fuels Res	725,509
Buffalo Ave Realty LLC	Commercial New Construc, SF106872 - 170 Buffalo Ave	43,227
Buffalo Geothermal Heating	NYCH: Talent Ppln:CE and OJT, OJT	9,120
Buffalo Neighborhood Stabilization Co	Buildings of Excellence, BoE Rnd. 2 - West Side Homes	90,655
	New Construction Housing, NCP Housing	37,200
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	258,461
Building Media, Inc.	Code to Zero, RFQL 3711 TWO#1	33,525
Building Performance Institute, Inc.	BPI - National Grid MOUs	5,760
	Market Support Tools &Activity, Validate TBP Cert Exam	37,433
	NYCH: Supply Chain, Electrification Audit Procedur	68,500
	NYCH: Talent Ppln:CE and OJT, BPI - National Grid MOUs	1,440
	Talent Pipeline:CE and OJT, BPI - National Grid MOUs	1,440
Building Skills NY	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	31,700
Bullitt Farm Solar, LLC	>200KW PV, NY Sun	487,065
Buro Happold Consulting Engineers, P.C.	Technical Services, FT14614 - ESRT - FTC	164,689
	Technical Services, FT14615 - ESRT - FTC	48,596
Burr Truck & Trailer Sales	CLEAN TRANSPORTATION, NYTVIP - Anderson-DuBose Co.	185,000
Buzzard's Ridge Group LLC	<200KW PV, PON 2112 NY SUN	7,500
BVG Associates LLC	REC:CES REC System Dev Costs, BVG TWO 5 IE Mike Blanch	65,000
BW Research Partnership	ENERGY ANALYSIS, TWO #3 CE Industry Report	72,600
	NYCH: Industry Partnerships, TWO #3 CE Industry Report	55,872
	Talent Pipeline:CE and OJT, TWO #3 CE Industry Report	16,549
	TWO #3 CE Industry Report	13,200
	Workforce Industry Partnership, TWO #3 CE Industry Report	54,229
C & B Mechanical	NYCH: Talent Ppln:CE and OJT, OJT	10,595
	OJT	13,342
C Hazard Consulting LLC	Consumer Ed and Market Support, SFR market engagement	1,434
	Market Support Tools &Activity, SFR market engagement	2,152
	SFR market engagement	5,020
C2 NY Sentinel Heights Solar, LLC	>200KW PV, NY Sun	633,260
	NY-SUN, NY Sun	876,821
C.J. Brown Energy, P.C.	Direct Injection Program, HCR Minibid TWO #3	-14,962
	Direct Injection Program, HCR TWO #6-Marketplace Senior	-2,871
	Direct Injection Program, TWO #5 - HCR Main Street Lofts	-1,421
	HCR Direct Injection, HCR Minibid TWO #3	32,970
	HCR Direct Injection, HCR TWO #6-Marketplace Senior	11,382
	HCR Direct Injection, TWO #5 - HCR Main Street Lofts	2,791
	K-12 SCHOOLS, CGSI-21_E - Brushton - FTC	14,531
	New Construction Housing, HCR Minibid TWO #3	0
	Technical Services, FT13310 - 395 Tonawanda - FTC	765
	Technical Services, FT13311 - 840 Tonawanda - FTC	3,883
Technical Services, FT13312 - 525 Oliver - FTC	3,824	

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Contractor	Contract Description	Total Expended Amount
C.J. Brown Energy, P.C.	Technical Services, FT13313 - 16 Alpine - FTC	3,608
	Technical Services, FT13758 - 150 Myrtle - FTC	7,092
	Technical Services, FT14398 - 95 Franklin - FTC	22,756
C&R Housing Inc.	OJT	25,104
C&S Engineers, Inc.	Technical Services, FT14069 - 110 W 6th - FTC	3,191
Cablevision of Southern Westchester, ..	Fuel Cells, Fuel Cell Incentive - FC-042	500,000
Calstart	CLEAN TRANSPORTATION, Capital Region Mobility Hubs	74,204
	EVPRZ:Clean MD & HD Veh Innov, FEaST Project	217,782
Cambray Housing Corporation	Tech Assistanc Multifamily LMI, FT14370 - 68 W Main - PON	9,875
Cameron Engineering & Associates LLP	Technical Services, FT14369 - 301 W 118th - FTC	9,513
	Technical Services, FT14618-M&WOperating-150 Varic	4,123
	Technical Services, FT14656 - First Service - FTC	9,340
Canajoharie Central School District	K-12 SCHOOLS, CGSI-29_O - Canajoharie - PON	50,623
Canajoharie, Village of,	Clean Energy Communities, Communities & Local Government	36,500
Canandaigua Power Partners LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	677,637
Canisteo Solar I	>200KW PV, NY Sun	711,497
Capital District Regional Planning Comm.	Clean Energy Communities, Clean Energy Communities	419,675
	NYCH: Communities, Clean Energy Communities	57,500
Capital Projects Energy Solutions Inc.	CGSI-6_E&B - Uniondale - PON	92,286
	K-12 SCHOOLS, CGSI-24_E&B - Port Jervis -PON	35,384
Capital Region BOCES	OWTI Workforce Training	903
	Talent Pipeline:OSW Training, OWTI Workforce Training	1,297
Carter Ledyard & Milburn LLP	BR: Program Implementation, TWO 8 - BR Public Lands	8,459
	NYSERDA ADMINISTRATION, TWO 7 - Board Liability	7,013
	OREC: Technical Support, TWO 4 - Empire Wind DEIS	20
	OREC: Technical Support, TWO#9 Outside Counsel review	49,999
Cascade Energy, Inc.	Strategic Energy Manager, SEM Energy Coach	902,215
Catalyze Holdings, LLC	>200KW PV, PON 2112 NY SUN	30,889
CDS Monarch Inc	New Construction Housing, 2019 LRNCP	59,800
CEC Stuyvesant Cove, Inc.	Clean Energy Communities, RFP4641 CECC Downstate	97,684
	CLEANER GREENER COMMUNITIES, RFP4641 CECC Downstate	184,726
	NY-SUN, HPD Technical Assistance	176,217
	NYCH: Communities, RFP4641 CECC Downstate	32,561
	Talent Pipeline:CE and OJT, PON3981 Round 6	87,460
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	51,465
Center for Sustainable Energy	>200KW PV, TWO #2 - NY-Sun Shared Service	148,012
	CLEAN TRANSPORTATION, RFP 3401 Umbrella Agreement	151,136
	CLEAN TRANSPORTATION, TWO #1 - CSE Drive Clean	781,385
	Electric Vehicles - Rebate, ChargeNY ZEV Rebate Imp Contra	18,500
	LMI Community Solar, TWO #2 - NY-Sun Shared Service	7,331
	NY-SUN, TWO #2 - NY-Sun Shared Service	8,329
Centerville Court LLC	Tech Assistanc Multifamily LMI, FT14973 - Centerville Court	12,500
Central New York Regional Planning and	Clean Energy Communities, Clean Energy Communities	619,941
	Clean Energy Hub, Regional Clean Energy Hub	244,565
CentTrio Energy Syracuse LLC	NYCH: District, PON 4614 Round 615th Ward	45,369
CEP NY Borrower 1 LLC	>200KW PV, NY Sun	1,290,902
CES Danbury Solar, LLC	>200KW PV, PON 2112 NY SUN	14,880
CH4 Biogas, LLC	Anaerobic Digesters, PON 3739 CAT C	73,012

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Contractor	Contract Description	Total Expended Amount
CHA Consulting Inc.	CI Carbon Challenge, SA.019_TWO#1 - Industrial	5,357
	CI Carbon Challenge, SA.031_TWO#3 - Industrial	4,807
	CI Carbon Challenge, SA.034_TWO#5 - Industrial	3,859
	CI Carbon Challenge, Umbrella Agreement	14,062
	CLEAN TRANSPORTATION, FT14847 - Voorheesville CSD	17,461
	Commercial New Construc, SA.107_TWO #8-New Con_PM-2	5,712
	Low Rise New Construction, SA.107_TWO #8-New Con_PM-2	10,282
	New Construction Housing, SA.107_TWO #8-New Con_PM-2	35,126
	New Construction- Commercial, SA.107_TWO #8-New Con_PM-2	23,701
	NYCH: District, PON 4614 - Round 7 Woodstock	16,520
	NYCH: District, PON 4614 Cold Spring Harbor	-45,035
	NYCH: District, PON 4614 FROG District	9,371
	NYCH: District, PON 4614 Round 6	40,000
	NYCH: District, PON 4614 Round 7 Union College	46,418
	NYCH: District, SA.089_TWO #7_CHC PM-2	122,173
	On-Site Energy Manager, SA.019_TWO#1 - Industrial	2,418
	On-Site Energy Manager, SA.031_TWO#3 - Industrial	2,169
	On-Site Energy Manager, SA.034_TWO#5 - Industrial	1,742
	On-Site Energy Manager, Umbrella Agreement	18,749
	PON 4614 Cold Spring Harbor	89,555
	Single Family New Construction, SA.107_TWO #8-New Con_PM-2	13,419
	Strategic Energy Manager, SA.019_TWO#1 - Industrial	62,594
	Strategic Energy Manager, SA.031_TWO#3 - Industrial	35,364
	Strategic Energy Manager, SA.034_TWO#5 - Industrial	19,891
	Strategic Energy Manager, SA.035_TWO#4 - EPE	44,273
	Strategic Energy Manager, Umbrella Agreement	14,062
	Technical Services, FT 15006 - Byrne Dairy - FTC	8,015
	Technical Services, FT14497 - Paperworks -FTC	15,458
	Technical Services, FT14561-Roswell Park Cntr-FTC	50,756
	Technical Services, FT14590 - Finch Paper - FTC	13,186
	Technical Services, FT14808 - ADK Bev - FTC - IND	9,894
	Technical Services, FT14845 - Lockheed - FTC	29,730
	Technical Services, FT14849 - Byrne Dairy - FTC	2,868
Technical Services, FT14919 - MKS Instruments- FTC	11,158	
Technical Services, FT14960 - Mesa Realty - 15 W	2,512	
Technical Services, FT14962 - Thermo Fisher - FTC	10,708	
Chris Benedict	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	100,000
Christina Assmann	Code to Zero, NYStretch 2023 Working Groups	384
CIR ELECTRICAL CONSTRUCTION C..	<200KW PV, PON 2112 NY SUN	7,128
Citizen Advocates, Inc.	New Construction Housing, 2019 LRNCP	12,000
City of Auburn	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	4,597
	REC:CES REC Contracts, 11th Main Tier Solicitation	9,675
City of Cohoes	City of Cohoes	30,000
	Clean Energy Communities, City of Cohoes	-30,000
City of Jamestown	Cleantech Geo Coverage, PON 4242	6,000
City of Kingston	CEC500634-City of Kingston	40,000
	Clean Energy Communities, CEC500634-City of Kingston	-40,000
City of Rochester	Electric Vehicles - Innovation, City of Rochester EV Carshare	51,432

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Contractor	Contract Description	Total Expended Amount
City of Saratoga Springs, NY	Clean Energy Communities, Communities & Local Government	12,500
City of Watervliet	CEC400002 - City of Watervliet	28,347
	Clean Energy Communities, CEC400002 - City of Watervliet	1,403
City of White Plains	Clean Energy Communities, CEC510631 - EV Purchase	22,500
City of Yonkers	CLEANER GREENER COMMUNITIES, City of Yonkers	112,500
Clarkson Renewables LLC	>200KW PV, NY Sun	267,267
Clean Power Research	NYCH: Technical Assistance, PON 4423	27,250
CleanFiber LLC	OJT	63,554
CLEAResult Consulting, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFP 3401 Um..	112,279
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	32,985
	Community RH&C, RFP 3401 Umbrella Agreement	2,542
	EMPOWER NY, RFP 3401 Umbrella Agreement	45,028
	EMPOWER NY, Technical Support SFR	89,101
	GJGNY Market Rate Audits, TWO #13 - SFR	3,313
	Healthy Homes VB Payment Pilot, RFP 3401 Umbrella Agreement	0
	Healthy Homes VB Payment Pilot, Technical Support SFR	13,354
	Home Energy Ratings, TWO #13 - SFR	0
	Home Perf w Energy Star, RFP 3401 Umbrella Agreement	777,511
	Home Perf w Energy Star, Technical Support SFR	2,231,994
	HOME PERFORMANCE WITH ENERGY STAR, RFP 3401 Umbrella Agre..	0
	NENY:CHGE Empower Electric, RFP 3401 Umbrella Agreement	1,521
	NENY:CHGE Empower Electric, Technical Support SFR	720
	NENY:CHGE Empower Gas, RFP 3401 Umbrella Agreement	4,238
	NENY:CHGE Empower Gas, Technical Support SFR	1,653
	NENY:Con Ed Empower Electric, RFP 3401 Umbrella Agreement	4,815
	NENY:Con Ed Empower Electric, Technical Support SFR	2,374
	NENY:Con Ed Empower Gas, RFP 3401 Umbrella Agreement	14,697
	NENY:Con Ed Empower Gas, Technical Support SFR	7,637
	NENY:KEDNY Empower Gas, RFP 3401 Umbrella Agreement	10,612
	NENY:KEDNY Empower Gas, Technical Support SFR	3,574
	NENY:NFG Empower Gas, RFP 3401 Umbrella Agreement	122,433
	NENY:NFG Empower Gas, Technical Support SFR	41,654
	NENY:NIMO Empower Electric, RFP 3401 Umbrella Agreement	9,584
	NENY:NIMO Empower Electric, Technical Support SFR	4,846
	NENY:NIMO Empower Gas, RFP 3401 Umbrella Agreement	20,220
	NENY:NIMO Empower Gas, Technical Support SFR	10,051
	NENY:NYSEG Empower Electric, RFP 3401 Umbrella Agreement	10,854
	NENY:NYSEG Empower Electric, Technical Support SFR	6,085
	NENY:NYSEG Empower Gas, RFP 3401 Umbrella Agreement	30,113
	NENY:NYSEG Empower Gas, Technical Support SFR	14,333
	NENY:O&R Empower Electric, RFP 3401 Umbrella Agreement	7,723
NENY:O&R Empower Electric, Technical Support SFR	3,840	
NENY:O&R Empower Gas, RFP 3401 Umbrella Agreement	19,666	
NENY:O&R Empower Gas, Technical Support SFR	9,076	
NENY:RGE Empower Electric, RFP 3401 Umbrella Agreement	5,436	
NENY:RGE Empower Electric, Technical Support SFR	3,006	
NENY:RGE Empower Gas, RFP 3401 Umbrella Agreement	13,713	
NENY:RGE Empower Gas, Technical Support SFR	7,126	

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Contractor	Contract Description	Total Expended Amount
CLEARresult Consulting, Inc.	NYCH: Technical Assistance, TWO #13 - SFR	34,815
	Renewable Heat NY, RFP 3401 Umbrella Agreement	102
	RFP 3401 Umbrella Agreement	0
	Technical Support SFR	0
Clearview Consultants, LLC	BR: Prospecting, TWO #1 Notice to Proceed	77,687
Climate Solutions Accelerator of the	Clean Energy Hub, Regional Clean Energy Hub	353,150
	Talent Pipeline:CE and OJT, PON 4772 R3 (Paul Henry)	6,453
Clip. Bike Inc	Talent Pipeline:CE and OJT, Fellow Name: Sorah Park	12,334
CMC Energy Services, Inc	Electrification, RFP 4645 Bldg Env Roundtables	25,349
	NYCH: Supply Chain, RFP 4645 Bldg Env Roundtables	15,395
Cobble Hill School Condominium	Technical Services, FT14878 - Cobble Hill - 501	12,926
Code Green Solutions, Inc.	Empire Building Challenge, EBC - Market Character TWO	1,039
	NYCH: Empire Build Challenge, EBC - Market Character TWO	1,039
	NYCH: Technical Assistance, FT13138 - 158 W 27th - FTC	7,900
	NYCH: Technical Assistance, FT13452 - NYU - FTC	-11,218
	Tech Assistanc Multifamily LMI, FT14718 - 88 Leonard - FTC	34,650
	Technical Services, FT13092 - 119 W. 57th - FTC	5,459
	Technical Services, FT13452 - NYU - FTC	11,218
	Technical Services, FT13514 - 240 W. 35th - FTC	6,418
	Technical Services, FT13523 - 777 Third - FTC	-255
	Technical Services, FT14037 - Building 7&8 - FTC	6,176
	Technical Services, FT14039 - Building 22-24 - FTC	0
	Technical Services, FT14099 - 160 E 48th - FTC	6,688
	Technical Services, FT14215 - 270 Greenwich - FTC	16,000
	Technical Services, FT14331 - 24-02 49th - FTC	3,500
	Technical Services, FT14381 - 1345 AoA - FTC	6,617
	Technical Services, FT14396 - 3 East 40th - FTC	19,607
	Technical Services, FT14400 - 136 West 42nd - FTC	25,200
	Technical Services, FT14402 - 299 Park Ave - FTC	21,369
	Technical Services, FT14417- 77 Water - FTC	8,062
	Technical Services, FT14576 - JPPF 260E161 - FTC	6,920
	Technical Services, FT14581-135 W 50 St Lessee-FTC	7,150
	Technical Services, FT14597 - 240 West End - FTC	4,540
	Technical Services, FT14608 - 5 Penn Plaza - FTC	7,400
Technical Services, FT14700 - Super Nova 330 - 330	8,000	
Technical Services, FT14701 - 888 Main St. - FTC	10,725	
Technical Services, FT14744 - Waterman Properties	11,765	
Technical Services, FT14841 - 180 Madison Prisa	5,000	
Technical Services, FT14899 - LL Holding Co - 150	18,350	
Technical Services, FT14983 - L&L Holding Co	10,250	
COGENT Infotech Corporation	NYSERDA ADMINISTRATION, TWO 1 Asst. BA Ops -	47,660
Cohen Ventures Inc	Code to Zero, Task Work Order #4	272,140
	Code to Zero, Task Work Order #6	60,203
	Product Standards, Task Work Order #5	88,115
	Product Standards, Task Work Order #7	37,425
	Product Standards, Task Work Order #8	231,310
	Product Standards, TWO 9 Contractor ENERGY STAR	961,123
	Product Standards, TWO #1 - RFQL 5236	98,242

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Cohen Ventures Inc	Product Standards, TWO #10 - Phase 2 Analysis	66,140
	Product Standards, TWO #11 - Energy Solutions	346,567
	Product Standards, TWO No. 2	55,043
Cold Spring Harbor Laboratory	RM41 - Cold Spring Harbor Lab	69,500
Collado Engineering, DPC	Code to Zero, TWO #1	206
Columbia Property Trust Operating Partne	NYCH: Technical Assistance, FT13250 - 315 Park - PON	24,765
	Technical Services, FT13261 - 229 W 43rd - PON	31,045
Columbia University	OTHER PROGRAM AREA, On-Site Power	69,091
Commercial Cleaning NY Sunshine, In..	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC office	84,240
Common Energy LLC	LMI Community Solar, RFP3802 Low Income Comm Solar	255,752
Consensus Building Institute, Inc.	Environmental Research, TWO #1 -Facilitator	1,400
	Environmental Research, TWO #2 A-TWG Facilitator	69,459
Consolidated Edison Company	Pay for Performance, P4P Con Ed MOU and NDA	3,700
Consolidated Edison Solutions, LLC	>200KW PV, NY-Sun C&I	216,673
	NY-SUN, NY-Sun C&I	377,126
Cornell Cooperative Ext. Dutchess Co..	Clean Energy Hub, Regional Clean Energy Hub	260,979
Cornell Cooperative Extension - Tompkins	Clean Energy Hub, Regional Clean Energy Hub	421,490
	Regional Clean Energy Hub	14,287
	Technical Services, Agricultural Best Practices	25,730
Cornell Cooperative Extension of Nas..	Long Island Clean Energy Hub	0
Cornell Cooperative Extension of One..	Clean Energy Hub, Regional Clean Energy Hub	168,658
Cornell University	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	490,000
	Cleantech Geo Coverage, PON 4242	775,500
	Environmental Research, AQHE PON 3921	72,717
	Environmental Research, PON 4270 PV Site Design	51,972
	Environmental Research, Remote Sensing and Data-Driven	70,593
Couch White, LLP	BR: Program Implementation, TWO 6 - BR Interconnection	9,285
	Code to Zero, TWO 2 - Legal Anlly & Guidance	7,340
	Product Standards, TWO 3-SAPA Rule Making/Comment	215
Country Suburban Heating & Air Cond..	NYCH: Talent Ppln:CE and OJT, OJT	5,452
County Cooling, Corp.	NYCH: Talent Ppln:CE and OJT, OJT	13,631
County Heat & AC, LLC	NYCH: Talent Ppln:CE and OJT, OJT	22,866
CPL Architects, Engineers, Landscape	Electric Vehicles - Innovation, CGSI-28_CT - Belfast - PON	21,293
	Electric Vehicles - Innovation, CGSI-32_CT - Bolivar - PON	31,603
	Electric Vehicles - Innovation, P12GC-95_CT - New Paltz - PON	57,528
	Electric Vehicles - Innovation, P12GC-96_CT - Rondout - PON	-3,804
	Electric Vehicles - Innovation, P12GC-104-Onteora CSD (1)_CT	13,542
Creek Housing Corp., Inc.	Tech Assistanc Multifamily LMI, FT14645 - Creek Housing - PON	10,000
Cresa Global, Inc	NYSERDA ADMINISTRATION, Real Estate Strat & Adv. Svcs.	62,500
Crossfield Home Energy Solutions	OJT	4,543
CrystalCreek Organics Inc.	OTHER PROGRAM AREA, Trial to enhance anaerobic dig	42,000
CTY, Inc	Pub Transit & Elect Rail, Data analytics for bus network	5,534
Cuba Rushford Central School	K-12 SCHOOLS, CGSI Track 2 R1 Cuba Rushford	161,500
	K-12 SCHOOLS, P12GC-19D - Cuba ESESA - PON	18,018
Curtis + Ginsberg Architects LLP	Buildings of Excellence, RFP3928 C+G TWO #1	81,180
	Buildings of Excellence, RFP3928 Curtis+Ginsburg TWO #2	43,600
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT	10,531
Dandelion Energy Inc	NYCH: Innovation, PON3519 Round 1	50,000

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Contractor	Contract Description	Total Expended Amount
Dandelion Energy Inc	NYCH: Talent Ppln:CE and OJT, OJT	15,360
Daniel Rice Engineering, D.P.C.	Technical Services, FT14751 - Vornado Realty - 770	40,000
David Homes, Inc.	New Construction Housing, NCP Housing	15,000
Day Automation Systems, Inc.	K-12 SCHOOLS, CGSI-27_E - Charlotte - PON	12,420
	Real Time Enrgy Management, DA - Multisite - RTEM	154,420
	Real Time Enrgy Management, Day Auto 54 Main	210,569
	Real Time Enrgy Management, Day Auto Multi	253,825
	Real Time Enrgy Management, Day Auto-Multisite-RTEM	265,903
	Real Time Enrgy Management, Day Automation- Multi -RTEM	247,918
	Real Time Enrgy Management, Day Automation-35 East Av-RTEM	5,315
	Real Time Enrgy Management, Day Automation-Multi Site-RTEM	389,685
	Real Time Enrgy Management, Day Automation-Multisites-RTEM	220,937
	Real Time Enrgy Management, Day-Addison-RTEM	7,315
	Real Time Enrgy Management, Day-Glens Falls-RTEM	6,571
DCF Energy Group, LLC	<200KW PV, NY-Sun	12,800
	<200KW PV, PON 2112 NY SUN	21,600
Deloitte Consulting LLP	IEDR: Program Manager, IEDR Program Manager RFP CM	458,152
	TWO 1: H2 Facilitation Svcs	497,107
Delta Connects, Inc.	Real Time Enrgy Management, Delta - 322 Third Avenue -RTEM	229,060
Delta Dental of New York	NYSERDA ADMINISTRATION, Delta Dental Prem. 2023-24	197,273
Dextall	NYCH: Innovation, Prefab Panels Retrofit	73,307
DG New York CS, LLC	>200KW PV, NY Sun	1,582,426
DG Northeast 1 LLC	>200KW PV, NY Sun	55,463
DirectApps Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFP4886 RE..	129,765
	Consumer Ed and Market Support, RFP4886 RES Market Engagement	144,472
	EMPOWER NY, RFP4886 RES Market Engagement	300,819
	Home Perf w Energy Star, RFP4886 RES Market Engagement	537,167
	NENY:CHGE Empower Electric, RFP4886 RES Market Engagement	113
	NENY:CHGE Empower Gas, RFP4886 RES Market Engagement	381
	NENY:Con Ed Empower Electric, RFP4886 RES Market Engagement	238
	NENY:Con Ed Empower Gas, RFP4886 RES Market Engagement	955
	NENY:KEDNY Empower Gas, RFP4886 RES Market Engagement	1,260
	NENY:NFG Empower Gas, RFP4886 RES Market Engagement	13,890
	NENY:NIMO Empower Electric, RFP4886 RES Market Engagement	651
	NENY:NIMO Empower Gas, RFP4886 RES Market Engagement	1,402
	NENY:NYSEG Empower Electric, RFP4886 RES Market Engagement	128
	NENY:O&R Empower Electric, RFP4886 RES Market Engagement	785
	NENY:O&R Empower Gas, RFP4886 RES Market Engagement	1,499
	NENY:RGE Empower Electric, RFP4886 RES Market Engagement	283
	NENY:RGE Empower Gas, RFP4886 RES Market Engagement	650
	NYCH: Comfort Home, RFP4886 RES Market Engagement	109,447
	NYCH: Technical Assistance, RFP4886 RES Market Engagement	297,852
Discover Green Renewable Energy LLC	<200KW PV, NY-Sun	5,396
District Council 37 Education Fund	NYCH: Talent Ppln:CE and OJT, PON3981 Round 13	16,650
DNV Energy Insights USA Inc.	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	3,727
	Eval MCDC Solar/NY-Sun, TWO 3 - Solar PV/Energy Stor	15,437
	Eval MCDC StatewideSingleF LMI, TWO #5 LMI Res Retrofit Impact	22,286
	Eval MCDC: Ind Fac Stock Study, Statewide Industrial Facility	766,292

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DNV Energy Insights USA Inc.	Eval MCDC: Ind Potential Study, TWO 1- Indust Decarb Potential	48,568	
	Eval MCDC: StatewideHP Tech.St, TWO 1 Statewide EMV Study HP	199,947	
	Eval MCDC:I&R Product Dev.Stud, TWO#2 I&R Product Dev 2016-20	64,050	
	EVALUATION, TWO 1 - WFD BLDG/Talent	46,578	
	EVALUATION, TWO 3 - Solar PV/Energy Stor	181,231	
	EVALUATION, TWO #5 LMI Res Retrofit Impact	3,345	
	Future Grid Perf. Challenges, Energy Storage Potential Study	219,716	
	GJGNY Market Rate Audits, TWO #4 Res Audit Rating PY	117,190	
	Home Energy Ratings, TWO #4 Res Audit Rating PY	117,190	
	Home Perf w Energy Star, TWO #5 LMI Res Retrofit Impact	16,870	
	Industrial Process Effic, TWO # 3 IPE eval	1,524	
	K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	7	
	Nat'l OffShWind R&D Consortium, TWO 3 - Solar PV/Energy Stor	14,111	
	NYCH: District, Concierge Services - DNV - TWO	55,053	
	NYCH: Technical Assistance, FT13740 - 68 Bradhurst - PON	14,232	
	Pay for Performance, TWO 4 - P4P Event Evaluation	5,391	
	Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	5,176	
	REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	3,910	
	Rmve Barriers Dist Enrgy Storg, TWO 3 - Solar PV/Energy Stor	56,443	
	Solar Plus Energy Storage, TWO 3 - Solar PV/Energy Stor	45,154	
	Talent Pipeline:CE and OJT, TWO 1 - WFD BLDG/Talent	66,604	
	Technical Services, FT14364 - 60 W 37th - FTC	7,000	
	Technical Services, FT14365 - 6 Water - FTC	5,000	
	Technical Services, FT14367 - 325 W 33rd - FTC	7,000	
	Technical Services, FT14379 - 338 West 36th - FTC	7,000	
	Technical Services, FT14709 - Pepsi Bottling - FTC	23,325	
	Workforce Industry Partnership, TWO 1 - WFD BLDG/Talent	92,063	
	DNV GL Energy USA, Inc.	CI Engy Siting & Soft Cost Red, RFP 5143 Energy Storage Supp	30,301
		High Performing Grid, Backfeed Control Testing	107,000
		Rmve Barriers Dist Enrgy Storg, RFP 5143 Energy Storage Supp	101,004
	Doherty Electric, LLC	<200KW PV, NY-Sun	9,600
		<200KW PV, PON 2112 NY SUN	11,520
Dollaride, Inc.	EVPRZ:EJ Comm Clean Veh Trans, Clean Transit Access Program	991,642	
Dom Belle Services LLC	NYCH: Talent Ppln:CE and OJT, OJT	22,320	
Donati Solar, LLC	>200KW PV, NY-Sun C&I	273,060	
DONNELLY & MOORE, Inc	NYSERDA ADMINISTRATION, TWO 1 Web Content Editor	47,093	
Dorado 2022, LLC	NY-SUN, NY-Sun ICESA	535,718	
Dowmont Solar, LLC	>200KW PV, NY Sun	912,900	
Dream Team Associates LLC	Technical Services, FT14855 - Tishman Hotel	6,500	
Dream Team Hotel Associates LLC	Technical Services, FT14584-Westin NY-270 W 43-PON	9,820	
DSM Engineering Assoc, P.C.	Technical Services, FT14500 - 5 Madison - FTC	3,500	
	Technical Services, FT14654 - 2175 Cedar Ave -FTC	27,270	
	Technical Services, FT14883 - 400 West 58 - FTC	23,149	
	Technical Services, FT14918 - 444 East 75th Street	30,731	
Dual Fuel Corp	NYCH: Talent Ppln:CE and OJT, OJT	15,977	
	OJT	13,597	
	Real Time Enrgy Management, Dual Fuel - 11 Park Ave - RTEM	31,000	
	Real Time Enrgy Management, DualFuel-303W80St-RTEM	14,400	

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Dual Fuel Corp	Real Time Enrgy Management, DualFuel-421W57-RTEM	19,500
Dunsky Energy Consulting	NEW YORK GREEN BANK, NYGB Financial Market Transfor	69,191
Durst Organization, LP, The	Technical Services, OsEM101-C - The Durst Organiza	46,500
E Source Companies LLC	IEDR: Program Manager, IEDR Development	3,016,399
Eagle Creek Hydro Power LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	68,575
East Hampton Housing Authority	NY-SUN, East Hampton Community Solar	26,600
Eastern Research Group, Inc.	Electric Vehicles - Innovation, TWO #3 E-BUS Workplan	74,000
	Electric Vehicles - Innovation, TWO#4 Clean Fleet Plan	206,898
	ENERGY ANALYSIS, TWO #1 CLCPA GHG	45,297
	ENERGY ANALYSIS, TWO #2 Coordinator Assessment	397,717
	ENVIRONMENTAL RESEARCH, TWO #2 Coordinator Assessment	689,371
	EVPRZ:Implementation, Clean Transportation	91,718
Ecology & Environment, Inc.	Environmental Research, Owner's Engineering	1,241
EcoMarkets LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	15,180
Ecosave, Inc.	NYCH: District, PON 4614 Round #1 Coney Island	169,262
	PON 4614 Round #1 Coney Island	72,541
Edison Energy, LLC	Technical Services, FT14302 - 415 E 68th - FTC	85,725
	Technical Services, FT14952 - OBH Brookdale	4,820
	Technical Services, FT14953 - OBH Interfaith	3,995
	Technical Services, FT14954 - OBH Kingsbrook	11,825
EDPR NA Distributed Generation LLC	>200KW PV, NY Sun	224,513
EF NY CDG 003 LLC	>200KW PV, NY Sun	281,250
Egg Geo, LLC	NYCH: District, Amalgamated Housing TEN	13,451
	NYCH: District, FT14552 - 7 Speedsville - FTC	6,466
	Penn South TEN	15,776
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	262,332
	<200KW PV, PON 2112 NY SUN	219,018
	>200KW PV, NY Sun	1,040,364
	NY-SUN, NY Sun	485,503
	NY-SUN, NY-Sun	52,466
Eight Point Wind, LLC	REC:CES REC Contracts, Eight Point Wind_RESVCO2021	5,237,627
Electric Power Research Institute	Future Grid Perf. Challenges, PON4128 Smart Grid JU Collab	850,000
	Future Grid Perf. Challenges, Power Grid Innovation	7,000
	High Performing Grid, TWO # 1 (ITWG Support)	15,191
Electrification Coalition Foundation	Electric Vehicles - Innovation, Task Work Order No. 1	16,156
ELP Ghent Solar LLC	>200KW PV, NY Sun	182,682
ELP Kipp Solar LLC	>200KW PV, NY Sun	650,052
	NY-SUN, NY Sun	800,064
ELP Myer Solar LLC	>200KW PV, NY Sun	119,094
	NY-SUN, NY Sun	210,167
ELP Stanford Solar LLC	>200KW PV, NY Sun	283,939
	NY-SUN, NY Sun	501,070
EMCOR Services Betlem	NYCH: Technical Assistance, FT13725 - 100 Borinquen - FTC	830
	REV Campus Challenge, FT14401- 615 West 31st - FTC	24,360
	Technical Services, FT14226- 1565 Jefferson - FTC	2,111
	Technical Services, FT14621 - Pactiv 5250 N St FTC	1,997
EMCOR Services New York/New Jerse..	Technical Services, FT14425- 999 West Main-FTC	127,983
EME Consulting Engineering Group, Inc.	CGSI-14_O - District 1-4 - FTC	111,412

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EME Consulting Engineering Group, LLC	CGSI-15_O - 13-20 - FTC	118,507
	CGSI-36_O - NYC DOE 26-29 -FTC	132,548
	CGSI-37_O - NYC DOE 17-22 -FTC	109,158
	CGSI-44O-NYC Districts 5-6-FTC	145,812
	CGSI-55O - NYC DOE 18-23-31-32	120,324
	CGSI-56_E - NYC PS K011 (1)_E	42,987
	CGSI-700 NYC District 7-8-9-11	111,651
	CGSI-88O - NYC DOE 19,24,25,30	53,440
	CI Carbon Challenge, SA.034_TWO#20-Industrial_PM-1	11,108
	CI Engy Siting & Soft Cost Red, SA.088a_TWO #22-CE Siting_PM-2	95,279
	Cleantech Ignition, TWO #16 - Innovation APM	14,636
	Cleantech Incubator, TWO #16 - Innovation APM	22,249
	Commercial New Construc, SA.038A_TWO #7 - New Con	14,101
	Commercial Real Estate Ten, FlexTech Consultant Selection	28,778
	Empire Building Challenge, SA.065a - TWO #12 - AES_PM	100,859
	Empire Building Challenge, SA.086c_TWO #18-AES_PM-1	75,491
	Grid ClimateTech Ready Capital, TWO #16 - Innovation APM	36,884
	K-12 SCHOOLS, SA.036c_TWO #8 - EP&E	12,650
	K-12 SCHOOLS, SA.045_TWO# 6_AES PM	56,750
	K-12 SCHOOLS, SA.052_TWO #9 - EP&E	28,684
	Market Tests, SA.094_TWO#17 - AES_PM-2	79,221
	New Construction Housing, SA.038A_TWO #7 - New Con	61,105
	New Construction Housing, SA.098 - New Con_PM-1	35,632
	New Construction Housing, SA.099 - New Construction_PM-1	35,779
	New Construction- Commercial, SA.038A_TWO #7 - New Con	18,802
	New Construction- Commercial, SA.098 - New Con_PM-1	27,001
	New Construction- Commercial, SA.099 - New Construction_PM-1	28,281
	NYCH: Technical Assistance, FT13956 - Hughes Hall - FTC	18,520
	NYCH: Technical Assistance, FT14508-608 West 204-FTC- MFMR	10,000
	NYCH: Technical Assistance, FT14640 - ParcVues Condomi-FTC	10,000
	On-Site Energy Manager, SA.034_TWO#20-Industrial_PM-1	4,692
	Real Time Engry Management, Minibid EBC & RTEM PrgmSupport	46,634
	Real Time Engry Management, SA.056_TWO #10 - RTEM MF	28,135
	Real Time Engry Management, SA.073_TWO# 13_AES PM	85,764
	Retrofit NY, SA.057_TWO #11 - Multifamily	67,531
	REV Campus Challenge, SA.025_TWO #2_Com_PM	0
	REV Campus Challenge, SA.045_TWO# 6_AES PM	30,632
	REV Campus Challenge, SA.052_TWO #9 - EP&E	1,371
	RTEM and Tenants, Minibid EBC & RTEM PrgmSupport	46,634
	RTEM and Tenants, SA.056_TWO #10 - RTEM MF	28,135
	RTEM Small/Medium Business, SA.056_TWO #10 - RTEM MF	28,135
	Single Family New Construction, SA.098 - New Con_PM-1	14,239
	Single Family New Construction, SA.099 - New Construction_PM-1	16,508
	Strategic Energy Manager, SA.034_TWO#20-Industrial_PM-1	19,748
	Strategic Energy Manager, SA.036c_TWO #8 - EP&E	72,476
	Strategic Energy Manager, SA.044_TWO#5_EPE PM	47,139
	Strategic Energy Manager, SA.052_TWO #9 - EP&E	59,243
	Tech Assistanc Multifamily LMI, FT14877 - Riverbend-2289 Fifth	8,035

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Contractor	Contract Description	Total Expended Amount
EME Consulting Engineering Group, LLC	Tech Assistanc Multifamily LMI, SA.108_TWO#21-MF_APM	37,314
	Tech Assistanc Multifamily LMI, SA.109_TWO#22-MF_APM	10,404
	Tech Assistanc Multifamily LMI, SA.117 TWO#25-MFRes PM-1	78,323
	Tech Assistanc Multifamily LMI, SA.118 - TWO#26 MFRes PM1	64,668
	Technical Services, EPE Team Analysis - EME TWO	11,107
	Technical Services, FT13649 - 301 E. 17th - FTC	16,411
	Technical Services, FT13784 - 550 First - FTC	83,714
	Technical Services, FT14508-608 West 204-FTC- MFMR	0
	Technical Services, FT14516-2515 Glenwood- FTC-MF	10,000
	Technical Services, FT14610-Fordham University-FTC	12,811
	Technical Services, FT14640 - ParcVues CondoMI-FTC	0
	Technical Services, FT14765 - Fordham University	50,603
	Technical Services, FT14935 - Manhattan College	35,395
	Technical Services, FT14958 - Barnard College	13,581
	Technical Services, PON 3525 Umbrella Agreement	119,697
	Technical Services, SA.084_TWO# 15_MF PM-1	79,209
	Technical Services, SA.108_TWO#21-MF_APM	37,314
	Technical Services, SA.109_TWO#22-MF_APM	10,404
	Emes Solar	<200KW PV, NY-Sun
<200KW PV, PON 2112 NY SUN		13,448
>200KW PV, NY-Sun		400,271
>200KW PV, PON 2112 NY SUN		2,189,923
NY-SUN, NY-Sun		40,813
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	13,064
Empire State Realty OP, LP	Tenant Energy Management, HeatRec C2_EmpireState_111W33	32,000
Empire State Realty Trust, Inc.	Empire Building Challenge, EBC Phase 2 - ESRT	855,000
	NYCH: Empire Build Challenge, EBC Phase 2 - ESRT	855,000
Employee Leasing of Greater NY	NYSERDA ADMINISTRATION, TS.030 – Strategic Operations	3,102
Empower CES, LLC	>200KW PV, PON 2112 NY SUN	173,988
	ENERGY STORAGE, PON 2112 NY SUN	168,750
Empower Equity Inc	OJT	9,806
	Talent Pipeline:CE and OJT, PON 4772 (Fellow)	6,167
	Talent Pipeline:CE and OJT, PON 4772 R3 Chyan Hulbert	18,417
	Talent Pipeline:CE and OJT, PON 4772 R3 Shawn Gregoire	18,500
Encompass Energy LLC	New Construction- Commercial, Commercial NCP 2022	6,838
Enel X North America Inc	ESTOR:Retail Storage Incentive, Retail Storage	750,000
Energetic Insurance, Inc.	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	275,000
Energists Holdings, LLC	NYSERDA ADMINISTRATION, Supplemental Rercruiting Svcs	10,030
Energy Allies	NY-SUN, Community Solar in Buffalo	120,000
Energy and Environmental Economics Inc.	>200KW PV, TWO#27 CValue&Solar Wht Papers	1,456
	CLCPA Support, TWO#7 Future of Gas Planning	3,863
	Electric Vehicles - Innovation, TWO 3 EV BCA update	50,000
	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	23,358
	ENERGY ANALYSIS, TWO #6 Complement Analysis	12,134
	ENERGY ANALYSIS, TWO #10: E3 Integration Analys	610,364
	ENERGY ANALYSIS, TWO#4 Policy Case Review	44,513
	ENERGY ANALYSIS, TWO#7 Future of Gas Planning	325,521
ESTOR: Implementation Support, TWO No. 4 VDER ES Calculator	67,482	

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Contractor	Contract Description	Total Expended Amount
Energy and Environmental Economics Inc.	ESTOR: Implementation Support, TWO5 Energy Storage Roadmap 2	38,542
	Hydrogen Innovation, Hydrogen Policy Options in NYS	7,233
	NYCH: LMI, TWO 8 -LMI Electrification Cost Model	49,485
	REC4:CES REC4 Tech Support, Transmission Services on Demand	18,595
	REC:CES REC System Dev Costs, Hydrogen Policy Options in NYS	2,032
	REC:CES REC System Dev Costs, Transmission Services on Demand	29,990
	TWO #5 CPRG Support	135,743
	TWO #6 Complement Analysis	9,334
	Value Stack Calculator Support	9,563
Energy Cooperative of America	New Construction Housing, 2019 LRNCP	211,200
	New Construction Housing, 2020 LRNCP	168,000
Energy EDC Corp.	NYCH: Talent PpIn:CE and OJT, PON3981 Round 11	29,113
	Talent Pipeline:CE and OJT, PON 4772 R3 CJF (Anthony Willi	9,250
	Talent Pipeline:CE and OJT, PON 4772 Round 3 Amira Rachouh	25,662
	Workforce Industry Partnership, PON 3715 (BOM)	62,589
Energy Futures Group, Inc.	Market Support Tools &Activity, Total Building Performance Training	49,520
Energy Management Solutions, LLC	NYCH: Talent PpIn:CE and OJT, OJT	3,675
	OJT	15,122
Energy Savers Inc	NYCH: Talent PpIn:CE and OJT, OJT	3,225
	OJT	36,840
Energy Service Technologies, LLC	NYCH: Talent PpIn:CE and OJT, OJT	7,200
Energy Storage Response Group LLC	CI Energy Siting & Soft Cost Red, TWO #1 Energy Storage	107,731
Energy Technology Savings, Inc.	NYCH: Industry Partnerships, PON 3715 (R15) BOM	37,500
Enertiv Inc.	Real Time Energy Management, Enertiv - 50 N 5th - RTEM	2,387
	Real Time Energy Management, Enertiv - 700 8th Ave - RTEM	2,232
	Real Time Energy Management, Enertiv-20 Exchange-RTEM	9,528
	Real Time Energy Management, Enertiv-101 Greenwich-RTEM	9,948
	Real Time Energy Management, Enertiv-Multisite-RTEM	61,418
Enervee Corporation	LMI Pilots, Energy & Climate Equity	106,583
	Market Tests, NY Prize	187,500
Enica Engineering, PLLC	Technical Services, FT14725 - AD Chappaqua - 480 N	15,829
	Technical Services, FT14875 - Weill Cornell Med	47,881
	Workforce Industry Partnership, PON 3715 (R15) BOM	18,195
Ensava, Inc.	AEAP Implementation Contractor	13,221
	Technical Services, AEAP Implementation Contractor	120,023
	Technical Services, Agricultural Best Practices	623
Enterprise Lumber & Silo, LLC	Net Zero Energy for Eco Dev, CNCED 2021 - Enterprise Lumber	152,075
Environet Systems, LLC	OJT	5,080
EONY Generation Limited	REC2:CES REC2 Contracts, T2RFP21-1_MooseRiver Hydro	218,434
Epic Management of New York, LLC	NYCH: Talent PpIn:CE and OJT, RFQL 5147 Labor Liaison TWO	6,954
Equinix Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	58,898
Erdman Anthony & Associates, Inc.	Real Time Energy Management, Erdman-SUNY Oneonta-RTEM	4,040
	Real Time Energy Management, Erdman-SUNY Polytech-RTEM	4,216
Erie Boulevard Hydropower LP	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	9,599
	REC2:CES REC2 Contracts, T2RFP21-1_Baldwinsville	5,395
	REC2:CES REC2 Contracts, T2RFP21-1_Talcville	1,584
	REC:CES REC Contracts, 10th RPS Main Tier Solicitation	10,636
	REC:CES REC Contracts, 11th Main Tier Solicitation	30,490

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Erie County	CLEANER GREENER COMMUNITIES, CGC - Erie County	286,868
Erie Road Acquisitions GP LLC	Low Carbon Tech Demos, MF Low Carbon Pathways	254,725
Erie Wind LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	67,192
Essense Partners Inc.	OREC: Technical Support, TWO #1 - LSR/OSW	289,641
Ethergroup LLC	OJT	19,011
Evolution Markets, Inc	CSAPR Broker Services	1,188
F&D Partners	OJT	39,095
FAC Homeownership HDFC	Tech Assistanc Multifamily LMI, FT14745 - 713 Third Ave	10,000
Farm to Flame Energy Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Morgan Condon)	15,417
Feedback Solutions Inc.	NYCH: Innovation, Real-Time Occupancy based	15,969
Ficazzola Consulting, LLC	>200KW PV, PON 2112 NY SUN	7,275
Fifth Avenue Committee, Inc.	Retrofit NY, RetroFitFifth Avenue Committee	16,000
Finch Paper, LLC	On-Site Energy Manager, OsEM94 I - Finch Paper	13,125
Finger Lakes Comfort, Inc	NYCH: Talent Ppln:CE and OJT, OJT	6,292
	Talent Pipeline:CE and OJT, OJT	3,679
FINGER LAKES POWER SYSTEMS LLC	<200KW PV, NY-Sun	10,192
	<200KW PV, PON 2112 NY SUN	15,000
Fingerlakes Renewables	<200KW PV, PON 2112 NY SUN	6,300
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management	116,859
Fishtech Energy Partners LLC	RTEM and Tenants, Fischer-55WaterSt-RTEM+T	142,414
	Technical Services, FT14426-475 Park Ave -MF-FTC	12,435
	Technical Services, FT14427- 1160 Third- FTC-MF	12,435
	Technical Services, FT14431 - 345 81st - FTC	12,435
	Technical Services, FT14435- 298 Mulberry- FTC- MF	2,655
	Technical Services, FT14662 - George Comfort - 307	12,822
	Technical Services, FT14681 - 448-450 St. -FTC	10,000
	Technical Services, FT14762 - 650 Fifth Ave Co	16,976
	Technical Services, FT14764 - 452 Fifth Owners	8,512
	Tenant Energy Management, HeatRec C2_Fishtech_55 Water	2,627
Florenton River LLC	<200KW PV, NY-Sun	116,440
	<200KW PV, PON 2112 NY SUN	5,640
	>200KW PV, NY-Sun	29,110
	>200KW PV, PON 2112 NY SUN	209,560
Foam It Insulation, LLC	OJT	31,366
Foley & Lardner LLP	RFP 12: NYGB Legal Services	27,500
Fordham Hill Owners Corp.	Technical Services, FT14879 -Fordham 2400 Sedgwick	20,684
	Technical Services, FT14908 - Fordham - 2431 Webb	23,636
Fordham University	NYCH: Technical Assistance, OsEM53-C - Fordham University	87,616
	Technical Services, OsEM62-C - Fordham - Lincoln	99,994
Form Energy, Inc	Long Duration Energy Storage, LDES Tech & Product Dev	300,000
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	12,780
Fox Television Stations, Inc.	NYCH: Technical Assistance, FT13185 - 205 East 67th - PON	250
Fraunhofer USA Inc.	Building Envelope Systems, Building Envelopes - Fraunhofs	90,432
Fredonia Solar LLC	>200KW PV, NY Sun	60,554
Freehold Solar, LLC	>200KW PV, NY Sun	227,988
Freepoint Solar LLC	>200KW PV, NY Sun	249,264
Fresenius KabiUSA, LLC	On-Site Energy Manager, OsEM44-I Fresenius KabiUSA	341
Friello and Sons Heating and Cooling,..	NYCH: Talent Ppln:CE and OJT, OJT	32,110

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Contractor	Contract Description	Total Expended Amount
Frontier Energy, Inc.	>200KW PV, DER Data System Support	152,956
	ANAEROBIC DIGESTER, ADG - Frontier - TWO	3,032
	CI Engy Siting & Soft Cost Red, TWO 2 Cat 2 Siting Assistance	1,350
	Combined Heat and Power, ADG - Frontier - TWO	3,032
	ESTOR: Implementation Support, DER Data System Support	152,956
	ESTOR: Implementation Support, TWO 1 Cat 2 Energy Storage	14,678
	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	90,267
	NYCH: District, TWO #1 - TEN Support	6,562
Fulton County Community Heritage C..	Technical Services, FT14738 - 305 County Hwy - PON	8,475
Fulton Friendship Housing Developm..	New Construction Housing, 2019 LRNCP	58,400
Fund for Public Health in New York, In..	Environmental Research, Assessment for Energy Policy	74,292
Fund for Public Housing, Inc.	NYCH: Talent Ppln:CE and OJT, IMS PON4359 - Fund for Public	25,000
FunForm	Building Envelope Systems, Building Envelopes -funform	202,000
Fusco Personnel, Inc.	NYSERDA ADMINISTRATION, Recruitment Outsourcing	237,320
	OREC: Technical Support, TS.007 - LSR_Office Admin	233
	REC4:CES REC4 Tech Support, TS.007 - LSR_Office Admin	233
	REC:CES REC System Dev Costs, TS.007 - LSR_Office Admin	35,234
Fusion Energy Services LLC	<200KW PV, PON 2112 NY SUN	54,869
G.R.O. Energy Solutions, LLC	OJT	2,069
Gas Technology Institute	NextGen HVAC, Develop R30 wall	74,130
GBA Commissioning Services, Inc	Technical Services, FT13305 - 11 West 53rd - FTC	91,542
	Technical Services, FT14395 - 20 River Terrace-FTC	32,656
	Technical Services, FT14408 - 1411 Broadway - FTC	26,282
Geatrain Engineering PLLC	OJT	5,855
	Technical Services, FT14876 - 133-42 39th Avenue	56,100
General Electric Company	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	27,214
	Natl Offshore Wind R&D	27,214
General Electric International, Inc.	REC:CES REC System Dev Costs, Transmission Services on Deman	24,000
Generate Capital Inc.	<200KW PV, NY-Sun	1,026,638
	>200KW PV, NY Sun	78,281
	>200KW PV, NY-Sun	306,465
Generate NY Community Solar I, LLC	LMI Community Solar, RFP3802 Low Income Comm Solar	193,986
Generate NY Community Solar Lessor III,	>200KW PV, NY Sun	244,345
	>200KW PV, NY-Sun CI Assignment	361,277
Ginsberg Holdings LP	Low Carbon Tech Demos, MF Low Carbon Pathways	19,725
GIP III Zephyr Acquisition Partners L.P.	LMI Community Solar, RFP3802 Low Income Comm Solar	127,691
Gloversville-Johnstown Joint Wastew..	ANAEROBIC DIGESTER, Gloversville-Johnstown Joint W	83,771
Goldman Copeland Associates, P.C.	REV Campus Challenge, FT14391 - Weill Cornell - FTC	2,190
	Technical Services, FT14380 - 47-22 Pearson - FTC	2,709
	Technical Services, FT14389 - 226 West 52nd - FTC	9,881
	Technical Services, FT14397- 7 West 55th - FTC	13,999
	Technical Services, FT14434 - 170 Broadway - FTC	10,971
	Technical Services, FT14440 - 450 Park Ave - FTC	10,996
	Technical Services, FT14447-Lefrak-105-40 62nd-FTC	17,554
	Technical Services, FT14448-Lefrak-97-50Queens-FTC	16,055
	Technical Services, FT14460-First Presbyterian-FTC	6,426
	Technical Services, FT14461 - 151 W 54th - FTC	10,982
Technical Services, FT14466 - The Millennium - FTC	7,875	

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Goldman Copeland Associates, P.C.	Technical Services, FT14554 - Cathedral of St.John	19,013
	Technical Services, FT14579-Jones Lang 119W 40-FTC	18,996
	Technical Services, FT14591 - North River - FTC	9,019
	Technical Services, FT14592 - NC North River - FTC	9,019
	Technical Services, FT14593 - Bulgroup - FTC	7,009
	Technical Services, FT14633 - Windows on 123 - FTC	18,742
	Technical Services, FT14646-Rubin Museum of Art	18,993
	Technical Services, FT14693 - Colliers - 60 Hudson	22,155
	Technical Services, FT14702 - Weill Cornell Med	9,580
	Technical Services, FT14708 - Rockefeller Group	20,774
	Technical Services, FT14720 - 125 West 31 - FTC	26,985
	Technical Services, FT14756 - Madison Ave Presbyte	12,727
	Technical Services, FT14769 - School of Visual Art	119,099
	Technical Services, FT14823 - Vornado Realty	6,499
	Technical Services, FT14829 - Vornado Trust Realty	11,975
	Technical Services, FT14904 - Glorious Sun Blue	9,476
	Technical Services, FT14951 - SL Green - 215 Park	16,706
	Tenant Energy Management, FT14905 - Goldman Copeland-FTC	48,000
	Gowanus Green Partners LLC	NYCH: District, PON4614 Round #1 Gowanus
Gree Mechanical Services USA Corp	NYCH: Talent Ppln:CE and OJT, OJT	9,000
Gree Mechanical Yonkers LLC	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Green City Force	Talent Pipeline:CE and OJT, PON3981 Round 6	20,529
Green Home Logic, Inc.	OJT	8,800
Green Hybrid Energy Solutions Inc.	<200KW PV, PON 2112 NY SUN	6,548
	>200KW PV, NY-Sun	129,786
	>200KW PV, PON 2112 NY SUN	144,567
	NY-SUN, NY-Sun	21,631
Green Light New York, Inc.	Commercial Real Estate Ten, Energy Efficiency Training TWO	43,637
	NYCH: Talent Ppln:CE and OJT, PON3981 Round 13	51,169
Green Power Developers, LLC	<200KW PV, PON 2112 NY SUN	152,219
GreenLogic, LLC	ENERGY STORAGE, PON 2112 NY SUN	17,650
Greenpoint Solar & Electrical, Inc.	<200KW PV, PON 2112 NY SUN	11,520
Greenstar Home Services	NYCH: Talent Ppln:CE and OJT, OJT	13,118
	OJT	21,967
Greenwood Dairy Farm, LLC	ANAEROBIC DIGESTER, RPS CST ADG to Electricity Pro	23,240
	NEW CONSTRUCTION PROGRAM, RPS CST ADG to Electricity Pro	23,240
GridEdge Networks, Inc.	Future Grid Perf. Challenges, Power Grid Innovation	13,000
	High Performing Grid, Power Grid Innovation	26,344
Groundswell, Inc.	NY-SUN, PON 3414 - Rochester Clarissa	15,000
Groundwork Hudson Valley	NY-SUN, PON 3414 - SW Yonkers Outreach	95,000
Group-S LLC	Low Carbon Tech Demos, MF Low Carbon Pathways	15,250
	Multifam Performance Pgm, Multifamily	50,360
	NYCH: Technical Assistance, FT13856 - 54 Riverside - FTC	10,000
	NYCH: Technical Assistance, FT13865 - 152 W. 57th - FTC	26,000
	NYCH: Technical Assistance, FT13870 - 230 Park - FTC	19,600
	Tech Assistanc Multifamily LMI, FT13323 - 98 Co-Op City - FTC	185,000
	Technical Services, FT13189 - 135 E 57th - FTC	15,400
Technical Services, FT14122 - 40 5th - FTC	9,000	

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Contractor	Contract Description	Total Expended Amount
Group-S LLC	Technical Services, FT14129 - 583 Broadway	8,775
	Technical Services, FT14297 - 3220 Henry Hud - FTC	7,500
	Technical Services, FT14305 - 1 West 39th - FTC	28,500
	Technical Services, FT14394 - 224 East 47th - FTC	8,325
GSPP 2496 Lewis Road LLC	>200KW PV, NY Sun	253,202
	NY-SUN, NY Sun	303,843
GSPP 4643 Twelve Corners Road, LLC	>200KW PV, NY Sun	801,601
	NY-SUN, NY Sun	1,109,909
GSPP 6335 Fresh Pond, LLC	>200KW PV, NY-Sun	12,789
GSPP 7024 Fox Rd, LLC	>200KW PV, NY Sun	1,147,851
	NY-SUN, NY Sun	1,485,457
GSPP Baxter 2, LLC	>200KW PV, NY Sun	211,361
	NY-SUN, NY Sun	211,361
GSPP Hillsboro & Dunbar, LLC	>200KW PV, NY Sun	171,467
	NY-SUN, NY Sun	171,467
GSPP Sentinel Heights Road, LLC	>200KW PV, NY Sun	174,739
	NY-SUN, NY Sun	256,285
GSRP MT Solar I LLC	REC:CES REC Contracts, Branscomb Solar_RESVCO2021	340,938
Guggenheim Museum	Technical Services, OsEM82-C - Guggenheim Museum	60,078
Guidehouse Inc.	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	23,145
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	23,145
	Grid ClimateTech Ready Capital, Guidehouse - DERSim Concept	50,000
	Healthy Homes VB Payment Pilot, TWO 3 NYS Healthy Homes VBP	9,375
	NEW YORK GREEN BANK, TWO #1 - Price Forecast	143,360
	NYCH: LMI, Round 3 Stakeholder Engagement	15,000
	REV Connect, REV Connect Initiative	589,383
	Technical Services, RFQ3183 Umbrella Agreement	23,145
H2M Architects, Engineers, Land Surv..	OTHER PROGRAM AREA, Rockville Centre JT Planning S	73,777
H.E.L.P Development Corp.	New Construction Housing, NCP Housing 2022	70,400
Halcyon Inc.	NYCH: Talent Ppln:CE and OJT, OJT	101,763
	OJT	30,588
Halcyon, Inc.	<200KW PV, NY-Sun	20,000
	<200KW PV, PON 2112 NY SUN	53,788
Hanwha Q Cells America Inc	>200KW PV, PON 2112 NY SUN	1,194,102
Harris Beach PLLC	NYSERDA ADMINISTRATION, TWO 2 Financing Solutions Prog	1,624
	NYSERDA ADMINISTRATION, TWO 5 - Edelweiss Fund	27,058
	SARATOGA TECHNOLOGY & ENERGY PARK, TWO 1 STEP Matters	42,790
Harris Energy Solutions LLC	Technical Services, FT14498 - 48-40 34th - FTC	1,142
	Technical Services, FT14499 - 158-11 Jewel - FTC	8,128
	Technical Services, FT14837 - MSKCC - 1133 York	29,916
	Technical Services, OsEM119-C - Kingsbrook	59,189
Harvest Power, LLC	>200KW PV, PON 2112 NY SUN	27,156
	ENERGY STORAGE, PON 2112 NY SUN	12,500
Hawkins Delafield & Wood LLC	BR: Program Implementation, Bond Counsel 2019	8,797
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:CE and OJT, OJT	28,427
Healthy Home Energy & Consulting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	1,562
	OJT	7,040
Heat Inverse LLC	Talent Pipeline:CE and OJT, OJT	3,866

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Contractor	Contract Description	Total Expended Amount
Helix Ventures, LLC	NYCH: District, PON 4614 Round #5	34,641
Hempitecture Inc.	Natural Carbon Solutions, A1 - Building Challenge	20,000
Henkel US Operations Corporation	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	5,808
Henningson, Durham & Richardson PC	CI Engy Siting & Soft Cost Red, TWO #1	106,027
	OREC: Technical Support, TWO 4 Master Plan 2.0 Studies	207,941
	OREC: Technical Support, TWO #2 HDR Port Liaison	61,814
Heritage Holdings, LLC	OREC: Technical Support, TWO Technical Writing OSW	129,144
	Empire Building Challenge, EBC Phase 2 -Heritage Holdings	957,500
	NYCH: Empire Build Challenge, EBC Phase 2 -Heritage Holdings	957,500
Herkimer Affordable Housing	Multifam Performance Pgm, Multifamily	3,938
Hidden Meadows Solar, LLC	>200KW PV, NY-Sun C&I	913,157
	NY-SUN, NY-Sun C&I	1,123,885
High Peaks Solar	OJT	1,915
Highland Planning LLC	WEST VALLEY DEVELOPMENT PROGRAM, West Valley	19,958
Hobart and William Smith Colleges	Technical Services, OsEM51-C-Hobart&William Smith	24,855
Hodgson Russ LLP	Code to Zero, Code Change Proposals	23,934
	Tech Assistanc Multifamily LMI, TWO 6 - Public Benefit Financi	42,169
Holland & Knight LLP	BR: Program Implementation, TWO 4 - BR_Benson MinesFiling	4,110
	OREC: Technical Support, TWO 1 - ORECRFP22-1	83,054
	OREC: Technical Support, TWO 3 - IRA Tax Advice	14,748
	OREC: Technical Support, TWO 5 - ORECRFP22-1 Reviewer	46,292
	OREC: Technical Support, TWO 7 - OREC Agreement advisin	51,356
	OREC: Technical Support, TWO 8 - CES Contract Amendmts	17,933
	OREC: Technical Support, TWO 9 - ORECRFP23-1 OSW Solici	31,940
	OREC: Technical Support, TWO 10 - Transmission Planning	19,010
	REC:CES REC System Dev Costs, TWO 8 - CES Contract Amendmts	4,483
	TWO 3 - IRA Tax Advice	6,918
ZEC:CES ZEC System Dev Costs, TWO 6 - Amendment to ZEC Agr.	22,653	
Home HeadQuarters, Inc.	CLEANER GREENER COMMUNITIES, CGC38740 - Home Headquarters	22,000
Homes for Heroes, Inc.	Single Family New Construction, 2020 LRNCP	49,000
Honeywell International Inc.	EMPOWER NY, TWO #2 - Field Inspection	25,308
	Home Perf w Energy Star, TWO #2 - Field Inspection	32,536
	NENY:CHGE Empower Electric, TWO #2 - Field Inspection	918
	NENY:CHGE Empower Gas, TWO #2 - Field Inspection	4,665
	NENY:Con Ed Empower Electric, TWO #2 - Field Inspection	3,677
	NENY:Con Ed Empower Gas, TWO #2 - Field Inspection	12,372
	NENY:KEDNY Empower Gas, TWO #2 - Field Inspection	13,248
	NENY:NFG Empower Gas, TWO #2 - Field Inspection	98,745
	NENY:NIMO Empower Electric, TWO #2 - Field Inspection	9,157
	NENY:NIMO Empower Gas, TWO #2 - Field Inspection	20,934
	NENY:NYSEG Empower Electric, TWO #2 - Field Inspection	9,336
	NENY:NYSEG Empower Gas, TWO #2 - Field Inspection	26,345
	NENY:O&R Empower Electric, TWO #2 - Field Inspection	8,066
	NENY:O&R Empower Gas, TWO #2 - Field Inspection	13,584
	NENY:RGE Empower Electric, TWO #2 - Field Inspection	5,270
	NENY:RGE Empower Gas, TWO #2 - Field Inspection	13,609
	NYCH: Comfort Home, TWO #1 Comfort Home SQA	16,182
TWO #2 - Field Inspection	160,823	

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Contractor	Contract Description	Total Expended Amount
Houghton College	NYCH: District, PON 4614 Houghton College	12,672
	Technical Services, OSEM28-C - Houghton College	7,000
Housing Action Council, Inc.	New Construction Housing, 2019 LRNCP	69,200
Housing Trust Fund Corporation	Direct Injection Program, HCR 2021	3,975,000
	HCR Direct Injection, HCR 2021	2,072,500
Housing Visions Consultants, Inc.	New Construction Housing, 2019 LRNCP	65,000
	New Construction Housing, NCP Housing 2022	52,800
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	10,101
HPDC Energy LLC	Housing Agencies Support, Consultant HCR	157,057
HR&A Advisors, Inc.	OTHER PROGRAM AREA, Ravenswood Queens JT Planning	55,000
Hudson River Housing, Inc.	New Construction Housing, NC-Housing 2022	120,000
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	21,500
Hudson Valley Community College	Talent Pipeline:OSW Training, OWTI Workforce Training	13,638
HyperGen Inc	NYSERDA ADMINISTRATION, PeopleSoft Support Services	559,860
Hytech Solar Inc	<200KW PV, NY-Sun	7,680
	<200KW PV, PON 2112 NY SUN	5,184
	COMMUNITY SOLAR, PON 2112 NY SUN	20,226
	ENERGY STORAGE, PON 2112 NY SUN	12,500
IBC Engineering PC	CGSI-75_E - Jamestown PS	45,240
	K-12 SCHOOLS, P12GC-82_E - N. Syracuse - FTC	5,430
	REV Campus Challenge, FT14006 - Syracuse U - FTC	4,584
	Technical Services, FT14194 – 415 W Fayette – FTC	12,425
IBI Group Architects, Engineers,	CLEAN TRANSPORTATION, CGSI-52CT - Massena CSD	12,814
	Electric Vehicles - Innovation, CGSI-35_CT - Gilbertville-PON	17,273
	Electric Vehicles - Innovation, CGSI-38CT-Franklin CSD (1)_CT	23,969
	Electric Vehicles - Innovation, CGSI-40CT-Walton CSD(1)_CT	24,719
	Electric Vehicles - Innovation, CGSI-48CT - Jefferson CSD	15,561
Electric Vehicles - Innovation, CGSI-49CT Chenango Valley CSD	36,140	
iCatalysts LLC	Innovation Advisors, Innovation Advisor - Innov Ops	6,600
ICF Incorporated LLC	CLEAN TRANSPORTATION, TWO 16 RFQL Review	6,469
	CLEAN TRANSPORTATION, TWO # 10	180,543
	ENERGY ANALYSIS, TWO 2 - Embodied Emissions Po	71,402
	EV Charging and Engagement, TWO 16 RFQL Review	6,469
	Grid ClimateTech Ready Capital, TWO 14 - Resilience Metrics	80,257
	TWO 15 - Climate Afford Study	276,721
	TWO # 11 SESP Consultant	14,821
ICF Resources, LLC	Environmental Research, TWO 1 - Climate Tech Assistanc	40,822
	Prof & Expert Engagement, TWO 12 - ICF CRB Support	104,633
Illume Advising LLC	EEC Implementation	935
	Equitable Engagement, EEC Implementation	34,696
	Eval MCDCC:Climate Act Benefits, TWO #2 - DAC Benefits	21,876
	K-12 SCHOOLS, TWO #3 - P-12 Schools Work Pla	75,055
	TWO 1 - CJWG Facilitation	70,746
Imperium3 New York Inc	OJT	28,097
Indent Builders Inc	<200KW PV, PON 2112 NY SUN	5,040
	>200KW PV, PON 2112 NY SUN	17,334
Industrial Economics, Incorporated	Clean Energy Hub, TWO1 - CEEP Evaluation	61,776
	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	127,819

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Contractor	Contract Description	Total Expended Amount
Industrial Economics, Incorporated	Community Energy Engagement, TWO1 - CEEP Evaluation	75,187
	Electric Vehicles - Innovation, TWO 6 - NY Trans Prize Eval	16,814
	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	5,331
	Environmental Research, TWO#4 Climate Econ. Impact	89,887
	ESTOR: Implementation Support, TWO #5 SGEIS	5,864
	Eval MCDC Clean Transportation, TWO 6 - NY Trans Prize Eval	18,897
	Eval MCDC: MD&IR Case Studies, TWO 3 - Case Studies	64,247
	Market Tests, TWO 5 IMS Market Impact Eval	129,397
	Mkt Char: Tech Assist, TWO#1 BCA study Undergrounding	11,475
	New Construction Housing, TWO 3 - Case Studies	2,164
	OREC: Technical Support, TWO #6 LSR Support Inflation	24,998
	REC:CES REC System Dev Costs, TWO #6 LSR Support Inflation	24,998
INF Associates LLC	Technical Services, FT14832 - Sage Realty	2,120
	Technical Services, FT14835 - Sage Realty	8,493
	Technical Services, FT14942 - Belmont Metals - FTC	7,505
Infinite Invention Inc	Future Grid Perf. Challenges, ConnectDER Monitor & Control	41,601
	High Performing Grid, Meter Adapt for Energy Storage	139,934
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	51,517
Innoenergy USA, LLC	EVPRZ:Clean Personal Mobility, Project MOVER	242,436
InnSure Corporation	Novel Bus Models & Offers, Climate-Oriented Solutions Pro	375,000
Institute for Building Technology and Sa	>200KW PV, TWO 1 Cat 2 NY-SUN	2,916
	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	77,256
	ESTOR: Implementation Support, TWO 2 Cat 1 Energy Storage	20,523
	NY-SUN, TWO 1 Cat 2 NY-SUN	2,916
	NY-SUN, TWO 4 NYSUN Res NonRes	704,149
Institute for Market Transformation	NYCH: Innovation, VHE HVAC	27,355
Integral Building & Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	4,704
Integrated Energy Service Corp	Real Time Enrgy Management, IES-32 Old Slip-RTEM	14,160
	Real Time Enrgy Management, IES-75 Rockefeller-RTEM	9,960
	Real Time Enrgy Management, IES-470 Vanderbilt-RTEM	8,460
Integrated HVAC Systems and Services	Real Time Enrgy Management, Integrated-702 Vandalia-RTEM	3,720
Integrated Staffing Corporation	ENERGY ANALYSIS, TS.032 - EEA_Coordinator	36,979
	ESTOR: Implementation Support, SA.002_TWO# 1_SQA_PM1	4,203
	Home Perf w Energy Star, SA.002_TWO# 1_SQA_PM1	1,812
	NYCH: Comfort Home, SA.002_TWO# 1_SQA_PM1	59
	Renewable Heat NY, SA.002_TWO# 1_SQA_PM1	185
	SA.002_TWO# 1_SQA_PM1	2,158
IntelliGen Power Systems, LLC	Combined Heat and Power, CHPA - 402 East 102nd Street	142,771
	Combined Heat and Power, CHPA - London Terrace	285,618
International Business Machines	CI Carbon Challenge, 2nd C&I Carbon Challenge Proj.	392,000
Interstate Renewable Energy Council, ..	NYCH: Talent Ppln:CE and OJT, PON3981 Round 12	53,203
Introba Inc.	REV Campus Challenge, Tech Review_Program Support	59,241
IPPsolar Integration LLC	<200KW PV, NY-Sun	43,120
	NY-SUN, NY-Sun	18,480
IPPsolar LLC	>200KW PV, NY Sun	1,117,800
	NY-SUN, NY Sun	1,117,800
Isaac TEC LLC	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	75,166
Ithaca College	Talent Pipeline:CE and OJT, PON 4772 R3 (Annie Mwanza)	9,250

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Contractor	Contract Description	Total Expended Amount
Ithaca Neighborhood Housing Service..	New Construction Housing, 2019 LRNCP	55,200
Ithaca Rentals and Renovations, Inc.	On-Site Energy Manager, OsEM85-M - Travis Hyde Prop	6,900
	Technical Services, OsEM85-M - Travis Hyde Prop	1,919
J Synergy Solar LLC	<200KW PV, NY-Sun	7,300
	<200KW PV, PON 2112 NY SUN	13,132
	>200KW PV, PON 2112 NY SUN	53,835
J. Grace Corporation	OJT	7,932
J&A Electrical Construction LLC	<200KW PV, PON 2112 NY SUN	6,873
Jamestown Board of Public Utilities	Cat B - Renewables and Innovat	47,322
Jaros, Baum & Bolles	Cleantech POCC, Support Empire Tech Prize	39,206
	Empire Building Challenge, Support Empire Tech Prize	11,044
	Technical Services, FT14338 - 155 W 11th - FTC	23,907
	Technical Services, FT14733 - Hines - 1211 AoA	33,460
	Technical Services, FT14734- Hines - 1411 Broadway	30,385
JASA Corporation	Buildings of Excellence, Buildings of Excellence R1.	400,000
	New Construction Housing, NCP Housing 2022	437,500
JBA Consulting Engineers, Inc.	CLEAN TRANSPORTATION, CGSI-82CT - Tarrytown PS	12,587
JBI Construction Group	<200KW PV, NY-Sun	41,796
	<200KW PV, PON 2112 NY SUN	74,520
	>200KW PV, PON 2112 NY SUN	17,415
Jefferson County	Clean Energy Communities, CEC711068 - Jefferson County	165,000
Jefferson Tenants Corp.	Technical Services, FT13595 - 55 E 9th - PON	2,825
JEM ENGINEERING SERVICES	High Performing Grid, Voltage Remediation for DERs	20,000
Jericho Rise Wind Farm, LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,203,849
Joe - Gerry SNA LLC	Low Carbon Tech Demos, Low Carbon Pathways	115,000
John Betlem Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT	41,542
Jones Lang LaSalle Americas, Inc.	On-Site Energy Manager, OsEM83-I Phillips Medical	82,680
	Workforce Industry Partnership, PON 3715 (R14) BOM	26,667
Joseph Technology Corporation,	NYCH: District, PON4614 Round #1 Guidebook	75,000
JouleSmart Solutions, Inc.	Real Time Enrgy Management, JouleSmart - MultiSite - RTEM	12,749
Joy Gree LLC	NYCH: Talent Ppln:CE and OJT, OJT	12,000
JR & SONS EXCAVATING INC.	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	114,184
Juilliard School	Technical Services, OsEM92-C-The Juilliard School	55,575
Kamtech Restoration Corp	<200KW PV, NY-Sun	64,432
	<200KW PV, PON 2112 NY SUN	88,340
	>200KW PV, PON 2112 NY SUN	97,250
Karp Strategies, LLC	OREC: Technical Support, NYS OSW Training Efforts	50,031
Karpman Consulting, LLC	Code to Zero, TWO#5 Energy code training	67,165
Kasselman Solar LLC	<200KW PV, NY-Sun	22,680
	<200KW PV, PON 2112 NY SUN	166,993
Kawi Energy Group Corp.	OJT	28,848
KC Management Holdings LLC	NYCH: Talent Ppln:CE and OJT, OJT	7,645
	OJT	20,434
Kearns & West, Inc.	Market Support Tools &Activity, TWO 1 - RMAG Facilitator	129,873
	OREC: Technical Support, Facilitation Support LSR-OREC	65,904
	OREC: Technical Support, TWO #15 LFTE webinar support	14,009
	OTHER PROGRAM AREA, TWO 12-H2 Stakeholder Engagmen	0
	REC:CES REC System Dev Costs, Facilitation Support LSR-OREC	4,402

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Contractor	Contract Description	Total Expended Amount
Kearns & West, Inc.	TWO 12-H2 Stakeholder Engagemen	191,338
Kelliher Samets LTD	Air Source Heat Pumps, TWO 29 - Clean Heating/Cooling	23,243
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, TWO 18 - Sin..	5,761
	BR: Program Implementation, TWO 43 Build Ready Marketing	82,219
	Clean Energy Hub, TWO 4 - CE Hubs launchsupport	19,695
	Clean Energy Hub, TWO 36 -Clean Energy Hubs Mktg	15,977
	Code to Zero, TWO 15 - Codes	4,208
	Community RH&C, TWO 29 - Clean Heating/Cooling	58,269
	Consumer Ed and Market Support, TWO 18 - Single Family Mktg	243,498
	Electric Vehicles - Innovation, TWO 35 - Clean Trans Mktg	33,958
	EMPOWER NY, TWO 18 - Single Family Mktg	2,993
	ESTOR:Consumer Education, TWO 34 - Energy Storage	2,210
	Eval MCDC: MF Building Stock, TWO 33 - MF Baseline Study	1,877
	G1022:SEPBIL Industry EcoDev, TWO 37 - EconDev Mktg	54,145
	Geothermal Incentive Program, TWO 29 - Clean Heating/Cooling	57,651
	GJGNY Market Rate Audits, TWO 18 - Single Family Mktg	5,416
	Home Perf w Energy Star, TWO 18 - Single Family Mktg	18,672
	LMI Marketing, TWO 19 - NY Energy Advisor	393,860
	Low Carbon Tech Demos, TWO 27 - Low Carbon Pathways	9,076
	Market Tests, TWO 21 - Multifamily Program	9,456
	Market Tests, TWO 23 - Building Labeling	10,406
	NENY:CHGE Energy Advisor, TWO 19 - NY Energy Advisor	8,331
	NENY:Con Ed Energy Advisor, TWO 19 - NY Energy Advisor	111,828
	NENY:KEDLI Energy Advisor, TWO 19 - NY Energy Advisor	21,102
	NENY:KEDNY Energy Advisor, TWO 19 - NY Energy Advisor	27,528
	NENY:NFG Energy Advisor, TWO 19 - NY Energy Advisor	19,900
	NENY:NIMO Energy Advisor, TWO 19 - NY Energy Advisor	35,315
	NENY:NYSEG Energy Advisor, TWO 19 - NY Energy Advisor	16,662
	NENY:O&R Energy Advisor, TWO 19 - NY Energy Advisor	5,554
	NENY:RGE Energy Advisor, TWO 19 - NY Energy Advisor	13,884
	New Construction Housing, TWO 16 - Bldgs of Excellence	60,316
	NY-SUN, TWO 25 - NY-Sun Marketing	11,008
	NYCH: Comfort Home, TWO 18 - Single Family Mktg	92,849
	NYCH: Consumer Awareness, TWO 28 - Clean Heat Marketing	984,834
	NYCH: Critical Tools, TWO 5 - NYS Tracking Study	65,688
	NYCH: Critical Tools, TWO 14 - Heat Pump Planner	3,103
	NYCH: Critical Tools, TWO 18 - Single Family Mktg	8,690
	NYCH: District, TWO 26 - Community HP Mktg	39,020
	NYCH: LMI, TWO 14 - Heat Pump Planner	1,487
	NYCH: Supply Chain, TWO 3 - Clean Heat Connect	277,902
	NYCH: Technical Assistance, TWO 18 - Single Family Mktg	25,533
	NYSERDA ADMINISTRATION, TWO 2 - Social Media Mgmt	3,875
	NYSERDA ADMINISTRATION, TWO 6 - Logo Updates	6,205
	NYSERDA ADMINISTRATION, TWO 22 - Website User Exp	18,233
	Pub Transit & Elect Rail, TWO 35 - Clean Trans Mktg	33,958
	Renewable Heat NY, TWO 29 - Clean Heating/Cooling	7,585
	Talent Pipeline:CE and OJT, TWO 17 - Workforce Dev Mark	109,746
	Talent Pipeline:Internship Pgm, TWO 17 - Workforce Dev Mark	21,949

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Contractor	Contract Description	Total Expended Amount
Kelliher Samets LTD	TWO 7 - NYGB	34,608
	TWO 8 - Induction Cooking	76,876
	TWO 18 - Single Family Mktg	47,238
	TWO 29 - Clean Heating/Cooling	28,456
	TWO 36 -Clean Energy Hubs Mktg	79,884
	TWO 39 - C&I Spon Content	1,488
Kerry Lipp	<200KW PV, PON 2112 NY SUN	15,456
Key Capture Energy, LLC	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	340,313
Kinetic Communities Consulting Corp..	Community RH&C, CH&C Communities Round 3	108,000
Kings Ford, Inc	CLEAN TRANSPORTATION, NYTVIP - Cintas Corporation	83,402
Kite Realty Group, LP	Technical Services, OsEM87-C - Kite Realty Group	8,288
KPMG LLP	NEW YORK GREEN BANK, NYSERDA Audit Services	10,161
	NYSERDA ADMINISTRATION, NYSERDA Audit Services	2,591
Krueger Transport LLC	Electric Vehicles - Innovation, Fuel Cell Bus Project	222,570
L&M Builders Group LLC	New Construction Housing, 2019 MFCNP	62,200
L&S Energy Services, Inc.	Campus/Technical Assistance, L&S Technical Review - TWO	1,955
	Clean Energy Communities, L&S GJGNY Energy Audits	3,630
	Commercial Real Estate Ten, FlexTech Consultant Selection	50,248
	Direct Injection Program, HCR TWO - 35 Broadway Veterans	-1,454
	Direct Injection Program, HCR TWO - Mosaic Apartments	-1,492
	Direct Injection Program, HCR TWO Clinton & Steamboat	-18,634
	Flexible Tech Assistance, L&S GJGNY Energy Audits	203,385
	Flexible Tech Assistance, L&S Technical Review - TWO	3,146
	GJGNY REVOLVING LOAN FUND, L&S GJGNY Energy Audits	8,050
	HCR Direct Injection, HCR TWO - 35 Broadway Veterans	6,678
	HCR Direct Injection, HCR TWO - Mosaic Apartments	5,843
	HCR Direct Injection, HCR TWO Clinton & Steamboat	44,674
	K-12 SCHOOLS, L&S Technical Review - TWO	1,215
	New Construction Housing, HCR TWO Clinton & Steamboat	0
	New Construction- Commercial, Commercial New Construction	4,400
	OJT	18,038
	On-Site Energy Manager, Umbrella Contract	11,802
	Pay for Performance, L&S Technical Review - TWO	430
	REV Campus Challenge, L&S Technical Review - TWO	669
	Tech Assistanc Multifamily LMI, Cross-sector Program Support	8,297
Tech Assistanc Multifamily LMI, L&S Technical Review - TWO	6,116	
Technical Services, AEAP 1611 - Circle K	6,000	
Technical Services, Cross-sector Program Support	8,297	
Technical Services, FT13716 - Warren County - FTC	1,000	
Technical Services, L&S Technical Review - TWO	14,886	
LaBella Associates, P.C.	BR: Prospecting, Site Prospecting Services	15,690
	CI Engy Siting & Soft Cost Red, TWO #1 LaBella	14,112
	CI Engy Siting & Soft Cost Red, TWO #2 LaBella Cat 3	50,318
	K-12 SCHOOLS, P12GC-51E - Rome CSD - FTC	18,308
	K-12 SCHOOLS, P12GC-53E - Spencer Van-Etten	42,658
	OTHER PROGRAM AREA, Binghamton JT Planning Study	40,254
	OTHER PROGRAM AREA, Silver Springs JT Planning Stu	51,557
PON 4614 Round #7	80,670	

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Contractor	Contract Description	Total Expended Amount
Laborers Local 17 Training & Educati..	Talent Pipeline:CE and OJT, PON3981 Round 14	190,000
LaGuardia Community College/CUNY	Talent Pipeline:OSW Training, OWTI Workforce Training	19,278
Lake Country Geothermal, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Lamico Enterprises, LLC	NYCH: Talent Ppln:CE and OJT, OJT	8,272
	OJT	6,080
Landau Solar II LLC	>200KW PV, NY Sun	237,037
Larchmont, Village of	Clean Energy Communities, CEC500647- Vill. of Larchmont	10,000
Leon A Clifford ET AL PTR	Tech Assistanc Multifamily LMI, FT14146 - 119 N George - PON	10,000
Leviathan Solar Inc	COMMUNITY SOLAR, PON 2112 NY SUN	10,656
Levitan & Associates, Inc.	BR: Program Implementation, BR Auction RFP TWO Support	80,858
	CI Engy Siting & Soft Cost Red, TWO 4 - Tax Model Tech Support	227,908
	OREC: Technical Support, TWO#3 ORECRFP22 Support	163,228
	REC4:CES REC4 Tech Support, TWO 2 CES Solicitation Support	10,931
	REC:CES REC System Dev Costs, Large-Scale Renewables 2020 So	17,640
	REC:CES REC System Dev Costs, TWO 2 CES Solicitation Support	205
Lime Hollow Solar, LLC	>200KW PV, NY-Sun C&I	187,998
LineVision, Inc.	Future Grid Perf. Challenges, Power Grid Innovation	5,000
	High Performing Grid, Power Grid Innovation	186,384
Livingston Energy Group	OJT	10,000
Local 32BJ Thomas Shortman Training	Talent Pipeline:CE and OJT, PON3981 Round 18	4,148
Local Initiatives Support Corporation	EVPRZ:EJ Comm Clean Veh Trans, Buffalo Clean Mobility Future	64,036
Lockenurst Pond Solar LLC	>200KW PV, NY Sun	132,591
Loewke Brill Consulting Group	Talent Pipeline:CE and OJT, Workforce Dev & Training	7,795
Logical Efficiency LLC	Capital Planning, Eval Clean Water Fin Mech	-125,000
	Eval Clean Water Fin Mech	125,000
Long Island Power Authority	NY-SUN, MOU - 3 year term	15,000,000
Long Island Power Solutions	<200KW PV, NY-Sun	5,712
	<200KW PV, PON 2112 NY SUN	59,706
	>200KW PV, PON 2112 NY SUN	110,118
	COMMUNITY SOLAR, PON 2112 NY SUN	5,832
	ENERGY STORAGE, PON 2112 NY SUN	22,600
Loring Consulting Engineers, Inc.	Technical Services, FT14850 - 215 East 68th - FTC	34,747
Lotte Hotel New York Palace, LLC	Technical Services, OsEM91-C - Lotte New York Pala	86,488
LSS Leasing Limited Liability Company	Empire Building Challenge, EBC Phase 2 - LeFrak	93,333
	NYCH: Empire Build Challenge, EBC Phase 2 - LeFrak	6,667
Luminace Aggregator, LLC	NY-SUN, NY Sun	880,320
M/E Engineering, P.C.	Commercial New Construc, New Construction	-51,229
	K-12 SCHOOLS, CGSI-60 - Morristown CSD (1)_E	14,242
	K-12 SCHOOLS, P12GC-64E - Williamsville -FTC	71,138
	K-12 SCHOOLS, P12GC-89_E - Attica CSD - FTC	10,925
	New Construction- Commercial, Commercial New Construction	11,700
	New Construction- Commercial, New Construction	64,525
	NYCH: District, PON 4614 Rd #1 Syracuse U	5,000
	NYCH: District, Round 3 SUNY Oswego	54,625
	Technical Services, AEAP 1427 - Orchard Dale Fruit	6,000
	Technical Services, FT14528 - 230 Mountain - FTC	5,000
	Technical Services, FT14885 - Binghamton U	14,585
Madison Energy Holdings, LLC	>200KW PV, NY Sun	233,289

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Contractor	Contract Description	Total Expended Amount
Madison Energy Investments V LLC	<200KW PV, NY-Sun	60,480
	>200KW PV, NY-Sun	251,100
Magnusson Architecture and Planning PC	Buildings of Excellence, BoE R1 - Design Team Incentive	37,500
	Buildings of Excellence, BoE Rnd. 2 - DTL Dekalb Common	100,000
	Buildings of Excellence, RFP3928 Magnusson TWO # 2	48,456
	Buildings of Excellence, RFP3928 Magnusson TWO #1	67,090
Malcarne Contracting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	34,629
Manlius Acad LLC	Multifam Performance Pgm, Manlius Academy Apartments,	77,850
Mannino Electric, Inc.	<200KW PV, PON 2112 NY SUN	9,360
Maple H 880 Broadway Investor, LLC	Technical Services, OsEM106-C - 880 Broadway Owner	53,561
Mark Carbone	Tech Assistanc Multifamily LMI, FT14682 - Mark Carbone - PON	10,000
Mark MaGrann Associates	HCR Direct Injection, HCR TWO – James Linburgh Sr Ap	4,957
	Technical Services, FT14422- 63/67 Wall -FTC- MF	20,995
	Technical Services, FT14553-3215 Netherland-FTC-MF	10,000
	Technical Services, FT14577 - 375 Lincoln PI - FTC	5,000
	Technical Services, FT14730 -72 Park Terrace - FTC	22,500
Marsh Hill Energy, LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	821,546
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, RFP 4301 Insurance	19,688
Matthews Buses Incorporated	CLEAN TRANSPORTATION, NYTVIP - Katonah Lewisboro CSD	200,000
McKinsey & Company, Inc.	ENERGY ANALYSIS, RFP5293 GHG Cap & Invest Eval	492,500
	ENVIRONMENTAL RESEARCH, RFP5293 GHG Cap & Invest Eval	492,500
	RFP5293 GHG Cap & Invest Eval	1,726,000
McMahon and Mann Consulting Engin..	WEST VALLEY DEVELOPMENT PROGRAM, TWO2 North Slope Stabiliza..	6,280
Melrose North MM LLC	Multifam New Construction, New Construction	40,000
Meltek Inc.	OJT	5,481
MEP Geothermal Engineering, PLLC	NYCH: District, PON 4614 Round #5	40,000
	NYCH: District, PON4614 Round #1 Barnard	45,445
Metropolitan Transportation Authority	Pub Transit & Elect Rail, MTA TDM Pilot	25,000
Michael Robinson	Buildings of Excellence, Buildings of Excellence R1	3,972
Michaels Energy, Inc.	Advancing Ag Enrgy Technologie, TWO #3 Agriculture Impact Eval	32,068
	Agriculture Energy Eff Pgm, TWO #3 Agriculture Impact Eval	16,733
	Greenhouse Light & Systems Eng, TWO #3 Agriculture Impact Eval	12,899
	On-Site Energy Manager, TWO 1 - EMP Impact Evaluation	15,592
	Strategic Energy Manager, TWO 1 - EMP Impact Evaluation	5,197
	Technical Services, TWO 1 - EMP Impact Evaluation	0
	Technical Services, TWO #3 Agriculture Impact Eval	15,871
Micro Nano Technologies	NYCH: Innovation, New Gen Ultra-Efficient AC	20,000
MicroEra Power, Inc.	Thermal Energy Storage, Community Heat Pumps- MicroEra	2,360
MicroGrid Networks LLC	ESTOR:Retail Storage Incentive, Retail Storage	7,200,000
Mid-Hudson Energy Transition	Talent Pipeline:CE and OJT, PON 4772 Fellow	6,167
MIMiC Systems Inc	NYCH: Innovation, NextGen HVAC Innovation	30,000
Minisink Solar LLC	>200KW PV, NY Sun	47,986
Mintz, Levin, Cohn, Ferris, Glovsky and	Cleantech Ignition, RFP 12 - NYGB Legal Services	10,065
Mintzer Mauch PLLC	BR: Program Implementation, TWO 4 - BR Public Lands	14,796
Mission Power Corp.	OJT	21,290
	Talent Pipeline:CE and OJT, OJT	15,360
MJ Garden LLC	New Construction- Commercial, Commercial New Construction	55,048
MJW Technical Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	180,861

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Contractor	Contract Description	Total Expended Amount
Mobileware Inc	Pub Transit & Elect Rail, On-demand commuter carpooling	18,706
Mohawk Fine Papers Inc.	On-Site Energy Manager, OsEM77-I - Mohawk Fine Paper	46,048
Monadnock Constuction, Inc.	<200KW PV, NY-Sun	71,982
	>200KW PV, NY-Sun	119,970
Mount Sinai Medical Center	Technical Services, OsEM93-C - Mount Sinai Queens	33,081
MR. AIR NYC Corp.	NYCH: Talent PpIn:CE and OJT, OJT	22,950
	NYCH: Talent PpIn:CE and OJT, PON 4772 R3	3,083
MVN Realty, LLC	Multifam Performance Pgm, Multifamily	19,553
Nagle House, Inc.	Multifam Performance Pgm, Multifamily	9,000
National Solar Technologies	<200KW PV, PON 2112 NY SUN	129,418
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, National OSW R&D Concorcium.	332,467
	Nat'l OffShWind R&D Consortium, NOWRDC-105-ESTECO	37,700
	Nat'l OffShWind R&D Consortium, NOWRDC-110-Tufts	187,171
	Nat'l OffShWind R&D Consortium, NOWRDC-112-Cable	41,360
	Nat'l OffShWind R&D Consortium, NOWRDC-113-Worley	82,001
	Nat'l OffShWind R&D Consortium, NOWRDC-116-Keystone	14,188
	Nat'l OffShWind R&D Consortium, NOWRDC-118-PCCI	42,200
	Nat'l OffShWind R&D Consortium, NOWRDC-119-ESTEYCO	4,058
	Nat'l OffShWind R&D Consortium, NOWRDC-122-GE Renewable	1,165
	Nat'l OffShWind R&D Consortium, NOWRDC-124-GE Renewable Energy	68,359
	Nat'l OffShWind R&D Consortium, NOWRDC-125-NREL	105,377
	Nat'l OffShWind R&D Consortium, NOWRDC-126-EPRI	2,000
	Nat'l OffShWind R&D Consortium, NOWRDC-127-GE Research	131,786
	Nat'l OffShWind R&D Consortium, NOWRDC-129-Drive Technologies	200,129
	Nat'l OffShWind R&D Consortium, NOWRDC-131 Virginia Polytechni	57,500
	Nat'l OffShWind R&D Consortium, NOWRDC-134 Saildrone	76,457
	Nat'l OffShWind R&D Consortium, NOWRDC-135 NREL	75,000
	National OSW R&D Concorcium.	178,212
	NOWRDC-105-ESTECO	37,700
	NOWRDC-110-Tufts	187,171
	NOWRDC-112-Cable	41,360
	NOWRDC-113-Worley	82,001
	NOWRDC-116-Keystone	14,188
	NOWRDC-118-PCCI	42,200
	NOWRDC-119-ESTEYCO	4,058
	NOWRDC-122-GE Renewable	1,165
	NOWRDC-124-GE Renewable Energy	68,359
	NOWRDC-125-NREL	105,377
	NOWRDC-126-EPRI	2,000
	NOWRDC-127-GE Research	131,786
	NOWRDC-129-Drive Technologies	200,129
NOWRDC-131 Virginia Polytechni	57,500	
NOWRDC-134 Saildrone	76,457	
NOWRDC-135 NREL	75,000	
Navistar, Inc.	CLEAN TRANSPORTATION, NYTVIP - STA Inc	800,000
Nazareth College of Rochester	Technical Services, OsEM50-C - Nazareth College	20,010
NBC Universal Media, LLC	Real Time Enrgy Management, NBC - 30 Rockefeller PI - RTEM	132,639
Neighborhood Housing Services of Q..	NY-SUN, PON 3414 Electrify Queens	50,000

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Contractor	Contract Description	Total Expended Amount
Neighborhood Housing Services State..	NY-SUN, PON 3414 Electrify SI	35,000
NEPC, LLC	NYSERDA ADMINISTRATION, Investment Advisory Services	18,750
NESCAUM	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	135,818
	ENVIRONMENTAL RESEARCH, TWO 15 In-situ An of Wood Heat	15,455
	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assessment	116,410
	ENVIRONMENTAL RESEARCH, TWO #9 IDC Techology Transfer	7,238
	ENVIRONMENTAL RESEARCH, TWO #10 Air Quality	19,249
	ENVIRONMENTAL RESEARCH, TWO #11 Wood Heating	92,644
	ENVIRONMENTAL RESEARCH, TWO#12 Sidewash Algorithm	10,383
	ENVIRONMENTAL RESEARCH, TWO#14 Acceptance Tsting Mthds	93,931
	Renewable Heat NY, RFQL3685 Round 1	21,942
	Renewable Heat NY, TWO #10 Air Quality	8,704
	RENEWABLE HEAT NY, TWO #13 RHNY Assessment	9,007
Netgains Engineering P.C.	K-12 SCHOOLS, P12GC-81_E - NY Special - FTC	51,000
	NYCH: Technical Assistance, FT13324 - 181 Varick - FTC	7,950
	Tech Assistanc Multifamily LMI, FT14280 - 461 Dean - FTC	60,000
	Technical Services, FT14281 - 27-19 44th - FTC	30,000
	Technical Services, FT14299 - 3816 Waldo - FTC	12,050
	Technical Services, FT14336 - 860-870 W 181 - FTC	27,446
	Technical Services, FT14368 - 181 E 65th - FTC	72,000
	Technical Services, FT14469-1280 Fifth- FTC- MF	47,673
	Technical Services, FT14470 - 56 Pondfield - FTC	10,624
	Technical Services, FT14568-DeKalb Avenue A-FTC	29,000
New Buildings Institute, Inc.	Code to Zero, Task Wok Order #2	7,866
	Code to Zero, TWO # 4	527,835
	Code to Zero, TWO #7 NBI Contractor Support	47,151
	New Construction Housing, BoE Rnd.1 Perform. Validation	5,431
New Ecology, Inc.	Buildings of Excellence, BoE Rnd. 2 - DTL Colonial II	100,000
New Energy Nexus New York LLC	Cleantech POCC, Cleantech Accelerator	566,000
	Cleantech POCC, PON4856 Empire Tech Prize	570,000
New Flyer of America, Inc.	CLEAN TRANSPORTATION, NYTVIP - NFTA	770,000
New Leaf Solar LLC	<200KW PV, PON 2112 NY SUN	5,772
New Water Street Corporation	Technical Services, OsEM56-C-New Water Street Corp	7,000
New York Bus Sales LLC	CLEAN TRANSPORTATION, NYTVIP - Ithaca City Schools	1,000,000
New York Design Center, Inc.	NYCH: Technical Assistance, FT13223 - 200 Lexington - PON	-16,420
	Technical Services, FT13223 - 200 Lexington - PON	16,670
New York Engineers, P.C.	K-12 SCHOOLS, CGSI-54_E - Margaretville CS	48,561
	K-12 SCHOOLS, CGSI-61 - Brewster CSD (1)_E	33,807
	Tech Assistanc Multifamily LMI, FT14358 - Multiple - FTC	8,975
	Technical Services, FT14191 - 41 Box - FTC	5,585
	Technical Services, FT14269 - Multiple - FTC	33,982
	Technical Services, FT14347 - 350 Madison - FTC	34,784
	Technical Services, FT14429 - 39 W 56th - FTC	2,455
	Technical Services, FT14439- Emcee Management- FTC	14,766
	Technical Services, FT14749 - BJs Wholesale - 8719	6,624
	Technical Services, FT14795 -Rudin Management-FTC	21,417
New York Institute for Human Develop..	New Construction Housing, NCP Housing	100,800
New York Medical College	REV Campus Challenge, REVCC_ETL_Comp_Round 3	48,000

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Contractor	Contract Description	Total Expended Amount
New York Power Authority,	High Performing Grid, PON 3770	120,000
New York State Foam & Energy LLC	OJT	4,442
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	42,559
New York University	Cleantech Incubator, PON3413 Clean Energy Incubator	175,000
	Net Zero Energy for Eco Dev, CNCED 2021 - NYU - Rubin Hall	37,500
Newport Ventures, Inc.	Code to Zero, Newport TWO #1 Training	65,101
	Code to Zero, RFQL 3711 TWO#5	4,734
	Code to Zero, TWO #6 NYStretch Zero Energy	64,969
	Code to Zero, TWO3 Energy Code and NYStretch	7,370
Nexamp Capital, LLC	NY-SUN, NY Sun	318,544
Nexamp Inc.	>200KW PV, NY Sun	232,822
Next Generation Solar, LLC	<200KW PV, NY-Sun	24,712
	<200KW PV, PON 2112 NY SUN	18,900
NextCorps Inc	Cleantech POCC, Cleantech Accelerator	1,036,327
Nextera Energy Capital Holdings Inc	>200KW PV, NY-Sun C&I	2,531,566
	NY-SUN, NY-Sun C&I	3,276,150
Niagara Wind Power LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	138,454
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	273,637
Nine Mile Point Nuclear Station, LLC	Energy Storage Tech/Prod Dev, PON4169 Round #1	937,000
NineDot Energy, LLC	OJT	34,560
NJR Clean Energy Ventures III Corp.	>200KW PV, NY Sun	1,137,035
	NY-SUN, NY Sun	1,003,266
NK 80 Maiden Owner, LLC	Technical Services, FT13278 - 80 Maiden - PON	2,114
Noco Energy Corp.	NYCH: Talent Ppln:CE and OJT, OJT	34,358
Noresco LLC	Code to Zero, Third-party E-Code Support	27,790
	Code to Zero, TWO #4	26,690
	New Construction- Commercial, TWO#1-DOS Decarb & TechSupport	117,198
	Technical Services, FT14694-Blenheim Realty-515	1,938
	Technical Services, FT14742-The New School-FTC-CU	69,897
	Technical Services, FT14816 - BVK - 55 West 125	15,005
	Technical Services, FT14840 - SL Green Realty	28,445
	TWO#1-DOS Decarb & TechSupport	2,392
North River Design Build LLC	OJT	10,765
Northeast Energy Efficiency Partners..	NYCH: Technical Assistance, Single Family Residential	32,568
Northeast Green Building Consulting, ..	New Construction Housing, NCP Housing	10,000
Northeast States for Coordinated Air Use	Environmental Research, NY climate clearinghouse	11,506
	ENVIRONMENTAL RESEARCH, TWO 1 - LISTOS 2022-2023	151,557
Northwell Health, Inc.	Workforce Industry Partnership, PON 3715 (R13) BOM	49,432
Novel Approaches Solar Applications,..	<200KW PV, PON 2112 NY SUN	9,000
NP Environmental LLC	NYCH: Talent Ppln:CE and OJT, OJT	6,210
NY Bath I, LLC	>200KW PV, NY-Sun C&I	266,021
NY Building Systems Consultant Inc.	OJT	20,880
	Technical Services, FT14601 565 Tenants - 565 Park	11,620
	Technical Services, FT14705 -345 Riverside Dr -FTC	10,000
	Technical Services, FT14737 - Fort Place Coop -FTC	18,150
	Technical Services, FT14777-155 Condominium-FTC	20,400
	Technical Services, FT14920 - 169 E 78 St	10,930
	Technical Services, FT14925 - Active -234 Skillman	20,300

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Contractor	Contract Description	Total Expended Amount
NY Building Systems Consultant Inc.	Technical Services, FT14934 - 43 Tenants Corp - 43	18,350
NY CDG 008 LLC	>200KW PV, NY-Sun	86,572
NY DIX I LLC	>200KW PV, NY-Sun C&I	243,682
NY Farmington III, LLC	>200KW PV, NY Sun	340,400
NY Newark Valley I, LLC	>200KW PV, NY-Sun C&I	344,736
NY Owego II, LLC	>200KW PV, NY Sun	224,078
	NY-SUN, NY Sun	310,262
NY Pike I, LLC	>200KW PV, NY Sun	119,914
NY Pike II, LLC	>200KW PV, NY Sun	283,433
NY PLATTSBURGH I LLC	>200KW PV, NY-Sun C&I	237,063
NY Triangle I, LLC	>200KW PV, NY Sun	584,496
NY USLE Carthage SR26 A LLC	>200KW PV, NY Sun Assignment	281,227
	NY-SUN, NY Sun Assignment	337,473
NY USLE Carthage SR26 B LLC	>200KW PV, NY Sun Assignment	185,614
	NY-SUN, NY Sun Assignment	222,737
NYC School Bus Umbrella Services In..	EVPRZ:Clean MD & HD Veh Innov, Electrifying School Buses	307,139
NYS Association of School Business ..	K-12 SCHOOLS, P-12 ASBONY Outreach	2,200
NYS Essential Power	<200KW PV, PON 2112 NY SUN	5,760
NYS School Facilities Association, Inc.	Workforce Industry Partnership, PON 3715 (BOM)	7,100
NYSS LLC	<200KW PV, NY-Sun	62,720
	<200KW PV, PON 2112 NY SUN	232,282
	COMMUNITY SOLAR, PON 2112 NY SUN	85,208
Ocean Towers Partners LLC	Multifam Performance Pgm, Multifamily	113,400
OLA Consulting Engineers, P.C.	K-12 SCHOOLS, CGSI-17_E - Middletown - FTC	74,833
	New Construction- Commercial, Commercial New Construction	4,799
	Technical Services, FT14559-Dominican Sisters-FTC	3,528
Olin Corporation	On-Site Energy Manager, OsEM76-I - Olin Corporation	29,387
Omni New York LLC	Buildings of Excellence, Buildings of Excellence R1	87,500
On Grid Infrastructure Services, LLC	<200KW PV, PON 2112 NY SUN	5,184
ONE ARCHITECTURE AND URBANISM	NYCH: District, ATES Market Potential Study	106,930
OnRout Co.	OTHER PROGRAM AREA, Dynamic Pricing for Parcels	29,516
Onsite Energy, Inc.	<200KW PV, PON 2112 NY SUN	10,000
OPAL ENERGY GROUP LLC	<200KW PV, PON 2112 NY SUN	86,016
Opinion Dynamics Corporation	Clean Energy Communities, RFQ3183 Umbrella Agreement	102,847
	Cleantech Startup Growth, RFQ3183 Umbrella Agreement	18,863
	EVPRZ:Implementation, MEL Contractor for Prizes	670,107
Orange and Rockland Utilities, Inc.	Future Grid Perf. Challenges, O&R Distribution System	400,000
Orion Polymer Corp	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	19,433
Orrick Herrington & Sutcliffe LLP	Cleantech Ignition, RFP 12: NYGB Legal Services	5,355
Owahgena Consulting, Inc.	GJGNY REVOLVING LOAN FUND, TWO 2 - ASHP/GSHP savings calc	2,266
	NYCH: Comfort Home, TWO 1 - HP Modeling Comf Home	4,255
Owlville Creek Solar 2, LLC	>200KW PV, NY-Sun C&I	1,294,704
	Solar Plus Energy Storage, NY-Sun C&I	3,500,000
OYA 2643 Moore Road LLC	>200KW PV, NY Sun	439,105
OYA BLANCHARD ROAD 2 LLC	>200KW PV, NY Sun	468,750
OYA BLANCHARD ROAD LLC	>200KW PV, NY-Sun	468,750
OYA GREAT LAKES SEAWAY LLC	>200KW PV, NY Sun	468,750
OYA NYS RTE 12 LLC	>200KW PV, NY Sun	468,750

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Contractor	Contract Description	Total Expended Amount
OYA ROBINSON ROAD LLC	>200KW PV, NY Sun	286,416
Pace University School of Law	CI Engy Siting & Soft Cost Red, TWO#1 Pace Land Use Law Center	8,865
Pametan, Inc.	Real Time Engry Management, Ecorithm-350 Park Ave - RTEM	3,900
	Real Time Engry Management, Pametan - 888 7th Ave - RTEM	5,400
	Real Time Engry Management, Pametan- 11 Penn Plaza -RTEM	6,600
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	31,452
Park Hill Housing, LLC	Multifam Performance Pgm, Multifamily	33,750
Partner Energy, Inc.	Technical Services, FT14135 - 645 Madison - FTC	9,515
Partridge Venture Engineering, P.C.	Tech Assistanc Multifamily LMI, FT14944 - GHD - 213 South 3	16,062
Passive House Accelerator LLC	New Construction Housing, BOE R4 Award Event	8,000
	New Construction Housing, Reimagine Festival Event 2024	60,000
	New Construction- Commercial, BOE R4 Award Event	2,000
	New Construction- Commercial, Reimagine Festival Event 2024	15,000
Pathfinder Engineers & Architects, LLP	Commercial New Construc, Commercial New Construction	-86,784
	Commercial New Construc, RFP3771 Umbrella Contract	3,939
	K-12 SCHOOLS, CGSI-59 - Gouverneur CSD (1)_E	7,622
	New Construction- Commercial, Commercial New Construction	105,862
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	23,341
	<200KW PV, PON 2112 NY SUN	42,308
Paul A. Castrucci, Architects PLLC	Buildings of Excellence, BoE Rnd. 2 - DTL Bethany Terr.	81,040
Paul Smith's College	Environmental Research, ALTM Lakes Monitoring 2023-27	39,087
Pearl River Campus, LLC	On-Site Energy Manager, OsEM114-I - Pearl River Campus	50,408
Pecan Street Inc.	IEDR: Program Manager, IEDR Utility Data Advisor	42,350
People Inc	New Construction Housing, 2020 LRNCP	44,000
People United for Sustainable Housin..	Single Family New Construction, NCP Housing	15,000
Performance Systems Development	Code to Zero, PSD TWO #1 Training	130,200
	Code to Zero, RFQL 3711 TWO#2	266,266
	NYCH: Comfort Home, TWO 1 - Compass system CH	54,958
PFNY LLC	Technical Services, OsEM48-C-Planet Fitness of NY	7,000
PHYTOSTONE LLC	Natural Carbon Solutions, A1 - Building Challenge	123,464
Plugin Stations Online, LLC	Electric Vehicles - Innovation, EVSE at schools demo	15,910
PlugPV, LLC	<200KW PV, NY-Sun	47,436
	<200KW PV, PON 2112 NY SUN	190,452
Plymouth Gardens, Inc.	Multifam Performance Pgm, Multifamily	20,700
Point and Ravine, LLC	New Construction Housing, NCP Housing	36,000
PolyJoule, Inc.	Long Duration Energy Storage, LDES Tech & Product Dev	6,700
Porter Avenue Acquisitions, LP	Multifam Performance Pgm, Multifamily	412,500
	NYCH: LMI, Community Thermal Networks	750,000
Potsdam Scensors LLC	OJT	19,680
Power Advisory LLC	OREC: Technical Support, TWO 4 IE Michael Killeavy_ OREC	85,000
	REC:CES REC System Dev Costs, TWO #2 LSR Supply Curve tool	159,789
Power to Hydrogen LLC	Energy Storage Tech/Prod Dev, PON4169 Round #1	15,400
PowerGEM, LLC	BR: Screening, TWO - Build Ready - Cat 1	40,480
	REC:CES REC System Dev Costs, Transmission Services on Deman	15,720
Powerlutions, LLC	<200KW PV, PON 2112 NY SUN	5,082
Pratt Area Community Council	New Construction Housing, 2019 MF NCP	14,000
Pratt Institute	OJT	1,541
	REV Campus Challenge, RM24 - Pratt Institute	19,874

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Contractor	Contract Description	Total Expended Amount
Premier Solar Solutions LLC	<200KW PV, NY-Sun	5,400
	>200KW PV, NY-Sun	1,350
	>200KW PV, PON 2112 NY SUN	21,312
Prescriptive Data	Real Time Enrgy Management, PD - 300 Vesey St - RTEM	8,352
	Real Time Enrgy Management, Prescriptive-630 3rd Ave-RTEM	3,666
Principal Life Insurance Company	Technical Services, FT13035 - 1370 AoA - PON	26,206
Principle Power Inc	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	80,741
	Natl Offshore Wind R&D	80,741
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	438
Providence Housing Development Cor..	New Construction Housing, NCP Housing	79,600
Pterra, LLC	High Performing Grid, PTerra work for ITWG	5,762
Public Utility Law Project of New York,	SFY 22-23 PULP Appropriation	350,000
Pure Performance Renewable Energy ..	OJT	9,213
Pure Point Energy	<200KW PV, PON 2112 NY SUN	9,200
Quanta Technology LLC	Future Grid Perf. Challenges, Power Grid Innovation	60,000
	OREC: Technical Support, TWO 3 - OSW Transmis Study 2.0	37,158
Quest Home Improvement Inc	>200KW PV, PON 2112 NY SUN	77,576
Quidnet Energy Inc	High Performing Grid, EPTD High Performance	250,000
Radiant Labs, LLC	Informat. Products & Brokering, Dynamic Market Data Tool	42,600
	NYCH: Critical Tools, Dynamic Market Data Tool	147,500
	NYCH: Technical Assistance, Radiant Labs Roadmap Tool	35,500
	Strategic Energy Manager, Dynamic Market Data Tool	147,500
RAHF IV Shore Hill, LLC	Multifam Performance Pgm, Multifamily	27,950
Ramboll Americas Engineering Solutions I	REV Campus Challenge, FT13335 - Morrisville - FTC	4,431
	Technical Services, FT13857 - NYS OPWDD - FTC	196,026
Ramboll Americas Engineering Solutions,	Gas Innovation Studies, TWO 3 DPS UTEN Technical Suppt	94,291
	NYCH: District, PON4614 Round #2 Oneonta Rail	52,000
	OTHER PROGRAM AREA, JT Toolkit Deliverables Review	14,999
	OTHER PROGRAM AREA, Southampton JT Planning Study	64,307
	TEN Potential Study, TWO 2 - TENs Potential Study	88,782
Randstad North America, Inc.	Capital Planning, PS TWO #70 - Multifamily Sr.PM	57,422
	Clean Energy Communities, Payroll Services	34,578
	Clean Energy Communities, TWO #74_Communitites_ PM-1	2,730
	NYSERDA ADMINISTRATION, PS TWO #67 - SO Coordinator	40,806
	NYSERDA ADMINISTRATION, PS TWO #77 - HR Intern	2,184
	NYSERDA ADMINISTRATION, TS.022 - Facilities Clerk	32,301
RBW Studio LLC	OJT	47,664
RCAM Technologies, Inc.	Energy Storage Tech/Prod Dev, PON4169 Round #1	295,000
RCPI Landmark Properties, LLC	Real Time Enrgy Management, RCPI - Multisite - RTEM	826,306
RE-Nuble, Inc.	A2 - Enabling Challenge	25,000
	Cleantech Ignition, PON 3871 Ignition Grants	38,034
Reactive Technologies USA INC.	Future Grid Perf. Challenges, Power Grid Innovation	453,000
Recurve Analytics, Inc.	Pay for Performance, RFP 3901 P4P-AMV Platform	62,711
RED-Rochester LLC	CI Carbon Challenge, Accelerated Efficiency & Elect	3,500,000
	CI Carbon Challenge, C&I Carbon Challenge	3,476,990
	Real Time Enrgy Management, REDRoch-1200 Ridgeway-RTEM	292,770
	Real Time Enrgy Management, RR LLC - 1200 Ridgeway - RTEM	94,328
Regan Development Corp	Low Rise New Construction, NCP Housing 2022	52,800

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Regen Associates LLC	SF CN Competition, New Construction	11,363
Renovus Energy, Inc.	<200KW PV, NY-Sun	13,184
	<200KW PV, PON 2112 NY SUN	5,000
Rensselaer Polytechnic Institute	OTHER PROGRAM AREA, PON 3249	200,043
Research Foundation of CUNY	Environmental Research, PON 4895	27,967
	Talent Pipeline:CE and OJT, PON3981 Round 3	43,807
Research Foundation of SUNY	Anaerobic Digesters, PON 3739 CAT B	5,165
	Computational control codesign	128,581
	Environmental Research, IDEA-NYS air quality forecast	7,754
	Nat'l OffShWind R&D Consortium, Computational control codesign	128,581
	Workforce Industry Partnership, PON 3715 BOM Training	17,902
Residences at Covered Bridge LLC	Multifam Performance Pgm, Multifamily	9,900
Resilience Education Training and Innova	Talent Pipeline:CE and OJT, PON 4772 R3 Fellow	9,250
	Talent Pipeline:CE and OJT, PON3981 Round 12	54,666
Resource Refocus LLC	New Construction Housing, Task Work Order No. 3	31,050
Resources for the Future Inc	ENERGY ANALYSIS, TWO #3 Carbon Pricing Regime	29,313
RGBS Enterprises, Inc.	Real Time Enrgy Management, RGBS-1345 Ave-RTEM	208,400
Richair Mechanical Inc.	NYCH: Talent Ppln:CE and OJT, OJT	31,502
Richland Solar I, LLC	>200KW PV, NY-Sun C&I	131,544
Ricoh USA Inc	NYSERDA ADMINISTRATION, Sitecore Web CMS Admin	459,411
Ridgeline Heating and Cooling, LLC	NYCH: Talent Ppln:CE and OJT, OJT	23,040
Riseboro Community Partnership, Inc.	Buildings of Excellence, BoE Rnd. 2 - Bethany Terraces	121,560
River Architects, PLLC	Buildings of Excellence, RFP3928 River Architect TWO #1	-1,089
Rivercrest Development Corp.	Multifam Performance Pgm, Multifamily	87,750
Rivers Ledge of Niskayuna, LLC	New Construction Housing, NCP Housing	57,600
RKB Group LLC	Technical Services, OSEM118C - GFP Real Estate	27,000
RLM Engineering PLLC	Technical Services, FT14690 - Abramson Brothers	5,860
	Technical Services, FT14691 - Abramson Brothers	5,860
	Technical Services, FT14692 - Abramson Brothers	5,860
Robert Derector Associates	REV Campus Challenge, FT14412 - 500 West 185th - FTC	4,900
	Technical Services, FT14339 - 1301 AoA - FTC	28,000
	Technical Services, FT14346 - 1 Dock 72 Way - FTC	13,400
	Technical Services, FT14676 - MEPT 757 Third Ave	24,493
	Technical Services, FT14760 - Downtown NYC Owner	30,094
Robert Ettinger PE, PC	HCR Direct Injection, HCR TWO - Clarkson Estates	12,205
	HCR Direct Injection, HCR TWO #1 - Dromore Apts	6,722
	HCR Direct Injection, HCR TWO #3 East End Lofts	12,223
	HCR Direct Injection, HCR TWO Stately Apartments	10,774
Robert K. Harmon & Company LLC	Pay for Performance, MEETS - Robert K. Harmon - TWO	21,126
Roccera, LLC	Energy Storage Tech/Prod Dev, PON4169 Round #1	65,000
Rochester Cornerstone Group, LTD	Tech Assistanc Multifamily LMI, FT14580 - Rochesters Corne-PON	10,000
Rochester Housing Authority	New Construction Housing, NCP Housing	17,850
Rochester Institute of Technology	REV Campus Challenge, REV CC ETL_Rd. 2	25,000
Rocky Mountain Institute	Empire Building Challenge, Empire Bldg. Challenge - RMI	27,043
	NYCH: Empire Build Challenge, Empire Bldg. Challenge - RMI	27,043
Rogers Training & Consulting, Inc.	OJT	9,430
Rome Housing Authority	Buildings of Excellence, BoE Rnd. 2 - Colonial II Apts.	400,000
	New Construction Housing, NCP Housing	177,600

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Contractor	Contract Description	Total Expended Amount
Rose Capital, LLC	Empire Building Challenge, EBC-Phase I-JRCo	55,146
	NYCH: Empire Build Challenge, EBC-Phase I-JRCo	55,146
Ross Energy Consulting, LLC	OJT	48,072
	Workforce Industry Partnership, PON 3715 (R6) BOM	11,175
	Workforce Industry Partnership, PON 3715 (R13) BOM	75,054
Rouse RPC	Multifam Performance Pgm, Multifamily	18,189
Route 13 Solar, LLC	>200KW PV, NY-Sun C&I	234,704
RTH Realty Holdings LLC	Net Zero Energy for Eco Dev, CNCED 2021-RTH Highland Passiv	635,063
RUHL TecConsult LLC	Tech Assistanc Multifamily LMI, FT15195 - Lefrak Estates	14,630
RUHL TecDesign	Tenant Energy Management, HeatRec C1_Ruhl_747 3rd Ave	10,000
	Tenant Energy Management, HeatRecC1_Ruhl_200Water	10,000
	Tenant Energy Management, HeatRecC1_Ruhl_666Greenwich	10,000
Rural Housing Coalition of New York	Workforce Industry Partnership, PON 3715 (R8) BOM	43,370
Rutgers University	Environmental Research, GLIDE Acoustic&Ocean Survey	26,565
RXR Realty LLC	On-Site Energy Manager, OsEM84-M - RXR Realty	14,760
	Technical Services, OsEM90-C - RXR Realty 3	48,506
Ryan Plumbing Heating Air Conditioning	NYCH: Talent Ppln:CE and OJT, OJT	5,690
	OJT	2,875
S and S 2371 LLC	New Construction Housing, NCP Housing	20,700
Sabin Metal Corporation	Technical Services, FT14776 - Sabin - PON - IND	12,848
SafariNY Corp.	OJT	37,248
	Talent Pipeline:CE and OJT, OJT	3,648
Sage Realty Corp.	Technical Services, OsEM98-C-Sage Realty - Group A	49,219
	Technical Services, OsEM99-C-Sage Realty - Group B	49,219
Same Sun of Vermont, Inc	<200KW PV, PON 2112 NY SUN	20,930
SANFILIPPO SOLUTIONS INC.	OJT	46,717
Sanford Plaza Apartment Corp	Multifam Performance Pgm, Multifamily	9,000
Sangolqui Solar, LLC	>200KW PV, NY-Sun C&I	220,514
Saratoga Solar II, LLC	>200KW PV, NY Sun	210,811
	NY-SUN, NY Sun	291,892
Savanna Services, LLC	NYCH: Technical Assistance, FT13106 -Savanna Multiple- PON	118,344
Scenic Hudson, Inc.	Net Zero Energy for Eco Dev, CNCED-2022 Scenic Hudson NSide	45,000
Schenectady County	Clean Energy Communities, Schenectady County	187,500
Schneider Electric Buildings America..	Real Time Enrgy Management, SEBA Inc - 445 E 69 St - RTEM	21,854
Sea Bright Solar, LLC	>200KW PV, PON 2112 NY SUN	92,070
SecondMuse LLC	M-Corps, Manufacturing Corps (M-Corps)	145,000
Sen Engineering Solutions Inc	High Performing Grid, Power Grid Innovation	120,000
Sense Labs, Inc.	NYCH: Technical Assistance, Single Family Residential	29,550
Services for the Underserved	New Construction Housing, NCP Housing	300,000
Shared Mobility, Inc.	CLEAN TRANSPORTATION, Informing Electric Micromobili	17,000
	OJT	10,272
	Talent Pipeline:CE and OJT, CJF PON 4772 Round 2	5,073
	Talent Pipeline:CE and OJT, PON 4772 R3 (Rebecca Reilly)	21,583
Sharon Springs Village	Clean Energy Communities, CEC600971 V Sharon Springs	29,250
Siemens Industry, Inc.	Future Grid Perf. Challenges, Load forecasting & impact asmt	291,564
	Real Time Enrgy Management, Siemens - 57 E 57 St - RTEM	6,497
	Real Time Enrgy Management, Siemens - Multisite - RTEM	465,382
	Real Time Enrgy Management, Siemens Ind - Multisite - RTEM	25,516

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Contractor	Contract Description	Total Expended Amount
Siemens Industry, Inc.	Real Time Enrgy Management, Siemens_21 Institute St-RTEM	2,228
	Real Time Enrgy Management, Siemens- 350 Parrish Ave -RTEM	708
	Real Time Enrgy Management, Siemens-1 Fountain-RTEM	6,365
	Real Time Enrgy Management, Siemens-10 Cobham DR-RTEM	2,205
	Real Time Enrgy Management, Siemens-11 Wall Street-RTEM	33,239
	Real Time Enrgy Management, Siemens-84 Greenwood St-RTEM	4,245
	Real Time Enrgy Management, Siemens-100 Mendon-RTEM	7,225
	Real Time Enrgy Management, Siemens-150 W 65th-RTEM	23,633
	Real Time Enrgy Management, Siemens-153 W Buffalo-RTEM	3,900
	Real Time Enrgy Management, Siemens-3338 E Main St-RTEM	3,386
	Real Time Enrgy Management, Siemens-5285 Lewiston-RTEM	4,665
	Real Time Enrgy Management, Siemens-Brasher Falls CSD-RTEM	7,034
	Real Time Enrgy Management, Siemens-Mt. Sinai West-RTEM	25,614
	Real Time Enrgy Management, Siemens-Multisite-RTEM	10,476
	RTEM Small/Medium Business, Siemens-Multisite-RTEM	23,310
Silver Creek Solar, LLC	>200KW PV, NY Sun	318,750
Simple Energy, Inc.	Electric Vehicles - Innovation, PON 3578 R1 CAT4	25,896
Simple Integrity LLC	New Construction Housing, NCP Housing	20,930
Simply Installs LLC	NYCH: Talent Ppln:CE and OJT, OJT	19,920
Sive Paget & Riesel PC	BR: Program Implementation, TWO 3 - Build Ready Auction	15,508
	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	74
	REC4:CES REC4 Tech Support, Tier 4 Outside Counsel TWO	18,798
	REC:CES REC System Dev Costs, TWO 8 - Tier 1 Program Legal S	30,508
	RFP 12: NYGB Legal Services	15,664
	TWO 7 - CAC/Cap and Invest	111,877
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - West Valley SEQRA	11,417
Slate Hill Solar LLC	>200KW PV, NY Sun	71,359
Smart Wires Inc.	Future Grid Perf. Challenges, Power Grid Innovation	2,709
Smith Engineering PLLC	NYCH: District, Brookfield Place	36,389
	NYCH: Industry Partnerships, PON 3715 (R15) BOM	14,294
	Technical Services, FT13697 - 1 Liberty - FTC	1,615
	Technical Services, FT14049 - 5 Bryant - FTC	7,227
	Technical Services, FT14151 - 3000 Vesey - FTC	20,694
	Technical Services, FT14625-RXR PO Owner- 450	1,002
	Technical Services, FT14660-Memorial Sloan Ketteri	5,599
	Technical Services, FT14843 - 237 Park LH Owner	35,690
	Technical Services, FT15092 - Weill Cornell Med	44,829
	Technical Services, FT15104 - BFP 300 Madison	56,794
	Workforce Industry Partnership, Brookfield 5	33,205
	Workforce Industry Partnership, PON 3715 (R12) BOM	91,331
	Workforce Industry Partnership, PON 3715 BOM Training	22,981
	Workforce Industry Partnership, PON 3715 Workforce Training	1,255
	Workforce Industry Partnership, Ruden 1 WFT	36,420
Workforce Industry Partnership, Ruden WFT 2	41,391	
Workforce Industry Partnership, Vornado WFT 1	22,610	
Workforce Industry Partnership, Vornado WFT 2	46,506	
SNL Construction LLC	New Construction- Commercial, Commercial New Construction	195,212
Social Enterprise and Training Center	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON4463 R2	202,300

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Contractor	Contract Description	Total Expended Amount
Social Finance Inc.	NYCH: Talent Ppln:CE and OJT, Social Finance Contract	112,307
	Social Finance Contract	2,118
Socotec, Inc	Code to Zero, NYStretch 2023 Working Groups	360
	Code to Zero, TWO #7	233,938
	Code to Zero, TWO #8	193,094
	Commercial New Construc, New Construction	-168,024
	New Construction- Commercial, CNCP 2022	27,276
	New Construction- Commercial, Commercial NCP 2022	91,707
	New Construction- Commercial, Commercial New Construction	2,537
	New Construction- Commercial, New Construction	179,821
	Technical Services, FT13154 - 845 Third - FTC	1,096
Technical Services, FT14912 - Romarco - 1520 York	7,354	
Software People, Inc.	NYSERDA ADMINISTRATION, TWO #2 .Net Software Developer	162,300
	OTHER PROGRAM AREA, TWO1 ASANA PM	65,472
SOLANTA CORP	<200KW PV, NY-Sun	20,368
	<200KW PV, PON 2112 NY SUN	18,544
	>200KW PV, NY-Sun	16,206
	>200KW PV, PON 2112 NY SUN	19,250
	NY-SUN, NY-Sun	2,701
Solar Alchemy, Inc.	<200KW PV, PON 2112 NY SUN	7,500
Solar and Wind FX, Inc. (Chris Schaeff..	<200KW PV, PON 2112 NY SUN	7,392
Solar Energy Systems, LLC	<200KW PV, NY-Sun	53,738
	>200KW PV, NY-Sun	161,214
	>200KW PV, PON 2112 NY SUN	313,728
	COMMUNITY SOLAR, NY-Sun	64,990
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	199,738
	<200KW PV, PON 2112 NY SUN	641,956
	>200KW PV, PON 2112 NY SUN	42,924
SolarCommunities Inc.	<200KW PV, PON 2112 NY SUN	236,920
Soulful Synergy, LLC	OJT	46,080
	Talent Pipeline:CE and OJT, PON 4772 R3 (David Sparber)	15,417
	Talent Pipeline:CE and OJT, PON 4772 R3 Troy Thompson	21,583
	Talent Pipeline:CE and OJT, PON3981 Round 14	100,018
Source One	Technical Services, FT14743 - Columbus Circle Cond	11,431
SourceOne Power Technologies, Inc.	Real Time Enrgy Management, SourceOne - Multisite - RTEM	10,800
South Colonie Central School District	Technical Services, OsEM86-C - South Colonie CSD	19,312
Southside United HDFC	Buildings of Excellence, Buildings of Excellence R1	187,500
	New Construction Housing, New Construction	112,800
Southview Manor Apartments LLC	Multifam Performance Pgm, Multifamily	1,150
SSC Lysander LLC	>200KW PV, NY Sun	917,941
	NY-SUN, NY Sun	921,861
SSC Oswego LLC	>200KW PV, NY Sun	562,046
	NY-SUN, NY Sun	622,685
St. Francis Friends of the Poor, Inc.	Direct Injection Program, St. Francis Electrification	90,000
St. John Fisher College	REV Campus Challenge, RM22 - St. John Fisher College	21,029
St. Lawrence County	Clean Energy Communities, CEC711051 St. Lawrence Co	130,000
St. Nicks Alliance	Buildings of Excellence, BoE Rnd. 2 - Dekalb Commons	150,000
	Multifam New Construction, New Construction	131,200

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Contractor	Contract Description	Total Expended Amount
St. Nicks Alliance	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	110,657
Stantec Consulting Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. Support Servi..	191,195
State University of New York College	Technical Services, OsEM36-C - SUNY Geneseo	23,054
Steuben Rural Electric Cooperative	Cat C - Demonstrations of Net	25,000
Steven Winter Associates, Inc.	Code to Zero, TWO #5 ANSI IECC NYStretch2023	47,748
	Housing Agencies Support, Multifamily	10,538
	Multifam Performance Pgm, Multifamily	10,000
	NYCH: Talent Ppln:CE and OJT, Steven Winter Assoc. Training	20,888
	NYCH: Technical Assistance, FT13557 - 39-60 54th - FTC	9,515
	NYCH: Technical Assistance, FT13657 - 2165 Brigham - FTC	2,764
	NYCH: Technical Assistance, FT13658 - 2250 Brigham - FTC	2,103
	NYCH: Technical Assistance, FT13660 - 500 W. 43rd - FTC	1,419
	NYCH: Technical Assistance, FT13667 - 225 Fifth - FTC	2,709
	NYCH: Technical Assistance, FT13668 - 175-191 Willough-FTC	1,747
	NYCH: Technical Assistance, FT13675 - 20 West 53rd - FTC	18,536
	NYCH: Technical Assistance, FT13678 - 55 Wall - FTC	20,694
	NYCH: Technical Assistance, FT13710 - 944 Park Ave	5,738
	NYCH: Technical Assistance, FT13712 - 150 E. 61st - FTC	729
	NYCH: Technical Assistance, FT13723 - 245 Sullivan - FTC	12,784
	NYCH: Technical Assistance, FT13724 - 40 Washington - FTC	14,685
	NYCH: Technical Assistance, FT13766 - 350 W 42nd - FTC	11,445
	NYCHA EM TWO 2023	74,004
	REV Connect, IMS SWA - Scalable Afford	70,100
	Talent Pipeline:CE and OJT, PON3981 Round 10	7,622
	Technical Services, FT13538 - 58 W 40th - FTC	2,519
	Technical Services, FT13539 - 70 W 40th - FTC	2,363
	Technical Services, FT13712 - 150 E. 61st - FTC	0
	Technical Services, FT14064 - 372 CPW - FTC	11,002
	Technical Services, FT14065 - 43 W 61st - FTC	7,690
	Technical Services, FT14101 - 104-20 68th - FTC	1,198
	Technical Services, FT14162 - 150 Columbus - FTC	1,089
	Technical Services, FT14163 - 115 Ashland - FTC	15,072
	Technical Services, FT14164 - 2251 Knapp - FTC	3,387
	Technical Services, FT14270 - 360 Furman - FTC	3,088
	Technical Services, FT14438-Gramercy Arms -102 FTC	5,911
	Technical Services, FT14531-1065 Park- FTC-MF-MR-L	3,844
	Technical Services, FT14570-235 West End Ave-FTC	17,013
	Technical Services, FT14688 - 3021 Avenue Z - FTC	3,205
	Workforce Industry Partnership, PON 3715 (BOM)	149,563
	Workforce Industry Partnership, PON 3715 (R5) BOM	81,379
	Workforce Industry Partnership, PON 3715 BOM Training	36,962
	Workforce Industry Partnership, PON 3715 Workforce Training	291,180
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,412,168
STRATCO PROPERTY GROUP INC	Low Carbon Tech Demos, LCP0009 - 4 West 109th St	3,075
	NYCH: Talent Ppln:CE and OJT, OJT	12,691
Sumner Senior Partners LLC	Multifam New Construction, New Construction	69,100
Sun Source Technologies	<200KW PV, PON 2112 NY SUN	75,528
Sunamp Projects, Inc	NYCH: Innovation, Demo Tech Trans High Dens Ther	81,963

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Contractor	Contract Description	Total Expended Amount
SunNation Solar Systems, Inc.	<200KW PV, NY-Sun	30,644
	<200KW PV, PON 2112 NY SUN	47,536
	>200KW PV, PON 2112 NY SUN	32,400
	COMMUNITY SOLAR, NY-Sun	8,394
	COMMUNITY SOLAR, PON 2112 NY SUN	135,304
	ENERGY STORAGE, NY-Sun	15,400
	ENERGY STORAGE, PON 2112 NY SUN	100,000
Sunkeeper Solar LLC	<200KW PV, NY-Sun	36,628
	>200KW PV, NY-Sun	109,884
	>200KW PV, PON 2112 NY SUN	93,175
Sunlight Energy Group LLC	OJT	9,600
SunPower Capital, LLC	<200KW PV, NY-Sun	13,140
	<200KW PV, PON 2112 NY SUN	52,530
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	159,035
	<200KW PV, NY-Sun	62,500
	<200KW PV, PON 2112 NY SUN	138,834
Sunrise Energy Corp.	COMMUNITY SOLAR, PON 2112 NY SUN	6,396
Sunrise Solar Solutions, LLC	<200KW PV, NY-Sun	28,800
	>200KW PV, NY-Sun	86,400
	>200KW PV, PON 2112 NY SUN	374,568
SunRun, Inc	<200KW PV, PON 2112 NY SUN	21,809
	ENERGY STORAGE, PON 2112 NY SUN	6,250
Sunthru LLC	Natural Carbon Solutions, A1 - Building Challenge	120,496
SUNY - ESF	Environmental Research, Biofiltration drainage media	-142
SUNY Binghamton	Net Zero Energy for Eco Dev, NZEED 2019 - Binghamton Univ.	187,895
SUNY Broome Community College	NYCH: Technical Assistance, OsEM40-C-Broome Community Col	12,825
SUNY College of Environmental Scien..	Technical Services, OsEM79-C - SUNY ESF	25,098
SUNY Morrisville	REV Campus Challenge, RM37-SUNY Morrisville	52,973
SUNY Ulster	Talent Pipeline:CE and OJT, PON3981 Round 4	12,643
SUNY Upstate Medical University	New Construction- Commercial, SF184516 - SUNY Upstate 725 E	100,625
Surf Clean Energy Inc	<200KW PV, NY-Sun	64,640
	<200KW PV, PON 2112 NY SUN	28,836
	>200KW PV, PON 2112 NY SUN	82,050
	COMMUNITY SOLAR, NY-Sun	23,212
	COMMUNITY SOLAR, PON 2112 NY SUN	59,658
Sustainable Comfort, Inc	ENERGY STORAGE, NY-Sun	24,826
	Buildings of Excellence, BoE Rnd. 2 - DTL Baird Rd. R2	100,000
	Buildings of Excellence, RFP3928 SCI TWO # 2	4,808
	Buildings of Excellence, RFP3928 SCI TWO #1	133,026
	Buildings of Excellence, RFP3928 SCI TWO #3	100,287
	Direct Injection Program, HCR TWO #1 - Lion Factory	-10,052
	Direct Injection Program, HCR TWO #3 Glove City Lofts	-1,412
	Direct Injection Program, HCR TWO #4 - 753 Classon	16,233
	Direct Injection Program, HCR TWO#2-Sutphin Sr. Housing	-1,926
	HCR Direct Injection, HCR TWO #1 - Lion Factory	41,313
	HCR Direct Injection, HCR TWO #3 Glove City Lofts	16,872
	HCR Direct Injection, HCR TWO#2-Sutphin Sr. Housing	18,228
New Construction Housing, HCR TWO #1 - Lion Factory	0	

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Contractor	Contract Description	Total Expended Amount
Sustainable Comfort, Inc	New Construction Housing, NCP Housing	34,000
	New Construction Housing, NCP Housing 2022	10,000
Sustainable Energy Advantage, LLC	REC:CES REC System Dev Costs, TWO 1 - NYGATS Analysis	1,932
Sustainable Energy Developments Inc.	<200KW PV, NY-Sun	81,792
	<200KW PV, PON 2112 NY SUN	27,418
Sustainable Finger Lakes Inc	REV Connect, IMS-Sustainable-Finger Lakes	45,220
Sustainable Investment Group	Technical Services, FT14236 - 1411 Broadway - FTC	4,973
	Workforce Industry Partnership, PON 3715 (R7) BOM	69,472
Sustainable Westchester	NY-SUN, PON 3414 - STAAMP	30,000
	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Monaeja Porter	25,287
	OJT	2,739
Switched Source PB LLC	Future Grid Perf. Challenges, Power Grid Innovation	165,000
Switched Source TC LLC	High Performing Grid, Tie Controller for Renewable	281,640
Syracuse University	NextGen HVAC, Occupant Centric Modular Energy	23,960
	NextGen HVAC, PON3519 Round 1	40,000
Syska Hennessy Group	NYCH: Technical Assistance, FT13590 - 51 Madison - FTC	22,734
	Technical Services, FT14572 -1407 Broadway-FTC-COM	8,934
T.M. Bier & Associates	Real Time Enrgy Management, T.M. Bier - Multisite - RTEM	390,902
Taitem Engineering, P.C.	Commercial New Construc, Commercial New Construction	-39,881
	Direct Injection Program, HCR TWO - Creekside Landing	0
	Direct Injection Program, HCR TWO #10 - Ithaca Housing	-7,139
	Direct Injection Program, HCR TWO Tailor Square	-5,038
	Direct Injection Program, Multifamily Technical Assistan	27,027
	Direct Injection Program, NYSERDA/HPD Electrification	221,235
	HCR Direct Injection, HCR TWO - Creekside Landing	11,542
	HCR Direct Injection, HCR TWO –Center City Courtyard	17,341
	HCR Direct Injection, HCR TWO #10 - Ithaca Housing	24,229
	HCR Direct Injection, HCR TWO Tailor Square	21,447
	Low Carbon Tech Demos, Multifamily SQA	338
	Low Carbon Tech Demos, Multifamily Technical Assistan	44,896
	Multifam Performance Pgm, Multifamily SQA	59,060
	Multifam Performance Pgm, Multifamily Technical Assistan	120,393
	New Construction Housing, 2019 MFCNP	1,075
	New Construction- Commercial, Commercial New Construction	39,881
	NYCH: District, Ithaca Southside	25,585
	NYCH: District, Urban Village	15,000
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	9,999
	Retrofit NY, Multifamily SQA	0
Retrofit NY, Multifamily Technical Assistan	3,409	
TWO CH4A M&V Services	135,772	
Talisen Technologies, Inc	Remote Energy Management, Technical Support for RTEM, HR	160,465
	RTEM and Tenants, Energy Mangt Data_Tech Supp	104,710
Talva Energy	Electric Vehicles - Innovation, CGSI-45-Addison CSD (3)_E,B	12,788
	K-12 SCHOOLS, CGSI-45-Addison CSD (3)_E,B	45,597
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, TWO # 19 Tableau Dev. C.Safeek	48,407
	NYSERDA ADMINISTRATION, TWO # 24 Server Ops Ahmed Hamm	78,643
	NYSERDA ADMINISTRATION, TWO #11 Info Security Services	99,726
	NYSERDA ADMINISTRATION, TWO #14 Salesforce BA.- Robles	100,823

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Contractor	Contract Description	Total Expended Amount
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, TWO #21 Salesforce Dev. Magesh	95,950
	NYSERDA ADMINISTRATION, TWO #22 Software QA - Adnan	19,511
	NYSERDA ADMINISTRATION, TWO #26 Software QA - Nafisha	62,291
	NYSERDA ADMINISTRATION, TWO #30 Tableau Dev. Alfred	34,029
	OREC: Technical Support, TWO 1 Salesforce Dev. Rajesh K	15,614
	REC2:CES REC2 Tech Support, TWO 1 Salesforce Dev. Rajesh K	23,566
	REC4:CES REC4 Tech Support, TWO 1 Salesforce Dev. Rajesh K	23,566
	REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	31,518
	REC:CES REC System Dev Costs, TWO #6 Salesforce Tech -Portia	101,137
	TWO 28 .Net Software Dev. – Bi	99,341
	TWO #29 Technical BA – Garrett	87,970
Technology Professionals Group Inc.	NYSERDA ADMINISTRATION, TWO 3 Sr. SharePoint Dev.	94,962
Tern Construction & Development, LLC	New Construction Housing, 2019 LRNCP	58,400
	New Construction Housing, NCP Housing	46,500
	New Construction Housing, NCP Housing 2022	112,000
Tesla, Inc.	Technical Services, FT14235 - 1339 South Park -PON	24,156
Tetra Tech Engineers, Architects and Lan	HCR Direct Injection, HCR TWO #2 St Clair Apartments	9,609
	HCR Direct Injection, HCR TWO #3 Silver Gardens	7,459
Tetra Tech, Inc.	OREC: Technical Support, TWO 2 - OSW F-TWG Lead	174,481
TFR Holdings Corp	Electric Microtransit in LI	485,251
The Cadmus Group, LLC	Clean Energy Communities, BOB Support Contractor	25,282
	Clean Energy Hub, TAI contract for RCEH	78,599
	Code to Zero, RFQ3183 Umbrella Agreement	97,902
	Electric Vehicles - Innovation, TWO No. 7	12,312
	ENERGY ANALYSIS, TWO #1 BEEM Revision	119,488
	Environmental Research, TWO 14 - Heat Adaptation Plan	420,280
	Eval MCDC Cross Cutting, Statewide Multifamily Baseline	757,988
	Eval MCDC EE Master Soft Cost, TWO#4 Soft Cost study	27,283
	Eval MCDC: LMI Insights&Impact, 4162 TWO 1: HP Insights Impact	157,695
	High Performing Grid, Resilience Integration Anchor	183,801
	Home Perf w Energy Star, TWO 13 - Analytic Support for	30,487
	Housing Agencies Support, Tech Asst Affordable Housing	22,861
	NYCH: Communities, TAI contract for RCEH	78,599
	NYCH: Critical Tools, TWO 15 - Inclusive	20,295
	OREC: Technical Support, RFP 3462 Umbrella Agreement	126,078
OREC: Technical Support, TWO #17 OSW TWG facilitation	57,511	
REV Campus Challenge, Umbrella Agreement	3,945	
TWO #10 Climate Facilitation	488,667	
The City College of New York	REV CAMPUS CHALLENGE, REVCC_ETL_Comp_Round 3	66,886
The Culinary Institute of America	Technical Services, OsEM47-C - Culinary Institute	42,879
The HOPE Program, Inc.	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	125,984
The Insulation Man LLC	OJT	10,231
The Nature Conservancy	Environmental Research, PV Site Design (PON 4270)	77,546
	OREC: Technical Support, Monitoring Eco Effects of OSW	3,246
The Renewables Consulting Group, L..	OREC: Technical Support, TWO #1: Master Plan 2.0	50,000
The Research Foundation for the State	Environmental Research, Low-Cost AQ Sensors	165,454
	Environmental Research, Mobile Lab Measurements of NYC	91,456
	Environmental Research, Mobile Laboratory Measurements	96,391

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Contractor	Contract Description	Total Expended Amount
The Research Foundation for the State	Environmental Research, VOCs and VCPs in NYC	34,317
The RF of SUNY Binghamton Universi..	Cleantech Geo Coverage, PON 4242	212,000
The Standard Hydrogen Corporation	High Performing Grid, Economical Long-Duration	132,981
The Top Gun Group, LLC	NYCH: Talent Ppln:CE and OJT, OJT	9,562
	OJT	17,701
The Trustees of Columbia University	Carbontech Development, The Carbon Foundry	2,879,167
	Cleantech EIR, PON 3819	79,000
	Environmental Research, Attribution of anthro methane	57,005
	NYCH: Industry Partnerships, CJF Support RFP 4976	56,000
	Talent Pipeline:CE and OJT, CJF Support RFP 4976	56,000
Thermal Associates, LLC	NYCH: Talent Ppln:CE and OJT, OJT	4,854
Thermodynamix LLC	NYCH: Talent Ppln:CE and OJT, OJT	3,150
Tiffany Energy, LLC	>200KW PV, NY Sun	321,282
Time Release Sciences, Inc.	<200KW PV, NY-Sun	261,800
Tioga Opportunities Inc.	OJT	5,423
Titanium Linx Consulting, Inc	OREC: Technical Support, LSR and OSW Labor Liaison	55,900
TJA-NY-Paul Rd Castleton, LLC	>200KW PV, NY Sun	270,270
tkFabricate, LLC	NYCH: Innovation, HydroPod Low Rise Multifamily	21,037
TM Montante Solar Developments, LLC	<200KW PV, NY-Sun	53,900
	<200KW PV, PON 2112 NY SUN	63,352
Tompkins Consolidated Area Transit I..	EVPRZ:Clean Personal Mobility, Ithaca Electric Transportation	694,501
Town of Ancram	CEC400050 - Town of Ancram	20,053
	Clean Energy Communities, CEC400050 - Town of Ancram	33,422
Town of Bedford	Code to Zero, PON 4600 Town of Bedford	45,000
Town of Bethlehem	CEC400006 - Town of Bethlehem	30,000
	Clean Energy Communities, CEC400006 - Town of Bethlehem	5,000
Town of Brighton	Clean Energy Communities, Brighton Town Park Heat Pump	10,000
Town of Canaan	CEC400102-Twn of Canaan	30,000
	Clean Energy Communities, CEC400102-Twn of Canaan	-30,000
Town of Clarkstown	Clean Energy Communities, CEC510671- Town of Clarkstown	30,000
Town of Dickinson	Clean Energy Communities, CEC001263 - Town of Dickinson	22,000
Town of Gallatin	CEC400159 - Town of Gallatin	30,000
	Clean Energy Communities, CEC400159 - Town of Gallatin	-30,000
Town of Goshen	Code to Zero, Stretch to Zero Program	125,000
Town of Greenburgh	Clean Energy Communities, CEC510649 - CEC EV	30,000
Town of Hillsdale	Clean Energy Communities, Town of Hillsdale	-23,959
	Town of Hillsdale	57,709
Town of Ithaca	Code to Zero, Stretch to Zero Program	50,000
Town of Knox	Clean Energy Communities, Town of Knox	71,192
	Town of Knox	21,358
Town of Mamaroneck	Clean Energy Communities, CEC LR - Mamaroneck - EV \$10k	10,000
Town of New Lebanon	CEC grant for 5000 points	70,000
	Clean Energy Communities, CEC grant for 5000 points	0
Town of Orangetown	Clean Energy Communities, CEC510692- Town of Orangetown	50,000
Town of Ossining	Code to Zero, PON 4600 Town of Ossining	90,000
Town of Rosendale	Clean Energy Communities, PON 3298 CEC	37,500
Town of Rye	Clean Energy Communities, CEC510695-Twn of Rye	15,000
Town of Saugerties	Clean Energy Communities, CEC500701 - Town of Saugerties	7,500

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Contractor	Contract Description	Total Expended Amount
Town of Southampton	Clean Energy Communities, CEC910517 - Climate Action Pla	37,500
Town of St Armand	CEC701206-Town of St. Armand	-50,000
	Clean Energy Communities, CEC701206-Town of St. Armand	50,000
Trane	K-12 SCHOOLS, CGSI-8_E - Tioga - FTC	78,398
	K-12 SCHOOLS, P12GC-50E - Vernon Verona -FTC	20,888
	K-12 SCHOOLS, P12GC-67_E - Sidney CSD - FTC	101,520
	K-12 SCHOOLS, P12GC-83_E - Vestal CSD - FTC	56,746
	Real Time Enrgy Management, St Ann'sWarehou-45WaterSt-RTEM	4,021
	Real Time Enrgy Management, Trane - 502 Park - RTEM	75,815
	Real Time Enrgy Management, Trane - Multisite - RTEM	5,400
	Real Time Enrgy Management, Trane-1CPW-RTEM	120,269
	Real Time Enrgy Management, Trane-Multisite-RTEM	9,063
	REV Campus Challenge, FT13549 - Lincoln Center - FTC	78,541
	Technical Services, FT13549 - Lincoln Center - FTC	10,531
TRC Companies, Inc.	NYCH: Comfort Home, Comfort Home Implementation	289,630
	NYCH: Talent Ppln:CE and OJT, WFD Implementation Contractor	150,663
	Talent Pipeline:CE and OJT, WFD Implementation Contractor	105,464
	Workforce Industry Partnership, WFD Implementation Contractor	346,524
TRC Energy Services	Capital Planning, SA.075a - TWO #44 - PM-1	10,266
	Commercial New Construc, SA.040_TWO #36-New Con_PM-1	-314
	Commercial New Construc, SA.040_TWO #37-New Con_PM-1	-195
	Commercial New Construc, SA.040_TWO#33-New Con_PM-1	6,124
	Commercial New Construc, SA.040-M6a - TWO #42 - PM-1	5,631
	Commercial New Construc, SA.040-M6b - TWO #43 - PM-1	1,958
	Electric Vehicles - Innovation, SA.096_TWO#31-DER_Assistant PM	22,977
	Electric Vehicles - Innovation, SA.111 - TWO#39 - CT - PM-1	112,399
	Electric Vehicles - Innovation, SA.112 - TWO #40 - CT - PM-2	146,784
	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	66,203
	Energy Storage Tech/Prod Dev, SA.090 - Innovation APM	35,874
	ESTOR: Implementation Support, SA.096_TWO#31-DER_Assistant PM	11,489
	EVPRZ:Implementation, SA.071_TWO#20_Clean Trans_PM-1	98,528
	Housing Agencies Support, SA.012_TWO #5_MF_PM	47,147
	Housing Agencies Support, SA.095_TWO#30 - Multifamily_PM	70,538
	Hydrogen Innovation, SA.090 - Innovation APM	35,874
	Innovation, SA.106_TWO#38-Innovation_BA	94,608
	Low Carbon Tech Demos, SA.012_TWO #5_MF_PM	0
	Low Carbon Tech Demos, SA.075a - TWO #44 - PM-1	10,266
	Low Rise New Construction, SA.040_TWO #36-New Con_PM-1	-1,269
	Low Rise New Construction, SA.040_TWO #37-New Con_PM-1	-233
	Low Rise New Construction, SA.040_TWO#33-New Con_PM-1	7,348
	Low Rise New Construction, SA.040-M6a - TWO #42 - PM-1	7,488
	Low Rise New Construction, SA.040-M6b - TWO #43 - PM-1	2,349
	Multifam New Construction, SA.040_TWO #36-New Con_PM-1	-1,308
	Multifam New Construction, SA.040_TWO #37-New Con_PM-1	-223
	Multifam New Construction, SA.040_TWO#33-New Con_PM-1	6,928
	Multifam New Construction, SA.040-M6a - TWO #42 - PM-1	7,174
	Multifam New Construction, SA.040-M6b - TWO #43 - PM-1	2,219
	Multifam Performance Pgm, SA.012_TWO #5_MF_PM	16,135

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Contractor	Contract Description	Total Expended Amount	
TRC Energy Services	Multifam Performance Pgm, SA.014_TWO #7_MF_PM	39,982	
	Multifam Performance Pgm, SA.016_TWO #8_MF_APM	40,421	
	Multifam Performance Pgm, SA.017_TWO #9_MF_APM	57,870	
	Nat'l OffShWind R&D Consortium, SA.090 - Innovation APM	0	
	New Construction Housing, SA.040_TWO #36-New Con_PM-1	-363	
	New Construction Housing, SA.040_TWO #37-New Con_PM-1	-456	
	New Construction Housing, SA.040_TWO#33-New Con_PM-1	14,289	
	New Construction Housing, SA.040-M6a - TWO #42 - PM-1	12,837	
	New Construction Housing, SA.040-M6b - TWO #43 - PM-1	5,531	
	New Construction Housing, SA.042_TWO#17 - NCP NYC PM	42,122	
	New Construction- Commercial, SA.040_TWO #36-New Con_PM-1	-314	
	New Construction- Commercial, SA.040_TWO #37-New Con_PM-1	-195	
	New Construction- Commercial, SA.040_TWO#33-New Con_PM-1	6,124	
	New Construction- Commercial, SA.040-M6a - TWO #42 - PM-1	5,631	
	New Construction- Commercial, SA.040-M6b - TWO #43 - PM-1	2,439	
	New Construction- Commercial, SA.042_TWO#17 - NCP NYC PM	14,041	
	NYCH: Talent Ppln:CE and OJT, TWO #4 SIPPRa Implementation	6,855	
	NYSERDA ADMINISTRATION, SA.069_TWO#19 - Contracts	65,519	
	OTHER PROGRAM AREA, East Hampton JT Planning Study	9,126	
	REV Campus Challenge, SA.027_TWO #2_Com_PM	0	
	REV Campus Challenge, SA.051a - TWO #41	48,575	
	SA.096_TWO#31-DER_Assistant PM	11,489	
	SA.103_TWO #34-IEDR_PM-1	93,963	
	Single Family New Construction, SA.040_TWO #36-New Con_PM-1	0	
	Single Family New Construction, SA.040-M6a - TWO #42 - PM-1	0	
	Single Family New Construction, SA.040-M6b - TWO #43 - PM-1	481	
	Single Family New Construction, SA.042_TWO#17 - NCP NYC PM	14,041	
	Strategic Energy Manager, SA.007_TWO #12_EPE_PM	0	
	Strategic Energy Manager, SA.026a_TWO#13 - EPE	83,419	
	Strategic Energy Manager, SA.047_TWO #19 - EPE	101,488	
	Strategic Energy Manager, SA.051a - TWO #41	31,774	
	Talent Pipeline:CE and OJT, TWO #4 SIPPRa Implementation	6,855	
	Tech Assistanc Multifamily LMI, SA.061_TWO#23 - Multifamily	30,393	
	Tech Assistanc Multifamily LMI, SA.075a - TWO #44 - PM-1	10,266	
	Technical Services, PON 3525 Umbrella Agreement	153,968	
	Technical Services, SA.007_TWO #12_EPE_PM	0	
	Technical Services, SA.027_TWO #2_Com_PM	0	
	Technical Services, SA.061_TWO#23 - Multifamily	60,787	
	Technical Services, SA.075a - TWO #44 - PM-1	10,266	
	TRC Engineers, Inc	NYCH: Innovation, PON3519 Round 1	29,173
	TRC Engineers, Inc.	>200KW PV, TWO #2 NY-Sun Shared Services	189,103
Air Source Heat Pumps, TWO #2		7,849	
Air Source Heat Pumps, TWO #3		9,233	
ASSISTED HOME PERFORMANCE WITH ENERGY STAR, TWO #7 - Sin..		8,604	
BR: Design, BR Benson Mines Engineering		60,500	
BR: Design, BR Caswell Solar Engineering		42,120	
BR: Environmental, BR Benson Mines Env Permitting		6,912	
BR: Environmental, BR Caswell Solar Env Permits		33,934	

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Contractor	Contract Description	Total Expended Amount
TRC Engineers, Inc.	BR: Screening, Cat 3: Feasibility Design	57,006
	BR: Screening, TWO- Cat 2_BR Site Crit. Issue	242,696
	CGSI Program Technical Review	6,270
	Code to Zero, TWO #2	7,947
	Code to Zero, TWO #3	125,990
	Commercial New Construc, TWO #1 New Con Shared Services	10,114
	Empire Building Challenge, TRC TWO Mini bid 4982 EBC	21,106
	EMPOWER NY, TWO #7 - Single Family Res SS	17,868
	ESTOR: Implementation Support, TWO #6 - Retail Storage	42,478
	EVALUATION, TRC TWO Mini bid 4982 EBC	5,822
	Home Perf w Energy Star, TWO #7 - Single Family Res SS	8,604
	K-12 SCHOOLS, CGSI Program Technical Review	10,450
	LMI Community Solar, TWO #2 NY-Sun Shared Services	16,701
	Low Rise New Construction, TWO #1 New Con Shared Services	16,856
	Multifam New Construction, TWO #1 New Con Shared Services	23,598
	Multifam Performance Pgm, TWO #4 - Multifamily Shared Se	28,774
	NENY:CHGE Empower Electric, TWO #7 - Single Family Res SS	3
	NENY:CHGE Empower Gas, TWO #7 - Single Family Res SS	3
	NENY:Con Ed Empower Electric, TWO #7 - Single Family Res SS	12
	NENY:Con Ed Empower Gas, TWO #7 - Single Family Res SS	35
	NENY:NIMO Empower Electric, TWO #7 - Single Family Res SS	21
	NENY:NIMO Empower Gas, TWO #7 - Single Family Res SS	42
	NENY:NYSEG Empower Electric, TWO #7 - Single Family Res SS	39
	NENY:NYSEG Empower Gas, TWO #7 - Single Family Res SS	98
	NENY:O&R Empower Electric, TWO #7 - Single Family Res SS	12
	NENY:O&R Empower Gas, TWO #7 - Single Family Res SS	32
	NENY:RGE Empower Electric, TWO #7 - Single Family Res SS	16
	NENY:RGE Empower Gas, TWO #7 - Single Family Res SS	38
	New Construction Housing, TWO #1 New Con Shared Services	220,152
	New Construction- Commercial, TWO #1 New Con Shared Services	130,479
	NY-SUN, TWO #2 NY-Sun Shared Services	16,701
	NYCH: Comfort Home, TWO #7 - Single Family Res SS	5,736
	NYCH: Consumer Awareness, TWO #5 - Co-Op Shared Services	30,604
	NYCH: Empire Build Challenge, TRC TWO Mini bid 4982 EBC	21,106
	NYCH: Innovation, Plug-and-Play Optimized Contro	10,586
	NYCH: Supply Chain, Experience Clean Heat Campaign	117,901
	NYCH: Supply Chain, Upstream Partners Initiative	289,066
	NYCH: Technical Assistance, TWO #7 - Single Family Res SS	8,604
	NYSERDA ADMINISTRATION, TWO #3 Call Center SS	183,812
	Real Time Enrgy Management, TRC TWO Mini bid 4982 EBC	26,201
	RTEM and Tenants, TRC TWO Mini bid 4982 EBC	11,645
	Single Family New Construction, TWO #1 New Con Shared Services	135,701
	TWO #7 - Single Family Res SS	217,384
	TRC Environmental Corporation	SA.005_TWO# 1_AES_PM1
Treau, Inc.	NextGen HVAC, Window Heat Pump	335,966
Tri State Solar Services	<200KW PV, NY-Sun	8,424
	<200KW PV, PON 2112 NY SUN	26,160
Trinity NY Development LLC	Multifam New Construction, New Construction	48,700

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Contractor	Contract Description	Total Expended Amount
Trinity Solar Inc	<200KW PV, NY-Sun	16,000
	<200KW PV, PON 2112 NY SUN	33,945
True Building Performance LLC	OJT	2,592
Turin Solar Fund, LLC	>200KW PV, NY Sun	146,524
Two Plus Four Construction Co., Inc.	New Construction Housing, 2019 LRNCP	35,000
UGE USA Inc.	>200KW PV, PON 2112 NY SUN	63,048
UGI Corporation	Anaerobic Digesters, PON 3739 CAT C	431,780
Ulster County BOCES	Talent Pipeline:CE and OJT, PON3981 Round 11	176,865
Ulster, County of	Technical Services, OsEM104-C - Ulster County	26,430
Union Theological Seminary	Technical Services, FT14619 - Union Theological Se	18,263
Unique Comp Inc.	NYSERDA ADMINISTRATION, TWO #3 Database Admin. Vinaya	87,563
	NYSERDA ADMINISTRATION, TWO #8 Tableau Dev. Yogi P	96,187
	NYSERDA ADMINISTRATION, TWO #9 Service Desk Tech.	74,920
	NYSERDA ADMINISTRATION, TWO Sr. Software Eng.	93,093
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP - Pride Transportation	120,000
	Electric Vehicles - Innovation, PON 3578 R1 Cat2	373,761
	Pub Transit & Elect Rail, X-ray fast cure composite bus	36,995
Unique People Services, Inc	Buildings of Excellence, Buildings of Excellence R1	262,500
University at Albany	Commercial New Construc, NCP15013 - Building 27	19,600
	Environmental Research, AQHE PON 3921	55,176
	High Performing Grid, Enhancing Predictability	156,666
	Net Zero Energy for Eco Dev, NZEED 2019 - University Albany	361,562
University of Maine	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	261,196
	Natl Offshore Wind R&D	261,196
University of North Carolina at Chapel..	Environmental Research, AQHE PON 3921	76,870
University of Rochester	Real Time Enrgy Management, URochester-390 Elmwood-RTEM	24,668
	Workforce Industry Partnership, PON 3715 (R15) BOM	60,520
Uplight, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	4,542
	GJGNY Market Rate Audits, Residential Program MgtRFP3545	9,088
	Home Perf w Energy Star, Residential Program MgtRFP3545	18,176
	NENY:CHGE Empower Electric, Residential Program MgtRFP3545	82
	NENY:CHGE Empower Gas, Residential Program MgtRFP3545	202
	NENY:Con Ed Empower Electric, Residential Program MgtRFP3545	258
	NENY:Con Ed Empower Gas, Residential Program MgtRFP3545	833
	NENY:KEDNY Empower Gas, Residential Program MgtRFP3545	491
	NENY:NFG Empower Gas, Residential Program MgtRFP3545	5,429
	NENY:NIMO Empower Electric, Residential Program MgtRFP3545	534
	NENY:NIMO Empower Gas, Residential Program MgtRFP3545	1,114
	NENY:NYSEG Empower Electric, Residential Program MgtRFP3545	643
	NENY:NYSEG Empower Gas, Residential Program MgtRFP3545	1,507
	NENY:O&R Empower Electric, Residential Program MgtRFP3545	427
	NENY:O&R Empower Gas, Residential Program MgtRFP3545	1,035
	NENY:RGE Empower Electric, Residential Program MgtRFP3545	320
NENY:RGE Empower Gas, Residential Program MgtRFP3545	768	
Upstate Alternative Energy	<200KW PV, PON 2112 NY SUN	14,033
Upstate Piping and Construction Serv..	NYCH: Talent Ppln:CE and OJT, OJT	3,816
Urban Electric Power, LLC	Energy Storage Tech/Prod Dev, 1MWh Peak-Shaving Battery	50,000
	OJT	5,918

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Contractor	Contract Description	Total Expended Amount
Urban Energy Inc	>200KW PV, PON 2112 NY SUN	122,668
	NYCH: Talent Ppln:CE and OJT, OJT	13,938
	OJT	123,307
	Talent Pipeline:CE and OJT, OJT	8,063
	WORKFORCE DEVELOPMENT, OJT	6,253
Urban Green Council	Code to Zero, RFQL 3711 TWO#2	5,385
	Code to Zero, Urban Green TWO#1 Training	175,010
	Empire Building Challenge, EBC - Retrofit - Urban Green	16,250
	New Construction Housing, Gen. Event Sponsorship 22-23	21,140
	New Construction- Commercial, Gen. Event Sponsorship 22-23	9,060
	NYCH: Empire Build Challenge, EBC - Retrofit - Urban Green	16,250
	Talent Pipeline:CE and OJT, PON3981 Round 10	13,723
	Workforce Industry Partnership, PON 3715 (R7) BOM	3,105
Urban Health Plan Inc.	Technical Services, FT13256 - 1054 Simpson - PON	9,175
	Technical Services, FT13257 - 1065 Southern - PON	6,898
Urban Homesteading Assistance Inc	Talent Pipeline:CE and OJT, OJT	7,115
Urban League of Westchester County, Inc.	Community RH&C, CH&C Communities Round 3	57,273
	NYCH: LMI, CH&C Communities Round 3	12,727
Urban Resource Institute	New Construction Housing, NCP Housing	18,300
Vail Mills Limited Partnership	Tech Assistanc Multifamily LMI, FT14739-Vail Mills Limited-PON	7,475
Vassar College	REV Campus Challenge, REVCC_ETL_Comp_Round 3	60,000
VBK C3 Owner LLC	New Construction Housing, New Construction	198,400
Ventolines B.V.	OREC: Technical Support, RFQL 3685	2,436
Venture Home Solar LLC	<200KW PV, PON 2112 NY SUN	5,880
	>200KW PV, PON 2112 NY SUN	10,328
Vermont Energy Investment Corporation	NYCH: Innovation, Advanced Market Tools for Refr	115,000
	NYCH: LMI, TWO #1 LMI Electrification	80,818
Vervent Inc.	GJGNY REVOLVING LOAN FUND, Financing Solutions	20,642
Village of Baldwinsville	Clean Energy Communities, CEC200177 - LED Streetlights	2,500
Village of Cold Spring	CLEANER GREENER COMMUNITIES, CGC30400 - Village of Cold Sp	3,750
Village of Garden City	CLEANER GREENER COMMUNITIES, Village of Garden City	35,250
Village of Hastings on Hudson	Code to Zero, Stretch to Zero Program	50,000
	NYCH: Communities, CEC500712-VI. Hastings on Hdsn	25,000
Village of Herkimer	Clean Energy Communities, CEC600882-Vill of Herkimer	37,500
Village of Homer	Clean Energy Communities, CEC200285 - V.o. Homer 3k GA	10,000
Village of Montour Falls	Clean Energy Communities, Communities & Local Government	70,000
	Talent Pipeline:CE and OJT, PON 4772 R3 (Aaron Arnold)	12,333
Village of Nyack	Clean Energy Communities, CEC500668 - EV Purchase	2,500
Village of Pleasantville	CLEANER GREENER COMMUNITIES, CEC500788 - V.o. Pleasantville	2,500
Village of Tuckahoe	Clean Energy Communities, Communities & Local Government	2,500
Village of Tully	Clean Energy Communities, CEC200211 - Village of Tully	10,000
Village of Williamsville	Clean Energy Communities, PON 3298 CEC	30,000
	PON 3298 CEC	-30,000
Virginia Tech Applied Research Corpo..	Energy Storage Tech/Prod Dev, PON 3585 R2	83,820
Vistar Energy Inc.	NYCH: Technical Assistance, PON 4423	70,336
Voltaic Solaire LLC	<200KW PV, NY-Sun	8,320
	<200KW PV, PON 2112 NY SUN	23,508
Volunteers of America- Greater New Y..	New Construction Housing, 2019 MFCNP	105,000

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Contractor	Contract Description	Total Expended Amount
Vornado Office Management LP	Technical Services, OsEM103-C - Vornado Realty Tru	74,579
VSE Corporation	EVPRZ:Implementation, Implementation Support for NYS	34,855
W & E Phillips Locksmith, Inc	NYSERDA ADMINISTRATION, Finance	3,705
Waddingham Road Solar, LLC	>200KW PV, NY Sun	226,461
	NY-SUN, NY Sun	226,461
Wadsworth Energy LLC	Rmve Barriers Dist Enrgy Storg, TWO #2 MDIWG Support	8,325
Wagner Farms	Anaerobic Digesters, PON 3739 CAT C	5,096
Walden Environmental Engineering, PLLC	Environmental Research, PON 4270 PV Site Design	10,795
	K-12 SCHOOLS, P12GC-90_E -Mnt Laurel Waldorf	1,980
Warner Bros. Discovery	Technical Services, OsEM96-C Warner Bros. Discover	97,185
Warwick Renewables, LLC	>200KW PV, NY Sun	188,811
	NY-SUN, NY Sun	23,601
WB Engineers+Consultants, Inc.	Technical Services, FT14524-Verizon-Multiple-FTC	246,884
	Technical Services, FT14857 - Verizon - 140 West	155,190
We are the New Farmers Inc.	Talent Pipeline:CE and OJT, PON 4772 (R3) Avni Goel	9,250
	Talent Pipeline:CE and OJT, PON 4772 R3 (Christopher Cruz)	9,250
Wellington Manor LLC	Multifam Performance Pgm, Multifamily	5,650
Wendel Energy Services, LLC	ANAEROBIC DIGESTER, ADG - Wendel - TWO	8,960
	Anaerobic Digesters, ADG - Wendel - TWO	0
	CGSI-57_E,CT - Westfield CS	18,221
	CLEAN TRANSPORTATION, CGSI-57_E,CT - Westfield CS	34,569
	Combined Heat and Power, ADG - Wendel - TWO	8,960
	Electric Vehicles - Innovation, CGSI-31_CT - Rochester - FTC	34,259
	Electric Vehicles - Innovation, CGSI-47E - Medina CSD(4)_E	18,868
	Electric Vehicles - Innovation, P12GC-84E - Sweet Home - FTC	10,001
	K-12 SCHOOLS, CGSI-18_E - Dunkirk CSD - FTC	79,400
	K-12 SCHOOLS, CGSI-47E - Medina CSD(4)_E	40,707
	K-12 SCHOOLS, CGSI-66_E - Lyndonville CSD	34,803
	K-12 SCHOOLS, P12GC-105-Hamburg CSD (1)_E	36,000
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	65,824
	Technical Services, FT14337- Buffalo Sewer -FTC	25,000
	Technical Services, FT14536 - 20 Ontario - FTC	38,494
	Technical Services, FT14758 NCWD - FTC - IND	22,762
Technical Services, FT14939 - Weill Cornell Med	62,651	
Technical Services, FT15061 - Seneca WWTP - FTC	46,791	
Wendel Energy Services, LLC.	NYCH: District, PON 4614 Round #1 NFG	92,126
West Harlem Environmental Action, Inc.	NY-SUN, PON 3414 Solar Uptown Now	52,500
	Talent Pipeline:CE and OJT, CJF PON 4772 R2	31,308
	Talent Pipeline:CE and OJT, PON 4772 R3 CJF (Kevin Notice)	18,500
West Monroe Partners, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFP4886 RE..	15,829
	Consumer Ed and Market Support, RFP4886 RES Market Engagement	143,865
	EMPOWER NY, RFP4886 RES Market Engagement	110,424
	Home Perf w Energy Star, RFP4886 RES Market Engagement	82,231
	Market Support Tools &Activity, RFP4886 RES Market Engagement	143,378
	NENY:CHGE Empower Electric, RFP4886 RES Market Engagement	37
	NENY:CHGE Empower Gas, RFP4886 RES Market Engagement	121
	NENY:Con Ed Empower Electric, RFP4886 RES Market Engagement	79
NENY:Con Ed Empower Gas, RFP4886 RES Market Engagement	309	

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Contractor	Contract Description	Total Expended Amount
West Monroe Partners, LLC	NENY:KEDNY Empower Gas, RFP4886 RES Market Engagement	402
	NENY:NFG Empower Gas, RFP4886 RES Market Engagement	4,336
	NENY:NIMO Empower Electric, RFP4886 RES Market Engagement	209
	NENY:NIMO Empower Gas, RFP4886 RES Market Engagement	452
	NENY:NYSEG Empower Electric, RFP4886 RES Market Engagement	58
	NENY:NYSEG Empower Gas, RFP4886 RES Market Engagement	48
	NENY:O&R Empower Electric, RFP4886 RES Market Engagement	246
	NENY:O&R Empower Gas, RFP4886 RES Market Engagement	479
	NENY:RGE Empower Electric, RFP4886 RES Market Engagement	93
	NENY:RGE Empower Gas, RFP4886 RES Market Engagement	216
	NYCH: Comfort Home, RFP4886 RES Market Engagement	82,385
	NYCH: Technical Assistance, RFP4886 RES Market Engagement	116,405
	RFP4886 RES Market Engagement	125,547
West Valley Solar, LLC	>200KW PV, NY Sun	1,122,848
Westhab, Inc.	New Construction Housing, NCP Housing 2022	52,800
WexEnergy LLC	Cleantech Ignition, PON 3871 Ignition Grants	21,000
WFHA Brooklyn LP	Multifam Performance Pgm, Multifamily	108,000
Whitney Buffalo LLC	Tech Assistanc Multifamily LMI, FT14731 - 273 Georgia - PON	7,488
Willdan Energy Solutions	Clean Energy Communities, RFP 4478	9,406
	Code to Zero, SA.106_TWO#5-CPS_Sr. PM	117,285
	Commercial Real Estate Ten, Umbrella Agreement	46,450
	K-12 SCHOOLS, RFP 3788 P-12 Benchmarking	34,000
	NYCH: District, PON 4614 Round #1 Phelps Hosp	11,604
Willdan Lighting & Electric, Inc.	OJT	13,848
Wiltshire Renewable Energy Systems,...	<200KW PV, PON 2112 NY SUN	5,160
WindSim Americas Inc.	Future Grid Perf. Challenges, Power Grid Innovation	300,000
Wise Home Energy, LLC	NYCH: Talent Ppln:CE and OJT, OJT	17,545
	OJT	3,894
Woods Hole Oceanographic Institution	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	23,382
	Natl Offshore Wind R&D	7,794
Worley Group, Inc.	OREC: Technical Support, Determination Study Buy Americ	48,077
	OREC: Technical Support, TWO 2 Buyer's Eng Support Se	54,281
	REC:CES REC System Dev Costs, Determination Study Buy Americ	86,519
WSP USA Corp.	Clean Energy Communities, TA Community Support Services	282,244
	Commercial New Construc, NC Commercial TWO SF125859	9,087
	Environmental Research, Suppt Svcs for Solar Dev & Ag	85,910
	OREC: Technical Support, Suppt Svcs for Solar Dev & Ag	5,819
	OREC: Technical Support, TWO#1- Offshore Wind Cable	37,744
	OREC: Technical Support, TWO#6 M-TWG Support	10,796
	Technical Services, FT14624-Brooklyn Hospital Cen	19,288
Wyoming County Community Action, I..	Multifam Performance Pgm, Multifamily	23,400
Yale University	Environmental Research, Aerosol Speciation Monitoring	46,973
	Environmental Research, Source Apportionment VOC-SVOC	16,302
Yardi Systems, Inc.	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	12,060
Yeshiva University	Technical Services, OsEM113-C - Yeshiva University	38,700
ZBF Geothermal LLC	NYCH: District, PON 4614 Round #5	210,000
	PON 4614 Round #5	90,000
Grand Total		293,263,025

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Contractor	Contract Description	Total Expended Amount
Agarabi Engineering, PLLC	Workforce Dev & Training	7,344
Air Company Holdings, Inc.	Workforce Dev & Training	2,096
Albany, City of,	Workforce Dev & Training	3,631
All-State Air Control Sales & Service In	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	5,080
alpha-En Corporation	Workforce Dev & Training	4,131
American Energy Care, Inc.	Workforce Dev & Training	14,688
Arch Street Communications, Inc.	Workforce Dev & Training	14,122
Association for Energy Affordability, In	Home Perf w Energy Star, Single Family Residential	4,282
	NENY: Con Ed Empower Electric, Single Family Residential	347
	Single Family Residential	122,818
Binghamton Regional	EMPOWER NY, Single Family Residential	300
	Workforce Dev & Training	1,203
C&R Housing Inc.	Home Perf w Energy Star, Single Family Residential	3,416
	NENY: NFG Empower Gas, Single Family Residential	122,297
	NENY: NIMO Empower Electric, Single Family Residential	2,288
	NENY: NIMO Empower Gas, Single Family Residential	8,732
	Single Family Residential	324,621
Climate Solutions Accelerator of the	EMPOWER NY, Single Family Residential	1,554
	Workforce Dev & Training	2,333
Common Energy LLC	Workforce Dev & Training	7,099
Country Suburban Heating & Air Condition	NENY: NIMO Empower Electric, Single Family Residential	15,977
	NENY: NIMO Empower Gas, Single Family Residential	36,788
	Single Family Residential	573,637
County Heat & AC, LLC	NYCH: Comfort Home, Single Family Residential	300,500
CTY, Inc	Workforce Dev & Training	27,816
Daniel Rice Engineering, D.P.C.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	7,344
Eastern Research Group, Inc.	Electric Vehicles - Innovation, Events Management	1,000
Empower Equity Inc	Workforce Dev & Training	22,215
Energy EDC Corp.	Workforce Dev & Training	490
Energy Management Solutions, LLC	Home Perf w Energy Star, Single Family Residential	23,301
	NENY: CHGE Empower Electric, Single Family Residential	66
	NENY: CHGE Empower Gas, Single Family Residential	6,487
	NENY: Con Ed Empower Gas, Single Family Residential	401
	NENY: NYSEG Empower Electric, Single Family Residential	336
	NENY: O&R Empower Electric, Single Family Residential	6,643
	NENY: O&R Empower Gas, Single Family Residential	41,477
	NYCH: Comfort Home, Single Family Residential	102,150
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	3,021
	NYCH: Technical Assistance, Single Family Residential	1,800
	Single Family Residential	368,976
Energy Savers Inc	Home Perf w Energy Star, Single Family Residential	28,608
	NENY: NIMO Empower Electric, Single Family Residential	13,968
	NENY: NIMO Empower Gas, Single Family Residential	218,684
	NENY: NYSEG Empower Electric, Single Family Residential	8,249
	NENY: NYSEG Empower Gas, Single Family Residential	39,544
	NYCH: Comfort Home, Single Family Residential	489,700
	Single Family Residential	859,456
Energy Service Technologies, LLC	Home Perf w Energy Star, Single Family Residential	639
	NENY: NIMO Empower Electric, Single Family Residential	1,238
	NENY: NIMO Empower Gas, Single Family Residential	21,016
	NYCH: Comfort Home, Single Family Residential	52,950

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Contractor	Contract Description	Total Expended Amount
Energy Service Technologies, LLC	Single Family Residential	258,983
Energie Corporation	NENY:NIMO Empower Electric, Single Family Residential	768
	NENY:NYSEG Empower Electric, Single Family Residential	1,688
	NENY:RGE Empower Electric, Single Family Residential	2,202
	Single Family Residential	2,645
Ethergroup LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	4,973
Finger Lakes Comfort, Inc	NENY:NYSEG Empower Electric, Single Family Residential	13,638
	NENY:NYSEG Empower Gas, Single Family Residential	21,073
	NENY:RGE Empower Electric, Single Family Residential	629
	NENY:RGE Empower Gas, Single Family Residential	8,306
	Single Family Residential	120,754
Foam It Insulation, LLC	Home Perf w Energy Star, Single Family Residential	60,260
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	200
	NENY:NYSEG Empower Electric, Single Family Residential	20,957
	NENY:NYSEG Empower Gas, Single Family Residential	498,110
	NYCH: Comfort Home, Single Family Residential	17,450
	NYCH: Technical Assistance, Single Family Residential	8,000
	Single Family Residential	1,316,593
Geatrain Engineering PLLC	Workforce Dev & Training	5,080
Generate Capital Inc.	NY-SUN, NY-Sun	251,460
Green Home Logic, Inc.	Energy & Climate Equity	8,071
	Healthy Homes VB Payment Pilot, Energy & Climate Equity	4,489
	Home Perf w Energy Star, Single Family Residential	11,999
	NENY:Con Ed Empower Electric, Single Family Residential	12,727
	NENY:Con Ed Empower Gas, Single Family Residential	19,567
	NENY:NIMO Empower Gas, Single Family Residential	47
	NYCH: Comfort Home, Single Family Residential	22,650
	NYCH: Technical Assistance, Single Family Residential	18,600
	Single Family Residential	226,012
Green Light New York, Inc.	Empire Building Challenge, Advanced Efficiency Solutions	548
	Events Management	300
Greenstar Home Services	NYCH: Comfort Home, Single Family Residential	15,100
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	9,914
Group-S LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	14,688
	Workforce Dev & Training	5,439
Halcyon Inc.	Home Perf w Energy Star, Single Family Residential	127,290
	NENY:NFG Empower Gas, Single Family Residential	16,058
	NENY:NIMO Empower Electric, Single Family Residential	13,006
	NENY:NIMO Empower Gas, Single Family Residential	107,796
	NENY:NYSEG Empower Electric, Single Family Residential	11,259
	NENY:NYSEG Empower Gas, Single Family Residential	282,549
	NENY:RGE Empower Electric, Single Family Residential	10,056
	NENY:RGE Empower Gas, Single Family Residential	40,012
	NYCH: Comfort Home, Single Family Residential	127,100
	NYCH: Technical Assistance, Single Family Residential	6,000
	Single Family Residential	2,787,123
Harris Energy Solutions LLC	Workforce Dev & Training	872
Healthy Home Energy & Consulting, Inc.	NYCH: Comfort Home, Single Family Residential	89,900
Hytech Solar Inc	NYCH: Technical Assistance, Single Family Residential	200
	Single Family Residential	755
INF Associates LLC	Workforce Dev & Training	6,487

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Contractor	Contract Description	Total Expended Amount
John Betlem Heating & Cooling Inc	Home Perf w Energy Star, Single Family Residential	161,070
	NENY:NFG Empower Gas, Single Family Residential	86
	NENY:NIMO Empower Electric, Single Family Residential	308
	NENY:NYSEG Empower Electric, Single Family Residential	952
	NENY:NYSEG Empower Gas, Single Family Residential	45,267
	NENY:O&R Empower Gas, Single Family Residential	4,000
	NENY:RGE Empower Electric, Single Family Residential	22,750
	NENY:RGE Empower Gas, Single Family Residential	58,102
	NYCH: Comfort Home, Single Family Residential	21,250
	NYCH: Technical Assistance, Single Family Residential	200
	Single Family Residential	1,812,681
Kasselmann Solar LLC	Workforce Dev & Training	24,132
Kawi Energy Group Corp.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	7,069
	NYCH: Technical Assistance, Single Family Residential	200
KC Management Holdings LLC	Home Perf w Energy Star, Single Family Residential	38,334
	NENY:NFG Empower Gas, Single Family Residential	100,542
	NENY:NIMO Empower Electric, Single Family Residential	1,760
	NENY:NYSEG Empower Electric, Single Family Residential	352
	NENY:NYSEG Empower Gas, Single Family Residential	9,108
	NENY:RGE Empower Electric, Single Family Residential	352
	NYCH: Comfort Home, Single Family Residential	164,900
Single Family Residential	299,973	
Kinetic Communities Consulting Corporati	EMPOWER NY, Single Family Residential	1,174
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	1,680
	OREC: Technical Support, Offshore Wind	600
Lamico Enterprises, LLC	Home Perf w Energy Star, Single Family Residential	56,627
	NENY:NIMO Empower Electric, Single Family Residential	2,545
	NENY:NIMO Empower Gas, Single Family Residential	140,533
	NENY:NYSEG Empower Electric, Single Family Residential	5,906
	NYCH: Comfort Home, Single Family Residential	68,450
Single Family Residential	556,856	
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Single Family Residential	61,491
Malcarne Contracting, Inc.	Home Perf w Energy Star, Single Family Residential	5,713
	NYCH: Comfort Home, Single Family Residential	2,100
	Single Family Residential	32,983
Meltek Inc.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	6,579
	Workforce Dev & Training	19,403
MicroGrid Networks LLC	Workforce Dev & Training	7,344
Mid-Hudson Energy Transition	EMPOWER NY, Single Family Residential	1,463
	Workforce Dev & Training	8,293
Minority Millennials	OREC: Technical Support, Offshore Wind	600
Mission Power Corp.	Workforce Dev & Training	13,502
New Water Street Corporation	Technical Services, Efficiency Plan & Engineering	82,137
New York City Energy Efficiency Corp	Workforce Dev & Training	4,223
New York Independent Systems Operator	BR: Program Implementation, Build Ready	1,000
	BR: Program Implementation, Environmental Research	8,000
NextCorps Inc	Workforce Dev & Training	7,344
Noco Energy Corp.	Workforce Dev & Training	2,452
NP Environmental LLC	Single Family Residential	69,509
NY Building Systems Consultant Inc.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	7,344
Orange and Rockland Utilities, Inc.	GJGNY REVOLVING LOAN FUND, Single Family Residential	2,323

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Expended Amount
Patriot Energy Solutions Corp	Home Perf w Energy Star, Single Family Residential	59,964
	NENY:Con Ed Empower Electric, Single Family Residential	7,095
	NENY:Con Ed Empower Gas, Single Family Residential	24,719
	NENY:KEDNY Empower Gas, Single Family Residential	71,879
	NENY:NIMO Empower Electric, Single Family Residential	418
	NENY:NIMO Empower Gas, Single Family Residential	24,686
	Single Family Residential	1,792,217
People United for Sustainable Housing In	EMPOWER NY, Single Family Residential	1,100
	Energy & Climate Equity	600
Pratt Institute	EMPOWER NY, Single Family Residential	1,134
Public Utility Law Project of New York,	Energy & Climate Equity	1,800
Rockland County	Clean Energy Communities, Communities & Local Government	5,000
Ross Energy Consulting, LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	2,268
	Workforce Dev & Training	3,500
Ryan Plumbing Heating Air Conditioning	Home Perf w Energy Star, Single Family Residential	20,106
	NENY:NFG Empower Gas, Single Family Residential	10,559
	NENY:NIMO Empower Electric, Single Family Residential	154
	NENY:NYSEG Empower Electric, Single Family Residential	132
	NENY:NYSEG Empower Gas, Single Family Residential	12,909
	NENY:RGE Empower Electric, Single Family Residential	3,058
	NENY:RGE Empower Gas, Single Family Residential	127,461
	NYCH: Technical Assistance, Single Family Residential	600
Single Family Residential	1,090,994	
SANFILIPPO SOLUTIONS INC.	Healthy Homes VB Payment Pilot, Energy & Climate Equity	24,906
	Home Perf w Energy Star, Single Family Residential	11,068
	NENY:NFG Empower Gas, Single Family Residential	197,484
	NENY:NIMO Empower Electric, Single Family Residential	902
	NENY:NYSEG Empower Electric, Single Family Residential	88
	NYCH: Comfort Home, Single Family Residential	5,300
	Single Family Residential	663,082
Simply Installs LLC	EVAL MCDC: Heat Pump Experiment, Market Char & Evaluation	18,000
	Home Perf w Energy Star, Single Family Residential	30,007
	NENY:NFG Empower Gas, Single Family Residential	8,035
	NENY:NIMO Empower Electric, Single Family Residential	12,090
	NENY:NIMO Empower Gas, Single Family Residential	6,287
	NENY:NYSEG Empower Electric, Single Family Residential	966
	NENY:NYSEG Empower Gas, Single Family Residential	47,662
	NENY:RGE Empower Electric, Single Family Residential	176
	NENY:RGE Empower Gas, Single Family Residential	1,939
Single Family Residential	300,921	
Slipstream Group, Inc.	>200KW PV, NY-Sun	97,755
	Geothermal Incentive Program, Community Thermal Networks	25,965
	GJGNY REVOLVING LOAN FUND, Single Family Residential	615,646
	Home Perf w Energy Star, Single Family Residential	40,695
Steven Winter Associates, Inc.	New Construction Housing, New Construction	8,200
STRATCO PROPERTY GROUP INC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	7,344
	Workforce Dev & Training	7,344
SUNRISE ELECTRICAL SERVICES	Workforce Dev & Training	6,912
SUNY - ESF	New Construction Housing, Events Management	3,650
SUNY Morrisville	REV Campus Challenge, Efficiency Plan & Engineering	52,973
Sustainable Comfort, Inc	New Construction Housing, New Construction	15,800

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Sustainable Comfort, Inc	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	9,631
Sustainable Westchester	Workforce Dev & Training	15,610
Taitem Engineering, P.C.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	1,672
The Insulation Man LLC	Home Perf w Energy Star, Single Family Residential	16,234
	NENY: NYSEG Empower Electric, Single Family Residential	1,265
	NENY: NYSEG Empower Gas, Single Family Residential	71,581
	NYCH: Technical Assistance, Single Family Residential	1,200
	Single Family Residential	180,818
The Top Gun Group, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	4,261
	Home Perf w Energy Star, Single Family Residential	10,386
	NENY: CHGE Empower Electric, Single Family Residential	8,510
	NENY: NIMO Empower Electric, Single Family Residential	984
	NENY: NIMO Empower Gas, Single Family Residential	56,249
	NENY: NYSEG Empower Electric, Single Family Residential	5,164
	NENY: NYSEG Empower Gas, Single Family Residential	8,099
	NYCH: Comfort Home, Single Family Residential	517,050
	Single Family Residential	816,151
Town of Bedford	Workforce Dev & Training	4,444
Village of Homer	Clean Energy Communities, Communities & Local Government	5,000
Walden Environmental Engineering, PLLC	Workforce Dev & Training	7,344
West Harlem Environmental Action, Inc.	Energy & Climate Equity	690
Wise Home Energy, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	373
	EVAL MCDC: Heat Pump Experiment, Market Char & Evaluation	12,000
	Home Perf w Energy Star, Single Family Residential	96,755
	NENY: NFG Empower Gas, Single Family Residential	13,154
	NENY: NIMO Empower Electric, Single Family Residential	66
	NENY: NYSEG Empower Electric, Single Family Residential	153
	NENY: NYSEG Empower Gas, Single Family Residential	28,067
	NENY: RGE Empower Electric, Single Family Residential	2,412
	NENY: RGE Empower Gas, Single Family Residential	64,444
	NYCH: Comfort Home, Single Family Residential	44,350
	Single Family Residential	737,057
Grand Total		22,703,527

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
3 Sisters Solar Farm 2 LLC	2/12/2024	>200KW PV, NY Sun	331,240
		NY Sun	828,100
3 Sisters Solar Farm 3 LLC	2/12/2024	>200KW PV, NY Sun	370,370
		NY Sun	925,925
3 Sisters Solar Farm 4 LLC	2/12/2024	>200KW PV, NY Sun	363,545
		NY Sun	908,863
3 Sisters Solar Farm LLC	2/12/2024	>200KW PV, NY Sun	333,060
		NY Sun	832,650
3rd ROC Solar LLC	11/2/2023	<200KW PV, PON 2112 NY SUN	7,600
	2/2/2024	<200KW PV, NY-Sun	235,759
22nd Century Technologies, Inc.	12/4/2023	Intelligent Buildings, TWO # 4 Sr. BA - Sifkat Medhi	321,318
	2/15/2024	Tech Assistanc Multifamily LMI, SA.006_TWO# 1_EPE_APM	510,000
	3/28/2024	REC4:CES REC4 Tech Support, SA.001_TWO# 2_LSR_PM2	229,680
25th Street Suites, LLC	2/14/2024	NYSERDA ADMINISTRATION, 2024 NYC NYSERDA Town Hall	6,950
40 West 67th Street Corp.	3/21/2024	Technical Services, FT14950 R. Realty 40 West 67	10,000
64 Solar LLC	2/14/2024	>200KW PV, PON 2112 NY SUN	16,640
100 Flatbush Developer, LLC	1/2/2024	New Construction- Commercial, Commercial NCP 2022 - Path D	624,000
110 Holdings LLC	3/4/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RF..	500,000
		EMPOWER NY, RFP4886 RES Market Engagement	262,294
		Home Perf w Energy Star, RFP4886 RES Market Engagement	40,000
		NYCH: Comfort Home, RFP4886 RES Market Engagement	375,000
		NYCH: Technical Assistance, RFP4886 RES Market Engageme..	325,000
		RFP4886 RES Market Engagement	2,803,698
110-118 Owners Corp	2/27/2024	Technical Services, FT15082 - AKAM Associates	6,900
132 Dingens Street, LLC	10/17/2023	<200KW PV, NY-Sun	300,122
247 North Avenue LLC	2/20/2024	New Construction Housing, NCP Housing 2022	500,000
258 West 97th Street Housing Develop..	12/12/2023	Direct Injection Program, HPD Fortune Castle	845,171
440 E. 62nd Street Owners Corp.	3/21/2024	Technical Services, FT15101 - The Park Sutton	13,500
601 West End Tenants Corp	2/8/2024	Low Carbon Tech Demos, Low Carbon Pathways	108,000
733 Portland Properties	3/25/2024	Low Carbon Tech Demos, MF Low Carbon Pathways	133,650
770 Electric Corp.	10/11/2023	<200KW PV, NY-Sun	81,792
		>200KW PV, NY-Sun	136,320
	10/12/2023	>200KW PV, PON 2112 NY SUN	53,280
	10/17/2023	<200KW PV, NY-Sun	27,000
		>200KW PV, NY-Sun	45,000
	11/9/2023	>200KW PV, PON 2112 NY SUN	42,720
	2/9/2024	<200KW PV, NY-Sun	29,088
>200KW PV, NY-Sun		48,480	
3/29/2024	>200KW PV, PON 2112 NY SUN	76,540	
1704 Seddon Realty LLC	10/17/2023	Tech Assistanc Multifamily LMI, FT14804-1704 Seddon Realty-..	15,113
AASPEN HVAC	11/16/2023	NYCH: Talent Ppln:CE and OJT, OJT	13,440
	11/21/2023	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	12/1/2023	NYCH: Talent Ppln:CE and OJT, OJT	15,360
AB Capital Assets, LLC	11/2/2023	OJT	6,400
	11/28/2023	OJT	8,640
	1/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,400
	2/6/2024	OJT	7,066
	2/12/2024	NYCH: Talent Ppln:CE and OJT, OJT	20,160
	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	7,066
Above Grid Rome Solar LLC	10/23/2023	>200KW PV, NY Sun	327,360
		NY-SUN, NY Sun	458,304
Abt Associates Inc.	12/19/2023	TWO #3 Pathways Health Phase 2	100,000
	3/15/2024	ENERGY ANALYSIS, TWO 1 - 2022 GHG Inventory Sup	49,964
Abundant Solar Power Inc.	10/31/2023	>200KW PV, NY Sun	2,802,799
		NY Sun	1,751,752
		NY-SUN, NY Sun	980,979

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Abundant Solar Power Inc.	11/20/2023	>200KW PV, NY Sun	1,401,400
		NY Sun	875,876
		NY-SUN, NY Sun	490,489
Accelerate Wind LLC	3/7/2024	Talent Pipeline:CE and OJT, OJT	10,240
Accord Power, Inc.	10/11/2023	<200KW PV, NY-Sun	5,184
	10/13/2023	>200KW PV, PON 2112 NY SUN	9,345
	10/17/2023	<200KW PV, NY-Sun	727,116
		>200KW PV, NY-Sun	181,779
	11/1/2023	>200KW PV, NY-Sun	8,322
	11/9/2023	OJT	17,280
	11/28/2023	<200KW PV, PON 2112 NY SUN	6,480
	1/4/2024	<200KW PV, NY-Sun	9,417
		>200KW PV, NY-Sun	28,397
		>200KW PV, PON 2112 NY SUN	18,615
	1/5/2024	<200KW PV, NY-Sun	76,007
		>200KW PV, NY-Sun	2,625,009
		>200KW PV, PON 2112 NY SUN	446,780
		NY-SUN, NY-Sun	584,496
	1/12/2024	>200KW PV, PON 2112 NY SUN	11,680
	1/19/2024	<200KW PV, PON 2112 NY SUN	5,184
	2/2/2024	<200KW PV, NY-Sun	362,039
		>200KW PV, NY-Sun	110,676
		>200KW PV, PON 2112 NY SUN	5,668
	2/9/2024	<200KW PV, NY-Sun	272,628
		>200KW PV, NY-Sun	68,157
	2/20/2024	<200KW PV, NY-Sun	17,696
		>200KW PV, NY-Sun	4,424
	2/27/2024	<200KW PV, NY-Sun	49,612
		>200KW PV, NY-Sun	12,403
		>200KW PV, PON 2112 NY SUN	27,795
	2/29/2024	<200KW PV, NY-Sun	65,728
>200KW PV, NY-Sun		16,432	
>200KW PV, PON 2112 NY SUN		17,520	
3/5/2024	<200KW PV, NY-Sun	4,617	
	>200KW PV, NY-Sun	7,695	
3/27/2024	<200KW PV, PON 2112 NY SUN	1,458	
3/28/2024	<200KW PV, PON 2112 NY SUN	4,374	
Accure Battery Intelligence Inc.	1/4/2024	Pub Transit & Elect Rail, Battery intelligence for eBus	50,000
Actalent Inc	11/1/2023	REC:CES REC System Dev Costs, SA.101_TWO#13-LSR_PM-1	153,029
Active Solar Development, LLC	12/28/2023	<200KW PV, PON 2112 NY SUN	51,188
	1/10/2024	<200KW PV, PON 2112 NY SUN	9,555
Adam C. Boese	10/5/2023	Technical Services, AEAP 1453 - Ronnybrook Farm	3,500
		Technical Services, AEAP 1481 - My BAR K Meadows	2,840
		Technical Services, AEAP1346 - Andy & Margaret	3,500
	10/26/2023	Technical Services, FT14806 - Ludlow Street - FTC	25,710
	11/22/2023	Technical Services, AEAP 1435 - Maple Lane Dairy	6,000
		Technical Services, AEAP 1493 - Brotherton Farms	5,880
		Technical Services, AEAP 1554 - Robbins Family	5,600
		Technical Services, AEAP 1574 - North Harbor Dair	6,000
		Technical Services, AEAP 1589 - Garden Time	5,380
		Technical Services, AEAP 1591 - Barber Brothers	6,000
		Technical Services, AEAP 1599 - Stronghaven Farm	5,840
		Technical Services, AEAP 1600 - Tuscarora Dairy	5,840
	Technical Services, AEAP 1619 - Hawthore Valley	6,000	
	11/29/2023	Technical Services, AEAP 1404 - Balsam View Dairy	2,880
	12/13/2023	Technical Services, AEAP 1628 - Thorpes Organic	6,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Adam C. Boese	1/17/2024	Technical Services, FT14797 - 4525 & 4555 - FTC	14,805
	1/26/2024	K-12 SCHOOLS, FT14858 - Bronxville UFSD (1)E	26,820
	2/13/2024	Technical Services, AEAP 1548 - Bridgedale Farms	5,240
	2/22/2024	Technical Services, AEAP 1651 - R&D Adams Dairy	6,000
		Technical Services, AEAP 1653 - Martin and Raymond	5,330
		Technical Services, AEAP 1654 - Dennis Brady & Son	6,000
	3/7/2024	Technical Services, FT17103 Sapphire Center for Re	14,400
Adirondack North Country Association	2/27/2024	Talent Pipeline:CE and OJT, PON 4772 R3 K.J	40,000
ADK Solar	11/9/2023	OJT	9,600
ADP, Inc.	11/2/2023	NYSERDA ADMINISTRATION, ADP Payroll and HR Services	1,000
Advanced Energy Group L.L.C.	2/7/2024	2024 AEG Sponsorship Renewal	8,333
		>200KW PV, 2024 AEG Sponsorship Renewal	8,333
		Pub Transit & Elect Rail, 2024 AEG Sponsorship Renewal	8,333
Advanced Radiant Design, Inc.	12/28/2023	NYCH: Talent Ppln:CE and OJT, OJT	8,640
AECOM USA INC.	10/5/2023	Tech Assistanc Multifamily LMI, Tech Review_Program Support	23,750
		Technical Services, Tech Review_Program Support	23,750
	3/12/2024	Technical Services, Tech Review_Program Support	92,000
Agarabi Engineering, PLLC	11/21/2023	OJT	15,230
Air-Conditioning, Heating & Refrigeratio	11/8/2023	NYCH: Innovation, Refrigerants - AHRI	257,407
AKF-engineers	10/5/2023	Technical Services, FT14817 - Vornado Realty - 640	30,000
	11/2/2023	Technical Services, FT14800 - Mount Sinai Advanced	42,400
	11/7/2023	Technical Services, FT14752 - Mount Sinai Queens -	290,936
	1/4/2024	Technical Services, FT14874 - NYU Langone Ortho	58,937
	2/2/2024	Technical Services, FT15077 - 300 East 93 - FTC	69,450
	2/23/2024	Tenant Energy Management, HeatRecC2_AKF_455W37St	49,500
Akron Central School District	11/10/2023	Electric Vehicles - Innovation, FT14820 - Akron CSD (3)CT	37,909
Albany Solar Solutions L.L.C.	3/21/2024	<200KW PV, PON 2112 NY SUN	7,040
Alfred University	12/12/2023	Talent Pipeline:CE and OJT, PON3981 Round 14	466,853
Algonquin Power Fund America Inc	12/17/2023	>200KW PV, NY Sun	222,750
		NY Sun	556,875
		NY-SUN, NY Sun	311,850
All-State Air Control Sales & Service In	11/2/2023	NYCH: Talent Ppln:CE and OJT, OJT	18,000
Allegheny Science & Technology Corpo..	12/4/2023	Consultant for Residential IRA	749,655
Allen Power, Inc.	12/7/2023	<200KW PV, PON 2112 NY SUN	36,900
Alliance for Sustainable Energy, LLC	10/20/2023	OTHER PROGRAM AREA, TWO #10 New York State Feasibi	923,000
	1/23/2024	Hydrogen Innovation, TWO 6 NYS Hydro Strategy Study	60,000
	2/21/2024	ENERGY ANALYSIS, TWO 1 - 100% Carbon-free Power	200,000
	3/13/2024	Electric Vehicles - Innovation, TWO 11 EVSE Modeling to 2030	313,300
Alliance to Save Energy	1/26/2024	Prof & Expert Engagement, 2024 Board of Director Dues	50,000
Altanova LLC	12/13/2023	Green CHIPS	271,825
Alternative Carbon Energy Systems Inc	10/12/2023	NYCH: Talent Ppln:CE and OJT, OJT	10,080
	1/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,640
Alternative Power Solutions of NY, LLC	10/3/2023	<200KW PV, PON 2112 NY SUN	8,600
AltPOWER, Inc.	12/7/2023	>200KW PV, PON 2112 NY SUN	28,975
Alturus Solar, LLC	2/12/2024	>200KW PV, NY Sun	1,299,316
		NY Sun	812,073
		NY-SUN, NY Sun	454,761
Amazon Capital Servies, Inc.	2/22/2024	Consumer Ed and Market Support, Amazon Connect SFR Call ..	12,000
AMERESCO, Inc.	10/17/2023	<200KW PV, NY-Sun	1,233,064
	10/20/2023	<200KW PV, NY-Sun	546,110
	12/14/2023	>200KW PV, NY Sun	457,250
		NY Sun	285,781
	1/5/2024	<200KW PV, NY-Sun	782,694
	2/2/2024	<200KW PV, NY-Sun	291,696
Amergy Solar Inc.	1/30/2024	<200KW PV, PON 2112 NY SUN	5,544
	2/20/2024	>200KW PV, PON 2112 NY SUN	9,625

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Amergy Solar Inc.	3/1/2024	>200KW PV, PON 2112 NY SUN	5,390
	3/26/2024	<200KW PV, PON 2112 NY SUN	6,468
American Clean Power Association	3/5/2024	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ame..	75,000
American Institute of Chemical Enginee..	2/13/2024	Hydrogen Innovation, Center for Hydrogen Safety	25,000
American Society of Heating,Refrigeratin	11/8/2023	Code to Zero, Decarb Conference 2024	25,000
		Empire Building Challenge, Decarb Conference 2024	25,000
		Low Carbon Tech Demos, Decarb Conference 2024	50,000
		New Construction Housing, Decarb Conference 2024	25,000
		RTEM and Tenants, Decarb Conference 2024	25,000
		Technical Services, Decarb Conference 2024	50,000
AMP US HoldCo Inc.	12/22/2023	>200KW PV, NY Sun	1,500,000
		NY Sun	937,500
		NY-SUN, NY Sun	525,000
Ampersand Electric	11/21/2023	OJT	7,680
AMS Construction Corp	1/4/2024	<200KW PV, NY-Sun	33,120
		>200KW PV, NY-Sun	55,200
	1/19/2024	<200KW PV, NY-Sun	68,544
		>200KW PV, NY-Sun	114,240
Antares Group, Inc.	10/19/2023	Technical Services, FT14915 - Buffalo Zoo	54,354
	11/29/2023	CLEAN TRANSPORTATION, CGSI-78E - Sandy Creek SD	31,450
		CLEAN TRANSPORTATION, CGSI-79E - Sherman CSD	21,266
		CLEAN TRANSPORTATION, CGSI-80E - Randolph CSD	25,454
		K-12 SCHOOLS, CGSI-78E - Sandy Creek SD	75,961
		K-12 SCHOOLS, CGSI-79E - Sherman CSD	59,974
		K-12 SCHOOLS, CGSI-80E - Randolph CSD	77,649
	12/11/2023	REC:CES REC System Dev Costs, TWO for 2 ADG Projects RF..	2,240
	2/22/2024	K-12 SCHOOLS, CGSI-85E - Wayland - Cohocton	85,500
	2/23/2024	Electric Vehicles - Innovation, CGSI-84E - Ticonderoga CSD	29,849
K-12 SCHOOLS, CGSI-84E - Ticonderoga CSD		81,798	
Aon Risk Consultants, Inc.	12/5/2023	Risk consulting for e2i	7,000
	3/26/2024	REC4:CES REC4 Tech Support, Tier 4 Insurance Support - Aon	30,000
Apex Energy Tek LLC	10/26/2023	<200KW PV, PON 2112 NY SUN	7,900
	12/8/2023	<200KW PV, PON 2112 NY SUN	12
Apprise, Incorporated	12/14/2023	Eval MCDC: Low Inc Engy Bill, TWO 4 - LIEBUS	105,400
AR NY CDG 001 LLC	2/7/2024	>200KW PV, NY Sun	350,298
		NY Sun	875,745
Arcadia Power, Inc	12/7/2023	Real Time Enrgy Management, RTEM Data Warehouse Dev	46,195
Arcadis of New York, Inc.	10/30/2023	New Construction Housing, SA.039_TWO #2_New Con_PM	16,000
		New Construction Housing, SA.039_TWO #3_New Con_PM	13,000
		New Construction- Commercial, SA.039_TWO #2_New Con_PM	8,000
		New Construction- Commercial, SA.039_TWO #3_New Con_PM	6,500
		Single Family New Construction, SA.039_TWO #2_New Con_PM	8,000
		Single Family New Construction, SA.039_TWO #3_New Con_PM	6,500
	11/13/2023	Technical Services, On-farm Pyrolysis of Dairy	8,500
	12/7/2023	Technical Services, AEAP 1636 - Echo Farm	5,975
Archimaera Architecture PC	10/13/2023	Buildings of Excellence, BoE Rnd. 3 DTL Cont.	150,000
Arinna Ventures, LLC	11/20/2023	>200KW PV, NY Sun	146,984
		NY Sun	374,810
		NY-SUN, NY Sun	213,127
ASB Allegiance Investments LLC	3/7/2024	Technical Services, FT15105 - 625 Broadway Venture	16,880
Assembly OSM, Inc.	11/3/2023	Natural Carbon Solutions, A1 - Building Challenge	2,281,993
Association for Energy Affordability, In	10/9/2023	Workforce Industry Partnership, PON 3715 (R15) BOM	191,175
	10/11/2023	Tech Assistanc Multifamily LMI, FT14909 - Brighton - 3161	17,224
	11/1/2023	Low Carbon Tech Demos, Low Carbon Pathways	444,600
	11/20/2023	Tech Assistanc Multifamily LMI, FT14996 - HPHD - 663-67 - FTC	11,050
		Tech Assistanc Multifamily LMI, FT15013 - Hunts Point Housing	10,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Association for Energy Affordability, In	12/4/2023	Tech Assistanc Multifamily LMI, FT15024 - Westbeth Corp Hous..	25,811
	12/14/2023	Tech Assistanc Multifamily LMI, FT14947 -Palace HDFC -537W..	9,975
	12/15/2023	Tech Assistanc Multifamily LMI, FT15017 - Hunts Point Housing	8,000
		Tech Assistanc Multifamily LMI, FT15018 - Hunts Point Housing	8,000
	12/18/2023	Tech Assistanc Multifamily LMI, FT15014 - Hunts Point Housing	10,000
	12/27/2023	Tech Assistanc Multifamily LMI, FT15069 - 1220 Seneca - FTC	9,500
	12/28/2023	Tech Assistanc Multifamily LMI, FT14914 - 2183-93 Adam Clayt..	12,023
	1/16/2024	Tech Assistanc Multifamily LMI, FT15019 - Hunts Point Housing	8,000
		Tech Assistanc Multifamily LMI, FT15059	6,800
	1/24/2024	Tech Assistanc Multifamily LMI, FT14911 - Echo Apt. -1050	12,788
2/13/2024	Tech Assistanc Multifamily LMI, FT15020 - Hunts Pont Housing	8,000	
Association of Energy Engineers	12/15/2023	Tech Assistanc Multifamily LMI, FT15058 - 737 Hunts - FTC	8,000
Atlas Public Policy	10/11/2023	Electric Vehicles - Innovation, TWO No. 1 EvaluateNY	399,620
Attom Data Solutions, LLC	3/1/2024	Eval MCDC Cross Cutting, MF Building Data Renewal	15,000
Bard College	2/27/2024	New Construction- Commercial, Commercial NCP 2022	239,320
Barton Solar Farm LLC	11/24/2023	NY Sun	819,000
BDO USA LLP	10/10/2023	Background Investigation Servi	6,000
	11/1/2023	Background Investigation Servi	6,000
	11/14/2023	Background Investigation Servi	6,000
	1/22/2024	Background Investigation Servi	1,500
	1/25/2024	Background Investigation Servi	7,400
	1/30/2024	Background Investigation Servi	6,700
Beacon Communities Services LLC	2/14/2024	Tech Assistanc Multifamily LMI, FT14974 - Beacon Communities	9,000
Bedford 2030	3/21/2024	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Lizette De Alem	40,000
Bergmann Associates, Architects,	10/5/2023	Tech Assistanc Multifamily LMI, Program Support_QAQC	23,750
		Technical Services, Program Support_QAQC	23,750
	10/31/2023	Tech Assistanc Multifamily LMI, Cross-sector Program Support	123,468
		Technical Services, Cross-sector Program Support	123,468
	3/11/2024	Tech Assistanc Multifamily LMI, REQ 5288 - Bergmann Cross-P..	60,204
		Technical Services, REQ 5288 - Bergmann Cross-Prog	14,796
Bernstein Management Corp	10/4/2023	Technical Services, FT14678 - Bernstein RealEstate	5,225
		Technical Services, FT14679 - Bernstein RealEstate	5,225
Best Energy Power	10/31/2023	>200KW PV, PON 2112 NY SUN	153,200
	11/10/2023	>200KW PV, NY-Sun	62,775
		>200KW PV, PON 2112 NY SUN	189,720
		NY-SUN, NY-Sun	12,555
	11/22/2023	>200KW PV, PON 2112 NY SUN	360
	12/1/2023	>200KW PV, NY-Sun	26,325
		NY-SUN, NY-Sun	5,265
	12/28/2023	>200KW PV, PON 2112 NY SUN	36,450
	12/29/2023	<200KW PV, NY-Sun	160
		>200KW PV, NY-Sun	480
	2/7/2024	<200KW PV, NY-Sun	98
		>200KW PV, NY-Sun	294
	2/13/2024	>200KW PV, PON 2112 NY SUN	122,310
	3/5/2024	>200KW PV, NY-Sun	222,345
>200KW PV, PON 2112 NY SUN		34,920	
	NY-SUN, NY-Sun	44,469	
Bettergy Corporation	2/13/2024	Talent Pipeline:CE and OJT, PON 4772 R3 Alex Fernadez	40,000
BioDiversity Research Institute	10/31/2023	OREC: Technical Support, OSW-mediated Benthic Changes	499,203
	12/20/2023	OREC: Technical Support, TWO 1 - Offshore Wind E-TWG	1,500,000
Bliss Solar, LLC	10/17/2023	>200KW PV, PON 2112 NY SUN	66,420
	12/27/2023	>200KW PV, NY-Sun	190,960
		>200KW PV, PON 2112 NY SUN	122,650
		NY-SUN, NY-Sun	47,740
	2/16/2024	>200KW PV, PON 2112 NY SUN	79,920

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bliss Solar, LLC	2/20/2024	>200KW PV, PON 2112 NY SUN	66,960
BlocPower LLC	11/27/2023	NYCH: Innovation, Buildings Innovations	283,807
Bloomberg Finance LP	10/23/2023	NEW YORK GREEN BANK, Bloomberg Datafeed Access	60,000
	11/24/2023	REC:CES REC System Dev Costs, Bloomberg Datafeed Access	2,411
	2/9/2024	NY-SUN, '24 Bloomberg Anywhere	24,130
	2/14/2024	NY-SUN, Bloomberg Datafeed DPS Staff	27,314
	2/26/2024	REC:CES REC System Dev Costs, Bloomberg Datafeed Access	26,758
	3/15/2024	ENERGY ANALYSIS, Bloomberg Datafeed Access	26,248
Bond, Schoeneck & King, PLLC	10/24/2023	NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	25,000
	1/4/2024	NYSERDA ADMINISTRATION, TWO 14 - DHR Response	15,000
	3/7/2024	NYSERDA ADMINISTRATION, TWO 15 - Antidiscrimination	5,000
Bonded Energy Solutions Corp.	10/13/2023	NYCH: Talent Ppln:CE and OJT, OJT	12,240
		OJT	38,400
	11/2/2023	OJT	15,360
Booz Allen Hamilton, Inc.	3/11/2024	Building Envelope Systems, TWO 18 - CEF 2.0 Petition	100,000
		Cleantech Ignition, TWO 18 - CEF 2.0 Petition	45,000
		Energy Storage Tech/Prod Dev, TWO 18 - CEF 2.0 Petition	100,000
		Future Grid Perf. Challenges, TWO 18 - CEF 2.0 Petition	100,000
		Hydrogen Innovation, TWO 18 - CEF 2.0 Petition	100,000
Borrego Energy Holdings, LLC	1/10/2024	Rmve Barriers Dist Enrgy Storg, Energy Storage +CommunityS..	96,598
Brattle Group Inc.	12/19/2023	REC:CES REC System Dev Costs, Transmission Services-on-D..	445,000
	2/1/2024	ENERGY ANALYSIS, TWO 2 - Gas Util Planning Supp	199,600
	2/13/2024	Mkt Char: Tech Assist, TWO 3 -Prod Cost Modeling Eval	100,000
Breathe Easy of CNY Inc.	2/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
BREIT Operating Partnership L.P.	3/21/2024	NYCH: Technical Assistance, FT15000 - Beam Living	54,675
Bright Power, Inc.	10/3/2023	Tech Assistanc Multifamily LMI, FT14791 -SEBCO Developmen..	6,950
		Technical Services, FT14921 - 55 Hudson - FTC	15,000
	10/5/2023	Technical Services, FT14653 - 139 East 94 - FTC	12,000
		Technical Services, FT14707 Washington Plaza - FTC	24,000
		Technical Services, FT14826 - 71 Ocean Parkway	13,500
	10/6/2023	Technical Services, FT14716 - 120 Greenwich - FTC	16,500
	10/11/2023	Technical Services, FT14805 - 530 Park Ave - FTC	20,250
	10/13/2023	Technical Services, FT14907 - RM - 400 East 84	22,500
		Technical Services, FT14922 - 7259-7261 Shore	16,500
	10/19/2023	Technical Services, FT14917 - 345 Montgomery - FTC	14,250
	10/25/2023	Technical Services, FT14991 - Bonafide Estates	11,750
	10/27/2023	Tech Assistanc Multifamily LMI, FT14814 - Acacia Network - FTC	8,150
		Technical Services, FT14946 - 444 Owners -444 E 52	10,000
	11/1/2023	Technical Services, FT14948 -93 Worth Street Condo	22,500
	11/2/2023	Tech Assistanc Multifamily LMI, FT14924 - Colony Manor Assoc	19,500
		Tech Assistanc Multifamily LMI, FT14928 - OUB Housing - 370	11,550
		Technical Services, FT14956 - AKAM - 263 9	18,000
		Technical Services, FT14963 - AKAM - 124 East 79	15,000
	11/13/2023	Tech Assistanc Multifamily LMI, FT14861- SEBCO Developmen..	8,600
	11/16/2023	Tech Assistanc Multifamily LMI, FT14860 -SEBCO Developmen..	8,750
		Technical Services, FT14927 - DSJ - 657 E 26	13,500
		Technical Services, FT14976-Avalon 100 Willoughby	45,000
		Technical Services, FT15005 - NBM - 80 Winthrop	15,000
	11/20/2023	Technical Services, FT14990 - Hoffman - 145 E 84	18,000
		Technical Services, FT14992 - 320 West 30	10,000
		Technical Services, FT15008 - Argo Corp. - FTC	21,000
		Technical Services, FT15015 - Argo Corp - 304 W	10,000
	11/22/2023	Tech Assistanc Multifamily LMI, FT14859-SEBCO Development..	8,150
	11/28/2023	Tech Assistanc Multifamily LMI, FT15016 - Fred Doug 117 - 279	21,000
	12/1/2023	Technical Services, FT15068-245 W 104 Street Housi	19,500
	12/4/2023	Tech Assistanc Multifamily LMI, FT14975 - 212 S Oxford	19,500

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	12/4/2023	Technical Services, FT14854 - Orsid Realty	19,500
	12/5/2023	Technical Services, FT15048 - New Bedford Manage	12,000
	12/7/2023	Tech Assistanc Multifamily LMI, FT14703 - 223-225 East 4 - FTC	10,000
		Tech Assistanc Multifamily LMI, FT14792 -SEBCO Developmen..	7,050
		Technical Services, FT15009 - Argo - 160 Henry	10,000
		Technical Services, FT15010 - Orsid Realty - 250 W	12,750
	12/8/2023	Technical Services, FT15091 - Related Retail Hub	12,000
	12/11/2023	Technical Services, FT15050 - Matthew Adam Prop	21,000
	12/14/2023	Tech Assistanc Multifamily LMI, FT14667 - 1168 Stratford - FTC	7,650
		Technical Services, FT15057 - 445 Lafayette - FTC	24,000
	12/15/2023	Technical Services, FT15056 - New York Real Estate	18,000
	12/22/2023	Technical Services, FT15075 - New Bedford Manage	10,000
	12/27/2023	Technical Services, FT14926 - Robert E. Hill	12,000
		Technical Services, FT15100 - Knolls Cooperative	27,000
	1/4/2024	Technical Services, FT15139 - Related - 1 Union Sq	26,250
	1/8/2024	Technical Services, FT15011 - Charlton Tenants	10,500
		Technical Services, FT15051 - 380 Riverside Tenant	24,000
	1/16/2024	Tech Assistanc Multifamily LMI, FT15118 - Related - 500 West	33,000
		Technical Services, FT15045 - Solstice Residential	10,000
		Technical Services, FT15053 - Related Companies	40,500
		Technical Services, FT15142 Argo - 115 Willow	10,000
	1/19/2024	Tech Assistanc Multifamily LMI, FT15074 - 1215 Avenue O - FTC	8,850
		Tech Assistanc Multifamily LMI, FT15076 - 415 Bleecker - FTC	9,400
		Tech Assistanc Multifamily LMI, FT15144 - Catholic - 72 Lewis	6,500
	1/24/2024	Tech Assistanc Multifamily LMI, FT15083 - 918 Kent - FTC	7,200
	1/25/2024	Tech Assistanc Multifamily LMI, FT15029 - The Hudson Compa..	7,850
		Tech Assistanc Multifamily LMI, FT15073 - 4112 Hamilton - FTC	8,500
		Tech Assistanc Multifamily LMI, FT15085 - 41 1 - FTC	8,300
	1/29/2024	Technical Services, FT15066 - 450 West 17 - FTC	39,750
		Technical Services, FT15103 - Akam - 112 West 72	12,000
		Technical Services, FT15185 100 Park Terrace West	14,000
	1/31/2024	Technical Services, FT15123 - Akam - 205 E 59	21,000
		Technical Services, FT15136 - Beverly House - 84	21,000
		Technical Services, FT15164 230 Apartments Corp	18,750
		Technical Services, FT15169 Weber Realty - 414 W	10,000
	2/2/2024	Technical Services, FT15160 - Acadia Realty - 640	12,000
		Technical Services, FT15165 Blue Woods Management	10,000
		Technical Services, FT15186 Elbern Apartment - 36	12,600
		Technical Services, FT15194 Bay Terrace Section VI	21,000
	2/6/2024	Tech Assistanc Multifamily LMI, FT15184 Diego Beekman Mutual	12,481
		Technical Services, FT15028 - 761-779 Seventh Ave	37,500
	2/7/2024	Tech Assistanc Multifamily LMI, FT15084 - 105-20 Liver - FTC	7,350
	2/8/2024	Tech Assistanc Multifamily LMI, FT15107 - The Times Square	12,500
		Technical Services, FT15141 - One Lincoln Plaza	40,500
		Technical Services, FT17035 Murray Hill East Suite	10,500
	2/9/2024	Tech Assistanc Multifamily LMI, FT15043 - QFC Owner - 153-3..	27,000
		Technical Services, FT14867 - 24535 Owners Corp	15,000
		Technical Services, FT15138 - 300 West 53rd Condo	18,000
	2/13/2024	Tech Assistanc Multifamily LMI, FT15106 - Mohawk Apartments	16,500
		Tech Assistanc Multifamily LMI, FT17043 - 1011 Washington Pr..	24,000
	2/22/2024	Technical Services, FT15183 Colonial Park Coop - 6	10,000
		Technical Services, FT17058 ACACIA Network - 308 E	7,050
	2/23/2024	Technical Services, FT15022 - Gramercy 29 APT - 29	12,000
		Technical Services, FT15140 Akam - 130 Bradhurst	21,000
Technical Services, FT17029 140 E 83 St Tenants		7,000	
2/26/2024	Technical Services, FT15135 - Plymouth - 257 West	12,750	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	3/1/2024	Tech Assistanc Multifamily LMI, FT17092 Cumberland Gardens ..	12,600
	3/5/2024	Tech Assistanc Multifamily LMI, FT17062 HAB Clinton Associat..	18,000
		Technical Services, FT15137 Akam - 30 Crosby	13,500
		Technical Services, FT17052 - Audubon Realty	11,750
		Technical Services, FT17084 Arlington Owners - 139	14,000
	3/12/2024	Tech Assistanc Multifamily LMI, FT17041 Grote Street - 2311 So	27,000
		Technical Services, FT15143 - Clermont Armory - 17	16,500
	3/13/2024	Technical Services, FT15124 - 562 Realty CO - 562	14,000
	3/20/2024	NYCH: Technical Assistance, FT15127 - Allied - 170 East	36,000
		Technical Services, FT15093 - Solstice Residential	22,500
3/21/2024	Tech Assistanc Multifamily LMI, FT15166 Riverway Apartments	16,500	
	Technical Services, FT15078 - 99 commercial - FTC	12,000	
	Technical Services, FT17101 Beverly Apartment Corp	9,000	
3/26/2024	Tech Assistanc Multifamily LMI, FT17093 Catholic Charities - 5	19,500	
Broadwall Management Corp.	10/26/2023	Technical Services, OsEM75-C -Broadwall Management	45,870
Brooklyn Solar Partners LLC	10/12/2023	>200KW PV, PON 2112 NY SUN	21,600
Brooklyn SolarWorks LLC	10/10/2023	>200KW PV, PON 2112 NY SUN	24,735
	10/20/2023	>200KW PV, PON 2112 NY SUN	13,580
	11/2/2023	>200KW PV, PON 2112 NY SUN	11,745
	12/7/2023	>200KW PV, PON 2112 NY SUN	48,200
	12/8/2023	>200KW PV, PON 2112 NY SUN	8,505
	1/18/2024	>200KW PV, PON 2112 NY SUN	5,265
	1/19/2024	>200KW PV, PON 2112 NY SUN	35,535
	2/2/2024	>200KW PV, PON 2112 NY SUN	22,956
	2/6/2024	>200KW PV, PON 2112 NY SUN	10,476
	3/6/2024	>200KW PV, PON 2112 NY SUN	14,450
	3/22/2024	>200KW PV, PON 2112 NY SUN	18,915
	3/26/2024	>200KW PV, PON 2112 NY SUN	6,885
	3/27/2024	>200KW PV, PON 2112 NY SUN	19,400
	Buckeye Terminals, LLC	11/29/2023	FUEL NY, Upstate NY Strategic Fuels Res
Buffalo Solar Solutions Inc	10/16/2023	<200KW PV, PON 2112 NY SUN	11,138
	10/18/2023	<200KW PV, PON 2112 NY SUN	15,520
	12/13/2023	<200KW PV, PON 2112 NY SUN	14,615
	3/1/2024	<200KW PV, NY-Sun	207,113
	3/13/2024	<200KW PV, PON 2112 NY SUN	21,583
	3/21/2024	Talent Pipeline:CE and OJT, OJT	23,040
Buffalo Vineyard	2/7/2024	Talent Pipeline:CE and OJT, PON 4772 R3 Mercy Rebecca	40,000
Burns Engineering, PC	3/7/2024	Tenant Energy Management, HeatRecC2_Burns_StJohnsUni	78,094
Buro Happold Consulting Engineers, P.C.	10/19/2023	Technical Services, FT14894 - ARE - East River	322,156
	2/27/2024	New Construction- Commercial, Commercial NCP 2022	38,900
Business Network for Maryland Offshore W	12/7/2023	OREC: Technical Support, OSW Ready Virtual Trainings	40,000
	3/5/2024	2024 BNOW Membership	7,550
Busti Solar Project LLC	3/8/2024	>200KW PV, NY Sun	305,748
		NY Sun	764,370
BVG Associates LLC	1/2/2024	OREC: Technical Support, BVG TWO 5 IE Mike Blanch_OSW20	85,000
	1/16/2024	REC:CES REC System Dev Costs, RESRFP23-1 TEP IE - TW..	40,500
BW Research Partnership	11/21/2023	ENERGY ANALYSIS, TWO #3 CE Industry Report	345,000
		TWO #3 CE Industry Report	53,000
	12/6/2023	NYS Clean Energy Transition, Economic Impact Analysis	49,300
	3/20/2024	NYCH: LMI, Economic Impact Analysis	49,300
BWC Basset Brook, LLC	11/21/2023	>200KW PV, NY Sun	209,986
		NY Sun	524,965
		NY-SUN, NY Sun	293,980
BWC Rexmere Lakes, LLC	11/21/2023	>200KW PV, NY Sun	350,437
		NY Sun	876,090
		NY-SUN, NY Sun	490,610

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
C & B Mechanical	10/13/2023	OJT	11,789
C Hazard Consulting LLC	2/22/2024	Consumer Ed and Market Support, SFR market engagement	100,000
		Market Support Tools &Activity, SFR market engagement	150,000
		SFR market engagement	350,000
C.J. Brown Energy, P.C.	10/19/2023	K-12 SCHOOLS, FT14933 - Marcus Whitman CSD	28,765
	10/23/2023	CGSI-63E - Bradford CSD - FTC	35,677
		K-12 SCHOOLS, P12GC-86E Northeastern Clinton	23,733
	12/18/2023	Technical Services, AEAP 1608 - Wayne County Eggs	2,997
	2/5/2024	Technical Services, AEAP 1595 - Keems Dairy Farm	5,997
	2/26/2024	K-12 SCHOOLS, FT15129 - York CSD (2)_E - FTC	19,933
3/21/2024	K-12 SCHOOLS, FT17080 Elba CSD (1)_E	14,497	
C.T. Male Associates Engineering,	10/6/2023	SARATOGA TECHNOLOGY & ENERGY PARK, Easement des..	6,800
C&R Housing Inc.	10/12/2023	OJT	15,120
C&S Engineers, Inc.	2/26/2024	FT17073 - North Ready - FTC	15,582
	3/5/2024	Technical Services, FT17004 Town of Claverack - 12	5,000
	3/7/2024	Technical Services, FT17013 The Village of Catskil	5,000
Cadence OneFive Inc.	12/15/2023	Housing Agencies Support, SUPPORT FOR LOCAL LAW 97	250,000
Cameron Engineering & Associates LLP	11/10/2023	Technical Services, FT15032 - Sweet Sams Baking Co	20,000
Capital District Regional Planning Comm.	3/26/2024	CI Engy Siting & Soft Cost Red, Clean Energy Communities	330,000
		Clean Energy Communities, Clean Energy Communities	2,000,000
Carahsoft Technology Corporation	10/11/2023	NYSERDA ADMINISTRATION, Salesforce Licensing 2024	1,879,762
	11/14/2023	REC:CES REC System Dev Costs, Salesforce Licensing 2024	24,282
	2/2/2024	Salesforce licenses CLEAResult	16,801
	2/29/2024	NYSERDA ADMINISTRATION, UiPath Software (2024-2025)	100,352
Carrowmoor Solar, LLC	12/22/2023	>200KW PV, NY Sun	351,000
		NY Sun	877,500
		NY-SUN, NY Sun	491,400
Carter Ledyard & Milburn LLP	10/23/2023	OREC: Technical Support, TWO#9 Outside Counsel review	50,000
	11/21/2023	NYSERDA ADMINISTRATION, TWO 7 - Board Liability	2,500
	3/1/2024	OREC: Technical Support, TWO 3 - OSW, NEPA, SEQRA	20,000
	3/27/2024	BR: Program Implementation, TWO 8 - BR Public Lands	15,000
Catalyze Holdings, LLC	10/23/2023	>200KW PV, NY Sun	318,709
		NY-SUN, NY Sun	446,191
	12/14/2023	>200KW PV, NY Sun	302,562
	12/22/2023	>200KW PV, NY Sun	372,762
Catholic Health System of Long Island In	11/20/2023	CNCED-2022 - Catholic Health	405,684
CDATA SOFTWARE, INC.	10/27/2023	NYSERDA ADMINISTRATION, DBAmp Enterprise Edition 1yr	12,739
CDG Huron Solar 2, LLC	11/28/2023	>200KW PV, NY Sun	145,673
		NY Sun	356,647
CEC Stuyvesant Cove, Inc.	1/22/2024	NY-SUN, HPD Technical Assistance	573,260
Center for Economic Growth	3/20/2024	OREC: Technical Support, IPF 2024 NY Pavilion	45,020
Center for Sustainable Energy	11/28/2023	TWO #3 - School Bus Incentive	40,000
	11/30/2023	CLEAN TRANSPORTATION, TWO #4 - Charge Ready	50,000
	12/4/2023	CLEAN TRANSPORTATION, TWO #5 - Truck Voucher	415,000
	12/5/2023	>200KW PV, TWO #2 - NY-Sun Shared Service	1,472,167
		LMI Community Solar, TWO #2 - NY-Sun Shared Service	120,000
	12/13/2023	CLEAN TRANSPORTATION, TWO #1 - CSE Drive Clean	1,400,000
	1/22/2024	TWO #3 - School Bus Incentive	1,500,000
	3/26/2024	CLEAN TRANSPORTATION, TWO #4 - Charge Ready	100,000
		EV Charging and Engagement, TWO #4 - Charge Ready	150,000
Centers for Care LLC	11/20/2023	Technical Services, OsEM107-C Centers Business	209,000
Centerville Court LLC	12/7/2023	Tech Assistanc Multifamily LMI, FT14973 - Centerville Court	12,500
Central New York Regional Planning and	3/28/2024	Clean Energy Hub, Regional Clean Energy Hub	305,000
		NYCH: Communities, Regional Clean Energy Hub	250,000
		Translation Services, Regional Clean Energy Hub	50,000
Centrica Business Solution Services Inc	10/12/2023	>200KW PV, NY-Sun	785,655

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Centrica Business Solution Services Inc	10/16/2023	<200KW PV, PON 2112 NY SUN	25,893
CenTrio Energy Syracuse LLC	10/5/2023	NYCH: District, PON 4614 Round 615th Ward	12,000
CHA Consulting Inc.	10/11/2023	Technical Services, FT14919 - MKS Instruments- FTC	16,800
		Technical Services, FT14962 - Thermo Fisher - FTC	12,250
	10/13/2023	Technical Services, FT14960 - Mesa Realty - 15 W	7,543
	11/10/2023	CLEAN TRANSPORTATION, FT14847 - Voorheesville CSD	37,418
	11/28/2023	Technical Services, FT 15006 - Byrne Dairy - FTC	8,850
	12/8/2023	Technical Services, FT15004 - Ithaca College - 953	64,531
	12/18/2023	CI Carbon Challenge, Umbrella Agreement	129,000
		On-Site Energy Manager, Umbrella Agreement	166,000
		Strategic Energy Manager, Umbrella Agreement	129,000
	2/23/2024	FT17023 - Thermo Fisher - IND	13,400
	3/12/2024	NYCH: District, FT17133 - Troy Local Dev Corp	33,111
	3/27/2024	Technical Services, FT17125 Town of Bethlehem - 44	13,935
	CIR ELECTRICAL CONSTRUCTION CORP.	1/4/2024	<200KW PV, PON 2112 NY SUN
2/16/2024		<200KW PV, PON 2112 NY SUN	8,100
3/20/2024		<200KW PV, PON 2112 NY SUN	13,095
Citadel SPV LLC	12/15/2023	Citadel AOE Services Agreement	50,000
City of Geneva	1/26/2024	Clean Energy Communities, Communities & Local Government	10,000
City of Utica	3/28/2024	NYCH: District, PON 4614 - Round 9	500,000
City of Yonkers	3/4/2024	Clean Energy Communities, CEC510637- City of Yonkers	125,000
Clean Power Research	3/27/2024	Electric Vehicles - Innovation, Clean Transportation	50,000
CleanFiber LLC	10/23/2023	OJT	11,360
	10/26/2023	OJT	16,920
	11/20/2023	OJT	5,840
	12/13/2023	OJT	5,680
	12/21/2023	OJT	11,360
	12/28/2023	OJT	5,840
	2/6/2024	OJT	6,400
	2/22/2024	Talent Pipeline:CE and OJT, OJT	14,200
	2/23/2024	OJT	8,640
	3/7/2024	Talent Pipeline:CE and OJT, OJT	8,520
	3/20/2024	Talent Pipeline:CE and OJT, OJT	5,680
CLEAResult Consulting, Inc.	12/20/2023	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Pr..	250,960
		EMPOWER NY, Program Ops & Tech Support SFR	623,040
		Home Perf w Energy Star, Program Ops & Tech Support SFR	935,626
		NENY:CHGE Empower Electric, Program Ops & Tech Support ..	89
		NENY:CHGE Empower Gas, Program Ops & Tech Support SFR	103
		NENY:Con Ed Empower Electric, Program Ops & Tech Support ..	415
		NENY:Con Ed Empower Gas, Program Ops & Tech Support SFR	1,217
		NENY:NIMO Empower Electric, Program Ops & Tech Support S..	738
		NENY:NIMO Empower Gas, Program Ops & Tech Support SFR	98
		NENY:NYSEG Empower Electric, Program Ops & Tech Support..	1,371
		NENY:NYSEG Empower Gas, Program Ops & Tech Support SF..	3,401
		NENY:O&R Empower Electric, Program Ops & Tech Support S..	424
		NENY:O&R Empower Gas, Program Ops & Tech Support SFR	1,113
		NENY:RGE Empower Electric, Program Ops & Tech Support S..	551
		NENY:RGE Empower Gas, Program Ops & Tech Support SFR	1,318
		NYCH: Comfort Home, Program Ops & Tech Support SFR	282,062
		NYCH: Technical Assistance, Program Ops & Tech Support SFR	517,748
Program Ops & Tech Support SFR	13,320,982		
Climate Action Associates LLC	12/19/2023	Clean Energy Communities, Utility Energy Registry - NY	105,000
Climate Solutions Accelerator of the	12/12/2023	Talent Pipeline:CE and OJT, PON 4772 R3 (Paul Henry)	40,000
Clip. Bike Inc	1/16/2024	Talent Pipeline:CE and OJT, Fellow Name: Sorah Park	40,000
Coastal States Stewardship Foundation	1/16/2024	OREC: Technical Support, RWSC Organizing Lead	30,000
Cobble Hill School Condominium	10/26/2023	Technical Services, FT14878 - Cobble Hill - 501	12,926

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Code Green Solutions, Inc.	12/13/2023	Technical Services, FT14983 - L&L Holding Co	41,000
	1/24/2024	Technical Services, FT17027 Trinity Hudson Holding	29,600
		Technical Services, FT17032 - Trinity Hudson	29,600
	1/31/2024	Technical Services, FT17050 Trinity Hudson Holding	29,600
	3/7/2024	Technical Services, FT17077 183 Madison Owners - 1	36,200
Cohen Ventures Inc	12/13/2023	Product Standards, TWO #1 - RFQL 5236	800,000
	1/29/2024	Product Standards, TWO No. 2	250,000
Cold Spring Harbor Laboratory	12/6/2023	REV CAMPUS CHALLENGE, OsEM117-C - Cold Spring Labs	182,777
Columbia County	2/2/2024	Clean Energy Communities, CEC410027 - Lawn Equip	15,000
Commercial Cleaning NY Sunshine, Inc.	12/18/2023	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC office	83,160
	2/6/2024	NYSERDA ADMINISTRATION, Cleaning 1359 Suite 1540	13,310
Commercial Fisheries Research Found..	10/13/2023	OREC: Technical Support, Mechanical Jigs for OSW Devlp	354,337
Community Power Group, LLC	11/21/2023	>200KW PV, NY Sun	375,001
		NY Sun	937,500
		NY-SUN, NY Sun	524,999
	11/28/2023	>200KW PV, NY Sun	375,001
		NY Sun	937,500
		NY-SUN, NY Sun	524,999
Community Preservation Corporation (..	12/13/2023	NY Green Bank, CPC (RFP 23)	25,000,000
Comrie Enterprises, LLC	1/16/2024	Talent Pipeline:CE and OJT, PON 4772 R3 Evelyn De La Vega	40,000
Consensus Building Institute, Inc.	1/5/2024	OREC: Technical Support, TWO #2 A-TWG Facilitator	334,136
Control Solutions Group, Inc.	2/26/2024	NYSERDA ADMINISTRATION, 1359 Bldg Sys Software HVAC	11,670
Cornell Cooperative Extension - Tompkins	10/2/2023	Clean Energy Hub, Regional Clean Energy Hub	305,000
		NYCH: Communities, Regional Clean Energy Hub	250,000
Cornell Cooperative Extension of Nass..	11/30/2023	Long Island Clean Energy Hub	555,000
Cortlandville PV, LLC	12/15/2023	>200KW PV, NY Sun	368,768
		NY Sun	921,917
		NY-SUN, NY Sun	516,273
Country Suburban Heating & Air Condition	12/27/2023	NYCH: Talent Ppln:CE and OJT, OJT	18,240
	1/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	1/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,497
	3/20/2024	NYCH: Talent Ppln:CE and OJT, OJT	18,000
County Heat & AC, LLC	12/14/2023	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	12/27/2023	NYCH: Talent Ppln:CE and OJT, OJT	5,935
County of Chenango	12/21/2023	Clean Energy Communities, CEC011260 - Electric Lawn Equi	15,000
CP Breesport One LLC	11/28/2023	>200KW PV, NY Sun	367,500
		NY Sun	937,125
		NY-SUN, NY Sun	532,875
CP Tully Five LLC	11/20/2023	>200KW PV, NY Sun	151,164
		NY Sun	377,910
		NY-SUN, NY Sun	211,629
CP Tully Four LLC	10/26/2023	>200KW PV, NY Sun	375,001
		NY Sun	937,500
		NY-SUN, NY Sun	524,999
CPL Architects, Engineers, Landscape	10/19/2023	CLEAN TRANSPORTATION, CGSI-65CT - Brocton CSD (1)_CT	37,525
		Electric Vehicles - Innovation, CGSI-33 -Silver Creek CSD -PON	40,820
		Electric Vehicles - Innovation, P12GC-92_CT - Allegany - PON	22,524
		Electric Vehicles - Innovation, P12GC-101 Keshequa CSD(1)_E	30,593
	10/23/2023	Electric Vehicles - Innovation, P12GC-103CT -Wheelerville- PON	22,524
	11/29/2023	CLEAN TRANSPORTATION, CGSI-67CT - Bradford CSD (1)	37,525
	12/21/2023	Electric Vehicles - Innovation, FT14767 - Wheatland Chili CSD	26,265
	2/23/2024	CLEAN TRANSPORTATION, CGSI-72_CT - Fillmore CSD	42,490
3/25/2024	CGSI-95 - Salamanca City CSD	55,000	
Crossfield Home Energy Solutions	11/20/2023	OJT	9,600
Curtis + Ginsberg Architects LLP	2/5/2024	Buildings of Excellence, BoE Rnd. 3 DTL Cont.	150,000
Cutone & Company Consultants, LLC	3/25/2024	Technical Services, OsEM124-C - Columbia REIT	200,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
CVENT, Inc.	10/13/2023	NYSERDA ADMINISTRATION, Event Management/Virtual Event	5,669
Cycle Architecture PLLC	3/20/2024	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 (Samuel Akogun)	40,000
Cycle Retrotech LLC	3/13/2024	LMI Multifamily Demos, Syracuse Housing Authority	100,000
Dailey Electric Inc	11/9/2023	NYCH: Talent Ppln:CE and OJT, OJT	9,120
	2/22/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,120
	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,120
Dandelion Energy Inc	1/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	2/12/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	33,840
	3/20/2024	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Daniel Rice Engineering, D.P.C.	10/12/2023	Technical Services, FT14916 - 800 Owners - FTC	15,000
	3/21/2024	Technical Services, FT17048 Pratt Institute - 200	220,000
Davies Office Refurbishing, Inc.	11/14/2023	Boardroom Tables	1,137
Davis Hill Development, LLC	1/29/2024	>200KW PV, NY Sun	771,036
		NY Sun	481,898
DCF Energy Group, LLC	10/3/2023	<200KW PV, NY-Sun	5,760
	11/2/2023	<200KW PV, PON 2112 NY SUN	6,720
	1/25/2024	<200KW PV, PON 2112 NY SUN	6,480
DealCloud Inc.	10/5/2023	NEW YORK GREEN BANK, DealCloud Licensing	5,871
Delaware River Solar, LLC	11/28/2023	>200KW PV, NY Sun	367,960
		NY-SUN, NY Sun	508,136
	1/16/2024	>200KW PV, NY Sun	164,268
	1/23/2024	>200KW PV, NY Sun	189,540
Dell, Inc.	1/17/2024	NYSERDA ADMINISTRATION, KEMP Enterprise Plus 1yr	5,129
Delta Dental of New York	11/28/2023	NYSERDA ADMINISTRATION, Delta Dental Prem. 2023-24	467,000
	12/4/2023	NYSERDA ADMINISTRATION, Delta Dental Prem. 2022-23	47,086
Dewberry Engineers Inc	12/14/2023	TWO 1 - Climate Risk Assesssme	100,000
Dextall	11/9/2023	NYCH: Innovation, Midrise HVAC - Dextall	181,300
DG New York CS, LLC	11/30/2023	>200KW PV, NY-Sun	375,000
Dimension Energy LLC	12/15/2023	>200KW PV, NY Sun	295,296
		NY Sun	738,237
		NY-SUN, NY Sun	413,413
	12/17/2023	>200KW PV, NY Sun	649,728
		NY Sun	1,624,320
		NY-SUN, NY Sun	909,619
Discover Green Renewable Energy LLC	2/6/2024	<200KW PV, NY-Sun	26,400
		>200KW PV, NY-Sun	44,000
Distributed Solar Development, LLC	1/4/2024	>200KW PV, NY-Sun	479,700
		NY-SUN, NY-Sun	95,940
DNV Energy Insights USA Inc.	10/11/2023	Future Grid Perf. Challenges, Energy Storage Potential Study	397,922
	11/1/2023	ENERGY ANALYSIS, C-PACE Update Assistance	49,950
	12/29/2023	Future Grid Perf. Challenges, Energy Storage Potential Study	500,000
		OREC: Technical Support, TWO#3 Ocean Conditions MP2.0	249,230
	2/12/2024	Industrial Process Effic, TWO # 3 IPE eval	293,156
Dodge Data & Analytics	12/1/2023	ENERGY ANALYSIS, Dodge Dataset Subscription	8,150
DONNELLY & MOORE, Inc	2/1/2024	NYSERDA ADMINISTRATION, TWO 1 Web Content Editor	63,375
Dorado 2022, LLC	1/5/2024	NY-SUN, NY-Sun ICESA	1,499,040
Dream Team Associates LLC	11/10/2023	Technical Services, FT14855 - Tishman Hotel	6,500
DSM Engineering Assoc, P.C.	12/5/2023	Technical Services, FT15041 - Memorial Sloan	23,950
	12/7/2023	Technical Services, FT14918 - 444 East 75th Street	30,731
DTN, LLC	12/12/2023	ENERGY ANALYSIS, Purchase 12-month subscription	27,624
Dual Fuel Corp	11/28/2023	NYCH: Talent Ppln:CE and OJT, OJT	18,000
Dynamo Energy Hub	10/5/2023	OTHER PROGRAM AREA, Dynamo Roundtable Series.	50,000
E Source Companies LLC	3/19/2024	IEDR: Program Manager, IEDR Development	25,124,137
Eastern Research Group, Inc.	11/13/2023	ENERGY ANALYSIS, TWO #2 Coordinator Assessment	412,500
		ENVIRONMENTAL RESEARCH, TWO #2 Coordinator Assess..	412,500

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Eastern Research Group, Inc.	12/20/2023	ENERGY ANALYSIS, TWO #1 CLCPA GHG	49,959
Eastgate Associates LLC	3/20/2024	Tech Assistanc Multifamily LMI, FT17061 - Eastgate Associates	14,625
Ecogy New York IV LLC	1/5/2024	>200KW PV, NY-Sun	38,622
Ecogy Solar LLC	3/6/2024	>200KW PV, NY-Sun	329,184
		NY-SUN, NY-Sun	82,296
ECONcrete Inc	10/13/2023	OREC: Technical Support, Eval of Eco Scour Protection	356,539
Ecority	12/5/2023	Ecority	8,820
Ecosystem Energy Services USA Inc.	3/27/2024	Tenant Energy Management, HeatRec C1_Ecosystem_414e52	11,104
Ecovis Group Inc	1/4/2024	<200KW PV, NY-Sun	69,750
	1/18/2024	<200KW PV, NY-Sun	28,800
	2/16/2024	<200KW PV, NY-Sun	54,900
	2/20/2024	<200KW PV, NY-Sun	128,700
Edison Energy, LLC	11/2/2023	Technical Services, FT14952 - OBH Brookdale	500,000
		Technical Services, FT14953 - OBH Interfaith	200,000
		Technical Services, FT14979 - Verizon - 215 West	84,531
		Technical Services, FT14981 - Verizon - 227 East	72,933
	11/10/2023	Technical Services, FT14954 - OBH Kingsbrook	300,000
	3/7/2024	Technical Services, FT17074 Mount Sinai Health Sys	300,000
Eiger 3970 Consultants Inc.	10/11/2023	<200KW PV, PON 2112 NY SUN	68,607
	10/26/2023	<200KW PV, PON 2112 NY SUN	6,400
	12/8/2023	<200KW PV, NY-Sun	512
		<200KW PV, PON 2112 NY SUN	6,986
	12/13/2023	<200KW PV, PON 2112 NY SUN	11,441
	1/4/2024	<200KW PV, PON 2112 NY SUN	24,250
	1/8/2024	<200KW PV, NY-Sun	262,500
	1/25/2024	<200KW PV, PON 2112 NY SUN	5,000
	2/6/2024	<200KW PV, PON 2112 NY SUN	5,000
Electric Power Research Institute	3/14/2024	ENERGY ANALYSIS, TWO 2 - Zero x 40 Tech Studies	243,000
		OTHER PROGRAM AREA, TWO 2 - Zero x 40 Tech Studies	162,000
ELP Halfmoon Solar LLC	1/29/2024	>200KW PV, NY Sun	307,476
		NY Sun	768,690
		NY-SUN, NY Sun	430,466
Ember Strategies, LLC	2/7/2024	Empire Building Challenge, Support for Cohort 3 EBC	50,000
EMCOR Services Betlem	2/23/2024	Technical Services, FT17059 - BorgWarner -FTC-IND	20,977
EME Consulting Engineering Group, LLC	10/19/2023	Technical Services, FT14940 - Calvary Hospital	90,000
	10/24/2023	Technical Services, SA.084_TWO# 15_MF PM-1	240,759
	10/27/2023	Tech Assistanc Multifamily LMI, FT14994 - Clinton Housing Dev.	21,900
	11/10/2023	Technical Services, FT14757 - United States Army -	27,500
	12/4/2023	Technical Services, FT15002 - Benenson Capital	13,900
	12/11/2023	Technical Services, OSEM116-C - Calvary Hospital	200,000
	12/14/2023	Tech Assistanc Multifamily LMI, FT14877 - Riverbend-2289 Fifth	9,975
	1/4/2024	Technical Services, FT14935 - Manhattan College	125,407
	1/24/2024	Technical Services, FT15027 - 205 West End Condos	24,375
	1/26/2024	Technical Services, FT14958 - Barnard College	17,540
	2/6/2024	Technical Services, OsEM123 - C - Interfaith Med	200,000
	2/22/2024	Technical Services, FT17088 10 Holder Place Apartm	15,840
	2/23/2024	CGSI-88O - NYC DOE 19,24,25,30	569,063
		Technical Services, FT15095 - Pacific Heights	10,000
		Technical Services, FT17075 International House NY	30,275
	3/25/2024	Technical Services, FT17117 NYU Langone Hospitals	60,000
		Technical Services, OsEM127-C - Brookdale Hospital	200,000
Emergent Urban Concepts, LLC	3/12/2024	Empire Building Challenge, EBC Support	125,000
		LMI Multifamily Demos, EBC Support	125,000
Emerson Solar, LLC	2/14/2024	NY Sun	937,500
Emes Solar	10/18/2023	>200KW PV, PON 2112 NY SUN	243,504
	10/19/2023	>200KW PV, NY-Sun	341,226

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Emes Solar	10/19/2023	>200KW PV, PON 2112 NY SUN	43,254
		NY-SUN, NY-Sun	56,871
	10/20/2023	>200KW PV, PON 2112 NY SUN	98,790
	10/24/2023	>200KW PV, PON 2112 NY SUN	269,136
	10/26/2023	<200KW PV, NY-Sun	51,798
		>200KW PV, NY-Sun	155,394
		>200KW PV, PON 2112 NY SUN	256,053
	11/1/2023	>200KW PV, PON 2112 NY SUN	76,896
	11/2/2023	>200KW PV, NY-Sun	115,344
		>200KW PV, PON 2112 NY SUN	170,720
		NY-SUN, NY-Sun	19,224
	11/7/2023	>200KW PV, NY-Sun	253,116
		>200KW PV, PON 2112 NY SUN	115,344
	12/7/2023	>200KW PV, PON 2112 NY SUN	291,564
	12/14/2023	<200KW PV, PON 2112 NY SUN	3,362
	12/28/2023	>200KW PV, PON 2112 NY SUN	74,760
	12/29/2023	<200KW PV, PON 2112 NY SUN	10,086
2/6/2024	>200KW PV, PON 2112 NY SUN	33,950	
Empire Holdco I LLC	2/9/2024	NY Green Bank, Greenwood Sustainable Infrastructure	10,000,000
Empire Solar Solutions LLC	11/22/2023	<200KW PV, PON 2112 NY SUN	5,000
	2/6/2024	<200KW PV, PON 2112 NY SUN	8,064
	2/20/2024	<200KW PV, PON 2112 NY SUN	5,000
	3/19/2024	<200KW PV, PON 2112 NY SUN	5,000
	3/27/2024	<200KW PV, PON 2112 NY SUN	10,000
	3/29/2024	<200KW PV, PON 2112 NY SUN	5,576
Empire State Realty OP, LP	1/4/2024	Tenant Energy Management, HeatRec C2_EmpireState_111W33	80,000
Empire State Realty Trust, Inc.	3/25/2024	NYGB Equity Roundtable	5,646
Employee Leasing of Greater NY	11/21/2023	NYSERDA ADMINISTRATION, TS016_Marketing TWO	106,080
Empower CES, LLC	10/17/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/19/2023	ENERGY STORAGE, PON 2112 NY SUN	12,500
	10/20/2023	ENERGY STORAGE, PON 2112 NY SUN	12,500
	11/1/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/6/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/7/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/9/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/21/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/29/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/7/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/11/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/27/2023	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/4/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/9/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/25/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,720
	2/8/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/1/2024	<200KW PV, PON 2112 NY SUN	14,112
	3/5/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/14/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/22/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
Empower Equity Inc	11/2/2023	OJT	19,618
	12/14/2023	Talent Pipeline:CE and OJT, PON 4772 (Fellow)	40,000
	2/23/2024	Talent Pipeline:CE and OJT, OJT	10,218
		Talent Pipeline:CE and OJT, OJT Sean O'Neill	13,493
Encompass Energy LLC	10/5/2023	New Construction- Commercial, Commercial NCP 2022	24,855
Energists Holdings, LLC	2/5/2024	NYSERDA ADMINISTRATION, Supplemental Rercruting Svcs	200,000
Energy and Environmental Economics Inc.	10/13/2023	REC:CES REC System Dev Costs, Transmission Services on D..	70,000
	10/26/2023	ESTOR: Implementation Support, TWO5 Energy Storage Road..	50,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Energy and Environmental Economics Inc.	11/3/2023	TWO #5 CPRG Support	400,000
	11/13/2023	Hydrogen Innovation, Hydrogen Policy Options in NYS	125,109
	12/19/2023	REC:CES REC System Dev Costs, Transmission Services on D..	300,000
	12/20/2023	NYCH: LMI, TWO 8 -LMI Electrif Cost Model	49,776
	1/23/2024	ENERGY ANALYSIS, TWO#4 Policy Case Review	50,000
	1/29/2024	ENERGY ANALYSIS, TWO#7 Future of Gas Planning	150,000
	1/31/2024	TWO #5 CPRG Support	350,000
	3/6/2024	ENERGY ANALYSIS, TWO #10: E3 Integration Analys	240,000
	3/18/2024	ESTOR: Implementation Support, TWO5 Energy Storage Road..	49,926
Energy Catalyst LLC	2/23/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
Energy EDC Corp.	11/9/2023	Talent Pipeline:CE and OJT, PON 4772 R3 CJF (Anthony Willi	40,000
	2/6/2024	OJT	18,000
Energy Management Solutions, LLC	1/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	3/12/2024	NYCH: Talent Ppln:CE and OJT, OJT	5,760
Energy Savers Inc	11/20/2023	OJT	13,120
	12/13/2023	NYCH: Talent Ppln:CE and OJT, OJT	14,720
	12/18/2023	NYCH: Talent Ppln:CE and OJT, OJT	7,040
	1/30/2024	OJT	6,897
Energy Storage Response Group LLC	1/30/2024	Rmve Barriers Dist Enrgy Storg, TWO #1 Energy Storage	286,000
Energy Tax Savers, Inc.	3/18/2024	NYCH: District, Geothermal Tax Credit Analysis	44,250
Energy Technology Savings, Inc.	11/20/2023	NYCH: Industry Partnerships, PON 3715 (R15) BOM	65,900
	2/29/2024	Workforce Industry Partnership, Operating Energy Efficient	346,150
	3/11/2024	Workforce Industry Partnership, PON 5357	211,400
Enica Engineering, PLLC	10/11/2023	Technical Services, FT14875 - Weill Cornell Med	63,096
	11/8/2023	Workforce Industry Partnership, PON 3715 (R15) BOM	137,695
Ensave, Inc.	1/4/2024	AEAP Implementation Contractor	433,740
		Technical Services, AEAP Implementation Contractor	756,400
Enterprise Community Loan Fund, Inc., ..	12/19/2023	NY Green Bank, ECLF (RFP 23)	25,000,000
Enterprise Training Solutions, Inc.	3/26/2024	NYSERDA ADMINISTRATION, Training	24,950
Environet Systems, LLC	2/23/2024	OJT	15,000
	3/20/2024	Talent Pipeline:CE and OJT, OJT	12,538
Environment & Energy Publishing, LLC	3/8/2024	NYSERDA ADMINISTRATION, 2023-24 Subscription E&E News	800
ePlus inc	10/26/2023	NYSERDA ADMINISTRATION, VMware NSX Load Balancer	18,072
	11/7/2023	NYSERDA ADMINISTRATION, HORIZON AIR HYBRID-MODE	9,871
	12/14/2023	NYSERDA ADMINISTRATION, Extreme Networks Renewal	9,005
	2/2/2024	NYSERDA ADMINISTRATION, nVidia VDI Licensing - 1yr	18,315
Erie Coast Solar, LLC	12/14/2023	>200KW PV, NY Sun	156,600
		NY Sun	391,500
		NY-SUN, NY Sun	219,240
Ernst & Young, LLP	10/4/2023	REC:CES REC System Dev Costs, Ernst & Young LLP Agreem..	25,000
Ethergroup LLC	11/20/2023	OJT	12,320
EVERGREEN ENERGY	12/8/2023	<200KW PV, PON 2112 NY SUN	80,753
F&D Partners	11/20/2023	OJT	11,552
Ferrario Ford Inc	3/12/2024	2024 Dodge Hornet PHEV OGS	35,134
FFP NY LeRoy Project1, LLC	11/21/2023	>200KW PV, NY Sun	360,127
		NY Sun	900,315
		NY-SUN, NY Sun	504,176
FFP NY LeRoy Project2, LLC	11/20/2023	>200KW PV, NY Sun	139,698
		NY Sun	349,245
		NY-SUN, NY Sun	195,577
Ficazzola Consulting, LLC	1/12/2024	>200KW PV, PON 2112 NY SUN	7,275
Finger Lakes Comfort, Inc	3/1/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
		Talent Pipeline:CE and OJT, OJT	14,880
	3/11/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	3/20/2024	NYCH: Talent Ppln:CE and OJT, OJT	13,680

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
FINGER LAKES POWER SYSTEMS LLC	10/6/2023	<200KW PV, PON 2112 NY SUN	5,000
	10/26/2023	<200KW PV, PON 2112 NY SUN	5,000
	12/1/2023	<200KW PV, PON 2112 NY SUN	27,225
	12/15/2023	<200KW PV, PON 2112 NY SUN	5,000
Finlo-BR II LLC	12/15/2023	>200KW PV, NY Sun	262,405
		NY Sun	656,012
		NY-SUN, NY Sun	367,367
	12/17/2023	>200KW PV, NY Sun	374,660
		NY Sun	936,650
		NY-SUN, NY Sun	524,524
Firefly Energy Consulting, LLC	10/3/2023	Prof & Expert Engagement, Supp ClnEnegy Interim Review	45,000
First American Commercial Bancorp, In..	3/28/2024	NY Green Bank, Catalyze CDG	100,000,000
First Colonie Company	11/21/2023	Consumer Ed and Market Support, IRA Stakeholder Meeting	23,408
Fishtech Energy Partners LLC	11/29/2023	Technical Services, FT15039 - RXR Realty - 61 Broa	11,470
	1/16/2024	Technical Services, FT15147 - Milton Harbor - 720	30,000
	1/24/2024	Tenant Energy Management, HeatRec C2_Fishtech_55 Water	74,281
	2/2/2024	Tenant Energy Management, HeatRec C1_Fishtech_530Fifth	39,427
		Tenant Energy Management, HeatRec C1_Fishtech_601W26	39,427
		Tenant Energy Management, HeatRec C1_Fishtech_1285AoA	39,427
	3/1/2024	Technical Services, OsEM128-C - ESRT	200,000
	3/5/2024	Workforce Industry Partnership, Moinian WFDT Group 1 PON 5..	341,448
		Workforce Industry Partnership, Moinian WFDT Group 2 PON 5..	298,292
		Workforce Industry Partnership, RFR WFDT PON 5357	261,488
Flamingos Clean Energy, LLC	3/26/2024	>200KW PV, NY-Sun	10,584
Flooring Environment Inc	11/10/2023	New Carpet in 17CC Boardroom	5,832
Florenton River LLC	10/24/2023	>200KW PV, PON 2112 NY SUN	16,800
	1/8/2024	>200KW PV, PON 2112 NY SUN	20,855
	1/18/2024	>200KW PV, PON 2112 NY SUN	21,340
	1/19/2024	>200KW PV, PON 2112 NY SUN	82,280
	2/2/2024	>200KW PV, PON 2112 NY SUN	72,160
Foam It Insulation, LLC	10/17/2023	OJT	5,120
	11/20/2023	OJT	7,200
	11/21/2023	OJT	21,600
Foley & Lardner LLP	3/11/2024	RFP 12: NYGB Legal Services	27,500
Fordham Hill Owners Corp.	11/2/2023	Technical Services, FT14879 -Fordham 2400 Sedgwick	27,578
		Technical Services, FT14908 - Fordham - 2431 Webb	31,515
Fort Edward Solar Community Solar I, LLC	2/12/2024	>200KW PV, NY Sun	338,148
		NY Sun	845,370
Fourth Coast, Inc.	10/12/2023	<200KW PV, PON 2112 NY SUN	27,335
Fraunhofer USA Inc.	12/4/2023	Building Envelope Systems, Building Envelopes - Fraunhofs	308,225
FreeWire Technologies, Inc.	12/19/2023	CLEAN TRANSPORTATION, FreeWire DCFC Round 3	2,872,450
Friello and Sons Heating and Cooling, In	2/23/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,080
Frontier Communications of New York ,...	10/19/2023	NYSERDA ADMINISTRATION, Frontier Communications WV	8,951
Frontier Energy, Inc.	2/23/2024	Intelligent Buildings, Review/Evaluate PON 3519	49,198
	3/5/2024	CI Engy Siting & Soft Cost Red, Clean Energy Siting	50,000
Fusco Personnel, Inc.	12/7/2023	OREC: Technical Support, TS.007 - LSR_Office Admin	23,538
		REC4:CES REC4 Tech Support, TS.007 - LSR_Office Admin	23,538
		REC:CES REC System Dev Costs, TS.007 - LSR_Office Admin	23,538
Fusion Energy Services LLC	12/7/2023	<200KW PV, PON 2112 NY SUN	7,500
	1/4/2024	<200KW PV, PON 2112 NY SUN	7,500
	2/14/2024	<200KW PV, NY-Sun	7,500
FuzeHub, Inc.	10/5/2023	OTHER PROGRAM AREA, 2023 NYS Summit Sponsorship	15,000
G.R.O. Energy Solutions, LLC	1/16/2024	OJT	6,400
	2/12/2024	OJT	7,040
G&S Operations LLC	2/2/2024	>200KW PV, NY-Sun	1,013,550
		>200KW PV, PON 2112 NY SUN	84,456

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
G&S Operations LLC	2/2/2024	NY-Sun	309,420	
		NY-SUN, NY-Sun	369,420	
	2/20/2024	>200KW PV, NY-Sun	259,840	
		NY-SUN, NY-Sun	64,960	
Gananda Central School District	11/10/2023	Electric Vehicles - Innovation, FT14821 - Gananda CSD (1)CT	48,797	
Geatrain Engineering PLLC	12/28/2023	OJT	12,763	
General Electric International, Inc.	11/22/2023	ENERGY ANALYSIS, Grid Performance Gaps	200,000	
	12/18/2023	REC:CES REC System Dev Costs, Transmission Services on D..	335,429	
Generate C&I Warehouse II, LLC	2/28/2024	>200KW PV, NY Sun	249,912	
		NY Sun	624,780	
Generate Capital Inc.	1/4/2024	>200KW PV, NY-Sun	260,208	
Georgetown University	11/9/2023	Analytical & Tech. Support	10,000	
Germantown Central School	3/5/2024	CLEAN TRANSPORTATION, FT14959 - Germantown CSD (1)	28,125	
Goldman Copeland Associates, P.C.	10/11/2023	Technical Services, FT14951 - SL Green - 215 Park	22,994	
		Technical Services, FT14961 - IBM Research- FTC	48,380	
	10/13/2023	Technical Services, FT14756 - Madison Ave Presbyte	16,985	
	10/25/2023	Technical Services, FT14949 - CBRE - 280 Park	45,971	
	11/7/2023	Technical Services, FT14999 - Omni Berkshire Place	23,476	
	11/16/2023	Technical Services, FT14980 - NYU - 25 Union Sq W.	19,179	
	12/8/2023	Technical Services, FT15079 - Relide Realty	9,472	
	12/13/2023	Technical Services, FT15072 - Lighthouse Guild	14,985	
		Technical Services, FT15126 - Hartz Mountain Ind	8,991	
	1/16/2024	Technical Services, FT17007 The Shubert Organizati	28,000	
		Technical Services, FT17022 JLL - 460 Park	10,980	
	1/24/2024	Technical Services, FT17005 Mega International Com	9,976	
		Technical Services, FT17024 SL Green Management Co	11,997	
		Technical Services, FT17033 Jones Lang LaSalle - 5	15,973	
	2/9/2024	Technical Services, FT15046 - The Anthony Owner	13,649	
	2/23/2024	Technical Services, FT17034 Jones Lang LaSalle - 1	18,974	
	3/21/2024	Technical Services, FT17079 Columbia University	184,954	
	Gree Mechanical Yonkers LLC	12/1/2023	NYCH: Talent Ppln:CE and OJT, OJT	9,600
		3/26/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	Green Home Logic, Inc.	3/26/2024	OJT	7,360
Green Hybrid Energy Solutions Inc.	1/18/2024	>200KW PV, PON 2112 NY SUN	13,095	
	2/19/2024	<200KW PV, PON 2112 NY SUN	10,648	
	2/26/2024	<200KW PV, PON 2112 NY SUN	208	
Green Machine Equipment Inc	3/12/2024	Talent Pipeline:CE and OJT, PON 4772 R3 (Royce Johnson)	40,000	
GreenLogic, LLC	10/12/2023	ENERGY STORAGE, PON 2112 NY SUN	5,700	
	10/31/2023	ENERGY STORAGE, PON 2112 NY SUN	5,700	
	1/10/2024	ENERGY STORAGE, PON 2112 NY SUN	5,700	
Greenstar Home Services	10/23/2023	OJT	16,000	
Greenwood Lake Union Free School Dist	1/26/2024	CLEAN TRANSPORTATION, FT14982 - Greenwood Lake UFSD	30,000	
GridEdge Networks, Inc.	12/13/2023	Future Grid Perf. Challenges, Power Grid Innovation	510,366	
Group-S LLC	10/11/2023	Technical Services, FT14125 - 110 Horatio - FTC	9,500	
		Technical Services, FT14128 - 2 Park - FTC	19,500	
	10/27/2023	Technical Services, FT14886 - Bloomingdales	70,205	
	11/20/2023	Technical Services, FT14937 - Stonehange -920 Park	25,800	
		Technical Services, FT14943 -Trump Palace 200 E 69	52,500	
		Technical Services, FT14966 - Pride - 98 Park	12,375	
	12/5/2023	Technical Services, FT14965 - Isabella Condominium	25,500	
	12/8/2023	Technical Services, FT15071 - Maimonides Medical	140,000	
	12/11/2023	Technical Services, FT15036 - Rockrose Development	28,500	
	12/13/2023	Technical Services, FT14938 -Penny Lane - 215 E 24	27,000	
		Technical Services, FT15094 - BDC 56 - 15 West 56	16,500	
	12/14/2023	REV Campus Challenge, FT15080 - Columbia University	192,282	
		Technical Services, FT15070 - Bobover Yeshiva Bnei	17,500	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Group-S LLC	12/15/2023	Technical Services, FT14988 - Shelbourne Sonesta	11,250	
	12/27/2023	Technical Services, FT14639 - 765 N Broadway - FTC	24,673	
		Technical Services, FT15133 - The Continental	19,500	
	12/28/2023	Technical Services, FT15089 - Benjamin Royal Sones	22,500	
		Technical Services, FT15090 - Fifty Sonesta Select	22,500	
	1/16/2024	Technical Services, FT15130 - Wolcott Hotel	14,500	
	1/24/2024	Technical Services, FT15109 - Orsid Realty - 188 E	43,500	
	1/25/2024	Technical Services, FT14995 - Akam - 392 Central	37,500	
		Technical Services, FT15131 - GFP Real Estate	11,476	
	1/29/2024	Technical Services, FT15116 - Garthchester Realty	73,500	
		Technical Services, FT15150 - Wallack Mgmt - 200 W	40,500	
	1/31/2024	Technical Services, FT15148 - Gramatan - 2630 King	32,500	
	2/2/2024	Low Carbon Tech Demos, Low Carbon Pathways	93,000	
		Technical Services, FT15111 - Century Tower - 2600	45,000	
		Technical Services, FT15114 - Northern Mgmt - 175	49,335	
		Technical Services, FT15117 - Maxwell Kates - 530	55,500	
		Technical Services, FT15119 - 123 Washington Condo	24,500	
		Technical Services, FT15120 - BOTA - 520 East 72	37,500	
		2/6/2024	Technical Services, FT15121 - FirstService - 70-31	22,500
	2/6/2024	Technical Services, FT15156 - 2390 Tiebout Associa	14,250	
		Technical Services, FT15174 Akam - 325 Fifth	40,535	
		Technical Services, FT17025 Akam - 137-139 West 25	10,500	
	2/8/2024	Technical Services, FT14993 - 120 East 79	19,950	
	2/9/2024	Technical Services, FT15112 - Rose Associates - 12	14,250	
	2/22/2024	Technical Services, FT15157 - Anthony Eq - 1818	15,000	
		Technical Services, FT15177 FirstService - 715	17,800	
	2/23/2024	Technical Services, FT15152 - Orsid Realty - 233 E	18,600	
		Technical Services, FT15154 - 24 Fifth Owners - 24	36,120	
		Technical Services, FT15159 - 677 Owners - 677 Wes	19,500	
	2/29/2024	Technical Services, FT14964 - Washington Court	31,500	
	3/1/2024	Technical Services, FT15146 - FirstService - Nethe	42,750	
	3/5/2024	K-12 SCHOOLS, FT15037 - Abraham Joshua Hesch	62,250	
		Technical Services, FT14887 - HSS Properties Corp	22,500	
		Technical Services, FT14888 - HSS Properties Corp	18,500	
		Technical Services, FT15113 Brodsky - 160 West 71	33,746	
		Technical Services, FT17054 HSS Properties Corp	68,500	
	3/7/2024	Technical Services, FT15172 Sweet Sam's Baking Co	10,050	
	3/12/2024	NYCH: Technical Assistance, FT15125 - 20 Broad St - 40 Wal	61,808	
		NYCH: Technical Assistance, FT15155 - ROC - LE Triomphe	40,069	
		Technical Services, FT15163 Akam - 305 East 40	31,485	
		Technical Services, FT15171 281 Edgecome Partners	12,900	
	3/15/2024	Technical Services, FT15178 1120 Park Avenue	30,746	
		Technical Services, FT15192 Broadway 111 Owners	30,746	
	3/18/2024	Technical Services, FT15180 Brown Harris Stevens	30,746	
	3/20/2024	NYCH: Technical Assistance, FT15122 - TF Cornerstone - 201	33,109	
		Technical Services, FT17060 Friedman Management	11,500	
	3/25/2024	Technical Services, FT15190 Orsid Realty - 144 Eas	21,302	
	GSPP 4578 Felton Hill Road East LLC	12/22/2023	>200KW PV, NY Sun	156,130
			NY-SUN, NY Sun	218,582
	GSPP 4578 Felton Hill Road West LLC	12/22/2023	>200KW PV, NY Sun	305,100
			NY-SUN, NY Sun	427,140
	Guidehouse Inc.	12/19/2023	ENERGY ANALYSIS, TWO #3 HFC Mitigation	30,000
		12/29/2023	REV Connect, REV Connect Initiative	1,000,000
3/6/2024		NEW YORK GREEN BANK, TWO #1 - Price Forecast	225,000	
Guth Deconzo Consulting Engineers	11/9/2023	Electric Vehicles - Innovation, FT14699 - North Colonie SD(13)	29,145	
Halcyon Inc.	10/13/2023	NYCH: Talent Ppln:CE and OJT, OJT	31,680	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Halcyon Inc.	10/27/2023	OJT	12,000
	11/9/2023	OJT	9,600
	11/20/2023	NYCH: Talent Ppln:CE and OJT, OJT	33,840
	11/28/2023	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	12/1/2023	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	12/14/2023	OJT	13,200
	2/6/2024	OJT	10,560
	2/12/2024	NYCH: Talent Ppln:CE and OJT, OJT	14,400
Halcyon, Inc.	11/2/2023	<200KW PV, PON 2112 NY SUN	8,256
	1/4/2024	<200KW PV, PON 2112 NY SUN	6,048
	1/8/2024	<200KW PV, PON 2112 NY SUN	5,576
Harris Beach PLLC	11/30/2023	NYSERDA ADMINISTRATION, TWO 5 - Edelweiss Fund	20,000
	1/18/2024	SARATOGA TECHNOLOGY & ENERGY PARK, TWO 1 STEP ..	50,000
Harris Energy Solutions LLC	1/24/2024	Technical Services, OsEM119-C - Kingsbrook	200,000
	3/7/2024	Technical Services, AEAP 1659 - Flowering Sun Farm	6,000
	3/20/2024	Technical Services, AEAP 1665 - Maplewood Farm	5,988
Harvest Power, LLC	10/18/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/29/2023	>200KW PV, PON 2112 NY SUN	12,920
	3/13/2024	<200KW PV, PON 2112 NY SUN	181,511
Hawn Heating & Energy Services LLC	12/21/2023	NYCH: Talent Ppln:CE and OJT, OJT	13,680
	1/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Healthy Home Energy & Consulting, Inc.	10/13/2023	OJT	7,040
	10/26/2023	NYCH: Talent Ppln:CE and OJT, OJT	10,560
Hempitecture Inc.	11/3/2023	Natural Carbon Solutions, A1 - Building Challenge	1,100,000
Henningson, Durham & Richardson PC	10/16/2023	OREC: Technical Support, TWO 4 Master Plan 2.0 Studies	35,018
	12/29/2023	OREC: Technical Support, TWO#7 Ports&Supply Chain only	216,000
		OREC: Technical Support, TWO#8 Empowering Pot MP2.0	150,000
	1/30/2024	Rmve Barriers Dist Enrgy Storg, TWO #2	255,719
	3/19/2024	Rmve Barriers Dist Enrgy Storg, TWO #1	44,281
Hodgson Russ LLP	10/6/2023	Tech Assistanc Multifamily LMI, TWO 6 - Public Benefit Financi	50,000
	11/1/2023	BR: Program Implementation, TWO 7 - BR Procurement/Tax	50,000
		BR: Program Implementation, TWO 8 - Brownfield Tax	50,000
	2/8/2024	OREC: Technical Support, TWO 9 - OSW Litigation	25,000
Holland & Knight LLP	12/20/2023	ZEC:CES ZEC System Dev Costs, TWO 6 - Amendment to ZE..	5,000
	12/26/2023	OREC: Technical Support, TWO 1 - ORECRFP22-1	75,000
	2/8/2024	OREC: Technical Support, TWO 10 - Transmission Planning	50,000
	2/16/2024	OREC: Technical Support, TWO 3 - IRA Tax Advice	75,000
		OREC: Technical Support, TWO 5 - ORECRFP22-1 Reviewer	25,000
		OREC: Technical Support, TWO 6 - Amendment to ZEC Agr.	25,000
		OREC: Technical Support, TWO 7 - OREC Agreement advisin	25,000
		OREC: Technical Support, TWO 9 - ORECRFP23-1 OSW Solici	150,000
Home Performance Coalition, Inc.	10/27/2023	Market Support Tools &Activity, 2024 NY CE for Homes Conf.	100,000
HomeCycle Technologies, Inc.	2/6/2024	REC:CES REC System Dev Costs, RESRFP23-1 TEP IE	40,500
	3/27/2024	BR: Program Implementation, BRRFP23-1 TEP IE Manley	35,800
Housing and Services, Inc.	10/3/2023	Technical Services, FT14556-206 West 118th-PON-MF	11,343
Housing Trust Fund Corporation	12/8/2023	Direct Injection Program, HCR 2021	12,000,000
		HCR Direct Injection, HCR 2021	4,000,000
Housing Visions Unlimited, Inc.	10/4/2023	New Construction Housing, NCP Housing 2022	404,000
Hudson River Renewables	11/22/2023	<200KW PV, PON 2112 NY SUN	8,960
Hyphen Strategies LLC	1/16/2024	WEST VALLEY DEVELOPMENT PROGRAM, WV Strategic Ad..	55,000
Hytech Solar Inc	10/12/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/18/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/26/2023	<200KW PV, PON 2112 NY SUN	5,184
	12/1/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,346
	1/10/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/18/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Hytech Solar Inc	1/24/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/25/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/2/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/6/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/20/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/13/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
IBC Engineering PC	11/7/2023	CGSI-75_E - Jamestown PS	183,699
ICE Data, LP	3/25/2024	ENERGY ANALYSIS, WebICE Renewal 2024-2025	26,224
ICF Incorporated LLC	10/13/2023	ENERGY ANALYSIS, TWO 2 - Embodied Emissions Po	300,000
	12/18/2023	CLEAN TRANSPORTATION, TWO # 10	184,818
		EV Charging and Engagement, TWO # 10	184,818
12/26/2023	CLEAN TRANSPORTATION, TWO 16 RFQL Review	24,981	
	EV Charging and Engagement, TWO 16 RFQL Review	24,981	
ICF Resources, LLC	12/27/2023	ENERGY ANALYSIS, TWO 13 - Support for PAR Dept	100,000
	2/12/2024	Prof & Expert Engagement, TWO 12 - ICF CRB Support	298,877
Illume Advising LLC	10/31/2023	TWO 1 - CJWG Facilitation	200,000
	12/22/2023	EEC Implementation	22,566
		Equitable Engagement, EEC Implementation	837,416
3/5/2024	NYSERDA ADMINISTRATION, Litigation Support	50,000	
Incorporated Village of Oyster Bay Cove	3/20/2024	CLEANER GREENER COMMUNITIES, CEC900538 - LED Ligh..	10,000
Indent Builders Inc	10/31/2023	>200KW PV, PON 2112 NY SUN	17,334
	1/8/2024	<200KW PV, PON 2112 NY SUN	124,281
Independent Energy Efficiency Program,	11/8/2023	Cat C - Demonstrations of Net	500,000
Indotronix International Corporation	2/19/2024	Tech Assistanc Multifamily LMI, SA.007_TWO# 1_EPE_PM-1	472,500
		Technical Services, SA.007_TWO# 1_EPE_PM-1	472,500
Industrial Economics, Incorporated	11/9/2023	Electric Vehicles - Innovation, TWO 6 - NY Trans Prize Eval	100,000
		Eval MDCDC Clean Transportation, TWO 6 - NY Trans Prize Eval	112,389
	11/27/2023	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	35,000
	12/28/2023	CLEAN TRANSPORTATION, TWO 2 New York State Truck - V	100,000
	1/2/2024	REC:CES REC System Dev Costs, TWO #7 LSR Support Inflati..	50,000
2/2/2024	Eval MDCDC: MD&IR Case Studies, TWO 3 - Case Studies	167,964	
INF Associates LLC	11/2/2023	Technical Services, FT14942 - Belmont Metals - FTC	24,928
	11/28/2023	Technical Services, FT14835 - Sage Realty	10,025
	12/28/2023	OJT	14,400
	2/9/2024	Technical Services, FT14832 - Sage Realty	7,588
	3/21/2024	K-12 SCHOOLS, FT17028 Spence School (1)_E	53,132
Infinity Solar Systems, LLC	11/15/2023	>200KW PV, PON 2112 NY SUN	61,500
Inspiration EV, LLC	12/27/2023	NY Green Bank, Inspiration Mobility	8,500,000
Integrated Energy Service Corp	3/12/2024	RTEM and Tenants, IntegratedEnergy-10E53-RTEM+T	251,900
		RTEM and Tenants, IntegratedEnergy-11Mad-RTEM+T	357,973
		RTEM and Tenants, IntegratedEnergy-100chur-RTEM+T	223,350
		RTEM and Tenants, IntegratedEnergy-110Gree-RTEM+T	97,636
		RTEM and Tenants, IntegratedEnergy-125Park-RTEM+T	470,739
		RTEM and Tenants, IntegratedEnergy-420Lex-RTEM+T	271,178
		RTEM and Tenants, IntegratedEnergy-711thir-RTEM+T	70,906
		RTEM and Tenants, IntegratedEnergy-1185AoA-RTEM+T	192,572
	3/13/2024	RTEM and Tenants, IntegratedEnergy-461fift-RTEM+T	78,584
		RTEM and Tenants, IntegratedEnergy-555w57-RTEM+T	82,583
Integrated Staffing Corporation	2/15/2024	RTEM and Tenants, IntegratedEnergy-1350AoA-RTEM+T	129,690
		ESTOR: Implementation Support, SA.002_TWO# 1_SQA_PM1	180,261
		Home Perf w Energy Star, SA.002_TWO# 1_SQA_PM1	77,735
		NYCH: Comfort Home, SA.002_TWO# 1_SQA_PM1	2,549
		Renewable Heat NY, SA.002_TWO# 1_SQA_PM1	7,938
SA.002_TWO# 1_SQA_PM1	92,551		
It's About Time Events LLC	1/8/2024	NYSERDA ADMINISTRATION, LGBTQ+ Inclusivity	84,500
Ithaca College	10/26/2023	Talent Pipeline:CE and OJT, PON 4772 R3 (Annie Mwanza)	40,000

Contracts Executed

Period 10/1/2023 through 3/31/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Ithaca College	11/14/2023	Environmental Research, Methane emissions measurements	38,865
J Synergy Solar LLC	10/5/2023	<200KW PV, NY-Sun	584
	10/16/2023	>200KW PV, PON 2112 NY SUN	3,880
	11/2/2023	<200KW PV, PON 2112 NY SUN	7,300
	12/8/2023	<200KW PV, PON 2112 NY SUN	10,368
	12/29/2023	<200KW PV, PON 2112 NY SUN	1,458
	1/19/2024	>200KW PV, PON 2112 NY SUN	58,095
	1/26/2024	<200KW PV, PON 2112 NY SUN	4,374
Jaros, Baum & Bolles	2/9/2024	Technical Services, FT17071 - FirstService Residen	18,000
	2/13/2024	Technical Services, FT17008 215 West 28th Street -	18,000
	3/5/2024	Empire Building Challenge, Lincoln Square Decarbonization	100,000
	3/7/2024	New Construction- Commercial, Commercial NCP 2022	199,998
JAS Coaching & Training, Inc.	10/23/2023	NYSERDA ADMINISTRATION, People Management Training	175,000
Jaycox Creek Solar 2, LLC	1/23/2024	>200KW PV, NY Sun	229,680
		NY Sun	574,200
JBA Consulting Engineers, Inc.	11/20/2023	CLEAN TRANSPORTATION, CGSI-82CT - Tarrytown PS	41,000
JBI Construction Group	10/19/2023	<200KW PV, NY-Sun	15,552
	10/20/2023	<200KW PV, PON 2112 NY SUN	11,016
	10/24/2023	<200KW PV, PON 2112 NY SUN	20,736
	11/13/2023	<200KW PV, PON 2112 NY SUN	14,256
	1/12/2024	<200KW PV, PON 2112 NY SUN	25,272
	2/6/2024	>200KW PV, PON 2112 NY SUN	12,150
	2/15/2024	>200KW PV, PON 2112 NY SUN	5,400
	2/28/2024	<200KW PV, PON 2112 NY SUN	30,132
		>200KW PV, PON 2112 NY SUN	14,480
	3/8/2024	<200KW PV, PON 2112 NY SUN	11,016
	3/13/2024	<200KW PV, PON 2112 NY SUN	9,180
	3/14/2024	<200KW PV, PON 2112 NY SUN	48,208
	3/25/2024	<200KW PV, PON 2112 NY SUN	6,208
	3/28/2024	<200KW PV, PON 2112 NY SUN	1,712
Jenkins Road Solar, LLC	11/28/2023	>200KW PV, NY Sun	311,750
		NY-SUN, NY Sun	436,450
Joe - Gerry SNA LLC	11/21/2023	Low Carbon Tech Demos, Low Carbon Pathways	232,300
John Betlem Heating & Cooling Inc	12/1/2023	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	1/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	1/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	11,520
Johnson Controls, Inc. (Syracuse)	1/16/2024	K-12 SCHOOLS, FT15132 - Putnam Northern West	108,304
Joy Gree LLC	12/28/2023	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	13,200
JP Bus & Truck Repair LTD	3/27/2024	NYSBIP - NYC SD	399,000
JR & SONS EXCAVATING INC.	10/13/2023	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Mainten..	330,000
Judith Abbott	3/12/2024	Environmental Research, Judy Abbott Science Advisor	35,000
Kaitlin Moody	12/28/2023	NEW YORK GREEN BANK, NYGB Strat & Comms Contractor	20,000
	3/7/2024	NEW YORK GREEN BANK, NYGB Strat & Comms Contractor	145,000
Kamtech Restoration Corp	10/4/2023	<200KW PV, NY-Sun	10,512
	10/11/2023	>200KW PV, PON 2112 NY SUN	23,920
	10/17/2023	>200KW PV, PON 2112 NY SUN	18,080
	10/19/2023	<200KW PV, NY-Sun	14,080
		>200KW PV, PON 2112 NY SUN	21,600
	10/26/2023	<200KW PV, PON 2112 NY SUN	18,048
	11/1/2023	>200KW PV, PON 2112 NY SUN	21,250
	11/2/2023	<200KW PV, PON 2112 NY SUN	9,048
	11/9/2023	<200KW PV, PON 2112 NY SUN	12,556
	12/7/2023	>200KW PV, PON 2112 NY SUN	32,400
	12/8/2023	<200KW PV, PON 2112 NY SUN	35,248
	12/13/2023	<200KW PV, PON 2112 NY SUN	9,280

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kamtech Restoration Corp	12/15/2023	<200KW PV, PON 2112 NY SUN	5,760
	1/4/2024	<200KW PV, PON 2112 NY SUN	13,120
	1/5/2024	>200KW PV, NY-Sun	190,900
		NY-SUN, NY-Sun	38,180
	1/10/2024	<200KW PV, PON 2112 NY SUN	7,040
	2/16/2024	<200KW PV, PON 2112 NY SUN	15,456
		>200KW PV, PON 2112 NY SUN	12,400
	3/1/2024	<200KW PV, PON 2112 NY SUN	5,440
	3/7/2024	<200KW PV, PON 2112 NY SUN	5,120
3/20/2024	<200KW PV, PON 2112 NY SUN	24,128	
Karp Strategies, LLC	1/19/2024	OREC: Technical Support, NYS OSW Training Efforts	15,000
Kasselman Solar LLC	11/1/2023	<200KW PV, PON 2112 NY SUN	8,748
	11/21/2023	<200KW PV, PON 2112 NY SUN	6,419
	11/22/2023	<200KW PV, PON 2112 NY SUN	13,932
	12/1/2023	<200KW PV, PON 2112 NY SUN	7,216
	12/7/2023	<200KW PV, PON 2112 NY SUN	17,719
	12/28/2023	<200KW PV, PON 2112 NY SUN	37,420
	1/25/2024	<200KW PV, PON 2112 NY SUN	5,000
	2/20/2024	<200KW PV, PON 2112 NY SUN	8,500
	3/7/2024	<200KW PV, PON 2112 NY SUN	5,000
	3/21/2024	<200KW PV, PON 2112 NY SUN	7,290
	3/22/2024	<200KW PV, PON 2112 NY SUN	5,000
	3/26/2024	<200KW PV, PON 2112 NY SUN	13,448
Kastle New York, LLC	10/31/2023	NYSERDA ADMINISTRATION, Installation of GB Security Sy	15,651
Kawi Energy Group Corp.	11/9/2023	OJT	15,000
KC Management Holdings LLC	11/9/2023	NYCH: Talent Ppln:CE and OJT, OJT	6,400
	12/14/2023	OJT	6,400
	1/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,800
	1/31/2024	OJT	8,000
	2/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,000
	2/8/2024	NYCH: Talent Ppln:CE and OJT, OJT	24,640
	3/1/2024	NYCH: Talent Ppln:CE and OJT, OJT	16,000
Kearns & West, Inc.	1/25/2024	RTEM and Tenants, TWO # 2	45,500
	2/7/2024	OREC: Technical Support, Facilitation Support LSR-OREC	100,000
	3/21/2024	REC:CES REC System Dev Costs, RESRFP23-1 Bid Facilitatio..	30,000
Kelliher Samets LTD	10/6/2023	New Construction Housing, TWO 16 - Bldgs of Excellence	50,000
	10/10/2023	NYCH: Supply Chain, TWO 3 - Clean Heat Connect	400,000
	10/30/2023	Clean Energy Hub, TWO 36 -Clean Energy Hubs Mktg	100,000
		TWO 36 -Clean Energy Hubs Mktg	500,000
	11/7/2023	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, T..	400,000
		Consumer Ed and Market Support, TWO 18 - Single Family Mktg	2,000,000
		TWO 18 - Single Family Mktg	1,000,000
	11/8/2023	G1022:SEPBIL Industry EcoDev, TWO 37 - EconDev Mktg	500,000
	11/28/2023	TWO 8 - Induction Cooking	472,060
	12/11/2023	Low Carbon Tech Demos, TWO 27 - Low Carbon Pathways	66,100
	1/26/2024	TWO 39 - C&I Spon Content	116,000
	2/6/2024	TWO 7 - NYGB	50,000
	2/20/2024	New Construction Housing, TWO 16 - Bldgs of Excellence	60,000
	3/15/2024	LMI Marketing, TWO 19 - NY Energy Advisor	471,622
		NENY:CHGE Energy Advisor, TWO 19 - NY Energy Advisor	11,981
		NENY:Con Ed Energy Advisor, TWO 19 - NY Energy Advisor	151,754
NENY:KEDLI Energy Advisor, TWO 19 - NY Energy Advisor		33,426	
NENY:KEDNY Energy Advisor, TWO 19 - NY Energy Advisor		39,616	
NENY:LIPA Energy Advisor, TWO 19 - NY Energy Advisor		96,533	
NENY:NFG Energy Advisor, TWO 19 - NY Energy Advisor		15,974	
NENY:NIMO Energy Advisor, TWO 19 - NY Energy Advisor		50,758	

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kelliher Samets LTD	3/15/2024	NYENY:NYSEG Energy Advisor, TWO 19 - NY Energy Advisor	23,961
		NYENY:O&R Energy Advisor, TWO 19 - NY Energy Advisor	7,987
		NYENY:RGE Energy Advisor, TWO 19 - NY Energy Advisor	19,968
Kool-Temp Heating & Cooling	3/7/2024	<200KW PV, PON 2112 NY SUN	5,832
KPMG LLP	12/20/2023	NEW YORK GREEN BANK, NYSEDA Audit Services	10,161
		NYSEDA ADMINISTRATION, NYSEDA Audit Services	2,591
L&S Energy Services, Inc.	10/13/2023	REV Campus Challenge, L&S Program Support	17,500
		Technical Services, L&S Program Support	52,500
	10/31/2023	Tech Assistanc Multifamily LMI, Cross-sector Program Support	123,468
		Technical Services, Cross-sector Program Support	123,468
	12/14/2023	Technical Services, AEAP 1633 - Pitney Meadows	6,000
	1/19/2024	Technical Services, AEAP 1611 - Circle K	3,000
	2/14/2024	Technical Services, AEAP 1650 - Wessels Farm	3,000
LaBella Associates, P.C.	3/20/2024	Technical Services, AEAP 1650 - Wessels Farm	3,000
	10/23/2023	K-12 SCHOOLS, P12GC-53E - Spencer Van-Etten	52,000
	2/22/2024	CLEAN TRANSPORTATION, CGSI-71E - Morrisville-Eaton	11,952
		K-12 SCHOOLS, CGSI-71E - Morrisville-Eaton	32,258
	3/25/2024	NYSEDA ADMINISTRATION, Bldg Condition Assessment 15..	23,200
	3/26/2024	LMI Multifamily Demos, CHARTERED PROPERTIES	100,000
Lake Country Geothermal, Inc.	2/23/2024	NYCH: Talent Ppln:CE and OJT, OJT	30,000
Lake George School District	1/26/2024	CLEAN TRANSPORTATION, FT15030 - Lake George CSD (1)	35,278
Lamico Enterprises, LLC	1/31/2024	OJT	5,760
	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,080
Leatherleaf Solar, LLC	11/21/2023	>200KW PV, NY Sun	325,416
		NY-SUN, NY Sun	455,582
Lemor Development Group, LLC	10/17/2023	New Construction Housing, NCP Housing 2022	292,000
Leonard Bus Sales, Inc.	2/23/2024	NYSBIP - Shenendehowa SD	882,000
	3/5/2024	NYSBIP - Baldwinsville SD	220,500
		NYSBIP - Johnson City SD	771,750
		NYSBIP - Queensbury SD	661,500
		NYSBIP - Sidney SD	392,000
	3/8/2024	NYSBIP - S.GLENS FALLS SD	1,323,000
	3/13/2024	NYSBIP - BEAVER RIVER SD	257,250
		NYSBIP - CHATEAUGAY School Dis	392,000
		NYSBIP - Dolgeville SD	514,500
		NYSBIP - Orchard Park SD	882,000
	NYSBIP - Saranac SD	514,500	
Level 3 Communications, LLC	11/29/2023	NYSEDA ADMINISTRATION, Century Link_Extend Level 3	7,813
	1/30/2024	NYSEDA ADMINISTRATION, Century Link_Extend Level 3	7,563
Leviathan Solar Inc	12/15/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,032
	12/27/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,624
	2/19/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,832
Levitan & Associates, Inc.	12/1/2023	REC4:CES REC4 Tech Support, TWO 2 CES Solicitation Supp..	234,153
	12/19/2023	REC:CES REC System Dev Costs, TWO 3 Transmission Svcs ..	252,950
	1/3/2024	BR: Program Implementation, BR Auction RFP TWO Support	280,000
Lincoln Life & Annuity Company of NY	2/5/2024	NYSEDA ADMINISTRATION, Insurance SL/LT/PFL 2021-22	30,000
Little Bavaria Inc	2/29/2024	NYSEDA ADMINISTRATION, 2024 Employee Apptn Lunch	5,375
Little Falls PV, LLC	3/5/2024	>200KW PV, NY Sun	183,897
		NY Sun	459,743
		NY-SUN, NY Sun	257,456
Live Building Systems LLC	2/23/2024	Real Time Enrgy Management, LiveBuilding_147-25 94th_RTEM	90,440
Livingston Energy Group	10/12/2023	OJT	10,000
LM Language Services, Inc.	2/13/2024	OREC: Technical Support, LM Language Services Contract	100,000
	3/12/2024	Technical Services, Translation of EmPower+ and Ag	29
		Translation of EmPower+ and Ag	5,154
Local 32BJ Thomas Shortman Training	10/31/2023	Talent Pipeline:CE and OJT, PON3981 Round 18	251,148

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Lodestar Energy	11/20/2023	>200KW PV, NY Sun	232,200
		NY-SUN, NY Sun	325,080
	11/28/2023	>200KW PV, NY Sun	189,327
Lodi II PV, LLC	2/12/2024	NY-SUN, NY Sun	261,451
		>200KW PV, NY Sun	368,767
		NY Sun	921,918
Lodi PV, LLC	2/12/2024	NY-SUN, NY Sun	516,274
		>200KW PV, NY Sun	368,767
		NY Sun	921,918
		NY-SUN, NY Sun	516,274
Logical Efficiency LLC	2/27/2024	Tech Assistanc Multifamily LMI, Eval Clean Water Fin Mech	174,000
Long Island Power Solutions	10/3/2023	<200KW PV, PON 2112 NY SUN	5,000
	10/11/2023	<200KW PV, PON 2112 NY SUN	4,380
	10/13/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/24/2023	>200KW PV, PON 2112 NY SUN	13,860
	12/7/2023	<200KW PV, PON 2112 NY SUN	5,184
	12/15/2023	<200KW PV, PON 2112 NY SUN	6,384
	1/2/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/4/2024	<200KW PV, PON 2112 NY SUN	11,664
	1/12/2024	>200KW PV, PON 2112 NY SUN	12,960
	1/16/2024	<200KW PV, PON 2112 NY SUN	13,020
	1/19/2024	COMMUNITY SOLAR, PON 2112 NY SUN	12,888
	2/16/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/19/2024	<200KW PV, PON 2112 NY SUN	5,832
	2/22/2024	ENERGY STORAGE, PON 2112 NY SUN	5,000
Low Income Investment Fund	3/7/2024	NY Green Bank, LIIF (RFP 23)	25,000,000
Low-Level Radioactive Waste Forum, In..	12/14/2023	NYSERDA ADMINISTRATION, 2024 LLW Forum Mem Dues	5,000
Lysander III PV, LLC	12/12/2023	>200KW PV, NY Sun	177,086
		NY Sun	442,715
		NY-SUN, NY Sun	247,920
Lytho Inc	11/20/2023	NYSERDA ADMINISTRATION, Lythos 3 year subscription	166,929
M.J. Beck Consulting LLC	1/16/2024	REC:CES REC System Dev Costs, RESRFP23-1 TEP IE TWO..	40,500
M/E Engineering, P.C.	10/13/2023	Technical Services, FT14885 - Binghamton U	49,640
	11/3/2023	New Construction- Commercial, New Construction	7,600
	1/24/2024	Technical Services, AEAP 1638 - CSH Wyoming	6,000
	2/13/2024	Tenant Energy Management, HeatRecC2_MEEng_623SkytopRd	59,648
Malcarne Contracting, Inc.	10/17/2023	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	11/28/2023	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	12/27/2023	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	1/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	16,560
Manhattanville Community Partners LLC	1/4/2024	Tech Assistanc Multifamily LMI, FT14984- Manhattanville- 549 W	73,733
Manifold Robotics, Inc.	2/19/2024	Future Grid Perf. Challenges, Power Grid Innovation	457,500
Marine Drive JV LLC	11/21/2023	NY Green Bank, Marine Drive Redevelopment	3,300,000
Mark MaGrann Associates	10/25/2023	Technical Services, FT14730 -72 Park Terrace - FTC	45,000
	10/27/2023	Technical Services, FT14932 - 136 E 36 Apartment	15,710
	11/10/2023	HCR Direct Injection, HCR TWO – 200 Court Street	75,000
	11/20/2023	Technical Services, FT14729 - 125 West 76th - FTC	10,000
	3/5/2024	LMI Multifamily Demos, Ascendant Neighborhood Develop	100,000
		LMI Multifamily Demos, JOE NYC	100,000
Marriott Hotel Services	12/15/2023	OREC: Technical Support, NY/NJ OSW Supplier Forum	175,000
	3/13/2024	OREC: Technical Support, NY/NJ OSW Supplier Forum	23,858
Marshall & Sterling, Inc.	1/5/2024	NYSERDA ADMINISTRATION, RFP 4301 Insurance	4,688
Matthews Buses Incorporated	1/16/2024	CLEAN TRANSPORTATION, NYTVIP - Brushton-Moira CSD	200,000
	2/23/2024	CLEAN TRANSPORTATION, NYTVIP - Pine Valley CSD	200,000
	2/27/2024	CLEAN TRANSPORTATION, NYTVIP - Niskayuna CSD	400,000
		NYSBIP - Gates-Chili SD	265,250

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Matthews Buses Incorporated	2/28/2024	NYSBIP - Gates-Chili SD	2,315,250
Maybrook Solar 1 LLC	1/29/2024	>200KW PV, NY Sun	250,205
		NY Sun	625,511
		NY-SUN, NY Sun	350,286
Maybrook Solar 2 LLC	1/29/2024	>200KW PV, NY Sun	250,205
		NY Sun	625,511
		NY-SUN, NY Sun	350,286
Mayflower Energy Engineering PLLC	3/20/2024	Technical Services, FT17012 - Hampton House - 404	15,000
MBD Community Housing Corp	12/8/2023	New Construction Housing, NCP Housing 2022	358,000
McKinsey & Company, Inc.	12/13/2023	ENERGY ANALYSIS, RFP5293 GHG Cap & Invest Eval	522,000
Meltek Inc.	1/4/2024	OJT	15,386
	3/1/2024	Talent Pipeline:CE and OJT, OJT	17,309
Meltwater News US Inc.	1/29/2024	NYSERDA ADMINISTRATION, Corporate Communications	62,000
	3/11/2024	Innovation, Innovation	11,000
MicroEra Power, Inc.	11/21/2023	OJT	11,520
	1/26/2024	Thermal Energy Storage, Community Heat Pumps- MicroEra	1,126,578
Microsoft Corporation	2/29/2024	NYSERDA ADMINISTRATION, Microsoft Unified Support	77,188
	3/25/2024	NYSERDA ADMINISTRATION, Microsoft Unified Support	8,219
Mid-Hudson Energy Transition	12/12/2023	Talent Pipeline:CE and OJT, PON 4772 Fellow	40,000
Milton Solar LLC	11/28/2023	>200KW PV, NY Sun	212,503
		NY Sun	541,883
		NY-SUN, NY Sun	308,130
Minority Millennials	3/15/2024	OREC: Technical Support, 2024 We Are The Future Summit	20,000
Mintz, Levin, Cohn, Ferris, Glovsky and	12/8/2023	Cleantech Ignition, RFP 12 - NYGB Legal Services	7,931
	3/12/2024	Cleantech Ignition, RFP 12 - NYGB Legal Services	1,951
Mintzer Mauch PLLC	3/20/2024	NYSERDA ADMINISTRATION, TWO 5 - Agency Preservation Of	5,000
Monadnock Constuction, Inc.	2/13/2024	<200KW PV, NY-Sun	71,982
		>200KW PV, NY-Sun	119,970
Morgan Stanley	11/10/2023	Technical Services, OsEM115 - Morgan Stanley Group	199,594
Morton Barrow Condominium	3/5/2024	Tech Assistanc Multifamily LMI, FT15098 - 456 Hudson - PON	10,000
Mountain View Ave LLC	3/5/2024	New Construction Housing, NCP Housing 2022	312,500
MR. AIR NYC Corp.	10/23/2023	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	12/14/2023	NYCH: Talent Ppln:CE and OJT, PON 4772 R3	40,000
	1/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,382
MRB Group Engineer, Arch & Survey, D..	3/15/2024	OTHER PROGRAM AREA, Castleton-on-Hudson JT Study	150,000
MRO Tech NY LLC	1/16/2024	Technical Services, FT14872 - West 23rd Owners-PON	16,988
MRV Group LLC	3/5/2024	OREC: Technical Support, 2024 NCELC Summit Sponsorship	25,000
Mzansi Clean Energy LLC	2/8/2024	Capital Planning, Federal Funding Strategy	50,000
National Association of Corporate Direct	10/3/2023	NYSERDA ADMINISTRATION, 2023-24 Membership	14,298
National Grid	3/7/2024	EVAL MCDC: TRM Support, TRM membership payment	136,038
National Solar Technologies	10/13/2023	<200KW PV, NY-Sun	258,216
		NY-SUN, NY-Sun	51,643
Natural Resources Defense Council, Inc.	12/18/2023	NEW YORK GREEN BANK, 2023 GBN Membership	8,000
NECEC Institute	11/20/2023	Electric Vehicles - Innovation, NCEC/AEG Northeast Conference	10,000
NESEA	10/3/2023	Empire Building Challenge, BENYC 2023 Conference	8,333
		Low Carbon Tech Demos, BENYC 2023 Conference	8,333
		New Construction Housing, BENYC 2023 Conference	8,333
		Talent Pipeline:CE and OJT, BENYC 2023 Conference	10,000
Netgains Engineering P.C.	10/27/2023	Technical Services, FT14945 - The Blair House 200E	46,500
New Buildings Institute, Inc.	11/21/2023	NYCH: Critical Tools, Sponsorship Agreement	50,000
New Leaf Energy, Inc.	11/20/2023	>200KW PV, NY Sun	207,805
		NY Sun	519,513
		NY-SUN, NY Sun	290,927
	11/28/2023	>200KW PV, NY Sun	312,984
		NY Sun	798,108
		NY-SUN, NY Sun	453,826

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
New Leaf Energy, Inc.	12/15/2023	>200KW PV, NY Sun	542,016
		NY Sun	1,355,039
	NY-SUN, NY Sun	758,821	
	12/27/2023	>200KW PV, NY Sun	311,708
		NY Sun	779,269
New Penn Development LLC	11/20/2023	New Construction Housing, NCP Housing 2022	148,000
	12/8/2023	New Construction Housing, NCP Housing 2022	144,000
New York Association of Training and E..	2/26/2024	Talent Pipeline:CE and OJT, 2024 Youth Partitioners' Forum	10,000
New York Bus Sales LLC	2/27/2024	NYSBIP - Lake George SD	220,500
	3/5/2024	NYSBIP - North Colonie CSD	342,000
		NYSBIP - North Syracuse SD	220,500
3/15/2024	NYSBIP - Onondaga SD	441,000	
New York Engineers, P.C.	11/28/2023	Technical Services, FT14870 - WIN - 4612 - FTC	66,002
	11/29/2023	K-12 SCHOOLS, CGSI-61 - Brewster CSD (1)_E	45,076
	1/24/2024	Tech Assistanc Multifamily LMI, FT14967 - 250 West Partners	6,626
	2/13/2024	Technical Services, FT15021 - United East - 239 E	10,500
	2/23/2024	Tech Assistanc Multifamily LMI, FT14969 - Webster Gardens	17,308
Tech Assistanc Multifamily LMI, FT14970 - 2120 Hughes		13,794	
New York Independent Systems Operat..	10/17/2023	BR: Interconnection, BR Interconnection Studies	331,000
New York Institute for Human Develop..	2/9/2024	New Construction Housing, NCP Housing	100,000
New York Presbyterian Hospital	11/2/2023	Technical Services, OsEM109-C - NYPH - Brooklyn	214,000
		Technical Services, OsEM110-C - NYPH - Columbia	214,000
		Technical Services, OsEM111-C - NYPH Weill Cornell	214,000
New York Public Library	1/16/2024	Clean Energy Communities, CEC811010- New York Public Lib	180,000
New York Real Estate Chamber, Inc	11/30/2023	NEW YORK GREEN BANK, NYREC Membership for NYGB	10,000
New York Solar Energy Industries Assoc.	11/20/2023	NY-SUN, Sponsorship	15,000
	2/26/2024	Future Grid Perf. Challenges, Power Grid Innovation	399,928
	3/5/2024	NY-SUN, Sponsorship	5,000
New York State Solar Farm Inc.	10/12/2023	<200KW PV, PON 2112 NY SUN	5,000
	11/22/2023	>200KW PV, PON 2112 NY SUN	52,800
	11/29/2023	<200KW PV, PON 2112 NY SUN	12,800
	2/7/2024	<200KW PV, PON 2112 NY SUN	9,345
	3/8/2024	<200KW PV, PON 2112 NY SUN	5,000
	3/27/2024	<200KW PV, PON 2112 NY SUN	8,715
New York State Veterans Home at Oxfor..	10/11/2023	<200KW PV, NY-Sun	244,944
Next Generation Solar, LLC	12/12/2023	<200KW PV, NY-Sun	15,200
Niagara Frontier Automobile Dealers	3/12/2024	Electric Vehicles - Innovation, 2024 Buffalo Auto Show	5,900
Noco Energy Corp.	1/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	2/23/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,560
Noresco LLC	10/2/2023	Code to Zero, Third-party E-Code Support	45,820
	1/24/2024	Technical Services, FT17014 Beekman Residences - 5	11,138
	2/23/2024	Technical Services, FT17049 Columbia University	211,872
Northeast States for Coordinated Air Use	11/9/2023	ENVIRONMENTAL RESEARCH, TWO 2 RESHEAT	192,520
		RENEWABLE HEAT NY, TWO 2 RESHEAT	257,480
Norton Rose Fulbright US LLP	1/23/2024	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	388
Novel Approaches Solar Applications, ..	2/19/2024	<200KW PV, PON 2112 NY SUN	9,000
NSF Arcadia Site 1, LLC	12/27/2023	>200KW PV, NY Sun	375,000
		NY Sun	937,500
		NY-SUN, NY Sun	525,000
NSF Arcadia Site 2, LLC	12/27/2023	>200KW PV, NY Sun	247,104
		NY Sun	617,761
		NY-SUN, NY Sun	345,945
NSF Bath Site 4, LLC	10/26/2023	>200KW PV, NY Sun	368,551
		NY Sun	921,375
		NY-SUN, NY Sun	515,969
NY Building Systems Consultant Inc.	10/3/2023	Technical Services, FT14920 - 169 E 78 St	10,930

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NY Building Systems Consultant Inc.	10/3/2023	Technical Services, FT14925 - Active -234 Skillman	20,300
		Technical Services, FT14934 - 43 Tenants Corp - 43	18,350
	10/19/2023	Technical Services, FT14957 - 301 E 78 St. Owners	24,000
	10/25/2023	Technical Services, FT14936 - Centria Condo -18	22,800
	12/5/2023	Technical Services, FT15065 - 67 East 11 - FTC	29,550
	1/8/2024	Technical Services, FT15049 - Chatsworth Realty Co	38,550
	2/13/2024	Technical Services, FT17000 70 Remsen St Tenants	6,800
	2/20/2024	Technical Services, FT17042 333 West End	10,400
	2/22/2024	Talent Pipeline:CE and OJT, OJT	23,040
	3/5/2024	Technical Services, FT17019 The Claremont - 255 W	8,500
NY CDG 007 LLC	10/20/2023	>200KW PV, NY-Sun	677,196
		NY-SUN, NY-Sun	169,299
NY CDG Ontario 4 LLC	1/29/2024	>200KW PV, NY Sun	310,596
		NY Sun	776,489
		NY-SUN, NY Sun	434,834
NY DRS Finco XI, LLC	1/4/2024	NY Green Bank, DRS Development	3,000,000
NY USLE Chasm Rd I LLC	2/12/2024	>200KW PV, NY Sun	302,562
		NY Sun	756,405
NYS Essential Power	11/22/2023	<200KW PV, PON 2112 NY SUN	5,760
	2/29/2024	<200KW PV, PON 2112 NY SUN	2,000
	3/1/2024	<200KW PV, PON 2112 NY SUN	6,636
	3/5/2024	<200KW PV, PON 2112 NY SUN	14,976
	3/20/2024	<200KW PV, PON 2112 NY SUN	1,760
	3/28/2024	<200KW PV, PON 2112 NY SUN	5,440
	3/29/2024	<200KW PV, PON 2112 NY SUN	16,652
NYS Office for Technology	3/4/2024	NYSERDA ADMINISTRATION, Office 365: 4/1/23 - 3/31/24	100,000
	3/29/2024	NYSERDA ADMINISTRATION, O365 Data10Mb NYeNET - 3 y..	3,213
NYS Office of General Services	2/2/2024	RTEM and Tenants, EE/BE Technical Conference	5,000
NYS Office of Parks, Recreation and	2/9/2024	Net Zero Energy for Eco Dev, CNCED 2021 - Frederic Church	1,868,776
NYS OGS	1/16/2024	EV Charging and Engagement, Lithium Ion Safety Education	15,400
NYS Technology Enterprise Corporation	12/21/2023	NYSERDA ADMINISTRATION, NEIS Access Audit	3,203
NYSS LLC	11/21/2023	<200KW PV, PON 2112 NY SUN	8,960
		COMMUNITY SOLAR, PON 2112 NY SUN	6,240
	11/22/2023	<200KW PV, PON 2112 NY SUN	37,760
	12/1/2023	<200KW PV, PON 2112 NY SUN	16,152
	12/12/2023	<200KW PV, PON 2112 NY SUN	7,040
	1/4/2024	<200KW PV, PON 2112 NY SUN	7,040
	1/10/2024	<200KW PV, PON 2112 NY SUN	96,024
	1/11/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,760
	1/17/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,740
	1/19/2024	<200KW PV, PON 2112 NY SUN	31,488
	1/25/2024	<200KW PV, PON 2112 NY SUN	7,360
	2/2/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,600
	2/6/2024	<200KW PV, PON 2112 NY SUN	9,600
	2/7/2024	<200KW PV, PON 2112 NY SUN	35,864
	2/9/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,740
	2/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	17,440
	2/15/2024	<200KW PV, PON 2112 NY SUN	6,080
		COMMUNITY SOLAR, PON 2112 NY SUN	6,880
	2/16/2024	<200KW PV, PON 2112 NY SUN	7,040
	2/19/2024	<200KW PV, PON 2112 NY SUN	16,218
	3/1/2024	<200KW PV, PON 2112 NY SUN	44,384
	3/5/2024	<200KW PV, PON 2112 NY SUN	19,024
	3/8/2024	COMMUNITY SOLAR, PON 2112 NY SUN	19,328
	3/11/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,720
	3/13/2024	<200KW PV, PON 2112 NY SUN	15,248

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NYSS LLC	3/19/2024	<200KW PV, PON 2112 NY SUN	5,120
	3/20/2024	<200KW PV, PON 2112 NY SUN	14,872
	3/21/2024	<200KW PV, PON 2112 NY SUN	12,944
	3/22/2024	<200KW PV, PON 2112 NY SUN	6,560
	3/27/2024	<200KW PV, PON 2112 NY SUN	8,320
ODS Management, Inc.	3/5/2024	Tech Assistanc Multifamily LMI, FT17047 - 6113 Strauss - PON	11,673
	3/18/2024	Tech Assistanc Multifamily LMI, FT17070 - ODS Management - ..	7,048
OLA Consulting Engineers, P.C.	11/10/2023	Technical Services, FT14998 - Diamond Properties	10,250
Old Myers NY LLC	11/21/2023	>200KW PV, NY Sun	132,990
		NY Sun	332,475
		NY-SUN, NY Sun	186,186
Olivet St. Vincent's Housing Development	10/25/2023	Tech Assistanc Multifamily LMI, FT14930 - Olivet St Vincent	10,000
	3/15/2024	Low Carbon Tech Demos, Low Carbon Pathways	153,750
Onsite Energy, Inc.	12/7/2023	<200KW PV, PON 2112 NY SUN	5,000
OPAL ENERGY GROUP LLC	10/17/2023	<200KW PV, PON 2112 NY SUN	45,864
	10/19/2023	<200KW PV, PON 2112 NY SUN	80,640
Open Buffalo Inc.	12/26/2023	Talent Pipeline:CE and OJT, PON 4772 R3	40,000
Opinion Dynamics Corporation	12/5/2023	Cleantech Startup Growth, RFQ3183 Umbrella Agreement	16,585
	1/29/2024	NYCH: Comfort Home, TWO # 1 RFQL 4162	464,777
Opt-In Consultants Inc	3/18/2024	Workforce Industry Partnership, PON 5357	81,925
Oracle America, Inc.	12/22/2023	NYSERDA ADMINISTRATION, Oracle Peoplesoft Enterprise	54,308
Orrick Herrington & Sutcliffe LLP	12/8/2023	Cleantech Ignition, RFP 12: NYGB Legal Services	4,428
	3/11/2024	Cleantech Ignition, RFP 12: NYGB Legal Services	926
Oswego City School District	12/21/2023	K-12 SCHOOLS, CGSI-62 - Oswego CSD(9)	71,300
Oswego PV, LLC	12/17/2023	>200KW PV, NY Sun	295,757
		NY Sun	739,393
		NY-SUN, NY Sun	414,060
Oswego South PV I, LLC	12/15/2023	>200KW PV, NY Sun	324,117
		NY Sun	810,290
		NY-SUN, NY Sun	453,762
Otsego County Conservation Associati..	2/13/2024	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 David Meskheli	40,000
OurGeneration LLC	1/29/2024	>200KW PV, NY Sun	732,888
		NY Sun	1,832,220
		NY-SUN, NY Sun	1,026,043
Overbite Productions	2/7/2024	OREC: Technical Support, OSW EJTWG website dev	50,000
Owahgena Consulting, Inc.	10/23/2023	Air Source Heat Pumps, Technical Consulting Support	50,000
OwnBackup Inc.	12/11/2023	NYSERDA ADMINISTRATION, Own backup for Salesforce, Key	58,644
OYA Renewables Development LLC	1/19/2024	NY Green Bank, Greenbacker Capital - OYA Solar Upsize	300,000
Pace University	3/26/2024	OREC: Technical Support, ATWG Tech Services	20,000
Paradise Energy Solutions, LLC	10/12/2023	<200KW PV, PON 2112 NY SUN	131,726
	10/17/2023	<200KW PV, PON 2112 NY SUN	12,320
	12/7/2023	<200KW PV, PON 2112 NY SUN	9,570
	1/19/2024	<200KW PV, PON 2112 NY SUN	49,200
	3/5/2024	<200KW PV, PON 2112 NY SUN	78,085
Parity Inc	12/11/2023	Real Time Enrgy Management, Parity-500E83-RTEM	6,786
Partridge Venture Engineering, P.C.	11/1/2023	Tech Assistanc Multifamily LMI, FT14944 - GHD - 213 South 3	18,251
Passive House Accelerator LLC	12/21/2023	New Construction Housing, Reimagine Festival Event 2024	60,000
		New Construction- Commercial, Reimagine Festival Event 2024	15,000
	2/5/2024	New Construction Housing, BOE R4 Award Event	40,000
		New Construction- Commercial, BOE R4 Award Event	10,000
Pathfinder Engineers & Architects, LLP	12/21/2023	K-12 SCHOOLS, CGSI-59 - Gouverneur CSD (1)_E	80,053
Patriot Energy Solutions Corp	10/10/2023	<200KW PV, PON 2112 NY SUN	1,760
	10/11/2023	<200KW PV, NY-Sun	6,845
	10/31/2023	<200KW PV, PON 2112 NY SUN	11,680
	11/2/2023	<200KW PV, PON 2112 NY SUN	6,400
	11/22/2023	<200KW PV, PON 2112 NY SUN	14,800

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Patriot Energy Solutions Corp	12/8/2023	<200KW PV, PON 2112 NY SUN	5,508
	1/4/2024	<200KW PV, PON 2112 NY SUN	8,880
	1/19/2024	<200KW PV, PON 2112 NY SUN	7,680
	3/1/2024	<200KW PV, PON 2112 NY SUN	6,080
Payne Solar Farm 2 LLC	12/14/2023	NY Sun	786,078
Payne Solar Farm 3 LLC	12/14/2023	NY Sun	789,428
Payne Solar Farm 4 LLC	12/14/2023	NY Sun	784,068
Payne Solar Farm LLC	1/3/2024	NY Sun	802,828
Pearl River Campus, LLC	11/2/2023	On-Site Energy Manager, OsEM114-I - Pearl River Campus	214,000
People Inc	11/28/2023	New Construction Housing, NCP Housing 2022	260,000
People United for Sustainable Housing ..	10/30/2023	Net Zero Energy for Eco Dev, CNCED 2021- PUSH - SWTC	137,817
Performance Systems Development	12/5/2023	Expand and validate Category 6	194,850
		Market Support Tools &Activity, Expand and validate Category 6	859,428
		NYCH: Comfort Home, Expand and validate Category 6	194,850
Phoenix AMP RSCc Industrial JV LLC	2/2/2024	CI Carbon Challenge, Accelerated Efficiency & Elect	2,485,653
Pivot Energy Development LLC	10/16/2023	>200KW PV, PON 2112 NY SUN	131,328
	1/18/2024	>200KW PV, NY Sun	249,828
Pivot Solar NY 12 LLC	1/16/2024	NY Sun	624,570
		>200KW PV, NY Sun	217,152
Pivotal 180, LLC	10/12/2023	2023 New Hire Modeling Course	1,600
	3/14/2024	NYSERDA ADMINISTRATION, Pivotal180 Tax Equity Training	20,000
Plains Road NY LLC	12/8/2023	>200KW PV, NY Sun	162,247
		NY Sun	405,616
		NY-SUN, NY Sun	227,145
PlugPV, LLC	10/10/2023	<200KW PV, PON 2112 NY SUN	8,640
	10/25/2023	<200KW PV, PON 2112 NY SUN	5,184
	10/26/2023	<200KW PV, PON 2112 NY SUN	6,804
	12/7/2023	<200KW PV, PON 2112 NY SUN	25,596
	12/8/2023	<200KW PV, PON 2112 NY SUN	13,608
	12/13/2023	<200KW PV, PON 2112 NY SUN	5,000
	1/4/2024	<200KW PV, PON 2112 NY SUN	12,636
	1/8/2024	<200KW PV, PON 2112 NY SUN	16,524
	1/10/2024	<200KW PV, PON 2112 NY SUN	15,876
	1/16/2024	<200KW PV, PON 2112 NY SUN	1,701
	1/18/2024	<200KW PV, PON 2112 NY SUN	17,960
	2/14/2024	<200KW PV, PON 2112 NY SUN	5,832
	2/15/2024	<200KW PV, PON 2112 NY SUN	7,776
	2/27/2024	<200KW PV, PON 2112 NY SUN	5,103
	3/1/2024	<200KW PV, PON 2112 NY SUN	24,384
	3/5/2024	<200KW PV, PON 2112 NY SUN	7,128
	3/6/2024	<200KW PV, PON 2112 NY SUN	6,156
3/20/2024	<200KW PV, PON 2112 NY SUN	23,652	
3/21/2024	<200KW PV, PON 2112 NY SUN	6,729	
3/26/2024	<200KW PV, PON 2112 NY SUN	5,508	
Port Byron Central School District	11/10/2023	Electric Vehicles - Innovation, FT15033 - Port Byron CSD (3)	24,375
Potsdam Scensors LLC	10/12/2023	OJT	10,080
	10/13/2023	OJT	9,600
Power Advisory LLC	12/4/2023	BR: Program Implementation, BR TWO Power Advisory Consult	200,000
	1/2/2024	OREC: Technical Support, TWO 4 IE Michael Killeavy_OREC	85,000
	3/27/2024	BR: Program Implementation, BRRFP23-1 TEP IE Killeavy	36,800
PowerFlex Solar, LLC	10/17/2023	>200KW PV, PON 2112 NY SUN	782,704
PowerGEM, LLC	12/12/2023	BR: Screening, TWO - Build Ready - Cat 1	450,000
Powerlutions, LLC	12/13/2023	<200KW PV, PON 2112 NY SUN	13,760
Pro Custom Solar LLC	3/7/2024	<200KW PV, PON 2112 NY SUN	5,000
PROLOGIS LOGISTICS SERVICES INCORPORATED	12/14/2023	>200KW PV, NY-Sun	508,944

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
PROLOGIS LOGISTICS SERVICES INCORPORATED	12/14/2023	NY-SUN, NY-Sun	124,989
Promantek Inc.	11/30/2023	NYSERDA ADMINISTRATION, Trackstar License	42,196
Propmodo Inc.	11/28/2023	RTEM and Tenants, 2023 PropTech Challenge	8,500
Provantage, LLC	12/22/2023	NYSERDA ADMINISTRATION, Wireless headsets NYC	19,500
	1/17/2024	NYSERDA ADMINISTRATION, Microsoft Surface Laptop - 20	29,280
		NYSERDA ADMINISTRATION, Wireless headsets 35 NYC 2nd	6,825
Pulvers Corner Solar 1, LLC	1/16/2024	>200KW PV, NY Sun	350,006
Pulvers Corner Solar 2, LLC	1/23/2024	>200KW PV, NY Sun	350,006
PURE Cannabis, Inc.	2/27/2024	New Construction- Commercial, Commercial New Construction	23,220
Pure Performance Renewable Energy S..	11/9/2023	OJT	6,400
Quanta Technology LLC	12/28/2023	REC:CES REC System Dev Costs, Transmission Services-on-D..	271,429
	3/14/2024	Future Grid Perf. Challenges, Power Grid Innovation	400,000
Raj Technologies Inc.	11/10/2023	NYSERDA ADMINISTRATION, Private Cloud Hosting	19,135
Ramboll Americas Engineering Solutio..	10/23/2023	New Construction- Commercial, Commercial NCP 2022	49,966
Ramboll Americas Engineering Solutions,	10/6/2023	OTHER PROGRAM AREA, JT Toolkit Deliverables Review	15,000
	12/15/2023	Gas Innovation Studies, TWO 3 DPS UTEN Technical Suppt	999,045
Randstad North America, Inc.	12/1/2023	Clean Energy Communities, Payroll Services	16,838
	2/5/2024	NYSERDA ADMINISTRATION, Intern - DG	16,380
RBW Studio LLC	10/13/2023	OJT	15,360
	2/23/2024	Talent Pipeline:CE and OJT, OJT	13,424
RE-Nuble, Inc.	11/20/2023	A2 - Enabling Challenge	515,552
Reactive Technologies USA INC.	12/8/2023	Future Grid Perf. Challenges, Power Grid Innovation	3,000,000
Red Rochester LLC	10/18/2023	NY Green Bank, RED Rochester Upsize	18,500,000
RED-Rochester LLC	12/21/2023	CI Carbon Challenge, Accelerated Efficiency & Elect	5,000,000
REDAPTIVE, INC.	2/14/2024	<200KW PV, PON 2112 NY SUN	185,625
Regional Economic Community Action	11/28/2023	New Construction Housing, NCP Housing 2022	22,000
Regional Greenhouse Gas Initiative, Inc.	2/15/2024	ENERGY ANALYSIS, RGGI 2024 Funding Agreement	869,664
Renovus Energy, Inc.	3/14/2024	<200KW PV, PON 2112 NY SUN	12,768
Reos US Inc.	2/13/2024	Empire Building Challenge, Facilitation Services&Support	22,000
Research Foundation of SUNY	12/14/2023	Workforce Industry Partnership, PON 3715 (R14) BOM	356,091
Research Foundation of The City	1/16/2024	NYCH: Talent Ppln:CE and OJT, PON3981 Round 17	497,255
Resilience Education Training and Inno..	1/8/2024	Talent Pipeline:CE and OJT, PON 4772 R3 Fellow	40,000
Resources for the Future Inc	1/23/2024	ENERGY ANALYSIS, TWO #3 Carbon Pricing Regime	149,985
Responsible Offshore Science Alliance	12/6/2023	OREC: Technical Support, 2023 ROSA Membership	50,000
Restoring Communities Housing	12/29/2023	Direct Injection Program, Multifamily	1,000,000
RESunance, LLC.	12/15/2023	>200KW PV, NY Sun	1,070,435
		NY Sun	2,676,082
		NY-SUN, NY Sun	1,498,605
Richair Mechanical Inc.	12/13/2023	NYCH: Talent Ppln:CE and OJT, OJT	21,120
	1/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	25,200
	2/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,120
Ridgeline Heating and Cooling, LLC	10/12/2023	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	11/7/2023	NYCH: Talent Ppln:CE and OJT, OJT	14,400
Rivertown Solar LLC	12/15/2023	>200KW PV, PON 2112 NY SUN	132,800
Rizzo Compliance Solutions, LLC	3/5/2024	Expeditor Services NYC Offices	806
RKB Group LLC	1/19/2024	Technical Services, OSEM118C - GFP Real Estate	198,296
	3/25/2024	Technical Services, OsEM129-C - Meadows Partners	168,697
RLM Engineering PLLC	3/18/2024	Technical Services, FT17094 Colliers International	5,500
Robert Derector Associates	10/27/2023	Technical Services, FT14985 - 70 West 36th St	19,000
		Technical Services, FT14986 - 131 West 33rd St	19,000
	1/4/2024	Technical Services, FT15026 - Nassau Street Equit	17,475
		Technical Services, FT15040 - Dutch Land LLC	18,375
		Technical Services, FT15052 - Broadway Equities	19,200
	2/8/2024	Technical Services, FT15025 - Beave Equities Group	19,031
2/27/2024	Tenant Energy Management, HeatRecC1_RDerector_GodsLove	27,000	
Robert Ettinger PE, PC	3/7/2024	LMI Multifamily Demos, St Elizabeths Manor Decarbon	100,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Rock Property Management Company	11/7/2023	Retrofit NY, PON 4026 RetrofitNY Gap Fundin	2,640,000
Rocky Mountain Institute	2/5/2024	Empire Building Challenge, Cohort 3 Support for EBC	50,000
Rogers Training & Consulting, Inc.	10/13/2023	OJT	9,922
Rosenblum Property Services, LLC	12/13/2023	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	62,608
Ross Energy Consulting, LLC	11/20/2023	OJT	36,480
	12/20/2023	OJT	4,579
	2/6/2024	OJT	23,040
	3/7/2024	Talent Pipeline:CE and OJT, OJT	15,360
RUHL TecConsult LLC	1/24/2024	Tech Assistanc Multifamily LMI, FT15195 - Lefrak Estates	134,960
RUHL TecDesign	12/6/2023	Tenant Energy Management, HeatRec C1_Ruhl_747 3rd Ave	39,920
	2/23/2024	Tenant Energy Management, HeatRecC1_Ruhl_200Water	39,920
		Tenant Energy Management, HeatRecC1_Ruhl_666Greenwich	39,920
	3/15/2024	Tenant Energy Management, HeatRec C1_Ruhl_4705CenterBlvd	39,920
	3/27/2024	Tenant Energy Management, HeatRecC2_Ruhl_747thirdave	80,000
Rural Generation & Wind (Rodney Wea..	3/27/2024	<200KW PV, PON 2112 NY SUN	6,379
Rutgers University	10/9/2023	OREC: Technical Support, Surfclams to Support Fisheries	499,112
Ruzow & Associates	1/29/2024	OREC: Technical Support, Economic Benefits Support	200,000
Ryan Plumbing Heating Air Conditioning	11/2/2023	OJT	7,360
	2/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	14,400
S&P Global Inc.	12/12/2023	>200KW PV, IHS Market Subscription	21,667
		CI Engy Siting & Soft Cost Red, IHS Market Subscription	21,667
		NYSERDA ADMINISTRATION, IHS Market Subscription	21,667
SafariNY Corp.	10/27/2023	OJT	15,360
	3/5/2024	Talent Pipeline:CE and OJT, OJT	15,360
Salary.com, LLC	10/25/2023	NYSERDA ADMINISTRATION, HR Data Subscription	15,300
	11/20/2023	NYSERDA ADMINISTRATION, HR Data Subscription	15,300
	1/26/2024	NYSERDA ADMINISTRATION, HR Data Subscription	6,000
SANFILIPPO SOLUTIONS INC.	10/23/2023	OJT	12,800
	11/9/2023	NYCH: Talent Ppln:CE and OJT, OJT	5,760
	2/12/2024	OJT	5,760
	3/15/2024	Talent Pipeline:CE and OJT, OJT	6,080
Saranac Lake Central School	3/21/2024	FT17053 - Saranac Lake CSD (3)	26,250
Scenic Hudson, Inc.	10/27/2023	Net Zero Energy for Eco Dev, CNCED-2022 Scenic Hudson NSI..	2,000,000
Sea Bright Solar, LLC	1/18/2024	>200KW PV, PON 2112 NY SUN	14,850
	3/5/2024	>200KW PV, PON 2112 NY SUN	12,210
Service 1st Financial, LLC	11/27/2023	GJGNY REVOLVING LOAN FUND, PON 4378 Loan Loss Rese..	500,000
SHI, Inc.	1/17/2024	NYSERDA ADMINISTRATION, Embarcadero ER/Studio Support	12,499
	3/18/2024	NYSERDA ADMINISTRATION, Adobe Acrobat licenses - 1 yea	118,765
Singlebrook Technology Inc.	1/19/2024	CJF Program Support	263,000
Sisters of Charity Health Care System H..	10/25/2023	Tech Assistanc Multifamily LMI, FT14931 - Sisters of Charity	10,000
Sive Paget & Riesel PC	10/19/2023	RFP 12: NYGB Legal Services	704
	11/17/2023	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	74
		RFP 12: NYGB Legal Services	563
	2/20/2024	RFP 12: NYGB Legal Services	14,397
	3/25/2024	REC4:CES REC4 Tech Support, TWO 9 - Tier 4 solicitation	50,000
	3/26/2024	RFP 12: NYGB Legal Services	1,099
SL Dunkirk, LLC	1/29/2024	>200KW PV, NY Sun	312,390
		NY Sun	780,975
		NY-SUN, NY Sun	437,346
SL Evans, LLC	11/28/2023	>200KW PV, NY Sun	604,653
		NY-SUN, NY Sun	840,906
Slipstream Group, Inc.	10/12/2023	GJGNY REVOLVING LOAN FUND, Small Commercial Financing	46,150
Smart Roofs Solar, Inc.	3/1/2024	>200KW PV, PON 2112 NY SUN	123,190
Smith Engineering PLLC	10/24/2023	NYCH: Industry Partnerships, PON 3715 (R15) BOM	76,143
	11/10/2023	Workforce Industry Partnership, Brookfield 5	142,216

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Smith Engineering PLLC	12/13/2023	Workforce Industry Partnership, Ruden 1 WFT	279,042
		Workforce Industry Partnership, Ruden WFT 2	273,102
		Workforce Industry Partnership, Vornado WFT 1	313,502
		Workforce Industry Partnership, Vornado WFT 2	302,204
	12/14/2023	Technical Services, FT15092 - Weill Cornell Med	91,403
		Technical Services, FT15104 - BFP 300 Madison	72,258
3/18/2024	Technical Services, FT17116 - 345 Park Avenue LP	52,627	
Social Finance Inc.	12/19/2023	Social Finance Contract	526,477
Socotec, Inc	10/27/2023	Technical Services, FT14912 - Romarco - 1520 York	59,934
Software People, Inc.	1/31/2024	NYSERDA ADMINISTRATION, TWO #2 .Net Software Develop..	195,000
Sol Developments, LLC	11/10/2023	HCR Direct Injection, HCR TWO – Harrison Place Lofts	75,000
Sol Source Power, LLC	3/22/2024	>200KW PV, NY Sun	375,000
		NY Sun	937,500
SOLANTA CORP	10/17/2023	<200KW PV, NY-Sun	15,200
	11/1/2023	<200KW PV, PON 2112 NY SUN	7,600
	11/9/2023	<200KW PV, PON 2112 NY SUN	12,768
	2/2/2024	<200KW PV, PON 2112 NY SUN	10,944
	2/16/2024	>200KW PV, PON 2112 NY SUN	19,250
	3/26/2024	<200KW PV, PON 2112 NY SUN	9,000
	3/27/2024	<200KW PV, PON 2112 NY SUN	5,472
		>200KW PV, PON 2112 NY SUN	13,500
3/29/2024	>200KW PV, PON 2112 NY SUN	18,600	
Solar Energy Systems, LLC	10/20/2023	<200KW PV, NY-Sun	43,650
		>200KW PV, NY-Sun	72,750
		>200KW PV, PON 2112 NY SUN	32,495
Solar Liberty Energy Systems, Inc	3/5/2024	<200KW PV, PON 2112 NY SUN	13,776
Solar One, Inc.	1/19/2024	>200KW PV, PON 2112 NY SUN	25,070
Solar Pro Inc	3/27/2024	>200KW PV, PON 2112 NY SUN	26,160
SolarCommunities Inc.	10/12/2023	<200KW PV, PON 2112 NY SUN	30,240
	10/19/2023	<200KW PV, PON 2112 NY SUN	65,856
	11/2/2023	<200KW PV, PON 2112 NY SUN	5,424
	11/28/2023	<200KW PV, PON 2112 NY SUN	5,000
	12/7/2023	<200KW PV, PON 2112 NY SUN	207,720
	3/5/2024	<200KW PV, PON 2112 NY SUN	11,340
	3/13/2024	<200KW PV, PON 2112 NY SUN	26,000
	3/20/2024	<200KW PV, PON 2112 NY SUN	5,000
Soulful Synergy, LLC	1/31/2024	Talent Pipeline:CE and OJT, PON 4772 R3 (Andrea Fobbs)	40,000
St. Francis Friends of the Poor, Inc.	11/21/2023	Direct Injection Program, St. Francis Electrification	1,000,000
St. John's University	2/8/2024	CI Carbon Challenge, C&I Carbon Challenge	1,792,750
St. Nicks Alliance	10/23/2023	New Construction Housing, NCP Housing 2022	312,000
Standard Potential Co.	3/18/2024	Energy Storage Tech/Prod Dev, Long Duration Energy Storage	100,000
Stanley Ruth Co., LLC	3/20/2024	NYCH: Talent Ppln:CE and OJT, OJT	18,000
Stantec Consulting Services, Inc.	12/12/2023	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. S..	725,328
Staples, Inc.	12/7/2023	NYSERDA ADMINISTRATION, Staples Office Supplies	3,000
State University of New York College	3/7/2024	New Construction- Commercial, Commercial New Construction	112,037
State University of New York-SUNY Cor..	10/5/2023	Talent Pipeline:CE and OJT, PON 4772 R3 (Lady Ajayi)	40,000
Steven Winter Associates, Inc.	10/5/2023	Technical Services, FT14741 - Douglas Elliman -FTC	21,100
	10/24/2023	Multifam Performance Pgm, Multifamily	10,000
	11/1/2023	Technical Services, FT14354 - 2 Bay Club - FTC	48,375
	11/21/2023	NYCHA EM TWO 2023	597,703
	1/24/2024	Technical Services, FT14815 - BPP Parker Tower-FTC	48,788
	2/22/2024	LMI Multifamily Demos, RiseBoro - EBC Cohort 3	100,000
	3/5/2024	LMI Multifamily Demos, HANAC - EBC Cohort 3	100,000
	3/26/2024	Technical Services, FT14065 - 43 W 61st - FTC	14,130
Stony Brook University	3/21/2024	OREC: Technical Support, 2024 State of the Science	16,100
STRATCO PROPERTY GROUP INC	2/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,691

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
STRATCO PROPERTY GROUP INC	2/23/2024	NYCH: Talent Ppln:CE and OJT, OJT	19,037
	3/5/2024	Low Carbon Tech Demos, Low Carbon Pathways	1,500,000
Success Academy Charter Schools	1/4/2024	New Construction- Commercial, Commercial NCP 2022	465,371
Suite Advice LLC	2/7/2024	NYSERDA ADMINISTRATION, HR Coaching/Advisory Services	182,400
Sun Source Technologies	10/18/2023	<200KW PV, NY-Sun	38,400
		>200KW PV, NY-Sun	64,000
	12/22/2023	>200KW PV, NY Sun	148,512
		NY Sun	371,280
		NY-SUN, NY Sun	207,917
	12/27/2023	>200KW PV, NY Sun	375,000
		NY Sun	937,500
		NY-SUN, NY Sun	525,000
	1/22/2024	<200KW PV, NY-Sun	78
		>200KW PV, NY-Sun	130
SuNation Solar Systems, Inc.	10/11/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,712
	10/18/2023	COMMUNITY SOLAR, NY-Sun	3,696
		COMMUNITY SOLAR, PON 2112 NY SUN	5,880
		ENERGY STORAGE, NY-Sun	5,400
	10/19/2023	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/26/2023	<200KW PV, PON 2112 NY SUN	2,320
	10/31/2023	<200KW PV, PON 2112 NY SUN	6,960
	11/7/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,880
	11/8/2023	COMMUNITY SOLAR, PON 2112 NY SUN	6,480
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/21/2023	<200KW PV, PON 2112 NY SUN	8,640
	12/1/2023	COMMUNITY SOLAR, PON 2112 NY SUN	10,632
	12/7/2023	>200KW PV, PON 2112 NY SUN	32,400
		COMMUNITY SOLAR, PON 2112 NY SUN	11,876
	12/8/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,920
	12/13/2023	COMMUNITY SOLAR, PON 2112 NY SUN	13,272
	12/27/2023	COMMUNITY SOLAR, PON 2112 NY SUN	7,452
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/4/2024	COMMUNITY SOLAR, PON 2112 NY SUN	16,720
	1/10/2024	<200KW PV, PON 2112 NY SUN	7,728
		COMMUNITY SOLAR, PON 2112 NY SUN	11,648
		ENERGY STORAGE, PON 2112 NY SUN	5,400
	1/11/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,384
	1/19/2024	<200KW PV, PON 2112 NY SUN	29,616
	1/24/2024	COMMUNITY SOLAR, PON 2112 NY SUN	7,379
		ENERGY STORAGE, PON 2112 NY SUN	5,400
	1/25/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/1/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,304
	2/6/2024	<200KW PV, PON 2112 NY SUN	6,720
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/7/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,720
	2/9/2024	ENERGY STORAGE, PON 2112 NY SUN	18,750
	2/13/2024	COMMUNITY SOLAR, PON 2112 NY SUN	10,416
	2/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,880
	2/15/2024	<200KW PV, PON 2112 NY SUN	7,728
	2/16/2024	COMMUNITY SOLAR, PON 2112 NY SUN	13,608
	3/5/2024	<200KW PV, PON 2112 NY SUN	6,156
	3/6/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/8/2024	COMMUNITY SOLAR, PON 2112 NY SUN	9,072
		ENERGY STORAGE, PON 2112 NY SUN	6,250
3/13/2024	COMMUNITY SOLAR, PON 2112 NY SUN	10,920	
	ENERGY STORAGE, PON 2112 NY SUN	5,400	

Contracts Executed

Period 10/1/2023 through 3/31/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
SuNation Solar Systems, Inc.	3/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	13,440
	3/18/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,376
	3/20/2024	COMMUNITY SOLAR, PON 2112 NY SUN	12,640
Sunkeeper Solar LLC	10/17/2023	<200KW PV, NY-Sun	43,068
		>200KW PV, NY-Sun	71,780
	10/31/2023	<200KW PV, NY-Sun	336
		>200KW PV, NY-Sun	1,008
	11/2/2023	<200KW PV, NY-Sun	118,146
		>200KW PV, NY-Sun	196,910
	12/28/2023	<200KW PV, NY-Sun	71,982
		>200KW PV, NY-Sun	119,970
	1/18/2024	<200KW PV, NY-Sun	115,425
>200KW PV, NY-Sun		192,375	
1/19/2024	<200KW PV, NY-Sun	43,359	
	>200KW PV, NY-Sun	72,265	
2/16/2024	>200KW PV, PON 2112 NY SUN	74,690	
Sunlight Associates LLC	2/6/2024	Buildings of Excellence, Buildings of Excellence R1	700,000
	2/15/2024	New Construction Housing, NCP Housing	222,000
Sunlight General Capital LLC	2/27/2024	<200KW PV, NY-Sun	362,372
		>200KW PV, NY-Sun	90,593
	2/29/2024	<200KW PV, NY-Sun	195,932
		>200KW PV, NY-Sun	48,983
3/12/2024	>200KW PV, PON 2112 NY SUN	411,180	
SunPower Capital, LLC	10/5/2023	<200KW PV, NY-Sun	9,280
	10/19/2023	COMMUNITY SOLAR, PON 2112 NY SUN	6,786
	11/22/2023	<200KW PV, PON 2112 NY SUN	13,440
	12/1/2023	<200KW PV, PON 2112 NY SUN	5,760
	12/14/2023	<200KW PV, PON 2112 NY SUN	11,968
	1/4/2024	<200KW PV, PON 2112 NY SUN	12,160
	1/18/2024	<200KW PV, PON 2112 NY SUN	9,600
	2/14/2024	<200KW PV, PON 2112 NY SUN	5,440
	3/1/2024	<200KW PV, PON 2112 NY SUN	10,720
3/5/2024	<200KW PV, PON 2112 NY SUN	8,960	
SUNRISE ELECTRICAL SERVICES	2/2/2024	<200KW PV, NY-Sun	26,000
	3/1/2024	<200KW PV, PON 2112 NY SUN	75,120
Sunrise Energy Corp.	2/16/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,396
Sunrise Solar Solutions, LLC	10/11/2023	>200KW PV, PON 2112 NY SUN	172,980
	10/16/2023	<200KW PV, NY-Sun	200,000
		>200KW PV, NY-Sun	200,000
	12/6/2023	>200KW PV, PON 2112 NY SUN	201,588
2/2/2024	>200KW PV, PON 2112 NY SUN	42,500	
SunRun, Inc	11/22/2023	ENERGY STORAGE, PON 2112 NY SUN	2,875
Sunwealth LLC	10/31/2023	<200KW PV, NY-Sun	893,620
		>200KW PV, NY-Sun	893,620
SUNY - ESF	3/15/2024	Natural Carbon Solutions, A3 - Measurement, Monitoring,	546,534
Supreme Green Energy Inc	11/7/2023	OJT	6,400
Surf Clean Energy Inc	10/3/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,508
	10/12/2023	>200KW PV, PON 2112 NY SUN	57,960
	10/13/2023	<200KW PV, NY-Sun	5,184
	10/17/2023	<200KW PV, NY-Sun	68
	10/18/2023	COMMUNITY SOLAR, PON 2112 NY SUN	5,022
	10/19/2023	>200KW PV, PON 2112 NY SUN	10,580
	10/26/2023	<200KW PV, PON 2112 NY SUN	11,988
	11/22/2023	COMMUNITY SOLAR, PON 2112 NY SUN	60
	12/7/2023	<200KW PV, PON 2112 NY SUN	10,368
	12/13/2023	<200KW PV, PON 2112 NY SUN	6,480

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Surf Clean Energy Inc	12/29/2023	COMMUNITY SOLAR, PON 2112 NY SUN	1,444
		ENERGY STORAGE, PON 2112 NY SUN	5,778
	1/10/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,376
	1/18/2024	>200KW PV, PON 2112 NY SUN	13,380
	1/19/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,642
	1/25/2024	COMMUNITY SOLAR, PON 2112 NY SUN	116
	2/21/2024	>200KW PV, PON 2112 NY SUN	130
	3/1/2024	<200KW PV, PON 2112 NY SUN	5,508
	3/13/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,966
3/27/2024	<200KW PV, PON 2112 NY SUN	6,888	
Sustainable Comfort, Inc	11/2/2023	Direct Injection Program, HCR TWO #4 – 753 Classon	75,000
	3/7/2024	HCR Direct Injection, HCR TWO #5 – Perry	75,000
Sustainable Energy Developments Inc.	10/13/2023	<200KW PV, NY-Sun	57,600
	3/7/2024	<200KW PV, NY-Sun	268,400
	3/21/2024	<200KW PV, PON 2112 NY SUN	5,670
	3/29/2024	<200KW PV, PON 2112 NY SUN	5,000
Sustainable Hudson Valley, Inc.	3/20/2024	Talent Pipeline:CE and OJT, PON 4772 R3	40,000
Sustainable Investment Group	1/19/2024	Technical Services, FT14868 - 25 Broadway Office	23,950
Sustainable Westchester	1/30/2024	OJT	21,139
SV ST CROIX ONE LLC	12/18/2023	>200KW PV, NY Sun	374,400
		NY Sun	936,000
		NY-SUN, NY Sun	524,160
SWBR Architecture, Engineering & Lan..	3/25/2024	K-12 SCHOOLS, CGSI-81D - Cuba-Rushford CSD	61,910
Switched Source PB LLC	3/18/2024	Future Grid Perf. Challenges, Power Grid Innovation	1,806,000
Syracuse Housing Authority	10/19/2023	Tech Assistanc Multifamily LMI, FT14955 - SHA - 1207 Almond	10,000
Syracuse University	11/13/2023	Building Envelope Systems, Advanced Buildings	800,000
Taitem Engineering, P.C.	10/3/2023	HCR Direct Injection, HCR TWO –Center City Courtyard	75,000
	10/13/2023	Direct Injection Program, HCR TWO – Parliament Fairfield	75,000
	11/20/2023	Buildings of Excellence, RFP3928 Taitem TWO #1	97,500
		TWO CH4A M&V Services	316,843
	12/5/2023	Technical Services, FT15081 - Town of Fenton	6,290
	12/12/2023	Technical Services, FT14798 - City of Ithaca	58,801
	2/13/2024	CLEAN TRANSPORTATION, SQA Charge Ready 2.0	52,500
EV Charging and Engagement, SQA Charge Ready 2.0		47,500	
NYSERDA ADMINISTRATION, TWO 1 - C-Pace Tech Review		25,000	
Talisen Technologies, Inc	11/20/2023	Remote Energy Management, Technical Support for RTEM, HR	473,000
Tallarna Limited	1/26/2024	REV Connect, IMS PON 4359 - Tallarna	1,000,000
Tamco, LLC	2/6/2024	CLEAN TRANSPORTATION, CGSI-69_CT - Greene CSD (1)..	38,343
TBL Building Sciences, LLC	12/8/2023	NYCH: Technical Assistance, FT13938 - 30 E 37th - PON - MF	7,909
Tech Valley Talent, LLC	10/2/2023	NYSERDA ADMINISTRATION, TWO #21 Salesforce Dev. Mag..	203,840
	11/8/2023	NYSERDA ADMINISTRATION, TWO # 24 Server Ops Ahmed ..	46,360
	11/13/2023	OREC: System Development, TWO #6 Salesforce Tech -Portia	99,200
		REC4:CES REC4 Syst Development, TWO #6 Salesforce Tech ..	20,000
		REC:CES REC System Dev Costs, TWO #6 Salesforce Tech -P..	99,200
	12/1/2023	NYSERDA ADMINISTRATION, TWO #30 Tableau Dev. Alfred	81,093
	12/22/2023	NYSERDA ADMINISTRATION, TWO # 24 Server Ops Ahmed ..	15,485
	1/26/2024	REC2:CES REC2 Tech Support, TWO 1 Salesforce Dev. Rajes..	46,566
		REC4:CES REC4 Tech Support, TWO 1 Salesforce Dev. Rajes..	46,566
		REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Raj..	93,132
	2/26/2024	REC2:CES REC2 Tech Support, TWO 1 Salesforce Dev. Rajes..	1,219
		REC4:CES REC4 Tech Support, TWO 1 Salesforce Dev. Rajes..	1,219
		REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Raj..	2,438
Tetra Tech, Inc.	12/20/2023	OREC: Technical Support, TWO 2 - OSW F-TWG Lead	1,500,000
The 489 Atlantic Ave & 480 State St Con..	12/29/2023	Low Carbon Tech Demos, Low Carbon Pathways	45,450
The Architectural League of New York	12/15/2023	New Construction Housing, Blue Ribbon Design Jury BOE R4	40,000
		New Construction- Commercial, Blue Ribbon Design Jury BOE ..	10,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
The Bonadio Group	10/6/2023	OREC: Technical Support, LSR Proposal Eval & Award Proc	25,000
		REC:CES REC System Dev Costs, LSR Proposal Eval & Award..	25,000
	2/15/2024	OREC: Technical Support, LSR Proposal Eval & Award Proc	37,500
		REC:CES REC System Dev Costs, LSR Proposal Eval & Award..	37,500
The Cadmus Group, LLC	10/16/2023	REV Campus Challenge, Umbrella Agreement	140,000
	11/6/2023	Code to Zero, RFQ3183 Umbrella Agreement	191,358
	11/10/2023	Environmental Research, TWO 14 - Heat Adaptation Plan	368,000
	11/20/2023	OREC: Technical Support, TWO #17 OSW TWG facilitation	498,338
	1/3/2024	ENERGY ANALYSIS, TWO #1 BEEM Revision	150,000
	1/4/2024	Eval MCDC Cross Cutting, Statewide Multifamily Baseline	451,697
	1/5/2024	ENERGY ANALYSIS, TWO #10 Climate Facilitation	300,000
	2/15/2024	Housing Agencies Support, Tech Asst Affordable Housing	250,000
	3/14/2024	ENERGY ANALYSIS, BEEM Redevelopment: Phase 2	149,975
The Fortune Society, Inc.	1/16/2024	Buildings of Excellence, BoE Rnd. 3	850,000
The Goldman Sachs Group, Inc.	1/4/2024	Technical Services, OsEM120-C - Goldman Sachs	214,000
The Insulation Man LLC	10/26/2023	OJT	12,960
	12/14/2023	OJT	8,640
The Nature Conservancy	10/11/2023	OREC: Technical Support, Monitoring Eco Effects of OSW	351,636
The Renewables Consulting Group, LLC	12/28/2023	OREC: Technical Support, TWO#4 Vessel Analysis DeepH2O	75,000
	1/2/2024	OREC: Technical Support, IE Doug Pfeister OSW2023	110,000
The Research Foundation for the State	1/8/2024	ENVIRONMENTAL RESEARCH, EMEP Air Quality Research	449,826
The Royale c/o Douglas Elliman Property	2/9/2024	Technical Services, FT15055 - Douglas Elliman Prop	13,500
The Spence School	10/13/2023	Technical Services, OsEM112-C - The Spence School	110,000
The Top Gun Group, LLC	10/26/2023	OJT	8,160
	11/2/2023	OJT	8,160
	11/9/2023	OJT	6,080
	12/13/2023	NYCH: Talent Ppln:CE and OJT, OJT	5,440
	12/14/2023	OJT	5,440
	12/27/2023	OJT	5,440
	3/26/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,640
The Trustees of Columbia University	3/18/2024	Cleantech EIR, CTV ClimateTech Expertise Net	4,500,000
Thermodynamix LLC	12/27/2023	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Throughline Group, LLC	2/2/2024	NYSERDA ADMINISTRATION, 2024 Staff Media Training	8,000
ThunderCat Technology LLC	10/9/2023	NYSERDA ADMINISTRATION, Thundercat - Network Evaluatio	150,000
	10/19/2023	NYSERDA ADMINISTRATION, Cisco Umbrella expansion	47,066
	2/29/2024	NYSERDA ADMINISTRATION, Seamlessdocs Licensing 24 - 25	72,205
Time Release Sciences, Inc.	10/17/2023	<200KW PV, NY-Sun	261,800
Tioga Opportunities Inc.	10/23/2023	OJT	8,160
TITANIUM LINX CONSULTING, INC.	2/27/2024	PON 4772 R3 (Diogenes Arias)	40,000
		PON 4772 R3 (Steeve Coupeau)	40,000
TJA-NY-Van Buren Solar Farm, LLC	1/29/2024	>200KW PV, NY Sun	974,376
		NY-SUN, NY Sun	341,032
TM Montante Solar Developments, LLC	10/18/2023	<200KW PV, PON 2112 NY SUN	45,752
	1/8/2024	<200KW PV, PON 2112 NY SUN	56,238
	1/19/2024	<200KW PV, NY-Sun	5,460
	1/25/2024	<200KW PV, PON 2112 NY SUN	37,144
	2/2/2024	<200KW PV, PON 2112 NY SUN	17,600
Tompkins County	3/12/2024	Clean Energy Communities, CEC011216 - Custom project	30,000
TotalEnergies Distributed Generation USA	10/10/2023	ESTOR:Retail Storage Incentive, Retail Storage	2,156,280
	10/11/2023	ESTOR:Retail Storage Incentive, Retail Storage	1,200,000
Town of Ancram	11/10/2023	Clean Energy Communities, CEC400050 - Lawn Equipment	9,766
Town of Austerlitz, New York	11/7/2023	Clean Energy Communities, CEC400162 - Energy Study	6,600
Town of Brighton	10/3/2023	Clean Energy Communities, Brighton Town Park Heat Pump	10,000
Town of Colonie Parks & Recreation	11/2/2023	Clean Energy Communities, CEC410033- Town of Colonie	15,000
Town of Cortlandt	3/19/2024	Clean Energy Communities, CEC510632-EV Chargers	11,433
Town of Dryden	10/6/2023	Clean Energy Communities, Dryden DPW office insulation	26,600

Contracts Executed

Period 10/1/2023 through 3/31/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Town of Fort Edward Union Free School District	2/14/2024	CLEAN TRANSPORTATION, CGSI-74_E - Fort Edward UFSD	10,752	
		K-12 SCHOOLS, CGSI-74_E - Fort Edward UFSD	95,554	
Town of Hillsdale	3/7/2024	Clean Energy Communities, Communities & Local Government	10,000	
Town of Manlius	10/23/2023	Clean Energy Communities, CEC200236 - EV Charger	10,000	
Trane	10/23/2023	Real Time Enrgy Management, Trane - 502 Park - RTEM	155,000	
	12/19/2023	Technical Services, FT13549 - Lincoln Center - FTC	10,531	
	2/9/2024	Real Time Enrgy Management, Trane-106CPS-RTEM	232,497	
		Real Time Enrgy Management, Trane-220Riverside-RTEM	232,497	
		Real Time Enrgy Management, Trane-240Riverside-RTEM	232,497	
Real Time Enrgy Management, Trane-845 UN Plaza-RTEM		232,497		
TRC Companies, Inc.	2/7/2024	NYCH: Supply Chain, Single Family Residential	2,675,000	
TRC Energy Services	10/9/2023	OTHER PROGRAM AREA, East Hampton JT Planning Study	150,000	
	10/19/2023	Multifam Performance Pgm, SA.014_TWO #7_MF_PM	100,000	
		Multifam Performance Pgm, SA.016_TWO #8_MF_APM	65,000	
	10/25/2023	Technical Services, AEAP 1476 - North Country	3,000	
	10/26/2023	Multifam Performance Pgm, SA.012_TWO #5_MF_PM	175,000	
		Multifam Performance Pgm, SA.017_TWO #9_MF_APM	190,000	
	10/27/2023	EVPRZ:Implementation, SA.071_TWO#20_Clean Trans_PM-1	53,501	
		New Construction Housing, SA.040_TWO #36-New Con_PM-1	9,000	
		New Construction Housing, SA.040-M6a - TWO #42 - PM-1	16,500	
		New Construction Housing, SA.040-M6b - TWO #43 - PM-1	2,750	
		New Construction Housing, SA.042_TWO#17 - NCP NYC PM	23,280	
		New Construction- Commercial, SA.040_TWO #36-New Con_P..	4,500	
		New Construction- Commercial, SA.040-M6a - TWO #42 - PM-1	8,250	
		New Construction- Commercial, SA.040-M6b - TWO #43 - PM-1	1,375	
		New Construction- Commercial, SA.042_TWO#17 - NCP NYC ..	11,640	
		Single Family New Construction, SA.040_TWO #36-New Con_..	4,500	
	Single Family New Construction, SA.040-M6a - TWO #42 - PM-1	8,250		
	Single Family New Construction, SA.040-M6b - TWO #43 - PM-1	1,375		
	Single Family New Construction, SA.042_TWO#17 - NCP NYC ...	11,640		
	10/31/2023	Strategic Energy Manager, SA.007_TWO #12_EPE_PM	260,000	
1/29/2024	Technical Services, AEAP 1560 - Adirondock Maple	3,000		
TRC Engineers, Inc.	10/17/2023	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, T..	299,996	
		EMPOWER NY, TWO #7 - Single Family Res SS	623,039	
		Home Perf w Energy Star, TWO #7 - Single Family Res SS	299,996	
		NENY:CHGE Empower Electric, TWO #7 - Single Family Res SS	93	
		NENY:CHGE Empower Gas, TWO #7 - Single Family Res SS	102	
		NENY:Con Ed Empower Electric, TWO #7 - Single Family Res ..	410	
		NENY:Con Ed Empower Gas, TWO #7 - Single Family Res SS	1,220	
		NENY:NIMO Empower Electric, TWO #7 - Single Family Res SS	736	
		NENY:NIMO Empower Gas, TWO #7 - Single Family Res SS	1,472	
		NENY:NYSEG Empower Electric, TWO #7 - Single Family Res ..	1,369	
		NENY:NYSEG Empower Gas, TWO #7 - Single Family Res SS	3,400	
		NENY:O&R Empower Electric, TWO #7 - Single Family Res SS	429	
		NENY:O&R Empower Gas, TWO #7 - Single Family Res SS	1,118	
		NENY:RGE Empower Electric, TWO #7 - Single Family Res SS	550	
		NENY:RGE Empower Gas, TWO #7 - Single Family Res SS	1,313	
		NYCH: Comfort Home, TWO #7 - Single Family Res SS	199,998	
		NYCH: Technical Assistance, TWO #7 - Single Family Res SS	299,996	
		TWO #7 - Single Family Res SS	7,579,976	
		11/21/2023	ESTOR: Implementation Support, TWO #6 - Retail Storage	48,040
			NYSERDA ADMINISTRATION, TWO #3 Call Center SS	470,286
12/1/2023	NYCH: Consumer Awareness, TWO #5 - Co-Op Shared Services	45,000		
1/31/2024	BR: Design, BR Benson Mines Engineering	181,103		
3/11/2024	NYCH: District, CH&C Technical Support	244,541		
TRC Environmental Corporation	2/19/2024	SA.005_TWO# 1_AES_PM1	424,740	

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TRC Environmental Corporation	3/12/2024	SA.003_TWO# 2_NY-SUN_PM1	529,800
Tri State Solar Services	11/22/2023	<200KW PV, PON 2112 NY SUN	7,128
	1/4/2024	<200KW PV, PON 2112 NY SUN	12,312
	3/5/2024	<200KW PV, PON 2112 NY SUN	12,312
Troy Local Development Corporation	3/18/2024	NYCH: District, City of Troy PH 1A	4,000,000
TruFund Financial Services, Inc.	12/21/2023	NY Green Bank, TruFund (RFP 23)	10,000,000
Tully Rinckey Foundation, Inc	11/7/2023	OREC: Technical Support, VETCON 2023 Sponsorship	6,000
U.S. Department of Energy/Wv	12/5/2023	WVDP PO – FFY 2024	17,700,000
Umbra Solar Fund, LLC	2/2/2024	<200KW PV, NY-Sun	153,765
Unique Comp Inc.	11/20/2023	NYSERDA ADMINISTRATION, TWO #8 Tableau Dev. Yogi P	51,090
	2/1/2024	NYSERDA ADMINISTRATION, TWO Sr. Software Eng.	193,440
University Mews Owners Inc	2/9/2024	Technical Services, FT15102 - University Mews Own	12,000
University of North Carolina at Chapel H	12/1/2023	ENVIRONMENTAL RESEARCH, AQHE PON 3921	124,946
University of Rochester	11/20/2023	Workforce Industry Partnership, PON 3715 (R15) BOM	316,780
	12/27/2023	CI Carbon Challenge, Accelerated Efficiency & Elect	3,875,471
	3/13/2024	ENVIRONMENTAL RESEARCH, Methane Measurements	290,332
Urban Energy Inc	10/12/2023	>200KW PV, NY-Sun	33,048
		NY-SUN, NY-Sun	5,508
		OJT	16,560
	10/13/2023	OJT	16,560
	10/18/2023	>200KW PV, NY-Sun	113,508
		NY-SUN, NY-Sun	18,918
	10/20/2023	>200KW PV, NY-Sun	66,960
		NY-SUN, NY-Sun	13,392
	10/26/2023	>200KW PV, NY-Sun	14,904
		NY-SUN, NY-Sun	2,484
	10/27/2023	>200KW PV, NY-Sun	26,568
		NY-SUN, NY-Sun	4,428
	11/2/2023	>200KW PV, NY-Sun	44,712
		NY-SUN, NY-Sun	7,452
	11/7/2023	>200KW PV, NY-Sun	770,904
		NY-SUN, NY-Sun	128,484
	11/16/2023	OJT	17,057
	11/21/2023	OJT	34,114
	1/4/2024	>200KW PV, NY-Sun	134,784
		NY-SUN, NY-Sun	22,464
1/19/2024	>200KW PV, PON 2112 NY SUN	808	
Urban Green Council	3/11/2024	NYCH: Talent Ppln:CE and OJT, PON3981 Round 21	145,995
Urban Homesteading Assistance Inc	3/7/2024	NYCH: Talent Ppln:CE and OJT, OJT	19,901
US Building Performance Association, I.	10/24/2023	Market Support Tools &Activity, 2024 NY CE for Homes Conf.	100,000
VEIR	2/28/2024	Future Grid Perf. Challenges, POLES Project	2,119,159
Ventolines B.V.	12/27/2023	OREC: Technical Support, TWO #4 MP2.0 Cost Reduction	150,000
	1/2/2024	OREC: Technical Support, Offshore Wind	50,000
Venture Home Solar LLC	12/27/2023	<200KW PV, PON 2112 NY SUN	5,000
Verizon NY Inc.	1/25/2024	Technical Services, FT14901 - Verizon - South Ozon	13,018
	3/12/2024	Technical Services, FT14903 - Verizon - 430 W 51	49,610
Verizon Wireless	10/19/2023	NYSERDA ADMINISTRATION, Verizon Wireless Cellular 1 yr	1,312
	11/28/2023	NYSERDA ADMINISTRATION, Verizon Wireless Cellular 2024	101,286
Vervent Inc.	2/20/2024	GJGNY REVOLVING LOAN FUND, Financing Solutions	350,000
Village of Baldwinsville	11/28/2023	Clean Energy Communities, CEC200177 - LED Streetlights	10,000
Village of Cold Spring	2/23/2024	Clean Energy Communities, EV Chargers	16,600
Village of Fayetteville	2/23/2024	Clean Energy Communities, CEC200198 - CEC Study BU	6,600
Village of Greenport	2/6/2024	Cat B - Renewables and Innovat	12,250
Village of Homer	11/2/2023	Clean Energy Communities, CEC200285 - V.o. Homer 3k GA	10,000
Village of Montour Falls	10/17/2023	Talent Pipeline:CE and OJT, PON 4772 R3 (Aaron Arnold)	40,000
	10/27/2023	Clean Energy Communities, Communities & Local Government	70,000

Contracts Executed

Period 10/1/2023 through 3/31/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Village of Pelham	2/14/2024	Clean Energy Communities, CEC500806 - EV Lawn Equip	10,000
Village of Pleasantville	11/20/2023	CLEANER GREENER COMMUNITIES, CEC500788 - V.o. Plea..	10,000
Village of Saranac Lake	3/25/2024	Clean Energy Communities, CEC701022 - LR EV	20,000
Village of Tuckahoe	3/25/2024	Clean Energy Communities, Communities & Local Government	10,000
Voltaic Solaire LLC	10/2/2023	<200KW PV, NY-Sun	7,040
		<200KW PV, PON 2112 NY SUN	4,080
	10/4/2023	<200KW PV, PON 2112 NY SUN	1,539
	10/6/2023	<200KW PV, NY-Sun	11,600
	10/11/2023	<200KW PV, NY-Sun	6,480
		<200KW PV, PON 2112 NY SUN	1,296
	11/9/2023	<200KW PV, PON 2112 NY SUN	2,025
	1/4/2024	<200KW PV, PON 2112 NY SUN	1,296
	2/2/2024	<200KW PV, PON 2112 NY SUN	4,578
	2/6/2024	<200KW PV, PON 2112 NY SUN	4,617
	2/9/2024	<200KW PV, PON 2112 NY SUN	3,888
	2/20/2024	<200KW PV, PON 2112 NY SUN	19,377
	3/20/2024	<200KW PV, PON 2112 NY SUN	1,620
Vornado Office Management LP	3/25/2024	New Construction- Commercial, New Construction	448,274
VSE Corporation	2/15/2024	EVPRZ:Implementation, Implementation Support for NYS	1,170,758
W. B. Mason Co. Inc	12/6/2023	NYSERDA ADMINISTRATION, W. B. Mason Office Supplies	4,000
W.N.Y. Bus Parts Inc	3/13/2024	NYSBIP - Iroquois SD	350,000
	3/27/2024	NYSBIP - Evans-Brant SD	199,500
Waste Connections of New York, Inc.	12/27/2023	NYSERDA ADMINISTRATION, Trash and Recycling Pickup	15,840
Waverly Mews Corp	3/20/2024	Low Carbon Tech Demos, Low Carbon Pathways	468,000
WB Engineers+Consultants, Inc.	11/16/2023	Technical Services, FT15031 - Trinity Centre - 111	18,000
Wendel Energy Services, LLC	10/5/2023	Technical Services, FT14939 - Weill Cornell Med	440,173
	11/3/2023	Technical Services, FT15061 - Seneca WWTP - FTC	55,000
	12/4/2023	Technical Services, FT14773 - UB North Campus	439,005
		Technical Services, FT15001 - Life Technology -FTC	87,078
	12/5/2023	Technical Services, FT14774 - UB North Campus	431,445
	12/22/2023	CLEAN TRANSPORTATION, FT14890 - Ken-Ton UFSD (9)_CT	50,348
	2/22/2024	CLEAN TRANSPORTATION, CGSI-77CT - Canajoharie CSD(1)	52,315
	2/23/2024	CGSI-94 - Clyde-Savannah CSD	39,760
	2/26/2024	CGSI-91 - Sackets Harbor CSD	38,225
		CLEAN TRANSPORTATION, CGSI-86 - Holland CSD (1)_CT	47,915
		CLEAN TRANSPORTATION, FT17011 - Half Hollow Hills CS	37,275
	3/21/2024	FT15196 - CT FTC Studies	404,536
		K-12 SCHOOLS, CGSI-104E - Rochester CSD	344,270
	Technical Services, FT17098 St. Lawrence Universit	302,881	
3/25/2024	CGSI-89 - CT CGSI Studies	132,653	
	FT17026 - Grand Island CSD (1)	36,120	
West Harlem Environmental Action, Inc.	10/23/2023	Equitable Engagement, WE ACT 2023 Gala	15,000
West Henrietta Housing Development F..	11/28/2023	Tech Assistanc Multifamily LMI, FT14972 - Butterfly Fields	6,500
West Monroe Partners, LLC	1/5/2024	Consumer Ed and Market Support, RFP4886 RES Market Enga..	1,380,000
		Home Perf w Energy Star, RFP4886 RES Market Engagement	100,000
		Market Support Tools &Activity, RFP4886 RES Market Engage..	1,970,000
		NYCH: Comfort Home, RFP4886 RES Market Engagement	690,000
		NYCH: Technical Assistance, RFP4886 RES Market Engagemen..	1,035,000
	RFP4886 RES Market Engagement	1,725,000	
West Publishing Corporation	1/25/2024	NEW YORK GREEN BANK, Westlaw Core Plan platform	90,376
Westhab, Inc.	2/28/2024	HPD Direct Injection, La Olazul	1,150,000
WHHC Renaissance & Redevelopment ..	12/15/2023	Direct Injection Program, TMN 1002	2,000,000
Wildlife Conservation Society.	10/6/2023	Environmental Research, Cetaceans Baseline in NY Bight	97,550
Willdan Lighting & Electric, Inc.	2/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	13,848
WinnDevelopment Company LP	3/18/2024	LMI Multifamily Demos, Stovroff Towers: EBC Cohort 3	100,000
Wise Home Energy, LLC	11/9/2023	NYCH: Talent Ppln:CE and OJT, OJT	6,400

Contracts Executed

Period 10/1/2023 through 3/31/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Wise Home Energy, LLC	12/14/2023	OJT	9,360
	12/21/2023	NYCH: Talent Ppln:CE and OJT, OJT	7,040
	1/16/2024	OJT	7,040
	2/8/2024	OJT	10,080
Wood Mackenzie Inc	1/24/2024	ESTOR: Implementation Support, Wind, Solar, & Storage Subscr.	39,380
		NY-SUN, Wind, Solar, & Storage Subscr.	65,628
		REC:CES REC System Dev Costs, Wind, Solar, & Storage Sub..	70,068
Worley Group, Inc.	10/31/2023	OREC: Technical Support, Determination Study Buy Americ	40,000
	11/20/2023	OREC: Technical Support, Determination Study Buy Americ	20,000
WSP USA Corp.	3/19/2024	Clean Energy Communities, TA Community Support Services	900,000
Wythe Partners LLC	3/29/2024	NYCH: Innovation, Panelized Systems - Cycle	350,000
Yellow 19 LLC	12/15/2023	>200KW PV, NY Sun	218,600
		NY Sun	546,499
		NY-SUN, NY Sun	306,039
Yeshiva University	12/4/2023	Technical Services, OsEM113-C - Yeshiva University	214,000
YSG Solar Installers LLC	1/5/2024	>200KW PV, NY-Sun	678,040
		NY-SUN, NY-Sun	169,510
Zones LLC	10/12/2023	NYSERDA ADMINISTRATION, SMARTnet - Maintenance 23 - ..	21,806
ZOOMINFO TECHNOLOGIES LLC	11/20/2023	NYSERDA ADMINISTRATION, Ringlead Renewal - Zoom info	17,916
Grand Total			676,229,904

Contracts Completed

Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Contract Amount
3M Company	On-Site Energy Manager, OsEM46-I - 3M Tonawanda	213,992
3rd ROC Solar LLC	<200KW PV, PON 2112 NY SUN	101,841
22nd Century Technologies, Inc.	Home Perf w Energy Star, TWO #2 Single Family Res. BA -	210,313
25th Street Suites, LLC	NYSERDA ADMINISTRATION, 2024 NYC NYSERDA Town Hall	6,950
30 East 37th Street Condominium	NYCH: Technical Assistance, FT13928 - 30 E 37th - PON	7,909
31-49 29th Street Owner, LLC	Multifam Performance Pgm, Multifamily	34,300
32 East 64th Street Corporation	NYCH: Technical Assistance, FT13785 - 32 E 64th - PON	7,909
39 Tenants Corporation	NYCH: Technical Assistance, FT13571 -39 Gramercy Park N-MF	7,909
44 Gramercy Park North	NYCH: Technical Assistance, FT13691 - 44 Gramercy - PON	7,909
50 HYMC Owner LLC	Commercial New Construc, NCP15018-50 HudsonYards-OFLT	327,047
50 Overlook Terrace Owner, LLC	Multifam Performance Pgm, Multifamily	39,200
63 Madison Owners LLC	Technical Services, FT13966 - 63 Madison - PON	34,586
64 Solar LLC	<200KW PV, PON 2112 NY SUN	96,068
	>200KW PV, PON 2112 NY SUN	125,280
106 Fort Washington Owner, LLC	Multifam Performance Pgm, Multifamily	48,300
132 Dingens Street, LLC	<200KW PV, NY-Sun	260,064
175 West 12th Street Condominium	NYCH: Technical Assistance, FT13572 - 175 W 12th - MF	7,909
200 Madison Owner LLC	Technical Services, FT13967 - 200 Madison - PON	34,586
213 Bennett Avenue Owner LLC	Multifam Performance Pgm, Multifamily	49,700
220 East 73rd Street	NYCH: Technical Assistance, FT13981 - 220 E 73rd - PON	7,909
237 State Route 96 Site 1, LLC	>200KW PV, NY Sun	1,580,800
	NY-SUN, NY Sun	1,011,712
237 State Route 96 Site 2, LLC	>200KW PV, NY Sun	1,501,760
	NY-SUN, NY Sun	961,126
414 Gerard LLC	New Construction Housing, NCP Housing	123,600
445 GERARD OWNER LLC	<200KW PV, NY-Sun	47,520
	>200KW PV, NY-Sun	142,560
535 East 86th Street Corporation	NYCH: Technical Assistance, FT13614 - 535 E 86th - PON	7,909
750 Seventh Avenue NY LLC	Technical Services, FT13137 - 750 7th - PON	10,000
770 Electric Corp.	<200KW PV, NY-Sun	66,816
	<200KW PV, PON 2112 NY SUN	411,180
	>200KW PV, NY-Sun	111,360
	>200KW PV, PON 2112 NY SUN	96,000
1397 E. 2nd LLC	Multifam Performance Pgm, Multifamily	21,700
1625 Rockaway Parkway Owner, LLC	Multifam Performance Pgm, Multifamily	105,700
2050 G.C. Housing Development Fund Compa	New Construction Housing, New Construction	77,600
3104 Batavia Solar, LLC	>200KW PV, NY Sun	892,296
3232 Batavia Solar, LLC	>200KW PV, NY Sun	1,008,207
AASPEN HVAC	NYCH: Talent Ppln:CE and OJT, OJT	24,000
	OJT	8,640
AB Capital Assets, LLC	OJT	6,400
Above Grid Binghamton Solar LLC	>200KW PV, NY Sun	311,225
	NY-SUN, NY Sun	435,715
Above Grid Rome Solar LLC	>200KW PV, NY Sun	327,360
	NY-SUN, NY Sun	458,304
Abundant Solar Power (A2), LLC	>200KW PV, NY Sun	2,099,196

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Abundant Solar Power (A2), LLC	NY-SUN, NY Sun	1,539,411
Abundant Solar Power (CC3), LLC	>200KW PV, NY Sun	951,946
Abundant Solar Power (E1), LLC	>200KW PV, NY Sun	951,782
AC Power 15 LLC	>200KW PV, NY Sun	4,380,481
	NY-SUN, NY Sun	943,487
Accord Power, Inc.	<200KW PV, NY-Sun	48,570
	<200KW PV, PON 2112 NY SUN	6,480
	>200KW PV, NY-Sun	20,814
	>200KW PV, PON 2112 NY SUN	143,798
	COMMUNITY SOLAR, PON 2112 NY SUN	6,400
	NY-SUN, PON 2112 NY SUN	11,440
	OJT	17,280
ACEEE	Prof & Expert Engagement, 2023 ACEEE Ally Membership	12,000
Active Solar Development, LLC	<200KW PV, NY-Sun	194,740
	<200KW PV, PON 2112 NY SUN	10,465
	>200KW PV, NY Sun	155,654
	NY-SUN, NY Sun	90,798
Adam C. Boese	Technical Services, AEAP 1364 - Robbiehill Family	5,380
	Technical Services, AEAP 1441 - Georges Nursery	5,380
	Technical Services, AEAP 1453 - Ronnybrook Farm	6,000
	Technical Services, AEAP 1481 - My BAR K Meadows	5,840
	Technical Services, AEAP 1523 - Ken Corscadden	5,840
	Technical Services, AEAP 1548 - Bridgedale Farms	5,240
	Technical Services, AEAP 1554 - Robbins Family	5,600
	Technical Services, AEAP 1574 - North Harbor Dair	6,000
	Technical Services, AEAP 1589 - Garden Time	5,380
	Technical Services, AEAP 1619 - Hawthore Valley	6,000
	Technical Services, AEAP 1628 - Thorpes Organic	6,000
	Technical Services, AEAP1346 - Andy & Margaret	6,000
	Technical Services, GH 11 - Garden Time	6,500
Adirondack North Country Association	CLEANER GREENER COMMUNITIES, CGC54038 - ANCA	750,000
ADK Solar	<200KW PV, NY-Sun	6,300
	<200KW PV, PON 2112 NY SUN	14,337
Advanced Energy Group L.L.C.	2024 AEG Sponsorship Renewal	8,333
	>200KW PV, 2024 AEG Sponsorship Renewal	8,333
	Pub Transit & Elect Rail, 2024 AEG Sponsorship Renewal	8,333
Advanced Radiant Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	8,640
AECOM USA INC.	Technical Services, FT14575 - 156 W 95th -MF-LCCP	8,963
Aequita Consulting LLC	OTHER PROGRAM AREA, Extreme Heat Action Plan	50,000
	OTHER PROGRAM AREA, Resilience Consultancy with NY	674,000
AES DE RS XI, LLC.	>200KW PV, NY-Sun C&I	1,703,531
	NY-SUN, NY-Sun C&I	1,703,531
	Solar Plus Energy Storage, NY-Sun C&I	1,536,500
Agarabi Engineering, PLLC	OJT	61,116
AI-ALT STRUCTURAL ENGINEERING PLLC	OJT	11,630
AKF-engineers	NYCH: Technical Assistance, FT12285 - 1 Liberty Plaza -FTC	52,795

Contracts Completed

Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Contract Amount
AKF-engineers	Technical Services, FT13478 - 150 E. 58th - FTC	12,750
	Technical Services, Indoor Air Quality TWO - AKF	200,000
Akimeka, LLC	Electric Vehicles - Innovation, Used EV Sales Demo	298,997
	EVPRZ:Implementation, Clean Transportation	2,000,000
	OTHER PROGRAM AREA, Hydrogen economic development	250,000
Albany Solar Solutions L.L.C.	<200KW PV, PON 2112 NY SUN	68,580
Albany, City of,	City of Albany	30,000
	Clean Energy Communities, CEC410001- City of Albany	70,000
	Clean Energy Communities, City of Albany	150,000
All City Engineering P.C.	OJT	12,000
All-State Air Control Sales & Service In	NYCH: Talent Ppln:CE and OJT, OJT	58,320
Allegheny Science & Technology Corporati	NYS Clean Energy Transition, TWO 1 - CE Supply Chain Anl	499,210
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	145,985
Alliance for Sustainable Energy, LLC	ENERGY ANALYSIS, TWO #7 T&D Tool Dev Co-Optimiz	288,853
	Energy Storage Tech/Prod Dev, TWO 6 NYS Hydro Strategy Study	1,250,000
	High Performing Grid, TWO #7 T&D Tool Dev Co-Optimiz	1,011,147
	Hydrogen Innovation, TWO 6 NYS Hydro Strategy Study	60,000
alpha-En Corporation	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	999,608
Altanova LLC	Tech Assistanc Multifamily LMI, FT14846 -Kent Preservation-FTC	23,006
Alternative Power Solutions of NY, LLC	<200KW PV, PON 2112 NY SUN	27,904
AltPOWER, Inc.	<200KW PV, NY-Sun	552,069
Amer Assoc for the Advance of Science	Environmental Research, Tech Peer Review/Manuscripts	40,000
AMERESCO, Inc.	<200KW PV, PON 2112 NY SUN	140,760
Amerex Brokers LLC	OTHER PROGRAM AREA, Policy Analysis	49,999
Amergy Solar Inc.	<200KW PV, PON 2112 NY SUN	5,544
	>200KW PV, PON 2112 NY SUN	405,678
American Energy Care, Inc.	<200KW PV, PON 2112 NY SUN	65,200
	OJT	6,400
American Institute of Chemical Engineers	Hydrogen Innovation, Center for Hydrogen Safety	25,000
AMP US HoldCo Inc	>200KW PV, NY SUN C&I	1,310,400
AMP US HoldCo Inc.	>200KW PV, NY Sun	3,135,946
	ESTOR:Retail Storage Incentive, Retail Storage	1,626,800
	NY-SUN, NY Sun	1,648,602
Ampersand Electric	OJT	7,040
AMS Construction Corp	<200KW PV, NY-Sun	20,520
	>200KW PV, NY-Sun	61,560
Antares Group, Inc.	REC:CES REC System Dev Costs, TWO for 2 ADG Projects RFP2554	14,426
	Technical Services, FT14091 - 42 Ridge - FTC	32,764
Apex Clean Energy Holdings, LLC	REC:CES REC Contracts, Heritage Wind_RESVCO2021	197,839,368
Apex Energy Tek LLC	<200KW PV, NY-Sun	7,040
	<200KW PV, PON 2112 NY SUN	13,920
Apprise, Incorporated	Home Perf w Energy Star, Energy & Climate Equity	50,061
Arcadia Power, Inc	Real Time Enrgy Management, RTEM Data Warehouse Dev	46,195
Arcadis of New York, Inc.	Technical Services, AEAP 1557 - Morts Maple	5,955
	Technical Services, FT14666 - Town of Ulster - FTC	18,245
Arch Street Communications, Inc.	Code to Zero, Public Meetings/Codes	200,000

Contracts Completed

Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Contract Amount
Arctic Air Mechanical Corp	NYSERDA ADMINISTRATION, HVAC Preventative Maintenance	16,800
Ardowork Corporation	NYCH: Technical Assistance, FT13859 - 2865 University -PON	22,000
Ascendant Neighborhood Development Corpo	NYCH: Technical Assistance, FT13741 - Ascendant - PON	50,100
Association for Energy Affordability, In	Tech Assistanc Multifamily LMI, FT14171 - 2950-70 W 24th - FTC	18,375
	Tech Assistanc Multifamily LMI, FT14176 - 1238 Simpson - FTC	12,671
	Tech Assistanc Multifamily LMI, FT14180 - 2228 Adam Clay - FTC	9,165
	Tech Assistanc Multifamily LMI, FT14181 - 2232 1st - FTC	8,141
	Tech Assistanc Multifamily LMI, FT14185 - 3235 Grand - FTC	12,671
	Tech Assistanc Multifamily LMI, FT14450- Birchwood 144-44 -FTC	16,575
	Technical Services, FT14704 - Sanford Kissena -FTC	17,738
	Technical Services, FT14781 - Mayflower - FTC	10,810
Baker Engineering, LLC	Technical Services, FT14622 - Epic Lafayette LLC	10,000
Bakerstand Solar LLC	REC:CES REC Contracts, Bakerstand Solar_RESVCO2021	14,394,219
Banyan Infrastructure Corporation	NEW YORK GREEN BANK, Reporting Covenant Servicing	445,625
Bard Rao + Athanas Consulting Engineers	New Construction- Commercial, Commercial New Construction	195,788
Barrow Street Owners, Inc.	Technical Services, FT14018 - 111 Barrow - PON	7,909
Barton & Loguidice, D. P.C.	Technical Services, FT13475 - Webster - FTC	27,622
	Technical Services, FT13576 - City of Fulton WPCP	15,000
	Technical Services, FT14362 - 2 Shermantown - FTC	35,222
Battelle Memorial Institute	Code to Zero, Modeling & Cost Methodology	234,267
BDO USA LLP	Background Investigation Servi	6,000
Beacon Communities Services LLC	New Construction Housing, NCP Housing	212,500
Beacon Wind LLC	OREC: OSW Solicitations, OSWRFP20-1 Award_Beacon Wind	4,100,000,000
Bergmann Associates, Architects,	Industrial Process Effic, IPE16237	19,875
	Technical Services, AEAP 1388 - Apple Acres LLC	6,000
	Technical Services, AEAP 1452 - Rhodes Farm	5,000
	Technical Services, Indoor Air Quality TWO - Berg.	200,000
Best Energy Power	<200KW PV, NY-Sun	942,002
	<200KW PV, PON 2112 NY SUN	139,410
	>200KW PV, NY-Sun	398,830
	>200KW PV, PON 2112 NY SUN	1,472,829
Bethesda House of Schenectady, Inc.	New Construction Housing, NCP Housing	33,000
Binghamton Housing Authority	Tech Assistanc Multifamily LMI, FT14825 - Binghamton Housing	6,988
Binghamton Regional	NY-SUN, PON 3414 - CDG Toolkit	142,500
Blackrock Financial Management, Inc	Commercial New Construc, Commercial New Construction	205,254
BLUEPRINT POWER TECHNOLOGIES INC	High Performing Grid, A DECARBONIZATION BLUEPRINT	3,000,000
Bond, Schoeneck & King, PLLC	TWO 7 Legal Services for H2Hub	50,000
Bonded Energy Solutions Corp.	NYCH: Talent Ppln:CE and OJT, OJT	26,640
	OJT	15,360
Borex US Energy Inc	REC:CES REC Contracts, CESRFP1_Tier 1 RECS_Bald Mtn.	11,879,960
	REC:CES REC Contracts, Sandy Creek Solar_RESVCO2021	16,715,860
	REC:CES REC Contracts, West River_RESVCO2021	11,879,960
Borex US Energy Inc.	REC:CES REC Contracts, Greens Corners_RESVCO2021	69,916,454
Borg Warner	Industrial Process Effic, Industrial Process Efficiency	562,500
Borrego Solar Systems, Inc.	Rmve Barriers Dist Enrgy Storg, Energy Storage +CommunitySolar	3,716,899
BPP ST Owner LLC	Technical Services, FT14375 - 342 First Ave - FTC	57,874

Contracts Completed
Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Contract Amount
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT	18,720
Bright Power, Inc.	<200KW PV, NY-Sun	88,884
	>200KW PV, NY-Sun	66,336
	ADVANCED BUILDINGS, PV Battery backup system demo	326,500
	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	37,500
	Campus/Technical Assistance, FT14089 - 39-34 2st - FTC	6,750
	NYCH: Technical Assistance, FT13499 - Glen Oaks - FTC	29,000
	NYCH: Technical Assistance, FT13771 - 535 E. 182nd - FTC	6,400
	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	159,846
	REV Campus Challenge, RM36-NYU-Stern Business School	94,698
	Tech Assistanc Multifamily LMI, FT14444-554 W 53- FTC-MF-AH	16,500
	Tech Assistanc Multifamily LMI, FT14495 - 755 White Plains-FTC	14,000
	Tech Assistanc Multifamily LMI, FT14535- 160 W 103- FTC-MF-AH	11,000
	Tech Assistanc Multifamily LMI, FT14643 - Carnes McKinney -FTC	18,000
	Tech Assistanc Multifamily LMI, FT14695 - Southside United HDF	7,700
	Technical Services, FT13814 - 875 W. 181st - FTC	18,000
	Technical Services, FT14033 - 320 W 76th - FTC	15,200
	Technical Services, FT14095 - 166-40 Powells - FTC	5,000
	Technical Services, FT14110 - 10 Liberty - FTC	13,200
	Technical Services, FT14197 – 521 W 20th – FTC	8,950
	Technical Services, FT14415 - 697 West End - FTC	21,750
	Technical Services, FT14416 - 210 West 101 - FTC	26,250
	Technical Services, FT14471- Akam- 150 E 85th- FTC	17,250
	Technical Services, FT14485 - 892 Bergan - FTC	10,000
	Technical Services, FT14488- Toledo Court- FTC	15,000
	Technical Services, FT14489-72-15 37th -FTC-MF	10,000
	Technical Services, FT14490-134 West 93rd -FTC-MF	10,000
	Technical Services, FT14492-Acropolis Garden-FTC	38,250
	Technical Services, FT14533-520 W 23rd -FTC-MF-MR	15,000
	Technical Services, FT14560 - 2021 84th St-FTC-MF	10,000
	Technical Services, FT14571 - 35-35 75th-FTC-MF	16,875
	Technical Services, FT14588 - 425 Main St - FTC-MF	16,500
	Technical Services, FT14594 - 3850 Sedgwick - FTC	15,750
	Technical Services, FT14636 - 75 West 238 - FTC	12,000
	Technical Services, FT14657 - Coral Crystal - FTC	26,250
	Technical Services, FT14675 - BJs Wholesale Club	9,500
	Technical Services, FT14684 - 163 Ocean - FTC	15,000
	Technical Services, FT14685 - 88-11 Elmhurst- FTC	13,875
Brook Avenue Development Company L.P.	Multifam Performance Pgm, Multifamily	49,700
Brookhaven National Lab	HEX Beam Line	0
	OTHER PROGRAM AREA, HEX Beam Line	25,000,000
Brooklyn SolarWorks LLC	>200KW PV, PON 2112 NY SUN	327,526
Bruns Associates, LLC	Buildings of Excellence, Buildings of Excellence R1	637,500
BTMI Engineering, PC	OREC: Technical Support, TWO for COWI MTWG support 2021	231,900
Buffalo Geothermal Heating	NYCH: Talent Ppln:CE and OJT, OJT	9,120
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	205,604

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Building Media, Inc.	Code to Zero, RFQL 3711 TWO#1	227,050
Building Performance Institute, Inc.	Market Support Tools &Activity, TWO 1 - BPI-2400 Standard Updt	130,574
Building Skills NY	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	618,424
Bureau Door	Retrofit NY, Bureau Door Knowledge Sharing	148,280
Burr Truck & Trailer Sales	CLEAN TRANSPORTATION, NYTVIP - Anderson-DuBose Co.	185,000
Business Network for Maryland Offshore W	OREC: Technical Support, OSW Ready Virtual Trainings	40,000
Buzzard's Ridge Group LLC	<200KW PV, PON 2112 NY SUN	7,500
BVG Associates LLC	REC:CES REC System Dev Costs, BVG TWO 5 IE Mike Blanch	65,000
BW Research Partnership	NYS Clean Energy Transition, Economic Impact Analysis	49,300
BW Solar Holding Inc.	>200KW PV, NY Sun	4,709,027
	NY-SUN, NY Sun	1,939,014
C & B Mechanical	NYCH: Talent Ppln:CE and OJT, OJT	10,608
	OJT	11,501
C Hazard Consulting LLC	Consumer Ed and Market Support, SFR Consulting Project Support	125,876
	NYCH: Supply Chain, SFR Consulting Project Support	125,876
C2 NY Sentinel Heights Solar, LLC	>200KW PV, NY Sun	649,771
	NY-SUN, NY Sun	899,683
C.J. Brown Energy, P.C.	Technical Services, FT13310 - 395 Tonawanda - FTC	7,649
	Technical Services, FT13311 - 840 Tonawanda - FTC	7,765
	Technical Services, FT13312 - 525 Oliver - FTC	7,649
	Technical Services, FT13313 - 16 Alpine - FTC	7,217
	Technical Services, FT13758 - 150 Myrtle - FTC	7,092
	Technical Services, FT14398 - 95 Franklin - FTC	45,512
C.T. Male Associates Engineering,	SARATOGA TECHNOLOGY & ENERGY PARK, Easement descriptio..	13,200
C&R Housing Inc.	OJT	24,000
C&S Engineers, Inc.	Technical Services, FT14069 - 110 W 6th - FTC	8,312
	Technical Services, FT14137 - Alder Creek Beverage	18,835
Cambray Housing Corporation	Tech Assistanc Multifamily LMI, FT14370 - 68 W Main - PON	9,875
Cambridge Systematics, Inc.	ENERGY ANALYSIS, TIST tool for decarb support	49,502
Canajoharie, Village of,	Clean Energy Communities, Communities & Local Government	50,000
Canisteo Solar I	>200KW PV, NY Sun	759,845
Carahsoft Technology Corporation	EVALUATION, Qualtrics Survey Software	66,916
	NYSERDA ADMINISTRATION, Advanced Security Monitoring	31,390
	NYSERDA ADMINISTRATION, Endpoint Security Service	75,000
	NYSERDA ADMINISTRATION, UiPath Software (2024-2025)	100,352
	Salesforce licenses CLEAResult	16,801
Carter Ledyard & Milburn LLP	NYSERDA ADMINISTRATION, TWO 7 - Board Liability	10,000
	OREC: Technical Support, TWO#9 Outside Counsel review	50,000
CBRE, Inc.	On-Site Energy Manager, OsEM57-I IBM Sterling Forest	211,051
CDATA SOFTWARE, INC.	NYSERDA ADMINISTRATION, DBAmp Enterprise Edition 1yr	12,739
CDS Monarch Inc	New Construction Housing, 2019 LRNCP	46,000
CEC Stuyvesant Cove, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 6	180,477
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	104,962
Center for Sustainable Energy	CLEAN TRANSPORTATION, RFP 3401 Umbrella Agreement	1,347,724
Centerville Court LLC	Tech Assistanc Multifamily LMI, FT14973 - Centerville Court	12,500
Centsible House, Inc	NYCH: Talent Ppln:CE and OJT, OJT	23,040

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
CES Danbury Solar, LLC	>200KW PV, PON 2112 NY SUN	14,880
CHA Consulting Inc.	>200KW PV, DC for SEQR Assistance	50,000
	K-12 SCHOOLS, FT13860 - Rotterdam CSD - FTC	58,984
	Technical Services, FT14497 - Paperworks -FTC	48,750
	Technical Services, FT14590 - Finch Paper - FTC	14,950
	Technical Services, FT14808 - ADK Bev - FTC - IND	9,900
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, PON 2112 NY SUN	7,128
City of Cohoes	City of Cohoes	30,000
	Clean Energy Communities, City of Cohoes	70,000
City of Glens Falls Housing Authority	Multifam Performance Pgm, Multifamily	70,000
City of Kingston	CEC500634-City of Kingston	40,000
City Of New York	CLEANER GREENER COMMUNITIES, CGC41973 - NYC Dept. Park..	225,000
City of White Plains	Clean Energy Communities, CEC510631 - EV Purchase	30,000
City of Yonkers	CLEANER GREENER COMMUNITIES, City of Yonkers	150,000
Clean Technologies A LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	397,017
Cleancar Energy Storage, LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	6,000,000
CleanFiber LLC	OJT	89,920
CLEAResult Consulting, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technica..	177,655
	Commercial New Construc, RFP 3401 Umbrella Agreement	199,576
	Community RH&C, RFP 3401 Umbrella Agreement	178,073
	EMPOWER NY, Technical Support SFR	768,985
	GJGNY Market Rate Audits, TWO #13 - SFR	222,064
	Healthy Homes VB Payment Pilot, Technical Support SFR	40,000
	Home Energy Ratings, TWO #13 - SFR	53,228
	Home Perf w Energy Star, Technical Support SFR	15,976,289
	Home Perf w Energy Star, TWO #13 - SFR	5,000
	HOME PERFORMANCE WITH ENERGY STAR, Technical Support S..	134,481
	Low Rise New Construction, RFP 3401 Umbrella Agreement	368,119
	Multifam New Construction, RFP 3401 Umbrella Agreement	243,544
	NENY:CHGE Empower Electric, Technical Support SFR	7,980
	NENY:CHGE Empower Gas, Technical Support SFR	20,287
	NENY:Con Ed Empower Electric, Technical Support SFR	22,056
	NENY:Con Ed Empower Gas, Technical Support SFR	79,617
	NENY:KEDNY Empower Gas, Technical Support SFR	60,881
	NENY:NFG Empower Gas, Technical Support SFR	563,336
	NENY:NIMO Empower Electric, Technical Support SFR	51,324
	NENY:NIMO Empower Gas, Technical Support SFR	107,293
	NENY:NYSEG Empower Electric, Technical Support SFR	60,389
	NENY:NYSEG Empower Gas, Technical Support SFR	106,853
	NENY:O&R Empower Electric, Technical Support SFR	41,415
	NENY:O&R Empower Gas, Technical Support SFR	100,859
	NENY:RGE Empower Electric, Technical Support SFR	30,319
	NENY:RGE Empower Gas, Technical Support SFR	71,979
	New Construction Housing, RFP 3401 Umbrella Agreement	234,091
	New Construction- Commercial, RFP 3401 Umbrella Agreement	78,968
	NEW YORK ENERGY STAR HOMES, RFP 3401 Umbrella Agreement	49,957

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
CLEAResult Consulting, Inc.	NYCH: Technical Assistance, TWO #13 - SFR	418,959
	Renewable Heat NY, RFP 3401 Umbrella Agreement	136,541
	Technical Support SFR	5,167,888
Co-op Power, Incorporated	NY-SUN, PON 3414 - Peekskill CDG	200,000
	NY-SUN, PON 3414 - Wildseed CDG	200,000
Cobble Hill School Condominium	Technical Services, FT14878 - Cobble Hill - 501	12,926
Code Green Solutions, Inc.	NYCH: Technical Assistance, FT13138 - 158 W 27th - FTC	19,750
	Technical Services, FT13092 - 119 W. 57th - FTC	16,375
	Technical Services, FT13452 - NYU - FTC	11,218
	Technical Services, FT13514 - 240 W. 35th - FTC	19,750
	Technical Services, FT13523 - 777 Third - FTC	41,884
	Technical Services, FT14037 - Building 7&8 - FTC	19,000
	Technical Services, FT14099 - 160 E 48th - FTC	26,750
	Technical Services, FT14215 - 270 Greenwich - FTC	60,000
	Technical Services, FT14331 - 24-02 49th - FTC	35,000
	Technical Services, FT14396 - 3 East 40th - FTC	22,527
	Technical Services, FT14400 - 136 West 42nd - FTC	29,200
	Technical Services, FT14402 - 299 Park Ave - FTC	41,000
Technical Services, FT14417- 77 Water - FTC	17,500	
Cohen Ventures Inc	Product Standards, Task Work Order #5	750,000
Cold Spring Harbor Laboratory	RM41 - Cold Spring Harbor Lab	154,000
Columbia Memorial	Technical Services, FT13087 - 71 Prospect Ave -PON	10,000
Columbia Property Trust Operating Partne	NYCH: Technical Assistance, FT13250 - 315 Park - PON	24,765
Combined Energies LLC	Cleantech Ignition, PON 3871 Ignition Grants	89,040
CommentManagement.com LLC	Cap and Invest	9,150
Commercial Cleaning NY Sunshine, Inc.	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC 23-24	17,160
Community Power Group, LLC	>200KW PV, NY Sun	2,494,982
	NY-SUN, NY Sun	525,000
CON EDISON SOLUTIONS, INC.	>200KW PV, PON 2112 NY SUN	385,990
ConnectGen Cayuga County LLC- Milliken S	REC:CES REC Contracts, RESRFP20-1	35,375,574
ConnectGen Chautauqua County LLC	REC:CES REC Contracts, South Ripley_RESVCO2021	170,838,976
ConnectGen Montgomery County LLC	REC:CES REC Contracts, RESRFP20-1	26,950,453
Consolidated Edison Company	Pay for Performance, P4P Con Ed MOU and NDA	52,500
Control Solutions Group, Inc.	NYSERDA ADMINISTRATION, Building Management System (BM	11,330
Cornell University	Cleantech Geo Coverage, PON 4242	1,500,000
Country Suburban Heating & Air Condition	NYCH: Talent Ppln:CE and OJT, OJT	27,600
County Cooling, Corp.	NYCH: Talent Ppln:CE and OJT, OJT	67,680
County Heat & AC, LLC	NYCH: Talent Ppln:CE and OJT, OJT	54,240
Creek Housing Corp., Inc.	Tech Assistanc Multifamily LMI, FT14645 - Creek Housing - PON	10,000
Cryomech	Industrial Process Effic, Industrial Process Efficiency	24,437
CUNY - College of Staten Island	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON 4463 R2	600,000
Curtis + Ginsberg Architects LLP	Buildings of Excellence, RFP3928 Curtis+Ginsburg TWO #2	43,600
Cutone & Company Consultants, LLC	OJT	8,280
CVENT, Inc.	Environmental Research, Event Management/Virtual Event	3,795
	EVPRZ:Contingency, Event Management/Virtual Event	1,206
	New Construction Housing, Event Management/Virtual Event	1,207

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
CVENT, Inc.	NYSERDA ADMINISTRATION, Event Management/Virtual Event	220,624
	OREC: Technical Support, Event Management/Virtual Event	2,413
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT	18,240
Darby Solar, LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	22,064,000
David Homes, Inc.	New Construction Housing, NCP Housing	15,000
Davies Office Refurbishing, Inc.	Boardroom Tables	1,137
	NYSERDA ADMINISTRATION, Boardroom Tables	26,915
	NYSERDA ADMINISTRATION, Facilities Management	6,543
	NYSERDA ADMINISTRATION, New Boardroom Chairs	23,530
	NYSERDA ADMINISTRATION, New Furniture	7,927
Day Automation Systems, Inc.	K-12 SCHOOLS, CGSI-27_E - Charlotte - PON	13,455
	Real Time Enrgy Management, Day Auto Multi	274,829
	Real Time Enrgy Management, Day Auto-Multisite-RTEM	387,975
	Real Time Enrgy Management, Day Automation- Multi -RTEM	247,918
	Real Time Enrgy Management, Day Automation-35 East Av-RTEM	131,031
	Real Time Enrgy Management, Day Automation-Multisites-RTEM	220,937
	Real Time Enrgy Management, Day-Addison-RTEM	309,408
DCF Energy Group, LLC	<200KW PV, NY-Sun	13,120
	<200KW PV, PON 2112 NY SUN	34,200
DealCloud Inc.	NEW YORK GREEN BANK, DealCloud Licensing	768,165
Delaware Court Apartments LLC	Multifam Performance Pgm, Multifamily	36,400
Delaware River Solar, LLC	>200KW PV, NY Sun	1,645,987
	NY-SUN, NY Sun	960,159
Dell, Inc.	NYSERDA ADMINISTRATION, KEMP Enterprise Plus 1yr	5,129
Deloitte Consulting LLP	TWO 1: H2 Facilitation Svcs	800,994
Dextall	NYCH: Innovation, Prefab Panels Retrofit	829,483
DG New York CS, LLC	>200KW PV, NY Sun	1,078,506
Digital Realty Trust	Technical Services, FT13550 - JFK Data - PON	55,000
Dimension Energy LLC	ESTOR: Bulk Storage Incentive, utility dispatch rights	1,981,290
Direct Packet Inc.	NYSERDA ADMINISTRATION, Parker Board Rm Upgrade	89,484
Discover Green Renewable Energy LLC	<200KW PV, NY-Sun	5,396
DNV Energy Insights USA Inc.	Industrial Process Effic, RFP 2621 Umbrella	640
	Pay for Performance, TWO 4 - P4P Event Evaluation	94,033
	Rmve Barriers Dist Enrgy Storg, RFP3407 Cat 2 & 3A TWO	599,473
	Technical Services, FT14364 - 60 W 37th - FTC	7,000
	Technical Services, FT14365 - 6 Water - FTC	5,000
	Technical Services, FT14367 - 325 W 33rd - FTC	7,000
	Technical Services, FT14379 - 338 West 36th - FTC	7,000
	Technical Services, LL97 I&M Analysis	50,000
DNV GL Energy USA, Inc.	High Performing Grid, Backfeed Control Testing	300,000
Dodge Data & Analytics	ENERGY ANALYSIS, Dodge Dataset Subscription	8,150
Doherty Electric, LLC	<200KW PV, NY-Sun	9,600
	<200KW PV, PON 2112 NY SUN	11,520
Dolan Solar, LLC	REC:CES REC Contracts, RESRFP20-1	11,925,158
Dollaride, Inc.	Talent Pipeline:CE and OJT, CJF PON 4772 R2	40,000
Dom Belle Services LLC	NYCH: Talent Ppln:CE and OJT, OJT	28,800

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Dow Jones & Company Inc	ENERGY ANALYSIS, OPIS 2023-2024 Subscription	7,728
Dowmont Solar, LLC	>200KW PV, NY Sun	912,900
Dr. Energy Saver of Hudson Valley, Inc	NYCH: Talent Ppln:CE and OJT, OJT	7,040
Dream Team Associates LLC	Technical Services, FT14855 - Tishman Hotel	6,500
Dream Team Hotel Associates LLC	Technical Services, FT14584-Westin NY-270 W 43-PON	9,820
DSM Engineering Assoc, P.C.	Technical Services, FT14500 - 5 Madison - FTC	14,950
	Technical Services, FT14654 - 2175 Cedar Ave -FTC	27,270
	Technical Services, FT14883 - 400 West 58 - FTC	23,149
	Technical Services, FT14918 - 444 East 75th Street	30,731
DTN, LLC	ENERGY ANALYSIS, Purchase 12-month subscription	52,224
Dual Fuel Corp	OJT	54,109
East Light Partners PBC	NY-SUN, NY-Sun ICSA	1,499,040
Ecogy New York III LLC	>200KW PV, NY-Sun	744,150
ECOLOGY NEW YORK XVII LLC	>200KW PV, NY-Sun	409,780
Ecology and Environment Engineering	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	405,200
Ecority	Ecority	8,820
EDF Renewables Development, Inc	REC:CES REC Contracts, RESRFP20-1	38,222,829
EDF Renewables Development, Inc.	REC:CES REC Contracts, RESRFP20-1	96,227,867
Edison Energy, LLC	Real Time Enrgy Management, EnerActive-300 E 66th St-RTEM	29,160
	Technical Services, FT14302 - 415 E 68th - FTC	85,725
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	262,332
	<200KW PV, PON 2112 NY SUN	219,018
	>200KW PV, NY Sun	1,124,940
	NY-SUN, NY Sun	524,972
	NY-SUN, NY-Sun	52,466
Ellicott Station LLC	New Construction Housing, 2019 LRNCP	53,000
ELP Kipp Solar LLC	>200KW PV, NY Sun	650,052
	NY-SUN, NY Sun	800,064
ELP Myer Solar LLC	>200KW PV, NY Sun	509,847
	NY-SUN, NY Sun	899,730
ELP Stillwater Solar LLC	REC:CES REC Contracts, ELP Stillwater_RESVCO2021	16,708,475
Ember Strategies, LLC	Empire Building Challenge, EBC Playbook 2.0- Advisory	50,000
EMCOR Services Betlem	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	NYCH: Technical Assistance, FT13725 - 100 Borinquen - FTC	8,268
	REV Campus Challenge, FT14401- 615 West 31st - FTC	24,360
	Technical Services, FT14226- 1565 Jefferson - FTC	8,007
	Technical Services, Indoor Air Quality TWO - Emcor	200,000
EMCOR Services New York/New Jersey, Inc.	Technical Services, FT14425- 999 West Main-FTC	127,983
EME Consulting Engineering Group, LLC	CGSI-56_E - NYC PS K011 (1)_E	42,987
	CI Carbon Challenge, SA.034_TWO#20-Industrial_PM-1	30,614
	NYCH: Technical Assistance, FT13956 - Hughes Hall - FTC	39,100
	NYCH: Technical Assistance, FT14508-608 West 204-FTC- MFMR	10,000
	NYCH: Technical Assistance, FT14640 - ParcVues Condomi-FTC	10,000
	On-Site Energy Manager, SA.034_TWO#20-Industrial_PM-1	12,931
	Strategic Energy Manager, SA.034_TWO#20-Industrial_PM-1	54,424
	Tech Assistanc Multifamily LMI, SA.109_TWO#22-MF_APM	138,160

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
EME Consulting Engineering Group, LLC	Technical Services, FT13649 - 301 E. 17th - FTC	37,250
	Technical Services, FT14516-2515 Glenwood- FTC-MF	10,000
	Technical Services, SA.109_TWO#22-MF_APM	138,160
Emes Solar	<200KW PV, NY-Sun	61,194
	<200KW PV, PON 2112 NY SUN	13,448
	>200KW PV, NY-Sun	155,394
	>200KW PV, PON 2112 NY SUN	2,360,066
Empire Offshore Wind LLC	OREC: OSW Solicitations, OSWRFP20-1 Award_Empire Wind 2	3,800,000,000
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	13,064
Employee Leasing of Greater NY	NYSERDA ADMINISTRATION, TS.030 – Strategic Operations	49,263
	TS.023 - SQA_Coordinator	139,388
Empower CES, LLC	>200KW PV, PON 2112 NY SUN	173,988
	ENERGY STORAGE, PON 2112 NY SUN	206,250
Empower Equity Inc	Talent Pipeline:CE and OJT, PON 4772 R3 Chyan Hulbert	40,000
Enel X North America Inc	ESTOR:Retail Storage Incentive, Retail Storage	750,000
Energetic Insurance, Inc.	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	500,000
Energy and Environmental Economics Inc.	Electric Vehicles - Innovation, TWO 3 EV BCA update	50,000
Energy Cooperative of America	New Construction Housing, 2019 LRNCP	528,000
	New Construction Housing, 2020 LRCNP	420,000
Energy EDC Corp.	Talent Pipeline:CE and OJT, OJT	14,400
Energy Futures Group, Inc.	Market Support Tools &Activity, Total Building Perf Training	49,520
Energy Management Solutions, LLC	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	OJT	25,920
Energy Savers Inc	NYCH: Talent Ppln:CE and OJT, OJT	13,440
	OJT	56,640
Energy Service Technologies, LLC	NYCH: Talent Ppln:CE and OJT, OJT	7,200
Energy Technology Savings, Inc.	Real Time Enrgy Management, EnergyTech-40 West 57thSt-RTEM	7,436
Energiv Inc.	Real Time Enrgy Management, Energiv - 700 8th Ave - RTEM	8,684
Enica Engineering, PLLC	NYCH: Technical Assistance, FT13147 - NYPH Manhattan - FTC	87,946
	Technical Services, FT14313 - 200 West - FTC	42,332
Ensave, Inc.	Technical Services, Agricultural Best Practices	166,755
EOHY Generation Limited	REC2:CES REC2 Contracts, T2RFP21-1_MooseRiver Hydro	1,281,528
ePlus inc	NYSERDA ADMINISTRATION, Access points Extreme Networks	38,650
	NYSERDA ADMINISTRATION, Extreme Networks Renewal	9,005
	NYSERDA ADMINISTRATION, HORIZON AIR HYBRID-MODE	9,871
	NYSERDA ADMINISTRATION, nVidia VDI Licensing - 1yr	18,315
	NYSERDA ADMINISTRATION, VMware NSX Load Balancer	18,072
	NYSERDA ADMINISTRATION, Work Space one additional 300	22,800
Erie Boulevard Hydropower LP	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	2,071,973
ESNY-FU-400WESTCHESTER, LLC	>200KW PV, NY-Sun	550,050
ESNY-MED-MONTGOMERY LLC	>200KW PV, NY Sun	1,256,884
	NY-SUN, NY Sun	2,218,032
ESNY-RT-ELMSFORD, LLC	>200KW PV, NY-Sun	738,730
ESRI, Incorporated	NYSERDA ADMINISTRATION, ArcGIS Desktop and Server 1yr	26,820
Ethergroup LLC	OJT	22,320
Excelsior Energy Center, LLC	REC:CES REC Contracts, Excelsior Energy Ctr_RESVCO21	239,959,044

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
F&D Partners	OJT	42,272
FAC Homeownership HDFC	Tech Assistanc Multifamily LMI, FT14745 - 713 Third Ave	10,000
Feedback Solutions Inc.	NYCH: Innovation, Real-Time Occupancy based	86,657
Ficazzola Consulting, LLC	>200KW PV, PON 2112 NY SUN	7,275
FINGER LAKES POWER SYSTEMS LLC	<200KW PV, NY-Sun	10,192
	<200KW PV, PON 2112 NY SUN	15,000
Fingerlakes Renewables	<200KW PV, PON 2112 NY SUN	6,300
Fishtech Energy Partners LLC	Technical Services, FT14426-475 Park Ave -MF-FTC	12,435
	Technical Services, FT14427- 1160 Third- FTC-MF	12,435
	Technical Services, FT14431 - 345 81st - FTC	12,435
	Technical Services, FT14435- 298 Mulberry- FTC- MF	20,228
	Technical Services, FT14681 - 448-450 St. -FTC	10,000
Florenton River LLC	<200KW PV, NY-Sun	116,440
	<200KW PV, PON 2112 NY SUN	5,640
	>200KW PV, NY-Sun	29,110
	>200KW PV, PON 2112 NY SUN	180,080
Foam It Insulation, LLC	OJT	34,400
Foley & Lardner LLP	RFP 12: NYGB Legal Services	27,500
Four Points Group, Inc.	OTHER PROGRAM AREA, RFQL 3685 R2	284,927
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	12,780
Fox Television Stations, Inc.	NYCH: Technical Assistance, FT13185 - 205 East 67th - PON	25,347
Freehold Solar, LLC	>200KW PV, NY Sun	992,984
FreeWire Technologies, Inc.	CLEAN TRANSPORTATION, FreeWire DCFC Round 3	2,872,450
Fresh Maintenance LLC	EMPOWER NY, Single Family Residential	10,700
Friello and Sons Heating and Cooling, In	NYCH: Talent Ppln:CE and OJT, OJT	21,120
Fulton County Community Heritage Corpora	Technical Services, FT14738 - 305 County Hwy - PON	8,475
Fulton Friendship Housing Development Fu	New Construction Housing, 2019 LRNCP	58,400
Fusion Energy Services LLC	<200KW PV, PON 2112 NY SUN	78,538
FuzeHub, Inc.	OTHER PROGRAM AREA, 2023 NYS Summit Sponsorship	15,000
G.R.O. Energy Solutions, LLC	OJT	6,400
G&S Operations LLC	>200KW PV, PON 2112 NY SUN	143,177
Garnet Energy Center, LLC	REC:CES REC Contracts, GarnetEnergyCenter_RESVCO2021	234,144,030
Gartner Inc.	NYSERDA ADMINISTRATION, Gartner 2024 Renewal	44,416
GBA Commissioning Services, Inc	Technical Services, FT13305 - 11 West 53rd - FTC	202,250
Geatain Engineering PLLC	OJT	14,054
General Electric Co. Global Research	On-Site Energy Manager, OsEM23- GE Global Research Cen	214,000
General Electric Company	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	539,380
	Natl Offshore Wind R&D	539,380
Generate Capital Inc.	<200KW PV, NY-Sun	1,122,383
	>200KW PV, NY Sun	330,185
	>200KW PV, NY-Sun	355,974
Global Strategy Group,LLC	Support Services for H2 Hubs	50,000
Goldman Copeland Associates, P.C.	NYCH: Critical Tools, Geopossibilities Improvements	23,000
	REV Campus Challenge, FT14391 - Weill Cornell - FTC	10,779
	Technical Services, FT14380 - 47-22 Pearson - FTC	12,961
	Technical Services, FT14389 - 226 West 52nd - FTC	15,975

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Goldman Copeland Associates, P.C.	Technical Services, FT14397- 7 West 55th - FTC	13,999
	Technical Services, FT14434 - 170 Broadway - FTC	10,971
	Technical Services, FT14440 - 450 Park Ave - FTC	10,996
	Technical Services, FT14447-Lefrak-105-40 62nd-FTC	17,554
	Technical Services, FT14448-Lefrak-97-50Queens-FTC	16,056
	Technical Services, FT14461 - 151 W 54th - FTC	10,982
	Technical Services, FT14466 - The Millennium - FTC	15,983
	Technical Services, FT14554 - Cathedral of St.John	19,013
	Technical Services, FT14579-Jones Lang 119W 40-FTC	18,996
	Technical Services, FT14591 - North River - FTC	9,019
	Technical Services, FT14592 - NC North River - FTC	9,019
	Technical Services, FT14593 - Bulgroup - FTC	7,009
	Technical Services, FT14633 - Windows on 123 - FTC	18,742
	Technical Services, FT14646-Rubin Museum of Art	18,993
	Technical Services, FT14702 - Weill Cornell Med	9,580
	Technical Services, FT14720 - 125 West 31 - FTC	26,985
	Technical Services, FT14823 - Vornado Realty	6,499
	Technical Services, FT14829 - Vornado Trust Realty	11,975
	Technical Services, Indoor Air Quality TWO - Gold.	200,000
	Gowanus Green Partners LLC	NYCH: District, PON4614 Round #1 Gowanus
Great Oaks 150, LLC	Buildings of Excellence, BoE Rnd. 2 - Great Oaks Mixed	850,000
Gree Mechanical Services USA Corp	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Green City Force	Talent Pipeline:CE and OJT, PON3981 Round 6	250,000
Green Home Logic, Inc.	OJT	8,800
Green Hybrid Energy Solutions Inc.	<200KW PV, PON 2112 NY SUN	12,077
	>200KW PV, NY-Sun	129,786
	>200KW PV, PON 2112 NY SUN	156,135
	NY-SUN, NY-Sun	21,631
Green Power Developers, LLC	<200KW PV, PON 2112 NY SUN	152,219
Greene County Energy Properties, LLC	REC:CES REC Contracts, Greene Co. Energy Properties	13,272,894
GreenLogic, LLC	ENERGY STORAGE, PON 2112 NY SUN	23,900
Greenpoint Solar & Electrical, Inc.	<200KW PV, PON 2112 NY SUN	11,520
Greenstar Home Services	NYCH: Talent Ppln:CE and OJT, OJT	25,920
	OJT	32,640
Grid City Electric Corp	<200KW PV, NY-Sun	8,760
	>200KW PV, NY-Sun	13,140
GridPoint, Inc	Real Time Enrgy Management, City of Albany-Multisite-RTEM	136,267
Groundwork Hudson Valley	NY-SUN, PON 3414 - SW Yonkers Outreach	130,000
Group-S LLC	>200KW PV, PON 2112 NY SUN	10,320
	Multifam Performance Pgm, Multifamily	252,700
	NYCH: Technical Assistance, FT13856 - 54 Riverside - FTC	10,000
	NYCH: Technical Assistance, FT13865 - 152 W. 57th - FTC	26,000
	NYCH: Technical Assistance, FT13870 - 230 Park - FTC	19,600
	Tech Assistanc Multifamily LMI, FT13323 - 98 Co-Op City - FTC	185,000
	Technical Services, FT13189 - 135 E 57th - FTC	15,400
Technical Services, FT13583 - 135 W 70th - FTC	16,125	

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Group-S LLC	Technical Services, FT14120 - 125 N 10th - FTC	12,500
	Technical Services, FT14122 - 40 5th - FTC	9,000
	Technical Services, FT14129 - 583 Broadway	8,775
	Technical Services, FT14297 - 3220 Henry Hud - FTC	7,500
	Technical Services, FT14305 - 1 West 39th - FTC	28,500
	Technical Services, FT14394 - 224 East 47th - FTC	8,325
GSPP 4643 Twelve Corners Road, LLC	>200KW PV, NY Sun	801,601
	NY-SUN, NY Sun	1,109,909
GSPP 6335 Fresh Pond, LLC	>200KW PV, NY-Sun	12,789
GSPP 7024 Fox Rd, LLC	>200KW PV, NY Sun	1,249,356
	NY-SUN, NY Sun	1,616,816
Guidehouse Inc.	Grid ClimateTech Ready Capital, Guidehouse - DERSim Concept	50,000
Guth Deconzo Consulting Engineers	Technical Services, Indoor Air Quality TWO - Guth	200,000
Halcyon Inc.	NYCH: Talent Ppln:CE and OJT, OJT	28,800
Halcyon, Inc.	<200KW PV, NY-Sun	20,000
	<200KW PV, PON 2112 NY SUN	59,188
Hanwha Q Cells America Inc	>200KW PV, PON 2112 NY SUN	1,194,102
Harris Beach PLLC	NEW YORK GREEN BANK, Green Bank PAAA	17,225
Harris Energy Solutions LLC	Technical Services, FT14498 - 48-40 34th - FTC	10,875
	Technical Services, FT14499 - 158-11 Jewel - FTC	27,086
Harvest Power, LLC	<200KW PV, NY-Sun	236,464
	>200KW PV, NY-Sun	355,440
	>200KW PV, PON 2112 NY SUN	27,156
	ENERGY STORAGE, PON 2112 NY SUN	12,500
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:CE and OJT, OJT	37,680
	NYCH: Talent Ppln:CE and OJT, OJT HIRE	10,800
Hawthorn Solar, LLC	REC:CES REC Contracts, RESRFP20-1	11,769,381
Healthy Home Energy & Consulting, Inc.	OJT	7,040
Heat Inverse LLC	Talent Pipeline:CE and OJT, OJT	5,440
Hecate Energy Columbia County 1 LLC	REC:CES REC Contracts, Shepherd's Run_RESVCO2021	50,285,274
Hecate Energy-	REC:CES REC Contracts, RESRFP20-1_Hecate Cider Solar	150,155,815
HESP Solar, LLC	>200KW PV, NY-Sun	1,199,256
	NY-SUN, NY-Sun	199,876
Hesse Homes, LLC	Commercial New Construc, SF219685 - CNCP Incentive	7,167
Hidden Meadows Solar, LLC	>200KW PV, NY-Sun C&I	913,157
	NY-SUN, NY-Sun C&I	1,123,885
High Peaks Solar	OJT	10,440
Highland DG LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	9,900,000
Hollingsworth & Vose Company	On-Site Energy Manager, OsEM49-I Hollingsworth & Vose	203,921
	Technical Services, FT14282 - 3235 Co Rte 113	55,650
Homes for Heroes, Inc.	Single Family New Construction, 2020 LRNCP	49,000
Honeywell International Inc.	3695 TWO Umbrella Agreement	654,680
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TW..	18,170
	EMPOWER NY, 3695 TWO Umbrella Agreement	347,395
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	3,190,400
	HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO Umbrella ..	9,130

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Contractor	Contract Description	Total Contract Amount
Honeywell International Inc.	NENY:CHGE Empower Electric, 3695 TWO Umbrella Agreement	2,297
	NENY:CHGE Empower Gas, 3695 TWO Umbrella Agreement	1,000
	NENY:Con Ed Empower Electric, 3695 TWO Umbrella Agreement	4,030
	NENY:Con Ed Empower Gas, 3695 TWO Umbrella Agreement	13,090
	NENY:KEDNY Empower Gas, 3695 TWO Umbrella Agreement	2,000
	NENY:NFG Empower Gas, 3695 TWO Umbrella Agreement	90,573
	NENY:NIMO Empower Electric, 3695 TWO Umbrella Agreement	4,030
	NENY:NIMO Empower Gas, 3695 TWO Umbrella Agreement	4,020
	NENY:NYSEG Empower Electric, 3695 TWO Umbrella Agreement	6,050
	NENY:NYSEG Empower Gas, 3695 TWO Umbrella Agreement	4,000
	NENY:O&R Empower Electric, 3695 TWO Umbrella Agreement	2,010
	NENY:O&R Empower Gas, 3695 TWO Umbrella Agreement	22,210
	NENY:RGE Empower Electric, 3695 TWO Umbrella Agreement	2,010
	NENY:RGE Empower Gas, 3695 TWO Umbrella Agreement	4,000
	Houghton College	Technical Services, OSEM28-C - Houghton College
Housing Action Council, Inc.	New Construction Housing, 2019 LRNCP	69,200
Housing Visions Consultants, Inc.	New Construction Housing, 2019 LRNCP	65,000
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	2,352,830
HUB Controls USA Inc	Cleantech Ignition, PON 3871 Ignition Grants	47,605
Hudson Hill Condominium	Technical Services, FT14051 - 462 W 58th - PON	7,909
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	21,500
Hydronic Specialty Supply	RENEWABLE HEAT NY, Smart Pre-Assembly for Boilers	283,700
	RENEWABLE HEAT NY, Smart Thermal Storage System	247,720
Hytech Solar Inc	<200KW PV, NY-Sun	7,680
	<200KW PV, PON 2112 NY SUN	5,184
	COMMUNITY SOLAR, PON 2112 NY SUN	26,786
	ENERGY STORAGE, PON 2112 NY SUN	18,750
IBC Engineering PC	K-12 SCHOOLS, P12GC-82_E - N. Syracuse - FTC	5,450
iCatalysts LLC	Innovation Advisors, Innovation Advisor - Innov Ops	175,000
ICF Incorporated LLC	Combined Heat and Power, TWO #5 - RNG Potential	34,122
	Environmental Research, TWO #5 - RNG Potential	8,531
Ichor Strategies LLC	Strategic Public Relations	500,000
IHS Global Inc.	ENERGY ANALYSIS, IHS Markit Subscription 2023	62,098
Impact PR & Communications, Ltd.	Impact Communications Support	171,600
Imperium3 New York Inc	OJT	56,640
Indent Builders Inc	<200KW PV, PON 2112 NY SUN	5,040
	>200KW PV, PON 2112 NY SUN	17,334
Industrial Economics, Incorporated	Code to Zero, TWO 1 StretchtoZero	156,869
	OREC: Technical Support, TWO #6 LSR Support Inflation	24,998
	REC:CES REC System Dev Costs, TWO #6 LSR Support Inflation	24,998
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	75,449
Integral Building & Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	15,360
Integrated HVAC Systems and Services	Real Time Enrgy Management, Integrated-702 Vandalia-RTEM	73,578
Interstate Renewable Energy Council, Inc	NYCH: Talent Ppln:CE and OJT, PON3981 Round 12	140,903
Invenergy Solar Development North Americ	REC:CES REC Contracts, Horseshoe Solar_RESVCO2021	174,449,410
Invenergy Wind, LLC	REC:CES REC Contracts, Alle-Catt Wind_RESVCO2021	466,841,264

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
IPPsolar Integration LLC	<200KW PV, NY-Sun	43,120
	ENERGY STORAGE, Retail Storage	786,500
	NY-SUN, NY Sun	2,250,000
	NY-SUN, NY-Sun	18,480
IPPsolar LLC	>200KW PV, NY Sun	1,125,000
	NY-SUN, NY Sun	1,125,000
J Synergy Solar LLC	<200KW PV, NY-Sun	7,300
	<200KW PV, PON 2112 NY SUN	13,132
	>200KW PV, PON 2112 NY SUN	53,835
J. Grace Corporation	OJT	12,691
J&A Electrical Construction LLC	<200KW PV, PON 2112 NY SUN	6,873
Jaros, Baum & Bolles	Cleantech POCC, Support Empire Tech Prize	355,000
	Empire Building Challenge, Support Empire Tech Prize	100,000
	REV Campus Challenge, FT13024 - NYU - FTC	41,265
	Technical Services, FT14232 - 745 7th Ave - FTC	67,486
	Technical Services, Indoor Air Quality TWO - JB&B	218,000
JBI Construction Group	<200KW PV, NY-Sun	41,796
	<200KW PV, PON 2112 NY SUN	74,520
	>200KW PV, PON 2112 NY SUN	17,415
Jefferson County	Clean Energy Communities, CEC711068 - Jefferson County	250,000
Jefferson Tenants Corp.	Technical Services, FT13595 - 55 E 9th - PON	5,650
John Addrizzo Paul Maghazeh Narrows Med	NYCH: Technical Assistance, FT13470 - 9920 Fourth - PON	6,310
John Betlem Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT	46,080
Jones Lang LaSalle Americas, Inc.	On-Site Energy Manager, OsEM25-I - IBM North Castle	205,448
Joy Gree LLC	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Kamtech Restoration Corp	<200KW PV, NY-Sun	64,432
	<200KW PV, PON 2112 NY SUN	97,620
	>200KW PV, PON 2112 NY SUN	97,250
Kasselman Solar LLC	<200KW PV, NY-Sun	22,680
	<200KW PV, PON 2112 NY SUN	201,277
Kawi Energy Group Corp.	OJT	28,848
KC Management Holdings LLC	OJT	20,800
Kelliher Samets LTD	Capital Planning, TWO 38 MF Low Carbon	20,060
	Clean Energy Hub, TWO 4 - CE Hubs launchsupport	31,000
	Eval MCDC: MF Building Stock, TWO 33 - MF Baseline Study	45,310
	Market Tests, TWO 21 - Multifamily Program	21,060
	Market Tests, TWO 22 Building Labeling Mkt	361,010
	Market Tests, TWO 23 - Building Labeling	87,079
	Multifam Performance Pgm, Marketing Support for NYSERDA	1,121,751
	NY-SUN, Marketing Support for NYSERDA	3,500,000
	NYSERDA ADMINISTRATION, KSV TWO 36 Website User Exper	139,680
	NYSERDA ADMINISTRATION, TWO 2 - Social Media Mgmnt	110,000
	NYSERDA ADMINISTRATION, TWO 6 - Logo Updates	32,000
	Retrofit NY, Marketing Support for NYSERDA	439,070
	Kerry Lipp	<200KW PV, PON 2112 NY SUN
Key Capture Energy, LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	11,811,250

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Contractor	Contract Description	Total Contract Amount
Kings Ford, Inc	CLEAN TRANSPORTATION, NYTVIP - Cintas Corporation	83,402
L&M Builders Group LLC	New Construction Housing, 2019 MFCNP	124,400
L&S Energy Services, Inc.	New Construction- Commercial, Commercial New Construction	22,000
	NYCH: Technical Assistance, FT13536 - Chatham Towers	18,350
	OJT	28,771
	Technical Services, AEAP 1611 - Circle K	6,000
	Technical Services, FT13716 - Warren County - FTC	10,984
LaBella Associates, P.C.	Albany Hyatt IE	36,225
	K-12 SCHOOLS, CGSI-26_E - Hudson Falls - FTC	43,295
	K-12 SCHOOLS, P12GC-51E - Rome CSD - FTC	120,155
	Technical Services, Indoor Air Quality TWO-Labela	200,000
LaGuardia Community College/CUNY	Talent Pipeline:OSW Training, OWTI Workforce Training	299,623
Lake Country Geothermal, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	27,840
Lamico Enterprises, LLC	NYCH: Talent Ppln:CE and OJT, OJT	20,480
	OJT	6,080
Landsman Development Corp.	Multifam Performance Pgm, Multifamily	162,000
	NYCH: LMI, Community Thermal Networks	475,200
Larchmont, Village of	Clean Energy Communities, CEC500647- Vill. of Larchmont	10,000
Leon A Clifford ET AL PTR	Multifam Performance Pgm, Multifamily	42,106
	Tech Assistanc Multifamily LMI, FT14146 - 119 N George - PON	10,000
Leviathan Solar Inc	COMMUNITY SOLAR, PON 2112 NY SUN	10,656
Levitan & Associates, Inc.	OREC: Technical Support, TWO#3 ORECRFP22 Support	831,000
Lincoln Park DG LLC	ESTOR: Bulk Storage Incentive, Bulk Storage Incentives	8,800,000
LineVision, Inc.	High Performing Grid, Power Grid Innovation	376,384
Little Bavaria Inc	NYSERDA ADMINISTRATION, 2024 Employee Apprtn Lunch	5,375
Little Pond Solar, LLC	REC:CES REC Contracts, Little Pond Solar_RESVCO2021	18,026,022
Livingston Energy Group	OJT	10,000
Local 32BJ Thomas Shortman Training	Workforce Industry Partnership, PON 3715 Workforce Training	124,380
Long Island Power Authority	NY-SUN, MOU - 3 year term	60,000,000
Long Island Power Solutions	<200KW PV, NY-Sun	5,712
	<200KW PV, PON 2112 NY SUN	67,960
	>200KW PV, PON 2112 NY SUN	32,868
	COMMUNITY SOLAR, PON 2112 NY SUN	5,832
	ENERGY STORAGE, PON 2112 NY SUN	17,550
Low-Level Radioactive Waste Forum, Inc.	NYSERDA ADMINISTRATION, 2024 LLW Forum Mem Dues	5,000
Luminace Aggregator, LLC	NY-SUN, NY Sun	912,576
M/E Engineering, P.C.	K-12 SCHOOLS, P12GC-89_E - Attica CSD - FTC	21,761
	New Construction- Commercial, Commercial New Construction	151,065
	New Construction- Commercial, New Construction	64,525
	NYCH: District, PON 4614 Rd #1 Syracuse U	95,120
	Technical Services, AEAP 1427 - Orchard Dale Fruit	6,000
	Technical Services, FT14528 - 230 Mountain - FTC	5,000
Madison Energy Holdings, LLC	>200KW PV, NY Sun	233,289
Madison Energy Investments V LLC	<200KW PV, NY-Sun	60,480
	>200KW PV, NY-Sun	251,100
Magnusson Architecture and Planning PC	Buildings of Excellence, BoE R1 - Design Team Incentive	112,500

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Malcarne Contracting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	24,960
Mannino Electric, Inc.	<200KW PV, PON 2112 NY SUN	9,360
Mark Carbone	Tech Assistanc Multifamily LMI, FT14682 - Mark Carbone - PON	10,000
Mark MaGrann Associates	Tech Assistanc Multifamily LMI, FT14284 - Fenix Living - FTC	12,719
	Technical Services, FT14068 - Fenix 2 - FTC	7,268
	Technical Services, FT14422- 63/67 Wall -FTC- MF	42,000
	Technical Services, FT14553-3215 Netherland-FTC-MF	10,000
Marriott Hotel Services	OREC: Technical Support, NY/NJ OSW Supplier Forum	198,858
Martin Rd Solar LLC	REC:CES REC Contracts, Martin Rd_RESVCO2021	15,282,332
Master Consulting Management Corp	NYCH: Talent Ppln:CE and OJT, OJT	29,760
Matthew C Desmarais	NYCH: Innovation, Double Hybrid Demonstrations	50,000
Matthews Buses Incorporated	CLEAN TRANSPORTATION, NYTVIP - Katonah Lewisboro CSD	200,000
Melrose North MM LLC	Multifam New Construction, New Construction	100,000
MEP Geothermal Engineering, PLLC	NYCH: District, PON 4614 Round #5	500,000
Michael Robinson	Buildings of Excellence, Buildings of Excellence R1	33,762
Michaels Energy, Inc.	Evaluation External, TWO 2 - Impact Eval PM Assist	538,200
MicroGrid Networks LLC	ESTOR:Retail Storage Incentive, Retail Storage	10,800,000
Midland Avenue Owners Corp	NYCH: Technical Assistance, FT13786 - Midland - PON	7,909
Minority Millennials	OREC: Technical Support, 2024 We Are The Future Summit	20,000
Mintzer Mauch PLLC	BR: Program Implementation, TWO 4 - BR Public Lands	15,000
Mission Power Corp.	OJT	23,040
	Talent Pipeline:CE and OJT, OJT	15,360
MJ Garden LLC	New Construction- Commercial, Commercial New Construction	55,048
Mobileware Inc	Pub Transit & Elect Rail, On-demand commuter carpooling	425,000
Mohawk Solar LLC	REC:CES REC Contracts, Large-Scale Renewables	98,332,809
Monadnock Constuction, Inc.	<200KW PV, NY-Sun	71,982
	>200KW PV, NY-Sun	119,970
Morgan Stanley Services Holding, LLC	LARGE SCALE RENEWABLES, 10th RPS Main Tier Solicitatio	30,860
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	2,498,740
MR. AIR NYC Corp.	NYCH: Talent Ppln:CE and OJT, OJT	68,400
MRV Group LLC	OREC: Technical Support, 2024 NCELC Summit Sponsorship	25,000
Nagle House, Inc.	Multifam Performance Pgm, Multifamily	126,000
National Association of Corporate Direct	NYSERDA ADMINISTRATION, 2023-24 Membership	14,298
National Grid	EVAL MCDC: TRM Support, TRM membership payment	136,038
National Solar Technologies	<200KW PV, PON 2112 NY SUN	129,418
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, NOWRDC-110-Tufts	399,689
	Nat'l OffShWind R&D Consortium, NOWRDC-119-ESTEYCO	150,000
	Nat'l OffShWind R&D Consortium, NOWRDC-122-GE Renewable	232,500
	NOWRDC-110-Tufts	399,689
	NOWRDC-119-ESTEYCO	150,000
	NOWRDC-122-GE Renewable	232,500
Natural Resources Defense Council, Inc.	NEW YORK GREEN BANK, 2023 GBN Membership	8,000
Navistar, Inc.	CLEAN TRANSPORTATION, NYTVIP - STA Inc	800,000
NECEC Institute	2022 NECEC Sponsorship	35,000
	Cleantech Ignition, 2022 NECEC Sponsorship	100,000
	Cleantech Ignition, NECEC Sponsorship 2023	50,000

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Contractor	Contract Description	Total Contract Amount
NECEC Institute	Electric Vehicles - Innovation, NCEC/AEG Northeast Conference	10,000
	Novel Bus Models & Offers, 2022 NECEC Sponsorship	35,000
Neighborhood Housing Services of Queens	NY-SUN, PON 3414 Electrify Queens	200,000
NESCAUM	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	358,500
	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assessment	614,500
	ENVIRONMENTAL RESEARCH, TWO #9 IDC Techology Transfer	100,000
NESEA	Empire Building Challenge, BENYC 2023 Conference	8,333
	Low Carbon Tech Demos, BENYC 2023 Conference	8,333
	New Construction Housing, BENYC 2023 Conference	8,333
	Talent Pipeline:CE and OJT, BENYC 2023 Conference	10,000
Netgains Engineering P.C.	K-12 SCHOOLS, P12GC-81_E - NY Special - FTC	51,000
	NYCH: Technical Assistance, FT13324 - 181 Varick - FTC	7,950
	Tech Assistanc Multifamily LMI, FT14280 - 461 Dean - FTC	60,000
	Technical Services, FT14281 - 27-19 44th - FTC	30,000
	Technical Services, FT14299 - 3816 Waldo - FTC	12,050
	Technical Services, FT14336 - 860-870 W 181 - FTC	27,446
	Technical Services, FT14368 - 181 E 65th - FTC	72,000
	Technical Services, FT14469-1280 Fifth- FTC- MF	47,673
	Technical Services, FT14470 - 56 Pondfield - FTC	10,624
	Technical Services, FT14568-DeKalb Avenue A-FTC	29,000
New Buildings Institute, Inc.	New Construction Housing, CNB Roadmap Writing	362,500
	New Construction- Commercial, CNB Roadmap Writing	362,500
	NYCH: Cost Reduction, TWO #2 Bldg Elec Roadmap Writi	8,453
	NYCH: Roadmap, TWO #2 Bldg Elec Roadmap Writi	202,862
New Flyer of America, Inc.	CLEAN TRANSPORTATION, NYTVIP - NFTA	3,850,000
New Leaf Energy, Inc.	>200KW PV, NY Sun	4,084,588
	NY-SUN, NY Sun	2,690,258
New Leaf Solar LLC	<200KW PV, PON 2112 NY SUN	5,772
New Water Street Corporation	Technical Services, OsEM56-C-New Water Street Corp	214,000
New York Association of Training and Emp	Talent Pipeline:CE and OJT, 2024 Youth Partitioners' Forum	10,000
New York Bus Sales LLC	CLEAN TRANSPORTATION, NYTVIP - Ithaca City Schools	1,000,000
New York Design Center, Inc.	Technical Services, FT13223 - 200 Lexington - PON	16,670
New York Engineers, P.C.	K-12 SCHOOLS, CGSI-54_E - Margaretville CS	48,561
	Tech Assistanc Multifamily LMI, FT14358 - Multiple - FTC	31,698
	Technical Services, FT14191 - 41 Box - FTC	10,428
	Technical Services, FT14269 - Multiple - FTC	33,982
	Technical Services, FT14321 - Daisy - FTC	24,534
	Technical Services, FT14347 - 350 Madison - FTC	34,784
	Technical Services, FT14439- Emcee Management- FTC	59,062
	Technical Services, FT14463- Daisy- Group 2 - FTC	89,016
	Technical Services, FT14464- Daisy- Group 3- FTC	68,160
	Technical Services, FT14523-Daisy Group 4- FTC-MF-	13,028
Technical Services, FT14795 -Rudin Management-FTC	21,417	
New York Medical College	REV Campus Challenge, REVCC_ETL_Comp_Round 3	1,300,000
New York Passive House Inc.	New Construction Housing, 2023 Regenerative Metropolis	5,000
	Retrofit NY, 2023 Regenerative Metropolis	5,000

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Contractor	Contract Description	Total Contract Amount
New York Real Estate Chamber, Inc	NEW YORK GREEN BANK, NYREC Membership for NYGB	10,000
New York Solar Energy Industries Assoc.	NY-SUN, Sponsorship	20,000
New York State Foam & Energy LLC	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	OJT	14,720
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	42,559
New York University	Cleantech Incubator, PON3413 Clean Energy Incubator	4,670,000
Newport Ventures, Inc.	Code to Zero, RFQL 3711 TWO#5	43,576
Nexamp Capital, LLC	>200KW PV, NY Sun	711,311
	NY-SUN, NY Sun	753,152
Next Generation Solar, LLC	<200KW PV, NY-Sun	24,712
	<200KW PV, PON 2112 NY SUN	18,900
Nextera Energy Capital Holdings Inc	>200KW PV, NY-Sun C&I	2,547,838
	NY-SUN, NY-Sun C&I	3,297,202
Niagara Frontier Automobile Dealers	Electric Vehicles - Innovation, 2024 Buffalo Auto Show	5,900
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	6,720
NineDot Energy, LLC	OJT	46,080
NJR Clean Energy Ventures III Corp.	>200KW PV, NY Sun	1,143,162
	NY-SUN, NY Sun	1,008,672
NK 80 Maiden Owner, LLC	Technical Services, FT13278 - 80 Maiden - PON	27,935
Noco Energy Corp.	NYCH: Talent Ppln:CE and OJT, OJT	46,560
Noresco LLC	Technical Services, FT14816 - BVK - 55 West 125	15,005
	Technical Services, FT14840 - SL Green Realty	28,445
North Catskill DG LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	9,900,000
North River Design Build LLC	OJT	10,768
North Side Energy Center, LLC	REC:CES REC Contracts, NorthSide_RESVCO2021	176,084,277
Northeast Energy Efficiency Partnerships	Clean Energy Communities, 2023 NEEP Membership	10,000
	Code to Zero, 2023 NEEP Membership	50,000
	ENERGY ANALYSIS, 2023 NEEP Membership	10,000
	NYCH: Critical Tools, 2023 NEEP Membership	30,000
	NYCH: Critical Tools, Heat Pump Rating	50,000
	NYCH: Technical Assistance, Single Family Residential	181,668
	Prof & Expert Engagement, 2023 NEEP Membership	50,000
	RTEM and Tenants, 2023 NEEP Membership	15,000
Northeast Green Building Consulting, LLC	New Construction Housing, NCP Housing	10,000
Northeast States for Coordinated Air Use	ENVIRONMENTAL RESEARCH, NY climate clearinghouse	699,998
Northwell Health, Inc.	Fuel Cells, Fuel Cell Incentive - FC-037	550,000
Novel Approaches Solar Applications, LLC	<200KW PV, PON 2112 NY SUN	9,000
NP Environmental LLC	Large-Scales GSHP Rebate	159,336
	NYCH: Talent Ppln:CE and OJT, OJT	11,040
NY Bath I, LLC	>200KW PV, NY-Sun C&I	1,175,040
NY Building Systems Consultant Inc.	OJT	20,880
	Technical Services, FT14599 - 205 E 77 ST - FTC	15,300
	Technical Services, FT14601 565 Tenants - 565 Park	11,620
	Technical Services, FT14705 -345 Riverside Dr -FTC	10,000
	Technical Services, FT14737 - Fort Place Coop -FTC	18,150
	Technical Services, FT14777-155 Condominium-FTC	20,400

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
NY Building Systems Consultant Inc.	Technical Services, FT14920 - 169 E 78 St	10,930
	Technical Services, FT14925 - Active -234 Skillman	20,300
	Technical Services, FT14934 - 43 Tenants Corp - 43	18,350
NY CDG 008 LLC	>200KW PV, NY-Sun	86,572
NY DIX I LLC	>200KW PV, NY-Sun C&I	1,023,840
NY PLATTSBURGH I LLC	>200KW PV, NY-Sun C&I	1,006,020
NY Triangle I, LLC	>200KW PV, NY Sun	584,496
NYS Economic Development Council	CI Carbon Challenge, NY Loves Nanotech Silver Spons	5,000
NYS Essential Power	<200KW PV, PON 2112 NY SUN	5,760
NYS Office of General Services	RTEM and Tenants, EE/BE Technical Conference	5,000
NYS OGS	SARATOGA TECHNOLOGY & ENERGY PARK, TEC-SMART, Buildin..	140,000
NYSS LLC	<200KW PV, NY-Sun	62,720
	<200KW PV, PON 2112 NY SUN	232,282
	COMMUNITY SOLAR, PON 2112 NY SUN	85,208
OLA Consulting Engineers, P.C.	Commercial New Construc, Commercial New Construction	22,000
	New Construction- Commercial, Commercial New Construction	47,990
Omni Burt A Solar, LLC	>200KW PV, NY Sun	1,124,760
	NY-SUN, NY Sun	524,888
On Grid Infrastructure Services, LLC	<200KW PV, PON 2112 NY SUN	11,232
ONE ARCHITECTURE AND URBANISM	NYCH: District, ATES Market Potential Study	246,930
Onsite Energy, Inc.	<200KW PV, PON 2112 NY SUN	10,000
OPAL ENERGY GROUP LLC	<200KW PV, PON 2112 NY SUN	86,016
Opinion Dynamics Corporation	Cleantech Startup Growth, RFQ3183 Umbrella Agreement	195,342
Orion Polymer Corp	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	200,000
Orleans Niagara BOCES	Talent Pipeline:CE and OJT, Electric Vehicle (EV)	24,967
Orrick Herrington & Sutcliffe LLP	Cleantech Ignition, RFP 12: NYGB Legal Services	10,006
Ossining Energy Storage 1 LLC	ESTOR:Retail Storage Incentive, Retail Storage PayeeAssignment	2,625,000
Otsego County	CLEANER GREENER COMMUNITIES, CEC610873 - Otsego County	250,000
Owlvile Creek Solar 2, LLC	>200KW PV, NY-Sun C&I	1,294,704
	Solar Plus Energy Storage, NY-Sun C&I	3,500,000
OwnBackup Inc.	NYSERDA ADMINISTRATION, Own backup for Salesforce, Key	58,644
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	31,452
Park Regis Apartment Corp.	NYCH: Technical Assistance, FT13787 - 50 E 89th - FTC	7,909
Partner Energy, Inc.	Technical Services, FT14135 - 645 Madison - FTC	9,515
Passive House Accelerator LLC	New Construction Housing, New Construction	35,000
	New Construction Housing, Reimagine Festival Event 2024	60,000
	New Construction- Commercial, New Construction	15,000
	New Construction- Commercial, Passive House Savings Tool	50,000
	New Construction- Commercial, Reimagine Festival Event 2024	15,000
Passive House Institute US	New Construction Housing, Strategic Industry Partner Eng	20,000
	New Construction- Commercial, Strategic Industry Partner Eng	10,000
	Single Family New Construction, Strategic Industry Partner Eng	20,000
Pathfinder Engineers & Architects, LLP	New Construction- Commercial, Commercial New Construction	173,478
Patriot Energy Solutions Corp	<200KW PV, NY-Sun	36,589
	<200KW PV, PON 2112 NY SUN	42,308
	>200KW PV, PON 2112 NY SUN	14,016

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
People Inc	New Construction Housing, 2020 LRNCP	44,000
People United for Sustainable Housing In	Single Family New Construction, NCP Housing	15,000
Perdita Flats Development, LLC	Buildings of Excellence, Buildings of Excellence R1	59,976
PitchBook Data, Inc.	OTHER PROGRAM AREA, 1 year subscription	40,000
Pivot Energy Development LLC	>200KW PV, PON 2112 NY SUN	155,520
Pivotal 180, LLC	2023 New Hire Modeling Course	32,100
	NEW YORK GREEN BANK, 2023 New Hire Modeling Course	10,880
PlugPV, LLC	<200KW PV, NY-Sun	47,436
	<200KW PV, PON 2112 NY SUN	204,692
Potsdam Scensors LLC	OJT	19,680
Power Advisory LLC	OREC: Technical Support, TWO 4 IE Michael Killeavy_ OREC	85,000
Power to Hydrogen LLC	Energy Storage Tech/Prod Dev, PON4169 Round #1	100,000
Powerlutions, LLC	<200KW PV, PON 2112 NY SUN	5,082
Pratt Institute	OJT	21,970
	REV Campus Challenge, RM24 - Pratt Institute	19,874
Premier Solar Solutions LLC	<200KW PV, NY-Sun	10,520
	>200KW PV, NY-Sun	1,350
	>200KW PV, PON 2112 NY SUN	21,312
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	5,025
Propmodo Inc.	RTEM and Tenants, 2023 PropTech Challenge	8,500
Protek Information Technology Services L	NYSERDA/DEC AQ Monitoring	8,000,000
Provantage, LLC	NYSERDA ADMINISTRATION, Microsoft Surface Laptop - 20	29,280
	NYSERDA ADMINISTRATION, Monitors 23 1080p - 17 CC	9,900
	NYSERDA ADMINISTRATION, Monitors HP Smart Buy E27M	7,210
	NYSERDA ADMINISTRATION, Wireless headsets 35 NYC 2nd	6,825
	NYSERDA ADMINISTRATION, Wireless headsets NYC	19,500
Providence Housing Development Corp	New Construction Housing, NCP Housing	39,000
Public Utility Law Project of New York,	SFY 22-23 PULP Appropriation	1,350,000
Pure Performance Renewable Energy Soluti	OJT	12,800
Pure Point Energy	<200KW PV, PON 2112 NY SUN	9,200
Quest Home Improvement Inc	>200KW PV, PON 2112 NY SUN	90,824
R.W. Beck Group, Inc.	Commercial Real Estate Ten, StakeholderEngagement_Outreach	80,972
	K-12 SCHOOLS, StakeholderEngagement_Outreach	80,972
	Technical Services, StakeholderEngagement_Outreach	80,972
RAHF IV Shore Hill, LLC	Multifam Performance Pgm, Multifamily	391,300
Ramboll Americas Engineering Solutions,	OTHER PROGRAM AREA, JT Toolkit Deliverables Review	15,000
Randstad North America, Inc.	Capital Planning, PS TWO #70 - Multifamily Sr.PM	214,695
	Clean Energy Communities, Payroll Services - Communities	164,561
	Clean Energy Communities, Payroll Services_CEC PM-1	143,013
	Clean Energy Communities, TWO #74_Communitis_ PM-1	177,450
	Healthy Homes VB Payment Pilot, Payroll Services_EAE	116,100
	Home Perf w Energy Star, Payroll Services_EAE	194,730
	Informat. Products & Brokering, PS TWO #68 - AES Intern	20,343
	NYSERDA ADMINISTRATION, PS TWO #77 - HR Intern	25,500
	NYSERDA ADMINISTRATION, TS.018 - Marketing _APM	222,264
RBW Studio LLC	OJT	53,760

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Contractor	Contract Description	Total Contract Amount
RE-Nuble, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	128,034
Re:Vision Architecture, Inc.	Buildings of Excellence, BoE Rnd. 2 - DTL Great Oaks	150,000
REC Solar Commercial Corporation	>200KW PV, NY Sun	825,000
RED-Rochester LLC	Real Time Enrgy Management, REDRoch-1200 Ridgeway-RTEM	579,544
ReEnergy Black River LLC	LARGE SCALE RENEWABLES, Black River Facility	99,054,350
Regional Greenhouse Gas Initiative, Inc.	ENERGY ANALYSIS, RGGI 2024 Funding Agreement	869,664
Renovus Energy, Inc.	<200KW PV, NY-Sun	13,184
	<200KW PV, PON 2112 NY SUN	5,000
Rensselaer Polytechnic Institute	OTHER PROGRAM AREA, PON 3249	350,043
Research Foundation of CUNY	Talent Pipeline:CE and OJT, PON3981 Round 3	186,548
Residences at Covered Bridge LLC	Multifam Performance Pgm, Multifamily	138,600
Responsible Offshore Science Alliance	OREC: Technical Support, 2023 ROSA Membership	50,000
Richair Mechanical Inc.	NYCH: Talent Ppln:CE and OJT, OJT	55,920
Ridgeline Heating and Cooling, LLC	NYCH: Talent Ppln:CE and OJT, OJT	31,680
Robert Derector Associates	REV Campus Challenge, FT14412 - 500 West 185th - FTC	29,400
	Technical Services, FT14339 - 1301 AoA - FTC	28,000
	Technical Services, FT14346 - 1 Dock 72 Way - FTC	16,800
	Technical Services, FT14676 - MEPT 757 Third Ave	24,500
Robison Energy LLC	MULTIFAMILY PERFORMANCE PROGRAM, Oil Monitoring Pilot	50,000
Rochester Cornerstone Group, LTD	Tech Assistanc Multifamily LMI, FT14580 - Rochesters Corne-PON	10,000
Rochester General Hospital	Commercial New Construc, NCP15042-CriticalCarePav-OFLT	369,200
Rochester Institute of Technology	M-Corps, ERP	49,625
Rock District Solar, LLC	REC:CES REC Contracts, Rock District Solar_RESVCO2021	20,508,800
Rocky Mountain Institute	Code to Zero, 140390 TWO#1	96,875
	Consumer Ed and Market Support, 140390 TWO#1	96,875
	New Construction Housing, 140390 TWO#1	666,667
	New Construction- Commercial, 140390 TWO#1	395,833
	TWO 1 - H2 Hubs Support	50,000
Rose Capital, LLC	Empire Building Challenge, EBC-Phase I-JRCo	125,000
	NYCH: Empire Build Challenge, EBC-Phase I-JRCo	125,000
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mana..	389,642
RTS Solutionz, Inc.	NYSERDA ADMINISTRATION, Brooklyn Rm Upgrade -1359	58,820
Ryan Plumbing Heating Air Conditioning	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	OJT	7,360
Sabin Metal Corporation	Technical Services, FT14776 - Sabin - PON - IND	13,050
SafariNY Corp.	OJT	30,720
Same Sun of Vermont, Inc	<200KW PV, PON 2112 NY SUN	34,125
SANFILIPPO SOLUTIONS INC.	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	OJT	54,560
Sanford Plaza Apartment Corp	Multifam Performance Pgm, Multifamily	126,000
Saratoga Solar II, LLC	>200KW PV, NY Sun	843,243
	NY-SUN, NY Sun	1,167,566
Scepter New York, Inc	Industrial Process Effic, Industrial Process Efficiency	450,000
Schenectady County	Clean Energy Communities, Schenectady County	250,000
Sea Bright Solar, LLC	>200KW PV, PON 2112 NY SUN	94,842
SED NY Holdings	REC:CES REC Contracts, SED Dog Corners Solar_RESVCO21	15,913,702

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
SED NY Holdings	REC:CES REC Contracts, SED Hills Solar_RESVCO2021	15,366,526
	REC:CES REC Contracts, SED Skyline Solar_RESVCO2021	15,759,750
	REC:CES REC Contracts, SED Watkins Road Solar I_VCO21	15,457,722
Shared Mobility, Inc.	OJT	10,272
	Talent Pipeline:CE and OJT, CJF PON 4772 Round 2	40,000
Sharon Springs Village	Clean Energy Communities, CEC600971 V Sharon Springs	50,000
Sheland Farms LLC	Anaerobic Digesters, PON 3739 CAT C	292,750
SHI, Inc.	NYSERDA ADMINISTRATION, Embarcadero ER/Studio Support	12,499
Shrub Oak International School	Commercial New Construc, NCP15055 - Shrub Oak	84,476
Siemens Industry, Inc.	Future Grid Perf. Challenges, Load forecasting & impact asmt	741,000
	Real Time Enrgy Management, Siemens - 57 E 57 St - RTEM	300,000
	Real Time Enrgy Management, Siemens-84 Greenwood St-RTEM	163,664
	Real Time Enrgy Management, Siemens-100 Mendon-RTEM	69,083
	Real Time Enrgy Management, Siemens-153 W Buffalo-RTEM	22,866
Silver Lake Solar LLC	Real Time Enrgy Management, Siemens-5285 Lewiston-RTEM	81,180
	REC:CES REC Contracts, Silver Lake Solar_RESVCO2021	19,252,800
Simple Energy, Inc.	Electric Vehicles - Innovation, PON 3578 R1 CAT4	483,975
Simple Integrity LLC	New Construction Housing, NCP Housing	29,900
Simply Installs LLC	NYCH: Talent Ppln:CE and OJT, OJT	19,920
Sisters of Charity Health Care System Ho	Tech Assistanc Multifamily LMI, FT14931 - Sisters of Charity	10,000
Sive Paget & Riesel PC	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	8,352
	RFP 12: NYGB Legal Services	14,397
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	5,320
Slate Hill Solar LLC	>200KW PV, NY Sun	388,900
Smith Engineering PLLC	NYCH: District, Brookfield Place	100,000
	Technical Services, FT13697 - 1 Liberty - FTC	129,626
	Technical Services, FT14049 - 5 Bryant - FTC	83,778
	Technical Services, FT14151 - 3000 Vesey - FTC	65,344
	Technical Services, FT14625-RXR PO Owner- 450	44,252
	Technical Services, FT14660-Memorial Sloan Ketteri	14,268
	Workforce Industry Partnership, PON 3715 BOM Training	345,958
	Workforce Industry Partnership, PON 3715 Workforce Training	95,034
SNL Construction LLC	New Construction- Commercial, Commercial New Construction	195,212
Socotec, Inc	New Construction- Commercial, CNCP 2022	109,105
	New Construction- Commercial, Commercial New Construction	29,995
	Technical Services, FT13154 - 845 Third - FTC	8,584
	Technical Services, Indoor Air Quality TWO-Vidaris	200,000
Software People, Inc.	OTHER PROGRAM AREA, TWO1 ASANA PM	404,984
SOLANTA CORP	<200KW PV, NY-Sun	20,368
	<200KW PV, PON 2112 NY SUN	18,544
	>200KW PV, NY-Sun	16,206
	>200KW PV, PON 2112 NY SUN	19,250
	NY-SUN, NY-Sun	2,701
Solar Alchemy, Inc.	<200KW PV, PON 2112 NY SUN	7,500
Solar and Wind FX, Inc. (Chris Schaefer)	<200KW PV, PON 2112 NY SUN	7,392
Solar Bear Energy LLC	<200KW PV, PON 2112 NY SUN	15,536

Contracts Completed
Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Contract Amount
Solar Energy Systems, LLC	<200KW PV, NY-Sun	53,738
	>200KW PV, NY-Sun	161,214
	>200KW PV, PON 2112 NY SUN	313,728
	COMMUNITY SOLAR, NY-Sun	64,990
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	199,738
	<200KW PV, PON 2112 NY SUN	661,576
	>200KW PV, PON 2112 NY SUN	42,924
Solar Village Company LLC	<200KW PV, NY-Sun	459,000
	Buildings of Excellence, Buildings of Excellence R1	850,000
	New Construction Housing, NCP Housing	348,000
SolarCommunities Inc.	<200KW PV, PON 2112 NY SUN	260,181
Solitude Solar LLC	>200KW PV, NY Sun	2,524,040
	NY-SUN, NY Sun	1,231,524
Somers Solar, LLC	REC:CES REC Contracts, RESRFP20-1	11,922,311
Soulful Synergy, LLC	OJT	46,080
Southern Tier Technologies LLC	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Southview Manor Apartments LLC	Multifam Performance Pgm, Multifamily	16,100
Speridian Technologies LLC	GJGNY Market Rate Audits, Speridian UiPath Setup	24,000
	Home Perf w Energy Star, Speridian UiPath Setup	50,000
Spring Valley Preservation Limited Partn	Multifam Performance Pgm, Multifamily	154,000
SSC Lysander LLC	>200KW PV, NY Sun	917,941
	NY-SUN, NY Sun	1,187,923
SSC Oswego LLC	>200KW PV, NY Sun	562,046
	NY-SUN, NY Sun	727,353
St. John Fisher College	REV Campus Challenge, RM22 - St. John Fisher College	153,988
St. Lawrence County	Clean Energy Communities, CEC711051 St. Lawrence Co	250,000
St. Lawrence-Lewis Boces	Talent Pipeline:CE and OJT, Zero Emission Vehicle Training	24,966
State University of New York-SUNY Cortla	Talent Pipeline:CE and OJT, PON 4772 R3 (Lady Ajayi)	40,000
Steven Winter Associates, Inc.	Housing Agencies Support, Multifamily	139,971
	Market Tests, Market Insights	288,680
	Multifam Performance Pgm, Multifamily	10,000
	NYCH: Technical Assistance, FT13557 - 39-60 54th - FTC	20,000
	NYCH: Technical Assistance, FT13660 - 500 W. 43rd - FTC	30,000
	NYCH: Technical Assistance, FT13667 - 225 Fifth - FTC	23,425
	NYCH: Technical Assistance, FT13668 - 175-191 Willough-FTC	30,000
	NYCH: Technical Assistance, FT13672 - 509 Pacific - FTC	12,350
	NYCH: Technical Assistance, FT13675 - 20 West 53rd - FTC	37,000
	NYCH: Technical Assistance, FT13678 - 55 Wall - FTC	40,000
	NYCH: Technical Assistance, FT13710 - 944 Park Ave	12,750
	Talent Pipeline:CE and OJT, PON3981 Round 10	209,703
	Technical Services, FT14163 - 115 Ashland - FTC	33,000
	Workforce Industry Partnership, PON 3715 (R6) BOM	140,591
	Workforce Industry Partnership, PON 3715 Workforce Training	641,088
Stone Environmental, Inc.	Informat. Products & Brokering, RTEM Gas Customer Targeting	101,000
StorEn Technologies Inc.	Energy Storage Tech/Prod Dev, PON 3585 R2	199,866
Strada Collaborative, Inc.	K-12 SCHOOLS, Roadtrip Nation	750,000

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Strada Collaborative, Inc.	NYCH: Talent Ppln:CE and OJT, Roadtrip Nation	227,000
	Talent Pipeline:CE and OJT, Roadtrip Nation	20,000
STRATCO PROPERTY GROUP INC	NYCH: Talent Ppln:CE and OJT, OJT	64,171
STREAM Collaborative Architecture + Land	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	10,584
Sun Source Technologies	<200KW PV, PON 2112 NY SUN	81,117
SuNation Solar Systems, Inc.	<200KW PV, NY-Sun	30,644
	<200KW PV, PON 2112 NY SUN	47,536
	>200KW PV, PON 2112 NY SUN	32,400
	COMMUNITY SOLAR, NY-Sun	8,394
	COMMUNITY SOLAR, PON 2112 NY SUN	135,304
	ENERGY STORAGE, NY-Sun	15,400
	ENERGY STORAGE, PON 2112 NY SUN	100,000
SunEast Augustus Solar LLC	REC:CES REC Contracts, RESRFP20-1	11,621,089
SunEast Flat Creek Solar LLC	REC:CES REC Contracts, RESRFP20-1	92,656,716
SunEast Flat Stone Solar, LLC	REC:CES REC Contracts, RESRFP20-1	13,238,171
SunEast Kingbird Solar, LLC	REC:CES REC Contracts, RESRFP20-1	12,511,775
SunEast Renewables LLC	REC:CES REC Contracts, Manchester Solar_RESVCO2021	17,134,785
	REC:CES REC Contracts, SED Flat Hill_RESVCO2021	11,320,113
	REC:CES REC Contracts, SunEast Fairway_RESVCO2021	10,352,286
	REC:CES REC Contracts, SunEast Grassy KnollRESVCO2021	11,439,204
	REC:CES REC Contracts, SunEast Highview_RESVCO2021	10,461,974
	REC:CES REC Contracts, SunEast Hilltop_RESVCO2021	11,681,550
	REC:CES REC Contracts, SunEast Limestone_RESVCO2021	10,380,223
	REC:CES REC Contracts, SunEast TableTop_RESVCO2021	27,678,561
	REC:CES REC Contracts, SunEast Valley_RESVCO2021	10,646,972
SunEast Transit Solar LLC	REC:CES REC Contracts, RESRFP20-1	12,744,139
Sunkeeper Solar LLC	<200KW PV, NY-Sun	108,610
	>200KW PV, NY-Sun	229,854
	>200KW PV, PON 2112 NY SUN	95,676
Sunlight Energy Group LLC	OJT	9,600
Sunnova Energy Corp	<200KW PV, PON 2112 NY SUN	7,500
SunPower Capital, LLC	<200KW PV, NY-Sun	13,140
	<200KW PV, PON 2112 NY SUN	78,974
SunPower SolarProgram 1, LLC	ESTOR:Retail Storage Incentive, Retail Storage	3,356,280
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	170,240
	<200KW PV, NY-Sun	153,717
	<200KW PV, PON 2112 NY SUN	138,834
Sunrise Energy Corp.	COMMUNITY SOLAR, PON 2112 NY SUN	6,396
Sunrise Solar Solutions, LLC	<200KW PV, NY-Sun	28,800
	>200KW PV, NY-Sun	86,400
	>200KW PV, PON 2112 NY SUN	374,568
SunRun, Inc	<200KW PV, NY-Sun	5,986
	<200KW PV, PON 2112 NY SUN	35,582
	ENERGY STORAGE, PON 2112 NY SUN	6,250
SUNY - ESF	Environmental Research, ALTM SUNY ESF	612,109
SUNY Morrisville	REV Campus Challenge, RM37-SUNY Morrisville	211,891

Contracts Completed
Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Contract Amount
SUNY Ulster	Talent Pipeline:CE and OJT, PON3981 Round 4	249,700
SUNY Upstate Medical University	New Construction- Commercial, SF184516 - SUNY Upstate 725 E	100,625
Surf Clean Energy Inc	<200KW PV, NY-Sun	214,024
	<200KW PV, PON 2112 NY SUN	34,916
	>200KW PV, PON 2112 NY SUN	82,050
	COMMUNITY SOLAR, NY-Sun	23,598
	COMMUNITY SOLAR, PON 2112 NY SUN	80,784
	ENERGY STORAGE, NY-Sun	25,200
Sustainable Comfort, Inc	New Construction Housing, NCP Housing	34,000
	New Construction Housing, NCP Housing 2022	10,000
	OJT	7,693
Sustainable Energy Advantage, LLC	REC:CES REC System Dev Costs, REMO Subscription	54,900
Sustainable Energy Developments Inc.	<200KW PV, NY-Sun	81,792
	<200KW PV, PON 2112 NY SUN	44,226
Sustainable Investment Group	Technical Services, FT13285 - 218 W 40th - FTC	10,600
	Technical Services, FT13286 - 499 7th Ave - FTC	10,950
Syska Hennessy Group	NYCH: Technical Assistance, FT13590 - 51 Madison - FTC	57,475
	Technical Services, Indoor Air Quality TWO - Syska	200,000
Taitem Engineering, P.C.	New Construction Housing, 2019 MFCNP	5,508
	New Construction- Commercial, Commercial New Construction	39,881
	Retrofit NY, MPP QA.QC services TWO#3	100,000
Talisen Technologies, Inc	Real Time Enrgy Management, Energy Mangt Data_Tech Supp	2,146,000
	RTEM and Tenants, Energy Mangt Data_Tech Supp	600,000
TAP, Inc.	OJT	12,480
Tayandenega Solar, LLC	REC:CES REC Contracts, Tayandenega Solar_RESVCO2021	19,867,860
Tech Valley Talent, LLC	GJGNY REVOLVING LOAN FUND, TWO Sr. Software Dev. N Layton	150,000
	NYSERDA ADMINISTRATION, SecureAuth Renewal 2021-2024	142,450
	NYSERDA ADMINISTRATION, TWO # 19 Tableau Dev. C.Safeek	372,980
	NYSERDA ADMINISTRATION, TWO # 24 Server Ops Ahmed Hamm	247,095
Tern Construction & Development, LLC	New Construction Housing, 2019 LRNCP	58,400
Terra-Gen Power Holdings II LLC	REC:CES REC Contracts, Prattsburgh Wind_RESVCO2021	260,941,372
Tesla Energy Operations Inc	<200KW PV, PON 2112 NY SUN	58,402
Tesla, Inc.	Technical Services, FT14235 - 1339 South Park -PON	26,250
Tetra Tech, Inc.	ORES Support, ORES Technical Assistance	1,000,000
The Cadmus Group, LLC	High Performing Grid, Resilience Integration Anchor	774,985
	K-12 SCHOOLS, P-12 Schools Outreach - Cadmus	75,000
The Insulation Man LLC	OJT	12,600
The Renewables Consulting Group, LLC	OREC: Technical Support, IE Doug Pfeister OSW2023	110,000
	OREC: Technical Support, TWO #1: Master Plan 2.0	50,000
	OREC: Technical Support, TWO #2 SME Valuation Document	49,999
	OREC: Technical Support, TWO Technical Writing OSW	200,000
	OREC: Technical Support, TWO#4 Vessel Analysis DeepH2O	75,000
The Top Gun Group, LLC	NYCH: Talent Ppln:CE and OJT, OJT	22,240
	OJT	16,960
Therm Controls Incorporated	NextGen HVAC, NextGen HVAC Innovation	155,000
Thermal Associates, LLC	NYCH: Talent Ppln:CE and OJT, OJT	14,400

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Thomas Roach	Anaerobic Digesters, PON 3739 CAT C	15,000
Thornton Tomasetti, Inc.	Commercial New Construc, Commercial New Construction	50,936
Throughline Group, LLC	NYSERDA ADMINISTRATION, 2024 Staff Media Training	8,000
ThunderCat Technology LLC	NYSERDA ADMINISTRATION, Atlassian Jira, Confluence Dat	195,335
	NYSERDA ADMINISTRATION, Bitbucket and Bamboo renewal	5,925
	NYSERDA ADMINISTRATION, Checkmarx licensing, support	68,193
	NYSERDA ADMINISTRATION, Cisco Umbrella - 1 year	28,066
	NYSERDA ADMINISTRATION, Cisco Umbrella expansion	47,066
	NYSERDA ADMINISTRATION, Docusign Subscription 2024	140,546
	NYSERDA ADMINISTRATION, Pyramid Consulting	474,066
	NYSERDA ADMINISTRATION, Thundercat - Network Evaluatio	150,000
Ticon Solar, LLC	>200KW PV, NY Sun	1,105,685
	NY-SUN, NY Sun	455,283
Time Release Sciences, Inc.	<200KW PV, NY-Sun	261,800
Timothy Marlett	Talent Pipeline:CE and OJT, OJT	5,440
TJA NY 1454 CR 15 OSWEGATCHIE LLC	>200KW PV, NY Sun	770,893
TJA-NY-1806 Perth Rd Galway, LLC	>200KW PV, NY Sun	763,558
	NY-SUN, NY Sun	314,407
TJA-NY-Barrett Rd New Woodstock, LLC	>200KW PV, NY Sun	792,723
TJA-NY-Canton Solar Farm, LLC	>200KW PV, NY Sun	824,040
	NY-SUN, NY Sun	480,690
TJA-NY-Chestnut Ridge Rd Moravia, LLC	>200KW PV, NY Sun	768,384
	NY-SUN, NY Sun	358,579
TJA-NY-Cohocton Solar Farm, LLC	>200KW PV, NY Sun	812,074
	NY-SUN, NY Sun	473,710
TJA-NY-Dix Solar Farm, LLC	>200KW PV, NY Sun	889,766
	NY-SUN, NY Sun	366,375
TM Montante Solar Developments, LLC	<200KW PV, NY-Sun	53,900
	<200KW PV, PON 2112 NY SUN	258,092
Towd Point Partners, LLC	Strategic Advisement Hydro Hub	300,000
Town of Amherst	Smart Signal Implementation	327,034
Town of Ancram	CEC400050 - Town of Ancram	30,000
	Clean Energy Communities, CEC400050 - Town of Ancram	50,000
Town of Bethlehem	CEC400006 - Town of Bethlehem	30,000
	Clean Energy Communities, CEC400006 - Town of Bethlehem	100,000
Town of Brighton	Clean Energy Communities, Brighton Town Park Heat Pump	10,000
Town of Canaan	CEC400102-Twn of Canaan	30,000
	Clean Energy Communities, CEC400102-Twn of Canaan	5,000
Town of Clarkstown	Clean Energy Communities, CEC510671- Town of Clarkstown	30,000
Town of Gallatin	CEC400159 - Town of Gallatin	30,000
Town of Hillsdale	Clean Energy Communities, Town of Hillsdale	22,291
	Town of Hillsdale	57,709
Town of Knox	Clean Energy Communities, Town of Knox	100,000
	Town of Knox	30,000
Town of Mamaroneck	Clean Energy Communities, CEC LR - Mamaroneck - EV \$10k	10,000
Town of New Lebanon	CEC grant for 5000 points	70,000

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Town of Orangetown	Clean Energy Communities, CEC510692- Town of Orangetown	50,000
Town of Queensbury	Clean Transportation	60,000
Town of Rosendale	Clean Energy Communities, PON 3298 CEC	50,000
Town of Rye	Clean Energy Communities, CEC510695-Twn of Rye	15,000
Town of Saugerties	Clean Energy Communities, CEC500701 - Town of Saugerties	10,000
Town of St Armand	Clean Energy Communities, CEC701206-Town of St. Armand	50,000
Trane	K-12 SCHOOLS, CGSI-8_E - Tioga - FTC	78,398
	K-12 SCHOOLS, P12GC-50E - Vernon Verona -FTC	20,888
	K-12 SCHOOLS, P12GC-67_E - Sidney CSD - FTC	101,520
	K-12 SCHOOLS, P12GC-83_E - Vestal CSD - FTC	56,746
	Real Time Enrgy Management, Mosholu-3450 Dekalb Ave-RTEM	114,623
	Real Time Enrgy Management, St Ann'sWarehou-45WaterSt-RTEM	24,899
	Real Time Enrgy Management, Trane - Multisite - RTEM	70,375
	Real Time Enrgy Management, Trane-Multisite-RTEM	87,114
	REV Campus Challenge, FT13549 - Lincoln Center - FTC	78,541
	Technical Services, FT13549 - Lincoln Center - FTC	10,531
TransCore ITS LLC	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	349,942
TRC Energy Services	CI Enrgy Siting & Soft Cost Red, SA.088_TWO#28 - CES PM-2	696,725
	CI Enrgy Siting & Soft Cost Red, SA.102_TWO#32 - CES_PM-2	714,118
	Commercial New Construc, SA.040_TWO #37-New Con_PM-1	7,236
	Commercial New Construc, SA.040_TWO#33-New Con_PM-1	20,063
	Electric Vehicles - Innovation, SA.096_TWO#31-DER_Assistant PM	238,859
	ESTOR: Implementation Support, SA.096_TWO#31-DER_Assistant PM	119,429
	Low Rise New Construction, SA.040_TWO #37-New Con_PM-1	8,630
	Low Rise New Construction, SA.040_TWO#33-New Con_PM-1	24,076
	Multifam New Construction, SA.040_TWO #37-New Con_PM-1	8,255
	Multifam New Construction, SA.040_TWO#33-New Con_PM-1	22,738
	New Construction Housing, SA.040_TWO #37-New Con_PM-1	16,885
	New Construction Housing, SA.040_TWO#33-New Con_PM-1	46,814
	New Construction- Commercial, SA.040_TWO #37-New Con_PM-1	7,236
	New Construction- Commercial, SA.040_TWO#33-New Con_PM-1	20,063
	SA.096_TWO#31-DER_Assistant PM	119,429
TRC Engineers, Inc.	>200KW PV, TWO #2 NY-Sun Shared Services	228,943
	LMI Community Solar, TWO #2 NY-Sun Shared Services	21,671
	NY-SUN, TWO #2 NY-Sun Shared Services	21,671
	NYCH: Supply Chain, Upstream Partners Initiative	1,405,000
Trelina Solar Energy Center LLC	REC:CES REC Contracts, Trelina_RESVCO2021	63,753,997
Tri State Solar Services	<200KW PV, NY-Sun	8,424
	<200KW PV, PON 2112 NY SUN	26,160
Trinity Hudson Holdings, LLC	Empire Building Challenge, EBC Phase 2 - Trinity Hudson	2,500,000
	NYCH: Empire Build Challenge, EBC Phase 2 - Trinity Hudson	2,500,000
Trinity NY Development LLC	Multifam New Construction, New Construction	97,400
Trinity Real Estate	Commercial New Construc, SF106869 - 74 Trinity Place	95,666
Trinity Solar Inc	<200KW PV, NY-Sun	16,000
	<200KW PV, PON 2112 NY SUN	51,361
True Building Performance LLC	OJT	7,680

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Tully Rinckey Foundation, Inc	OREC: Technical Support, VETCON 2023 Sponsorship	6,000
Turin Solar Fund, LLC	>200KW PV, NY Sun	680,680
Two Plus Four Construction Co., Inc.	New Construction Housing, 2019 LRNCP	35,000
U.S. Geological Survey	Environmental Research, USGS ALTM: Streams component	974,354
UGE USA Inc.	>200KW PV, PON 2112 NY SUN	63,048
Unchained Properties, LLC	CLEANER GREENER COMMUNITIES, CGC55124 - Unchained Prop..	1,500,000
Union Avenue DG LLC	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	9,900,000
Unique Comp Inc.	NYSERDA ADMINISTRATION, TWO #8 Tableau Dev. Yogi P	303,396
United Way of Long Island	OJT	7,200
University at Albany	Commercial New Construc, NCP15013 - Building 27	43,945
Uplight, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residenti..	42,269
	EMPOWER NY, Residential Program MgtRFP3545	15,000
	GJGNY Market Rate Audits, Residential Program MgtRFP3545	268,387
	Home Perf w Energy Star, Residential Program MgtRFP3545	1,680,006
	NENY:CHGE Empower Electric, Residential Program MgtRFP3545	490
	NENY:CHGE Empower Gas, Residential Program MgtRFP3545	1,212
	NENY:Con Ed Empower Electric, Residential Program MgtRFP3545	1,545
	NENY:Con Ed Empower Gas, Residential Program MgtRFP3545	4,996
	NENY:KEDNY Empower Gas, Residential Program MgtRFP3545	2,944
	NENY:NFG Empower Gas, Residential Program MgtRFP3545	32,574
	NENY:NIMO Empower Electric, Residential Program MgtRFP3545	3,203
	NENY:NIMO Empower Gas, Residential Program MgtRFP3545	6,684
	NENY:NYSEG Empower Electric, Residential Program MgtRFP3545	3,860
	NENY:NYSEG Empower Gas, Residential Program MgtRFP3545	9,041
	NENY:O&R Empower Electric, Residential Program MgtRFP3545	2,560
	NENY:O&R Empower Gas, Residential Program MgtRFP3545	6,208
	NENY:RGE Empower Electric, Residential Program MgtRFP3545	1,922
	NENY:RGE Empower Gas, Residential Program MgtRFP3545	4,563
	Residential Program MgtRFP3545	2,213
Upstate Alternative Energy	<200KW PV, PON 2112 NY SUN	14,033
Upstate Piping and Construction Services	NYCH: Talent Ppln:CE and OJT, OJT	15,360
Urban Electric Power, LLC	OJT	5,920
Urban Energy Inc	<200KW PV, NY-Sun	166,050
	>200KW PV, NY-Sun	208,865
	>200KW PV, PON 2112 NY SUN	1,046,067
	NYCH: Talent Ppln:CE and OJT, OJT	16,560
	OJT	106,320
	Talent Pipeline:CE and OJT, OJT	34,560
Urban Green Council	Empire Building Challenge, EBC - Retrofit - Urban Green	25,000
	New Construction Housing, Gen. Event Sponsorship 22-23	35,000
	New Construction- Commercial, Gen. Event Sponsorship 22-23	15,000
	NYCH: Empire Build Challenge, EBC - Retrofit - Urban Green	25,000
Urban Health Plan Inc.	Technical Services, FT13256 - 1054 Simpson - PON	9,175
	Technical Services, FT13257 - 1065 Southern - PON	6,898
Urban Homesteading Assistance Inc	Talent Pipeline:CE and OJT, OJT	9,280
US Building Performance Association, Inc	Market Support Tools &Activity, 2024 NY CE for Homes Conf.	100,000

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Hines - 1251 6th Ave - RTEM	76,445
Vail Mills Limited Partnership	Tech Assistanc Multifamily LMI, FT14739-Vail Mills Limited-PON	7,475
Venture Home Solar LLC	<200KW PV, PON 2112 NY SUN	5,880
	>200KW PV, PON 2112 NY SUN	10,328
Verari Financial Services, LLC	Fuel Cells, Fuel cell Incentive - FC-038	862,500
	Fuel Cells, Fuel Cell Incentive - Mt Sinai	1,000,000
Verizon Wireless	NYSERDA ADMINISTRATION, Verizon Wireless Cellular 1 yr	91,093
Village of Cold Spring	CLEANER GREENER COMMUNITIES, CGC30400 - Village of Cold ..	62,625
Village of Garden City	CLEANER GREENER COMMUNITIES, Village of Garden City	50,000
Village of Herkimer	Clean Energy Communities, CEC600882-Vill of Herkimer	50,000
Village of Homer	Clean Energy Communities, CEC200285 - V.o. Homer 3k GA	10,000
Village of Montour Falls	Clean Energy Communities, Communities & Local Government	70,000
Village of Tully	Clean Energy Communities, CEC200211 - Village of Tully	10,000
Village of Williamsville	Clean Energy Communities, PON 3298 CEC	50,000
Virginia Tech Applied Research Corporati	Energy Storage Tech/Prod Dev, PON 3585 R2	199,820
Voltaic Solaire LLC	<200KW PV, NY-Sun	35,920
	<200KW PV, PON 2112 NY SUN	23,508
Waterfield Farms	Commercial New Construc, 2019 CNCP	350,000
Watkins Glen Solar Energy Center, LLC	REC:CES REC Contracts, Watkins Glen Solar Energy Cntr	43,413,832
Wayne County Action Program	OJT	9,120
WB Engineers+Consultants, Inc.	Technical Services, FT14524-Verizon-Multiple-FTC	257,005
Wellington Manor LLC	Multifam Performance Pgm, Multifamily	79,100
Wendel Energy Services, LLC	CGSI-57_E,CT - Westfield CS	19,025
	CLEAN TRANSPORTATION, CGSI-57_E,CT - Westfield CS	36,095
	K-12 SCHOOLS, CGSI-18_E - Dunkirk CSD - FTC	79,400
	K-12 SCHOOLS, P12GC-105-Hamburg CSD (1)_E	36,000
	REV Campus Challenge, RM34 - University of Rochester	150,000
	Technical Services, FT14337- Buffalo Sewer -FTC	25,000
West Harlem Environmental Action, Inc.	Talent Pipeline:CE and OJT, CJF PON 4772 R2	40,000
	Talent Pipeline:CE and OJT, PON 4772 R3 CJF (Kevin Notice)	40,000
WexEnergy LLC	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Whitney Buffalo LLC	Tech Assistanc Multifamily LMI, FT14731 - 273 Georgia - PON	7,488
Wildcat Renewables, LLC	>200KW PV, NY Sun	1,785,326
	NY-SUN, NY Sun	735,135
Willdan Energy Solutions	Industrial Process Effic, IPE16224	13,719
	NYCH: District, PON 4614 Round #1 Phelps Hosp	76,835
	Technical Services, Natural Gas Constrained Areas	200,000
Willdan Lighting & Electric, Inc.	OJT	13,848
Wiltshire Renewable Energy Systems, LLC	<200KW PV, PON 2112 NY SUN	5,160
Wise Home Energy, LLC	NYCH: Talent Ppln:CE and OJT, OJT	27,360
	OJT	29,760
WL Concepts & Productions, Inc	NYSERDA ADMINISTRATION, NYSERDA booth 2023 NYS Fair	143,312
	POLICY DEVELOPMENT, DPS 2023 NYS Fair booth design	99,870
Wood Mackenzie Inc	ESTOR: Implementation Support, Wind, Solar, & Storage Subscr.	39,380
	NY-SUN, Wind, Solar, & Storage Subscr.	65,628
	REC:CES REC System Dev Costs, Wind, Solar, & Storage Subscr.	70,068

Contracts Completed

Period 10/1/2023 through 3/31/2024

Contractor	Contract Description	Total Contract Amount
Woodland Orange, LLC	Multifam Performance Pgm, Multifamily	39,200
	NYCH: LMI, Community Thermal Networks	291,200
Woods Hole Oceanographic Institution	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	611,934
	Natl Offshore Wind R&D	203,978
Worley Group, Inc.	OREC: Technical Support, TWO 2 Buyer's Eng Support Se	350,000
WSP USA Corp.	Commercial New Construc, NC Commercial TWO SF125859	135,470
WY Manor LP	Empire Building Challenge, EBC Phase 2 - WY Manor LP Omni	1,681,250
	Low Carbon Tech Demos, Low Carbon Pathways	136,500
	NYCH: Empire Build Challenge, EBC Phase 2 - WY Manor LP Omni	3,318,750
Yorktown Energy Storage 1 LLC	ESTOR:Retail Storage Incentive, Retail Storage PayeeAssignment	3,000,000
Zones LLC	NYSERDA ADMINISTRATION, SMARTnet - Maintenance 23 - 24	21,806
ZOOMINFO TECHNOLOGIES LLC	NYSERDA ADMINISTRATION, Ringlead Renewal - Zoom info	17,916
Grand Total		11,660,504,463