



KATHY HOCHUL
Governor
RICHARD L. KAUFFMAN
Chair
DOREEN M. HARRIS
President and CEO

December 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 April 1, 2024, through September 30, 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-december-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

Public Authority Law Report

April 1, 2024 to September 30, 2024

Section Break

NYSERDA

Revenues Collected - April 1, 2024 through September 30, 2024

Revenue Source	Amount (\$000's)
State Appropriation	93,556
Utility Surcharge Assessments	254,425
Clean Energy Standard Proceeds	421,069
Allowance Proceeds	226,689
Third-party reimbursements	27,048
Federal grants	6,374
Interest subsidy	90
Project repayments	330
Rentals from leases	558
Fees and other income	9,336
Loans and financing receivables interest	31,677
Investment income	42,673
Total revenues	1,113,825

Solicitation Summary March 31, 2024 to October 1, 2024

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
1 - ORECRFP24-1	Purchase of Offshore Wind Renewable Energy Certificates	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).	7/17/2024	9/9/2024	No funding listed
2 - OSWRFI24-1	2024 Offshore Wind Request For Information	The purpose of this Request for Information (RFI) is to invite external stakeholders to review and comment on the potential structure of NYSERDA's next solicitation for Offshore Wind Renewable Energy Certificates (ORECs) and next solicitation for offshore wind supply chain infrastructure.	4/23/2024	5/21/2024	
3 - OSWSCRFP24-1	Offshore Wind Supportive Manufacturing and Logistics Request for P	The New York State Energy Research and Development Authority (NYSERDA) seeks to award grant funding to port infrastructure and/or supply chain manufacturing projects that will advance the offshore wind industry in New York State by leveraging private investment and generating long-term economic benefits. Through this Request for Proposals (RFP), NYSERDA may distribute up to \$200 million in the form of capital grant funding to qualified projects.	4/23/2024	8/13/2024	UP TO \$200 MILLION AVAILABLE
4 - RESRFP24-1	Purchase of New York Tier 1 Eligible Renewable Energy Certificates (RECs)	After receiving and reviewing feedback on this RFI, NYSERDA plans to release an OREC Request for Proposals (ORECRFP24-1) in the summer of 2024, with a complimentary and parallel Offshore Wind Major Component Supply Chain Request for Qualifications (OSWSC RFQL), followed by a \$300 million Offshore Wind Major Component Supply Chain Request for Proposals (OSWSCRFP24-2).	6/20/2024	7/15/2024	No Funding listed
5 - RESRFI24-1	Large-Scale Renewables	The purpose of this Request for Information (RFI) is to invite external stakeholders to review and comment on the proposed schedule and key elements of the upcoming NYSERDA competitive solicitation for Renewable Energy Standard Tier 1 Certificates (RECs), referred to herein as RESRFP24-1. After receiving and reviewing feedback on this RFI, NYSERDA plans to release RESRFP24-1 in Q2 2024, with awards intended to be made in either Q4 2024 or Q1 2025, as further described below.	4/29/2024	5/13/2024	No funding listed
6 - RFP 23	Community Decarbonization Fund	NY Green Bank's RFP 23 for the Community Decarbonization Fund invites regulated and unregulated financial entities (including but not limited to community development financial institutions (CDFIs), insured credit unions and depository institutions, and not-for-profit corporations that perform lending activities) deploying capital into clean energy and sustainable infrastructure and related small businesses that benefit disadvantaged communities (DACs) in New York State to submit proposals for NY Green Bank capital at concessionary rates.	4/28/2023	12/31/2027	\$250,000,000.00
7 - PON 4112	Retail Energy Storage Incentive Program	The New York State Energy Research and Development Authority (NYSERDA) is reissuing this PON to provide notice of the availability of new funding under the Retail Energy Storage Incentive Program for energy storage projects located in New York City (the "New York City Block 5" incentive). Additional eligibility requirements are detailed in the Retail Energy Storage Incentive Program Manual.	4/25/2019	12/31/2025	

8 - RFP 4120	NYSERDA Commercial and Industrial (C&I) Carbon Challenge	The New York State Energy Research and Development Authority (NYSERDA) has \$10 million of incentives available to support decarbonization project portfolios for large Commercial and Industrial customers across New York State. All projects must demonstrate greenhouse gas emissions savings and be installed within a 3-year implementation period. Eligible projects include, but are not limited to, energy efficiency improvements, retrofits, clean heating and cooling, carbon capture, utilization and storage (CCUS), industrial process emission reduction, and on-site renewable energy systems.	5/13/2024	7/31/2024	Up to \$10 million available
9 - PON 5180	Natural Carbon Solutions Innovation Challenge	Through this solicitation, New York State Energy Research and Development Authority (NYSERDA) issues a second round of funding to catalyze and de-risk novel approaches to significantly increase the scale of negative emissions and carbon sequestration, reduce waste-related methane, and advance New York's clean energy goals. Projects can involve enabling technologies, novel business models, and other scalable strategies. Successful projects will be able to self-sustain and scale beyond the period funded by NYSERDA, catalyze additional private investment if needed, and in some cases, inform changes to policy, incentives, and procurement guidelines.	6/26/2024	8/20/2024	Up to \$13M Available
10 - RFQL 5312	Charge Ready NY 2.0 Equipment and Network Qualification Process	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.	2/27/2023	2/31/2025	No funding will be awarded through this RFQL
11 - PON 5357	Building Operations and Maintenance Training	NYSERDA's Building Operations and Maintenance Workforce Training Program aims to reduce energy use and associated carbon emissions while saving building operators and owners money by developing and strengthening the skills of operations and maintenance (O&M) staff and managers across the state. The program is designed to equip building O&M workers with the skills to operate increasingly energy-efficient, grid-flexible, and electrified building systems that reduce buildings' contribution to climate change.	6/29/2023	12/31/2025	\$1,500,000.00
12 - PON 5367	Charge Ready NY 2.0	The Charge Ready NY 2.0 Program (Program) is an incentive program designed to accelerate the deployment of Level 2 electric vehicle charging equipment in New York State. By increasing the use of electric vehicles and electric vehicle charging stations, this program benefits New York State by reducing harmful emissions and the transportation sector's dependence on petroleum. The New York State Energy Research and Development Authority (NYSERDA) developed the Program to provide incentives that reduce the cost of purchasing and installing eligible Level 2 charging equipment for use in New York State.	7/19/2023	12/31/2025	The Program is offering \$12 million in funding for incentives
13 - PON 5456	Catalyze Clean Energy Financing for Decarbonization in New York State Communities	NYSERDA requests applications from financial companies applying under the Department of Energy (DOE), Loan Program Office (LPO) Title 17 Program for State Energy Financing Institution (SEFI) investment support for financing products which support clean energy improvements.	9/12/2023	12/30/2026	\$20,000,000.00
14 - RFQL 5548	New York State Flexible Energy Technical Analysis	This solicitation will 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 support services on short notice.	9/8/2023	12/31/2026	Not stated on solicitation

15 - PON 5547 Cat 1, 2	Heat Recovery Project Development - Categories 1,2,& 4	The NYSERDA Heat Recovery Project Development Program (the "Program") aims to animate the New York State (NYS) marketplace for heat recovery solutions by working with consulting engineers, heat recovery solution providers, building owners and operators, and other key stakeholders to develop a robust pipeline of heat recovery retrofits. To accelerate heat recovery retrofit project development, the Program provides cost-share to Applicants for four categories of activities	10/18/2023	11/17/2025	\$12,000,000 Available
15 - PON 5547 Cat 3 D	Heat Recovery Project Development - Category 3 Demonstration	The NYSERDA Heat Recovery Project Development Program (the "Program") aims to animate the New York State (NYS) marketplace for heat recovery solutions by working with consulting engineers, heat recovery solution providers, building owners and operators, and other key stakeholders to develop a robust pipeline of heat recovery retrofits. To accelerate heat recovery retrofit project development, the Program provides cost-share to Applicants for four categories of activities	8/12/2024	11/7/2024	\$12,000,000 Available
16 - PON 5566	Climate Justice Fellowship Plus	NYSERDA, with support from U.S. Representative Alexandria Ocasio-Cortez, of New York's 14th congressional district, is pleased to announce the Climate Justice Fellowship Plus Program is now available and is fully funded by the U.S. Department of Labor. The Climate Justice Fellowship Plus Program (CJF Plus) is a \$3 million pilot program to advance climate justice in the Bronx and Queens. The CJF Plus Program will provide wage subsidies for eligible non-profit organizations to hire individuals for two-year climate justice Fellowships. The Program will also provide supportive services and/or professional development to Fellows throughout their employment.	7/1/2024	2/12/2025	\$2,100,000.00
17 - PON 5614	Large-Scale Thermal	The Large-Scale Thermal program ("the Program") supports the design of large single building and multiple building projects, including thermal energy networks, that serve as replicable examples for significantly reducing greenhouse gas emissions (GHG) from heating, cooling, and hot water in buildings, using approaches that are clean and resilient, minimize energy consumption, maximize energy recovery, and offer an equitable approach to building decarbonization. The Climate Action Council Scoping Plan identified large-scale thermal solutions, such as thermal energy networks, as an important pathway to scale up zero-emission heating and cooling in buildings.	6/12/2024	9/26/2024	Up to \$10 Million Available
18 - PON 5712	Clean Hydrogen Innovation (Cost Share for Federal Funding Opportu	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.	3/14/2024	6/26/2025	Up to \$5 Million Available

19 - PON 5737	Technical Assistance Funding to Develop Grid Modernization Projects	The New York State Energy and Research Development Authority (NYSERDA) will release \$3.5 million in funding to municipally owned electric utilities (MUNIs), rural electric cooperatives (COOPs), and small electric providers that sell less than 4,000,000 MWh of electricity yearly. The goal of this funding is to provide funding for assistance to MUNIs, COOPs, and small electric providers who are looking to apply for DOE grant funding that was awarded to New York in the fall of 2023. This assistance can address needs such as support with technical analyses needed to evaluate potential projects, implementation needs, grant writing assistance for implementation funding, and development of a metrics reporting system to evaluate project success.	4/5/2024	12/1/2027	\$3,500,000 (up to \$200,000/project)
20 - PON 5739	Clean Mobility Program	The New York State Energy Research and Development Authority (NYSERDA) seeks to implement a Clean Mobility Program (the Program). The Program is designed to help communities launch/expand innovative zero-emission transportation options that can help reduce reliance on personal vehicles.	6/21/2024	8/15/2024	\$32,000,000 Available
21 - RFP 5744	Systems Strategy Advisor	The New York State Energy Research and Development Authority (NYSERDA) is seeking to procure a Systems Strategy Advisor to identify and assess solution options for replacing its existing integrated financial, procurement, and contract document management system in a manner that meets evolving business needs. The advisor must gain a functional understanding of existing internal regulatory, financial, procurement, and contract document management processes, as well as current and future state use cases, and apply it to industry standards and best practices to inform and propose solution options.	5/22/2024	7/10/2024	No funding listed
22 - RFP 5752	Agrivoltaics Research and Demonstration	Agrivoltaics integrate solar energy generation and agricultural production on the same parcel of land. NYSEDA's Request for Proposals (RFP) 5752 aims to fund agrivoltaic demonstration projects that advance this emerging practice in New York State. Awarded projects are intended to exemplify viable model systems and collect and share data on their energy generation and agricultural production to inform best practices and future project designs. Projects must be at least 100 kW DC and may produce a wide range of agricultural commodities (for example, specialty and commodity crops, livestock grazing, and hay, forage, or silage production). Eligible projects also include, but are not limited to, retrofits of existing solar sites to allow agricultural production. NYSEDA will pay up to \$500,000 of the incremental solar capital and operational costs associated with the agrivoltaics, and up to \$250,000 for the agricultural costs associated with each awarded project. Awarded Agrivoltaic Projects should operate for at least five years to allow sufficient data collection.	6/7/2024	9/12/2024	\$5,000,000 Available
23 - RFI 5766	Input Informing Future NYS Direct Current Fast Charger (DCFC) Solicitations	NYSERDA is issuing this Request for Information (RFI) to solicit input from market participants across varying sectors regarding the planning, deployment, operation, and maintenance of Direct Current Fast Charging Electric Vehicle Supply Equipment (DCFC EVSE) in New York. This RFI will help NYSEDA gain information about the challenges that various market participants face and ultimately will help inform NYSEDA's drafting of forthcoming solicitations for DCFC implementation.	6/6/2024	6/25/2024	No Funding is Associated with this Solicitation
24 - RFP 5781	Implementation and Administration Support for NYSEDA CFI Program	The New York State Energy Research and Development Authority (NYSERDA) seeks one contractor or a team of contractors (Support Contractor) to assist NYSEDA with various aspects of the management and execution of the Federal Title 23 Alternate Fuel Grant Programs, specifically the Charging and Fueling Infrastructure (CFI) Program (Program), which totals approximately \$15 million, and the projects resulting from it. The Program will support the strategic deployment of electric vehicle (EV) charging infrastructure and establish an interconnected network to facilitate data collection, access, and reliability. This increase in access to EV infrastructure will help meet the needs of growing EV populations, counter range anxiety concerns, and accelerate EV adoption in New York State.	5/31/2024	6/26/2024	\$1,000,000 Available*

25 - RFP 5831	Large-Scale Renewables Procurement and Analysis Services-on-Demand	The New York State Energy Research and Development Authority (NYSERDA) seeks to engage qualified contractors and consulting firms with diverse technical, energy, economic, and environmental analytical capacity to support the Large-Scale Renewables (LSR) program. Through this solicitation, NYSEDA endeavors to establish a pool of qualified Contractors that may be called upon to perform services as described in this RFP. This approach will enable the LSR team and the awarded contractors to efficiently and rapidly initiate both recurring and ad hoc projects in support of program goals on an ongoing basis.	5/22/2024	6/25/2024	\$6 Million Available
26 - RFQL 5856	Market Development Support for Clean and Resilient Buildings and Large-Scale Thermal	The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of contractors qualified to provide technical, supply chain, project and program design support for Clean and Resilient Buildings and Large-Scale Thermal market development initiatives.	7/24/2024	9/30/2024	up to \$250,000
27 - PON 5859	Appliance Upgrade Program- Application for Retailer Enrollment	NYSERDA is currently seeking approval from the DOE to administer the Appliance Upgrade Program (Program) under HEAR that will provide incentives to income-eligible owners and renters (Customers) of single- and multi-family residential buildings in New York State for a pre-defined list of measures supporting energy efficiency and electrification improvements (Qualified Electrification Projects, QEP). Subject to approval of the Program by the DOE, NYSEDA intends to offer these prescriptive rebates to Customers at or below 150% State's Area Median Income (AMI). The formula grant amount to NYS is \$158.4 Million through 2031, with a portion of the total formula grant used for the Program.	8/30/2024	12/31/2026	
28 - PON 5865	Upstate NEVI DCFC Program	Through this Upstate NEVI DCFC Program (the Program), the New York State Energy Research and Development Authority (NYSERDA) seeks proposals to develop Direct Current Fast Charging (DCFC) Electric Vehicle Supply Equipment (EVSE) along Alternative Fuel Corridors (AFCs) in New York State north of and including Interstate 84 (I-84).	9/13/2024	12/4/2024	Up to \$21.5 Million Available
29 - RFI 5868	Identify Potential Site Partners for NY/NJ Charging and Fueling Infrastructure Application	NYSERDA is issuing this Request for Information (RFI) to identify potential site hosts to include in a grant application for medium and heavy-duty (MHD) charging infrastructure on or near major corridors and ports in the New York City metro area in New York State and/or New Jersey. Responders to this RFI will help inform NYSEDA's application to the federal CFI program in partnership with the New Jersey Department of Environmental Protection (NJDEP). NYSEDA and NJDEP are seeking responses to this RFI from owners of warehouses, distribution centers, and other similar sites that are interested in installing public MHD charging stations as part of a CFI proposal. NYSEDA and NJDEP will include sites that meet the qualifications listed below in the RFI. Responses will also be used to inform additional NYSEDA and NJDEP incentive programs. If the CFI application is awarded funding, NYSEDA will select the final list of sites to fund from among the sites included in the proposal. NYSEDA will select sites based on a second solicitation among the eligible RFI respondents.	7/16/2024	8/1/2024	No Funding is Associated with this Solicitation
30 - PON 5872	Energy-Related Air Quality and Health Effects Research	The New York State Energy Research and Development Authority (NYSERDA) supports research to improve the scientific and technical foundation for addressing key energy policy-relevant questions related to air quality, health effects, and climate research. This Program Opportunity Notice (PON) focuses on 1) pollutant trends, source apportionment and health effects studies to provide accountability in energy decision making, and 2) methane (CH4) source characterization of buildings to inform the NYS GHG Inventory and others.	8/8/2024	10/31/2024	\$3,000,000 Available
31 - RFP 5874	Bond Counsel Services	The New York State Energy Research and Development Authority ("NYSEDA") invites proposals from law firms interested in providing bond counsel and other trust and financial related services to NYSEDA in connection with its past and future issuance of bonds, notes, and other obligations ("bonds").	7/24/2024	8/21/2024	

32 - RFQL 5881	COMMERCIAL REAL ESTATE SERVICES- SALE of 17 COLUMBIA CIRCLE ALBANY, NY	The New York State Energy Research and Development Authority ("NYSERDA") is seeking a qualified commercial real estate brokerage firm to promote and assist with the sale of 17 Columbia Circle, Albany, NY.	8/1/2024	8/26/2024	
		Revised Solicitations			
Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
33 - PON 3298 - Revised	Clean Energy Communities - Program	The Clean Energy Communities Program provides grants, direct technical support to communities, and recognition to local governments that demonstrate leadership in the area of clean energy. □	6/2/2023	12/31/2025	\$37,107,150.00
34 - PON 3519 - Round 7	NextGen HVAC Innovation Challenges - Round 7	The NextGen Buildings Program supports the development of energy efficient building technologies and new business models for New York's building industry. This funding opportunity focuses on cutting edge building systems.	7/28/2023	9/25/2024	\$18,000,000.00
35 - RFP 3771 - Revised	New Construction Initiatives Support Services	NYSERDA is accepting Applications from firms to become approved Primary Energy Consultants, serving projects participating in NYSEDA's New Construction Initiatives. NYSEDA seeks firms capable of delivering support to clean and resilient buildings, energy modeling and analysis, testing and verification, third-party quality assurance, and measurement and verification services to support the design, development, and construction of carbon neutral-ready buildings that provide healthy, safe, comfortable, and resilient living spaces for their occupants.	4/24/2023	6/27/2024	Not stated on solicitation. Says accepted continuously through June 27, 2024 but is closed.
36 - RFP 3928 - D - Revised	Buildings of Excellence - Early Design Support	NYSERDA seeks Proposals for qualified design firms that will provide early-stage design support for new construction, adaptive reuse, and gut rehabilitation multifamily projects that will be clean and resilient and achieve carbon neutral-ready performance while being beautiful and functional, and will provide healthy, safe, comfortable, and resilient living spaces for their occupants.	8/18/2023	11/14/2025	\$2,000,000.00
37 - PON 3981 - Revised	Energy Efficiency and Clean Technology Training	NYSERDA is seeking proposals for training initiatives focused on advancing skills and preparing workers for jobs in New York's energy efficiency and clean technology industry. Funding is available for proposals that meet the requirements of one or both of two categories: (1) Training for Existing Workers and Individuals in Formal Training Programs; (2) Career Pathways for New Workers/New Entrants in Clean Energy.	5/18/2023	11/18/2025	\$10,000,000.00
38 - PON 4393 - Round 4 Revised	Electric Power Transmission and Distribution (EPTD) Future Grid Challenges	NYSERDA is seeking systematic improvements to grid investments and operations are needed to accommodate widespread adoption of distributed energy resources and enable market development across New York State. The Future Grid solicitation seeks innovative solutions to challenge areas that enable a clean transmission and distribution grid as defined in the Climate Leadership and Community Protection Act.	8/11/2023	10/17/2024	\$11,000,000.00
39 - PON 4809 (Round	Empire Building Challenge (Phase II: Low Carbon Retrofits Implementation)	The Empire Building Challenge (EBC) is a multi-phase initiative designed to support replicable and scalable low carbon retrofit approaches to achieving decarbonization in existing tall buildings. Announced in the 2020 State of the State, EBC is a public-private partnership between New York State Energy Research and Development Authority (NYSERDA) and leading commercial and multifamily real estate portfolio owners. EBC will demonstrate innovative low carbon retrofit solutions that reduce buildings' energy consumption and greenhouse gas emissions that are scalable and replicable across New York State.	10/4/2021	10/21/2024	Up to \$24,800,000 available
40 - RFQL 5312 - Revised	Charge Ready NY 2.0 Equipment and Network Qualification Process	This funding is available for four years from the date of award. If the project is making progress and funding is still available, the grant may be extended for an additional period of time at NYSEDA's discretion.	6/30/2023	12/31/2025	Not stated on solicitation

41 - PON 5354 Revised	Vehicle Grid Integration Program	Through this solicitation – EBC Phase II: Low Carbon Retrofits Implementation (PON 4809) – NYSERDA is only accepting proposals from eligible Empire Building Challenge Partners (“EBC Partners” or “Partners”). Partners from Cohort 1 (those selected through Program Opportunity Notice (PON) 4498 in 2020) and Cohort 2 (those selected through PON 4987 in 2022) who have not yet received implementation funding from the Program, and all Cohort 3 members (those selected through PON 5459 in 2023) are eligible to apply. EBC Partners can request up to \$3 million for the design and implementation of replicable and scalable low carbon retrofit projects at their participating EBC buildings. Demonstrating the feasibility of such large-scale retrofits with an exclusive focus on multifamily buildings and thermal system solutions is crucial to addressing the unique set of technical barriers to decarbonization these buildings face: their height and density make it significantly more challenging to find technical pathways to decarbonization.	8/3/2023	6/18/2024	\$12,000,000.00
42 - PON 5456 Revised	Catalyze Clean Energy Financing for Decarbonization in NY State Co	New York State Energy Research and Development Authority (“NYSERDA”), invites financial entities actively working or planning to deploy capital into decarbonization projects in New York State (“NYS”), particularly those focused on the built environment and benefitting disadvantaged communities (“DAC”), to submit proposals for a direct investment in the form of subordinate debt and/or loan loss reserve (“LLR”) support.	9/11/2023	12/30/2026	\$20,000,000
Note: Only revised Solicitations with substantial changes/or monetary changes are listed.					



NYSERDA

**Purchase of Offshore Wind Renewable
Energy Certificates
Request for Proposals ORECRFP24-1
Release Date: July 17, 2024
Revised Date: August 13, 2024**

SUMMARY OF REVISIONS

Updates to ORECRFP24-1 – August 13, 2024

Table of Contents

The title of Appendix A has been updated to reflect that it now contains two separate Proposer Certification Forms.

Acronyms and Definitions

Definition of Expected U.S. Iron and Steel Dollars has been updated to reflect that it includes expenditures for components that are permanently incorporated into a Project and that vessels and vehicles are not considered to be permanently incorporated for this purpose.

Definition of Inflation Adjustment Date has been updated to incorporate Article VIII of the Public Service Law.

Definition of Interconnection Cost Sharing revised to remove the reference to NYISO.

Definition of Project Boundary Area has been added.

Definition of Proposal has been updated to remove the footnote regarding submitting more than three Offshore Wind Generation Facilities.

Definition of Proposal Submission Deadline for Non-Price Information has been updated to clarify that offer pricing is not submitted on this date.

Definition of Supply Chain Investment has been updated to replace “purchase” with “procurement” and add clause (ii).

Definition of Verified U.S. Iron and Steel Dollars has been updated to reflect that it includes expenditures for components that are permanently incorporated into a Project and that vessels and vehicles are not considered to be permanently incorporated for this purpose.

Section 2.1 (Eligibility)

References to the Required Proposals have been revised to correctly reference that there are two Required Proposals.

Section 2.1.1 (ORECs Offered)

Revised to reflect the new requirement to define the Project Boundary Area as part of the Proposal.

Revised to note requirements related to contracting for a Project that includes co-located energy storage.

Section 2.1.3 (Required and Alternate Proposals)

Revised to clarify that all Offshore Wind Generation Facilities included in the Required Proposal Meshed Ready must be Meshed Ready and all Offshore Wind Generation Facilities included in the Required Proposal Not Meshed Ready must not be Meshed Ready.

Revised to clarify that all Proposals must use a radial configuration to the Injection Point.

Revised to replace references to the Delivery Point in paragraph regarding mutually-exclusive Proposals with Injection Point.

Section 2.1.6 (Interconnection and Deliverability)

References to the Required Proposals have been revised to correctly reference that there are two Required Proposals.

Revised to add a requirement for Proposers to describe the extent to which the Injection Point or Interconnection Plan is adaptable in the event multiple offshore wind projects are seeking overlapping or adjacent Injection Points.

Section 2.1.7 (Technology Choice)

Revised to state the requirement that the proposed wind turbine generator has achieved IECRE Type Certification and that the proposed export cable technology is currently in commercial operation.

Revised to move the footnote regarding technology progress into the main text.

Section 2.1.10 (Conflicts of Interest, Required Disclosures and Certifications)

Revised to specify that there are now two Proposer Certification Forms.

Link to Vendor Responsibility Checklist has been updated.

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

Revised to clarify that components must be permanently incorporated into the Project.

Footnote added to state that vessels and vehicles are not considered to be permanently incorporated into a Project.

Section 2.2.5 (Consultation with New York State Agencies)

Revised to correct a reference to the COP that incorrectly referenced the SAP.

Section 2.2.18 (Minimum Unallocated Supply Chain Investment)

Revised to state that the Minimum Unallocated Supply Chain Investment is to be expended during the Mid-Term Period.

Revised to state that a Proposal may not be contingent on a specific use of the Minimum Unallocated Supply Chain Investment.

Revised to state that all in-state expenditures anticipated for a Proposal should be included in the Economic Benefits claims other than the Minimum Unallocated Supply Chain Investment and may not overlap with the Minimum Unallocated Supply Chain Investment.

Section 3.2.1 (Project Schedule and Status)

Revised to state that Proposals that have progressed detailed interconnection studies will be evaluated favorably.

Section 3.2.2.4 (Equipment, Development, and Logistics Plan)

Revised to require that Proposers demonstrate a plan to secure vessels and marine terminal facilities necessary for operations and maintenance of the Project(s).

Revised to state that plans that are consistent with New York State's decarbonization goals will be evaluated favorably.

Section 3.2.3 (Interconnection and Deliverability Plan)

Revised to reflect the inclusion of third-party interconnection studies as part of the interconnection plan.

Revised to add consideration of details around the potential for the chosen Injection Point to accommodate multiple injections of offshore wind where applicable.

Section 3.3 (New York Economic Benefits)

Revised to delete the statement referring to NYSERDA's agreement with the plan for purchases associated with the Minimum Unallocated Supply Chain Investment.

Section 3.3.2 (Economic Benefits Verification)

Revised to clarify that the verification of Incremental Economic Benefits shall be based on the date of each expenditure, not the date on which a contract is signed or funds are otherwise committed.

Section 4.2.2 (Inflation Adjustment)

Definition of Inflation Adjustment Date has been updated to incorporate Article VIII of the Public Service Law.

Index to be used for Fabrication has been clarified.

Section 4.2.3 (Qualifying Federal Support)

Revised to state that for purposes of determining treatment of the Energy Community Bonus Credit, the primary Project configuration and associated ITC qualification for each Proposal must be clearly

delineated in the Financing Plan and will be used as the baseline for determining whether a material reconfiguration has occurred.

Section 4.4 (Offer Price Evaluation Metric)

Revised to remove the reference to NYISO in the discussion of the Interconnection Cost Allocation estimates.

Section 5.1 (Preliminary Rank Order)

Revised to state that determinations regarding whether interconnection points are mutually exclusive will be made by NYSERDA based on a review of information from Proposers and Specialist Reviewers.

Section 6.1 (Preparation of the Submission)

Revised to clarify that both the Offer Pricing and the signed Proposer Offer Price Certification Form must be submitted via secure file transfer.

Revised to add whether each proposed Injection Point will be evaluated as being able to accommodate injections from multiple Offshore Wind Generation Facilities to the information that NYSERDA will provide to Proposers by September 26, 2024.

Section 6.2 (Organization of the Submission)

References to the Required Proposals have been revised to correctly reference that there are two Required Proposals.

Revised to reference proposed edits to the Agreement rather than exceptions.

Section 6.2.1 (Executive Summary)

Revised to add the requirement to provide a map showing the Project Boundary Area.

Revised to add the requirement to include the Project Boundary Area in the public version of the Executive Summary.

Section 6.2.3 (Offer Data Form(s))

Revised to add the requirement to enter whether the Injection Point is, in the Proposer's opinion, able to accommodate multiple Offshore Wind Generation Facilities, and provide a brief summary of the explanation on Part II.

Revised to remove the reference to NYISO in the discussion of the Interconnection Cost Allocation parameters.

Section 6.2.4.8 (Conflicts of Interest, Required Disclosures and Certifications)

Revised to clarify that the Proposer Non-Price Information Certification Form is required to be submitted as part of the Documentation of Eligibility.

Section 6.2.6.3 (Financing Plan)

Revised to add the requirement that for purposes of determining treatment of the Energy Community Bonus Credit, the primary Project configuration and associated ITC qualification for each Proposal must be clearly delineated.

Revised to clarify that any credit ratings from Standard & Poor's and Moody's must be provided.

Added a footnote to clarify that the financial statements should be included as an attachment at the end of the Project Development Plan file. These attachments will not be counted toward the 100-page limit.

Section 6.2.7 (Interconnection and Deliverability Plan)

Added the requirement to explain whether, in the Proposer's opinion, the Injection Point can accommodate injections from multiple Offshore Wind Generation Facilities and why or why not. If the Injection Point can accommodate multiple injections, provide expected, high, and low estimates of the Interconnection Cost Allocation, and supporting information, as described in the item above, in the event that the Offshore Wind Generation Facility connecting to the Injection Point is not the first connection at the Injection Point.

Revised to remove reference to NYISO in the context of the Interconnection Cost Allocation estimates.

Section 6.2.8.5 (Visibility Study)

Revised to clarify that the visibility study may present larger wind turbines than those proposed but may not present smaller wind turbines than those proposed.

Section 6.2.10 (Economic Benefits Plan)

Added a footnote to clarify that for Labor Dollars, the numbers of unique jobs and FTE years as provided in the Offer Data Form and described in the Jobs and Workforce Plan in accord with Exhibit G will be considered by the Scoring Committee in determining firmness and credibility.

Section 6.2.12 (Proposed Edits to the Agreement)

Section has been re-named.

Revised to clarify that Proposers can submit proposed changes to the Agreement and added a reference to Section 7.6.

Deleted that Proposers are encouraged to submit a description of potential changes in written questions.

Corrected reference to ORECRFP23-1.

Section 7.6 (Proposed Edits to the Agreement)

Revised to clarify that Confidentiality is addressed in Article XXI of the Agreement.

Deleted the reference to an updated version of the Agreement.

Section 8.12 (Executive Order No. 192)

Link to Vendor Responsibility Checklist has been updated.

Appendix A (Proposer Certification Forms)

Revised to separate into two forms: The Proposer Non-Price Information Certification Form and the Proposer Offer Price Certification Form.

Appendix B.1 (Economic Benefits Claims and Verification Documentation Requirements)

Section B.1.A item 2 revised to clarify that the Minimum Unallocated Supply Chain Investment must be incremental to the claims entered in all other rows associated with expected in-State expenditures for the Proposal.

Section B.1.A item 3(b) revised to clarify that components included in NYS Iron and Steel Dollars must be permanently incorporated into the Project, with a footnote that vessels and vehicles are not considered to be permanently incorporated into a Project.

Section B.1.A item 9 revised to clarify that components included in Non-NYS Iron and Steel Dollars must be permanently incorporated into the Project, with a footnote that vessels and vehicles are not considered to be permanently incorporated into a Project.

Appendix B.2 (Disadvantaged Community Impacts)

Section B.2.A.1.a revised to reference “facilities” rather than “businesses (or divisions of businesses)” and add “or businesses headquartered within a Disadvantaged Community” in the “Materials / Equipment / Services” row of Table B.2.1.

Section B.2.A.1.a revised to change “located” to “headquartered” in the “Land Purchase / Easements / Lease” row of Table B.2.1.

Section B.2.D revised to correct references to Table B.2.2.

Appendix G (New York Jobs and Workforce Plan)

Section G.7 revised to add a footnote clarifying considerations related to unique jobs.

Section G.7 revised to add a footnote clarifying that an FTE is defined as 2,080 hours per year.

Section G.7 revised to correct references to Table G.2.

Appendix H (Agreement)

See posted redline for changes.

Appendix I (Offer Data Form)

Part II revised to additional rows for Proposer’s perspective on whether each Injection Point can accommodate injections from multiple Offshore Wind Generation Facilities (row 20) and a brief explanation for this determination (row 21).

Part II revised to remove references to NYISO in the context of the Interconnection Cost Allocation parameters.

Appendix L (Non-Disclosure Agreement)

Revised to add language related to disclosure of an award to comply with Section 2.1.1.1 of the RFP.



**Purchase of Offshore Wind
Renewable Energy Certificates
Request for Proposals ORECRFP24-1
Release Date: July 17, 2024
Revised Date: August 13, 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 September 9, 2024, by 3:00 p.m. ET.
Offer Price submissions are due on October 18, 2024, by 3:00 p.m. E.T.
Proposals must be held firm and valid for 180 days from October 18, 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/2024-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 at offshorewind@nyserda.ny.gov.

- Primary Contacts: Laila El-Ashmawy, Gregory Lampman, and Alexander Stein
- Other Designated Contacts: Nathaniel 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. 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

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.

Proposer being deemed a 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 M	Award Security Form of Irrevocable Standby Letter of Credit

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.

Affected Resource – An electric generation resource defined in Section 2.1.6.1.

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.

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](#).

Climate Resiliency Plan – The Climate Resiliency Plan described in Section 2.2.15 and Section 6.09 of the Agreement.

Commercial Operation – A state of operational readiness under which (i) any portion of the Project has been mechanically constructed and interconnected, (ii) any portion of the Project is available to physically produce and deliver electric energy to the Injection Point and generate 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 enters Commercial Operation.

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

Contract Delivery Term – A period that shall commence on the first day of the month after any portion of the Project 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 NYSERDA in accord with Section 6.02 of the Agreement.

Contract Tenor – The maximum duration of the Contract Delivery Term. The Contract Tenor shall be 20 or 25 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.

COP Approval- BOEM’s approval of the Project’s Construction and Operations Plan (COP).

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 term “Disadvantaged Communities” (DAC) shall have the meaning established by the New York Climate Leadership and Community Protection Act in § 75- 0101(5) of the New York Environmental Conservation Law. 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 communities criteria can be found on the [Climate Act Website](#) under the "Disadvantaged Communities Criteria Documents" section. The disadvantaged communities criteria automatically include census tracts where State or federally recognized Indian Nation controlled territory (either sovereign territory or owned) exceeds 5% of the area of a census tract regardless of the tracts’ criteria scores. For more information see the "Technical Documentation" in the "Disadvantaged Communities Criteria Materials" section on the [Climate Act Website](#).

Disadvantaged Community Commitments – Specific, quantifiable commitments providing benefits to Disadvantaged Communities, as further described in Section 2.2.16 and Appendix B.2, and as itemized in Section 6.05 of the Agreement.

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 – Confidential report submitted by Seller to NYSERDA in accordance with Appendix B.1, and Section 12.01 and Exhibit I of the Agreement.

Economic Benefits Start Date – January 1, 2024.

Effective Date – As defined in the Agreement.

Environmental Attributes – All environmental characteristics, claims, credits, benefits, emissions reductions, offsets, allowances, and allocations, however characterized, denominated, measured or entitled, attributable to the generation of Actual Production by the 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 (“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 that have been or may be determined by the United Nations Intergovernmental Panel on Climate Change to contribute to 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 this 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; provided, however, that Environmental Attributes shall not include: (a) any federal production tax credits; (b) any state or federal investment tax credits or other tax credits associated with the construction or ownership of the Project; (c) any depreciation deductions under Applicable Laws (including any bonus or accelerated depreciation); or (d) any state, federal or private grants, financing, guarantees or other credit support relating to the construction or ownership, operation or maintenance of the Selected Project or the output thereof, in each case whether arising before or after the Effective Date.

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.

Expected MWBE and SDVOB Dollars – The Expected Total Dollars expected to accrue specifically to MWBEs and SDVOBs, as memorialized in the Agreement.

Expected Near-Term Dollars – The Expected Total Dollars expected to accrue during the Near-Term Period.

Expected Total Dollars – The total amount, in nominal dollars, of Economic Benefits (as described in Exhibit I of the Agreement) expected to accrue to New York State as a result of the development, construction, installation, modification, interconnection, operation and maintenance of the Selected Project from the Economic Benefits Start Date through the end of the first three (3) Contract Years.

Expected U.S. Iron and Steel Dollars – The Expected Total Dollars associated with expenditures for iron and steel manufactured in the United States for components that are permanently incorporated into a Project.² Vessels and vehicles are not considered to be permanently incorporated for this purpose.

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.

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.

Independent Monitor (IM) – An independent firm whose role is to, employ and rely upon the judgment of a New York State certified public accountant, provide the Seller with guidance as needed, confirmation of the acceptance of Economic Benefits, and to report independently to NYSERDA on the status of the Incremental Economic Benefits to New York State.

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 applicable to any Selected Project as further described in Sections 2.1.4.2 and 4.2.2 and in Section 5.03 of the Agreement.

² This amount will be based on \$120,000 per MW unless the Proposal commits to a higher amount.

Inflation Adjustment Date- The date at which the Inflation Adjustment formula will be calculated, as set forth in Section 4.2.2, and Section 5.02 and Exhibit Q of the Agreement, as determined to be later of either 1) COP Approval, or 2) New York State Public Service Commission approval of the initial phase of the Project's Environmental Management and Construction Plan (EMCP) or equivalent approval by the Office of Renewable Energy Siting and Transmission pursuant to the transmission siting process established by Article VIII of the Public Service Law.

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 the Project (either directly or through reimbursement to a transmission owner or other party) pursuant to the Project's interconnection Facilities Study, interconnection agreement and/or other relevant agreement(s) (such as an engineering, procurement and construction contract) with NYISO or any relevant transmission owner, including any allocated costs of Connecting Transmission Owner's Attachment Facilities, Distribution Upgrades, System Upgrade Facilities and/or System Deliverability Upgrades; provided that any costs (i) attributable to Developer's Attachment Facilities or (ii) of operation, maintenance or other ongoing compliance requirements shall not be included in the Interconnection Cost Allocation. Terms capitalized but not defined in this definition shall have the meanings assigned to them by applicable NYISO tariffs.

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 – An optional modification to the price structure that allows for the costs associated with a Project's 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.

Long-Term Period – The remainder of the Contract Delivery Term following the end of the third Contract Year.

LPO Financing - Any federal loan or federal loan guarantee from the U.S. Department of Energy’s Loan Programs Office.

LSE – Load-serving entity.

Major Supplier – Any supplier to the Seller of goods and/or services with an anticipated aggregate contract value of at least \$1,000,000; provided, however, for reporting of information or activities that are not related to New York State, “Major Supplier” shall mean any supplier to the Seller of goods and/or services with an anticipated aggregate contract value of at least \$5,000,000. Proposers must utilize the New York Offshore Wind Supply Chain Database, as described in Section 2.2.13 when choosing Major Suppliers.

Master Offers Form – As defined in Section 6.2.2.

Material Change – A significant substantive deviation from the Agreement (Appendix H), as further described in Sections 1.5 and 7.

Material Event – Any event or change of circumstances occurs that affects the Project or the Proposal in a manner that could reasonably be expected to have a material impact on the eligibility of the Proposal or its evaluation in ORECRFP24-1, as further described in Section 1.8.

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.

Minimum Unallocated Supply Chain Investment – At least \$100 million of Supply Chain Investment that have not yet been designated as of the Proposal Submission Deadline for Non-Price Information and which specific use is to be determined after the conclusion of OSWSCRFP24-2 and no later than 30 days following the Inflation Adjustment Date.

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, as defined under New York State Law Article 15-A. New York State Certified MWBEs are searchable in the [MWBE Certified Database maintained by Empire State Development \(ESD\)](#). **NDR** – Nominal discount rate.

Near-Term Period – The period commencing on the Economic Benefits Start Date through the Inflation Adjustment Date.

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 incremental (incremental to existing contracts) 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. The [Project Solicitation](#) was released April 4, 2024, with a [summary](#) of proposed projects published June 25, 2024.

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

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

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 the Environmental Attributes of one (1) MWh of electricity generation from an Offshore Wind Generation Facility delivered into the New York Control Area.

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, 2054. If the Contract Tenor is 25 years, the Outer Limit Date is January 1, 2059, subject to any extension applicable under Section 5.06(c) and/or 18.13 of the Agreement.

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 Boundary Area – The physical area in which the Project’s wind turbines will be located, as further described in Exhibit H of the Agreement.

Project Labor Agreement (PLA) – As described in Section 18.11 of the Agreement and consistent with the definition under NYS labor Law § 222.

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 Submission Deadline for Offer Pricing 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 Submission Deadline for Offer Pricing. 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 Submission Deadline for Offer Pricing 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 Submission Deadline for Offer Pricing 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. Furthermore, any LPO Financing (regardless of whether or not it arises from a law enacted by the U.S. Congress before or after the Submission Deadline for Offer Pricing) shall be considered Project Qualifying Federal Support.

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

Proposal – An offer to sell ORECs from up to three 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 Proposals, which must include a 25-year Contract Tenor.

Proposal Submission Deadline for Non-Price Information- The date and time by which the Proposer must submit the Proposal (other than offer pricing), as defined in the table in Section 1.3.

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 NYISO Energy Market prices for the Applicable Zone calculated as set forth in Section 4.03 of the Agreement.

Required Proposals – The Proposals defined in Section 2.1.3.

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

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

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 NYSERDA.

Specialist Reviewer – Any individual, third party, or entity engaged or otherwise mobilized by NYSERDA to support the evaluation of Proposals submitted in response to this RFP 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.

Submission Deadline for Offer Pricing- The date at which offer pricing is to be submitted as described in the table in Section 1.3.

Supply Chain Investment – Any investment in, or procurement 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 (i) is either a new (greenfield) facility or requires significant upgrades to an existing facility to accommodate the contemplated usage and (ii) once built or upgraded, will accommodate the serial provision of goods or services, with the potential to support multiple offshore wind projects.

Tribal Nations (otherwise known as Indigenous or Indian Nations) – Shall include: Cayuga Nation, Oneida Indian Nation, Onondaga Nation, Poospatuck or Unkechaug Nation, Saint Regis Mohawk Tribe,

Seneca Nation of Indians, Shinnecock Indian Nation, Tonawanda Band of Seneca and Tuscarora Nation, as well as those listed on the Indian Nations Area of Interest Map published by the NYS Office of Parks, Recreation, and Historic Preservation for cultural resource preservation purposes.

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 that fall into the applicable categories set forth in Appendix B.1 and Exhibit I of the Agreement.

Verified Near-Term Dollars – The Verified Total Dollars that accrue during the Near-Term Period.

Verified Total Dollars – The total dollar amount of Incremental Economic Benefits verified by NYSEDA 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 for components that are permanently incorporated into a Project that fall into the applicable categories set forth in Appendix B.1 and Exhibit I of the Agreement. Vessels and vehicles are not considered to be permanently incorporated for this purpose.

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 Final Supplemental Generic Environmental Impact Statement (SGEIS) in Case No. 15-E-0302, subject to the terms outlined in Section 2.1.

1.1 NYSERDA's Offshore Wind Program and US East Coast Offshore Wind Background

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, two of which are under contract with NYSERDA and in active development. In addition, the 132-megawatt South Fork Wind Farm, which has a contract with the Long Island Power Authority, delivered first power in December 2023 and became the nation's first utility-scale operating offshore wind project.

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.³ Furthermore, on April 24, 2024, Secretary Haaland announced an offshore wind lease schedule to include up to 12 new lease sales by 2028.⁴

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. In January 2022, New York State Governor Hochul announced plans to develop the [New York State Offshore Wind Master Plan 2.0: Deep Water](#) to

³ <https://www.doi.gov/pressreleases/biden-harris-administration-sets-offshore-energy-records-437-billion-winning-bids-wind>

⁴ <https://www.doi.gov/pressreleases/secretary-haaland-announces-new-five-year-offshore-wind-leasing-schedule>

provide a plan for the future of offshore wind development, including in deeper waters, that will allow for the expansion of the industry and ability to meet regional development targets.

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

In July 2019, the Climate Act was signed into law. The Climate Act specifies clean energy development requirements, 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. In June 2024, the PSC approved 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). 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.

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 Disadvantaged Communities. In April 2024, NYSERDA launched a supply chain solicitation to make available up to \$200 million of this State funding to enable the growth and localization of the offshore wind supply chain in New York by focusing on both port infrastructure and manufacturing facilities. Proposals for the \$200 million solicitation are due in August 2024.

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.

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. Subsequent to the PSC's decision, on January 3, 2024, a Joint Termination Agreement between Empire Wind Offshore LLC and NYSERDA was [announced](#) terminating the OREC Purchase and Sale Agreement for Empire Wind 2. On January 25, 2024, NYSERDA and Beacon Wind LLC, a joint venture between Equinor and bp, entered into an agreement to terminate the OREC Purchase and Sale Agreement for Beacon Wind.

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). NYSERDA also provisionally awarded \$300 million of New York State grant funding to GE Vernova and LM Wind Power for nacelle and blade manufacturing in New York's Capital Region, which was associated with the provisionally awarded projects. Subsequent to the provisional award announcement, material modifications to projects bid into New York's third offshore wind solicitation caused technical and commercial complexities between provisional awardees and their partners, resulting in the provisionally awarded parties' inability to come to terms. Of note, GE Vernova's offshore wind turbine product pivot away from the initially proposed 18 MW Haliade-X turbine platform to a 15.5/16.5 MW platform caused material changes to projects proposed into ORECRFP22-1. Given these developments, NYSERDA announced in April 2024 that the solicitation concluded and no final awards were made.

On June 4, 2024, NYSERDA [announced](#) finalized contracts for Empire Wind 1 (Empire Offshore Wind LLC) and Sunrise Wind (Sunrise Wind LLC) as a result of the State's fourth offshore wind solicitation (ORECRFP23-1). The two projects were previously awarded by NYSERDA in 2019 as part of NYSERDA's first offshore wind solicitation and will proceed under new contract provisions that bring additional benefits to the State.

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 ORECRFP24-1 is as follows (all times ET):

RFP Release Date	July 17, 2024
Proposer's Webinar	July 22, 2024 10:00 a.m. ET
Deadline for Submission of Written Questions ⁵	July 30, 2024, 3:00 p.m. ET
Responses to Written Questions Posted, ⁶	August 13, 2024
Deadline for Requests for Material Changes to Agreement	August 19, 2024
NYSERDA Portal Open for Registration	August 26, 2024
Deadline for NYSERDA Portal Registration NYSERDA Portal Open for Submissions	September 3, 2024 3:00 p.m. ET
Proposal Submission Deadline for Non-Price Information	September 9, 2024 3:00 p.m. ET
Updated Draft Agreement Published, and NYSERDA Feedback to Proposers on Economic Benefits, Interconnection Costs, and Index _B values for use in Agreement(s)	September 26, 2024
Submission Deadline for Offer Pricing	October 18, 2024, 3:00 p.m. ET
Proposer Contingent Award Notification Date	Expected by November 8, 2024
Contract(s) Executed and Public Award Announcement	Expected Q1 2025

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 2024 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 two Required Proposals, as defined in Section 2.1.3. There will be an additional \$100,000 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.⁷ 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, and/or expected Commercial Operation Date(s) will require an additional \$25,000 Proposal Fee. Each Alternate Proposal

⁵ Written questions received after July 30, 2024 may, but are not guaranteed, to be answered by NYSERDA.

⁶ NYSERDA may choose to publish Responses to Written Questions on a rolling basis.

⁷ 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.

that only differs due to the inclusion of Interconnection Cost Sharing will require an additional \$10,000 Proposal Fee. Inclusion of a second Contract Tenor in a Required Proposal or an Alternate Proposal will be accepted without incurring additional Proposal Fees.

The Proposal Fee must be received by NYSERDA prior to **September 9, 2024 at 3:00 p.m. ET.**

Submission Component	Proposal Fee
Required Proposals for both Meshed Ready and non-Meshed Ready options, including up to two Contract Tenors, for one Offshore Wind Generation Facility	\$250,000
Each additional Offshore Wind Generation Facility in the Submission (up to maximum total of three)	\$100,000
Each Alternate Proposal that has a different Offer Capacity, Delivery Point, Injection Point, technical configuration, and/or expected Commercial Operation Date(s)	\$25,000
Each Alternate Proposal that varies only due to a pricing structure with or without Interconnection Cost Sharing	\$10,000

The Proposal Fee will automatically be computed within the Master Offers Form. The Proposal Fee, Award Security as described in Section 7.2 of the RFP, and the Contract Security amount 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: ORECRFP24-1 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’ Conference and Communications with NYSERDA

A Proposers’ Conference for interested persons will be held via Webinar on July 22, 2024 at 10:00 a.m. ET. Proposers are encouraged to [register](#) for this event as early as possible. The purpose of the Proposers’ Conference is to provide Proposers with the opportunity to clarify their understanding of any aspect of this RFP. Prospective Proposers may ask questions during the Proposers Conference, and NYSERDA may respond orally. However, only written answers that are provided by NYSERDA as response to questions and posted on the NYSERDA 2024 Offshore Wind Solicitation website by the deadline for responses listed in the schedule in Section 1.3 will constitute official responses. Proposers

are encouraged to submit written questions⁸ 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 “ORECRFP24-1 Question” by the deadline indicated in Section 1.3. Written answers will be provided by NYSERDA in response to questions and posted on the [NYSERDA 2024 Offshore Wind Solicitation website](#). Questions and responses will be anonymized. Written questions received after the deadline indicated in Section 1.3 may be, but are not guaranteed to be, considered by NYSERDA and NYSERDA may, but is not guaranteed to, provide Responses to Written Questions on a rolling basis following the deadline indicated in Section 1.3.

Prospective Proposers can also submit requests for Material Changes to the Agreement (Appendix H) for NYSERDA consideration by the deadline indicated in Section 1.3. NYSERDA will consider the requested Material Changes and may provide feedback at its discretion about whether specific changes may or may not be acceptable through updates to the Agreement posted to the Solicitation website as in the schedule in Section 1.3. Requested Material Changes to the Agreement should be sent to offshorewind@nyserda.ny.gov with the subject line “ORECRFP24-1 Request for Material Changes to Agreement.” A revised Appendix H will be posted on the [NYSERDA 2024 Offshore Wind Solicitation website](#) on the timeline indicated in Section 1.3.

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.

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 1.4), NYSERDA’s Consultants, Specialist Reviewers or members of the Scoring Committee. Any changes to this RFP will be posted on the [NYSERDA 2024 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

⁸ 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.

Submission requirements. Proposers will be provided with an opportunity to cure the deficiency prior to removing the Proposal from consideration.

1.8 Updates to Proposals

NYSERDA will contact Proposers regarding any instances where NYSERDA is seeking clarification regarding a potential error or misunderstanding reflected in the Proposal Submission, or if Proposal Submission materials were received in a corrupted or unusable format. NYSERDA will provide the Proposer with an opportunity to cure the error or provide properly formatted materials. NYSERDA will not make or allow material adjustments to any Proposal, including the pricing terms submitted with the Proposal Submission.

After the Proposal Submission Deadline for Non-Price Information, Proposers may provide information that was not available at the time of their submission at NYSERDA's request as described in Section 1.9. These requests are for clarification and/or informational purposes and will not be treated by NYSERDA as a change or revision to the material terms of the Proposal Submission (e.g., Offer Price, Incremental Economic Benefits).

If any event or change of circumstances occurs that affects the Project or the Proposal in a manner that could reasonably be expected to have a material impact on the eligibility of the Proposal or its evaluation in ORECRFP24-1 (a "Material Event"), Proposers must promptly notify NYSERDA in writing. Proposers and their submitted Proposals must maintain eligibility under the Project Eligibility Requirements throughout the Proposal evaluation period and, if provisionally awarded, up to the execution of the provisionally awarded Agreement by the Proposer and NYSERDA. NYSERDA reserves the right to consider these Material Events during Proposal evaluation.

In the event that a Material Event occurs that affects ORECRFP24-1 Proposers generally, NYSERDA may solicit updates to all Proposals to account for the Material Event. In accordance with this process for evaluating systemic Material Events, Proposers' scores may be adjusted upwards or downwards as a result.

In the event of a Material Event that does not affect ORECRFP24-1 Proposers generally, the evaluation of the affected Proposal(s) will be re-visited in the applicable category(ies). However, no scores may be increased as a result of this type of Material Event; scores may only be adjusted downwards.

NYSERDA understands that reasonable deviations in development of the Project from the Proposal may occur after the Effective Date due to economic necessity or unforeseen situations. NYSERDA expects that Sellers will notify and work with NYSERDA in advance of such and in compliance with applicable provisions in the Agreement (Appendix H), including but not limited to Article III, Sections 2.01(c), 2.01(e), 12.09, 12.15, and Exhibit H.

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 Section 6 and in Appendix K. All Proposals must demonstrate compliance with each of the eligibility requirements enumerated in Sections 2.1.1 through 2.1.10 and include all contents listed in Section 6.

All Proposers will be required to submit an executed Non-Disclosure Agreement (included as Appendix L) as described in Section 6.2.4.8. 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. (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 Proposals (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)
- If applicable, demonstrate usage rights, authority, and plan for carrying out regulatory approvals for any plan including an Affected Resource (Section 2.1.6.1)
- Demonstrate proven technology choice (Section 2.1.7)
- Be free from, or commit to eliminating or preventing, conflicts of interest, in each case as determined by NYSERDA in its sole discretion (Section 2.1.10)
- 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. 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 in excess of the Maximum Project Capacity, calculated as the Offer Capacity multiplied by 1.10.

All ORECs produced by wind turbines located within the Project Boundary Area memorialized in Exhibit H of the Agreement will be committed to NYSERDA pursuant to the Agreement.

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.

Should a Proposal with electrically co-located energy storage receive an award, the Proposer will be required, at the time of contracting, to demonstrate to NYSERDA's satisfaction that the Project and energy storage will be configured and metered in a way that will ensure that ORECs are created only based on energy generated by the Offshore Wind Generation Facility.

2.1.1.1 Submission into Another State Solicitation

Any Proposer whose Proposal is awarded in ORECRFP24-1 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 ORECRFP24-1. If a Proposer accepts an award of any proposal under another state's solicitation that is mutually exclusive with any Proposal submitted in ORECRFP24-1, the Proposer must notify NYSERDA within 24 hours of the withdrawal of the affected Proposal from ORECRFP24-1 due to acceptance of another award.

2.1.2 Contract Delivery Term

Each Proposal must specify an expected Commercial Operation Date and Contract Tenor. The Contract Delivery Term for a Project will commence on the first day of the month after the actual Commercial Operation Date and end at the date upon which the Contract Tenor has elapsed or at the Outer Limit Date, whichever occurs first. Seller may elect to delay the commencement of the 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 two Required Proposals and may also submit an uncapped number of Alternate Proposals with varied parameters as described below.

- The **Required Proposals** include one Proposal that is Meshed Ready and contains all Meshed Ready technical requirements as described in Appendix F; and one proposal that is not Meshed Ready.
 - All Offshore Wind Generation Facilities included in the Required Proposal Meshed Ready must be Meshed Ready.
 - All Offshore Wind Generation Facilities included in the Required Proposal Not Meshed Ready must not be Meshed Ready.
- The Required Proposals 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.
- The Required Proposals may include pricing with or without Interconnection Cost Sharing.
- **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 include transmission systems with or without the Meshed Ready technical requirements as described in Appendix F.
- Alternate Proposals may include pricing with or without Interconnection Cost Sharing.
- **All Proposals**, including the Required and Alternate Proposals, are subject to the Inflation Adjustment as described in Section 2.1.4.2 and Section 4.2.2.
- All Proposals must use a radial configuration to the Injection Point.
- All Proposals are subject to the radial export cable and interconnection requirements as set forth in Section 2.1.6.

NYSERDA will select no more than 2,800 MW delivered via two HVDC cables into Zone J Delivery Point(s), and an uncapped number of projects with a Zone K Delivery Point utilizing either HVAC or HVDC technology. Accordingly, NYSERDA encourages Proposers to consider submission of Alternate Proposals with both Zone J and Zone K Delivery Points.

It is possible that more than one Proposer may select the same Injection Point, resulting in (i) increased costs of interconnection to accommodate both Proposals or (ii) mutually exclusive Proposals if the Injection Point cannot accommodate both Proposals. Accordingly, NYSERDA encourages Proposers to submit at least one Alternate Proposal that reflects an alternative Injection Point and at least one Alternate Proposal that includes Interconnection Cost Sharing.

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 is implemented.

Each Proposal should be priced assuming that the Project is subject to the Inflation Adjustment. Section 4.2.2 describes the Inflation Adjustment mechanism to be implemented for all Selected Projects.

As further described in Section 2.1.4.3 below, 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.

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 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 (mandatory)

All Proposals will be evaluated based on, and the Agreement for each Selected Project will include, a price structure where the Index OREC Strike Price or Fixed OREC Price will 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.

2.1.4.3 Qualifying Federal Support (mandatory)

All Selected Projects will be subject to a price adjustment in the event that the Selected Project obtains Project Qualifying Federal Support, including LPO Financing, as described in Section 5.07 of the

Agreement. The price adjustment will be computed such that a portion 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. Additional details on the this adjustment mechanism are provided in Section 4.2.3 and in Section 5.07 of the Agreement.

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 Proposals 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.

Each Submission must include one Proposal that is Meshed Ready, and one Proposal that is not Meshed Ready. All Meshed Ready Proposals must utilize HVDC export cable technology as outlined in the

Meshed Ready Technical Requirements in Appendix F; and Non-Meshed Ready proposals may utilize HVDC and/or HVAC cabling subject to the following requirements, conditions and considerations:

- A. Any Proposal that includes undersea cable routes through the Lower 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”) are required to utilize HVDC radial design. Any radial HVAC cable route from the Offshore Wind Generation Facility to shore must not cross any of the Constrained Areas.
- B. 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”).
- C. 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).

For the Required Proposals and for any Alternate Proposals including a direct interconnection to the NYCA, Proposers must provide a detailed plan and a reasonable timeline to complete the interconnection process with NYISO for direct interconnection(s) to the NYCA and, if applicable, for any other interconnecting authority (Regional Transmission Organization, “RTO,” or Independent System Operator, “ISO”) in an adjacent Control Area, i.e., ISO-NE or PJM. The timeline and key milestones must be consistent with meeting the overall development schedule and proposed Commercial Operation Date(s). Proposers must detail the status (and results, if applicable) of any completed and/or in progress interconnection studies conducted to date, as further described in Section 6.2.4.3 and 6.2.7.

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 so 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.

Proposers are required to describe the extent to which the Injection Point or Interconnection Plan is adaptable in the event multiple offshore wind projects are seeking overlapping or adjacent Injection Points. NYSERDA will take this information into account when determining mutual exclusivity between Delivery Points as described in Section 2.1.3.

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.

2.1.6.1 Affected Resource (optional)

Proposals that include the repurposing of existing electric generation infrastructure for use by the Project that would cause changes in the operations or deactivation of any electric generation resource ("Affected Resource"), must: (i) identify the specific facility or asset(s) within a facility proposed to be repurposed, (ii) demonstrate usage rights and authority to carry out such a repurposing, (iii) submit a plan for obtaining regulatory approvals, prior to the Project's commencement of operations, and (iv) submit a contingency plan in case some or all of the changes in the operations or deactivation is delayed or unable to be completed prior to the Project's commencement of operations.

As set forth in Section 12.19 of the Agreement, as a condition to NYSERDA's commitment to purchase ORECs from any such Project that includes an Affected Resource, the owner(s) of the Affected Resource must contractually commit to continuing to operate the Affected Resource in compliance with all applicable laws and regulations, including NYISO tariffs, until such time that (i) a determination has been made by NYISO, the applicable local transmission operator(s) and any other relevant regulatory authorities that the change in generation profile or deactivation will not lead to a violation of the Reliability Rules as defined in the NYISO tariff, or any other reliability, wholesale market, or other applicable criteria, standards, laws or rules and (ii) such deactivation or change in generation profile will not cause a net increase in air pollutant emissions.

NYSERDA encourages Proposers with a Proposal that includes an Affected Resource to consider submission of an Alternate Proposal which does not include an Affected Resource.

2.1.7 Technology Choice

Offshore wind generation technology progress is reasonably expected, but it is not guaranteed to occur on a timeframe that aligns with the Project schedule. This RFP therefore requires that the proposed wind turbine generator has achieved IECRE Type Certification and that the proposed export cable technology is currently in commercial operation. However, this requirement does not preclude the

Project from evolving its design as technology progress occurs, including utilizing another turbine or cable technology.

2.1.8 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 6.2.4.6. 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.

2.1.9 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 6.2.4.7. 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. The Climate and Resilience Strategy must include details of assumed long-term climate impacts, including methods employed to estimate the impacts of long-term climate change on the generator.

2.1.10 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 Forms (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 NYSEDA's requirements as contained in the Agreement, and unless otherwise provided in a Project Labor Agreement (PLA) under which the applicable construction work is performed, 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, and whether work is performed by direct employees of Seller or by subcontractors of Seller, must be paid wages and benefits in an amount not less than the Prevailing Rates (as determined under NYS Labor Law Article 8 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 NYSEDA on uniform rates to apply to the Project. In the event that a laborer, workman, or mechanic working on the construction of the Selected Project is not based at a port in the U.S., Seller must pay the prevailing wage at the nearest U.S. county as measured by the shortest direct-line distance from the federal waters work location. 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, NYSEDA 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 Economic Benefit in its Proposal. No less than six months prior to the start of Construction, Seller must notify NYSEDA 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.

Pursuant to Section 18.10-a of the Agreement, Seller (or a third-party on behalf of Seller) will be required to maintain records, regarding wages paid to all workers on the Project that are not working under a PLA pursuant to Section 18.11 of the Agreement, including (i) detailed records of each

contractor or subcontractor paying such workers, (ii) daily sign-in records, and (iii) certified payroll. The Seller will be required to provide access to these records upon reasonable notice by NYSERDA.

When each Economic Benefits Report is submitted pursuant to Section 12.01 and Exhibit I of the Agreement, Seller will include an attestation by an independent party (not the contractor or subcontractor) that, pursuant to Section 18.10-a, for work performed outside of a PLA, records were kept in accordance with Section 6.02-c and prevailing wage was paid.

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, and must comply with NYS Labor Law § 222.

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:

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;
8. Appropriate provisions for rules governing worksite access and conduct; and
9. Provisions appropriately requiring any contractor or subcontractor of any level that is not an initial party to the PLA to execute a Letter of Assent (LOA) or similar instrument binding such contractor or subcontractor to the terms of the PLA (including any applicable collective bargaining agreements that pursuant to the terms of the PLA apply to the scope of work awarded to such contractor or subcontractor).

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 completed Project. This requirement is separate from the construction phase Project Labor Agreement requirements. As described more fully in Section 18.12 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 (ORECRFP24-1), 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 (ORECRFP24-1). 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 (ORECRFP24-1), 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 ORECRFP24-1 is required to establish that it procures a minimum of \$120,000 per MW of Offer Capacity of steel components that are manufactured with U.S. iron and steel that are permanently incorporated into the Project.⁹ In addition to the minimum requirement of \$120,000/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

⁹ Vessels and vehicles are not considered to be permanently incorporated into a Project.

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), including the Office of Renewable Energy Siting and Electric Transmission, 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 State Department of Transportation (DOT) with respect to the onshore cable routing, and any logistics of onshore transportation of Primary Components, and development and utilization of port facilities to support the Project;
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 COP 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 6.2.8.3 (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 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. Participation in the TWGs means ensuring at least one representative attends and contributes to the discussions during scheduled meetings.

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 (as defined in the Agreement), Proposer will provide for NYSERDA's approval a plan for the commitment of the funding ("Monitoring Fund Plan"). The Monitoring Fund Plan shall require the commitment of fifty percent of the funding within one year of the Effective Date, and the remaining fifty percent within two years of the Effective Date. Commitment of funding shall follow the approved Monitoring Fund 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 the Effective Date (as defined in the Agreement), 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 or information will not be subject to these requirements to the extent that (i) a state or federal agency has requested that such data or information be kept confidential and not disclosed, (ii) such data or information is restricted from public disclosure due to its culturally sensitive nature (such as certain archaeological data and information of importance to Tribal Nations), (iii) such data or information has been requested for a reason other than a legitimate scientific need, or (iv) if such data or information is reasonably designated by Seller as commercially sensitive or proprietary, e.g. met-ocean data and geophysical/geotechnical data. Real- or near real-time reporting of marine mammal sighting and detections may be required and the timing of the availability of 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 [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>), provided that to the extent aspects of such guidance are memorialized in the Selected Project's COP Approval, the requirements of the COP Approval shall prevail.
- B. *Responsible Offshore Science Alliance and Regional Wildlife Science Collaborative Membership.* Each Proposer must agree, if awarded an Agreement, to be an active member in good financial standing with the Responsible Offshore Science Alliance and the Regional Wildlife Science Collaborative. 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, sixty (60) days prior to the monitoring effort, 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. *Navigational Enhancement Plan:* If awarded a contract, the Proposer shall develop a Navigational Enhancement Plan in consultation with regulatory authorities and fisheries stakeholders. The plan may include payments to enable the acquisition of navigation equipment, the development of appropriate training for use of navigation equipment or other

navigational aids, or the creation of other programs to enable fishermen to safely continue effective navigation and fishing activities to encourage project coexistence. The Proposer shall report on the number of fishermen, type of navigational assistance (technology based, training method or courses, etc.), and overall value provided in the Contract Quarterly Report.

- G. *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 Subcontractor and 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 the Contingent Award Notification Date 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, subcontractors, 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 subcontractors and 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(e) 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 Climate Resiliency Plan

Proposals must describe the efforts that have or can be undertaken to understand the climate resiliency of the Selected Project and minimize the Selected Project's risk of climate impacts.

Proposers must describe how the Selected Project will actively support the outcomes for climate resiliency envisioned by the Climate Act. 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 (the ability of the system to provide expected output of energy over its useful life) of the Selected Project.

- **Reliability:** The Proposer must explain how climate change adaptation and resilience is incorporated into the Selected Project's siting, design, technology selection, construction, and operation. The Proposer must identify the Selected Project'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 Selected Project'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 will demonstrate how the Selected Project 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 climate exposure the Selected Project may face will be based on its location and anticipated useful life. Main climate hazards in NYS include but are not limited to extreme storms, high winds, 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 NYS Climate Impacts Assessment, 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.

To the extent possible, Proposals 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.

If awarded, the Seller will be required to provide a Climate Resiliency Plan as further described in Section 6.09 of the Agreement.

2.2.16 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 and eligible Disadvantaged Community Commitments.

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.

2.2.17 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.

2.2.18 Minimum Unallocated Supply Chain Investment

Any Project awarded a contract in ORECRFP24-1 is required to commit to a minimum of \$100 million of Supply Chain Investments, known as the Minimum Unallocated Supply Chain Investment, which is pre-populated as claim EB001 in Part IV of the Offer Data Form. The specific use of the Minimum Unallocated Supply Chain Investments is to be determined between the conclusion of OSWSCRFP24-2 (anticipated to conclude in Spring/Summer of 2025) and the date that occurs 30 days after the Inflation Adjustment Date. The Minimum Unallocated Supply Chain Investment is to be expended during the Mid-Term Period. A Proposal may not be contingent upon a specific use of the Minimum Unallocated Supply Chain Investment. All in-state expenditures anticipated for a Proposal should be included in the Economic Benefits claims other than the Minimum Unallocated Supply Chain Investment and may not overlap with the Minimum Unallocated Supply Chain Investment. The Minimum Unallocated Supply Chain Investment is reflected in Section 6.06(a) of the Agreement. In addition to the Minimum Unallocated Supply Chain Investment, Proposers who commit to additional Supply Chain Investments will be evaluated favorably in the Economic Benefits evaluation, as described in Section 3.3.1. Additional Supply Chain Investments will be entered in Section 6.06(b) 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 3.2.5. 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 3.2.5. 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 can be achieved. Proposals with an earlier proposed Commercial Operation Date for 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 or that have progressed detailed interconnection studies 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 Offer 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).
- A plan to secure vessels and marine terminal facilities necessary for operations and maintenance of the Project(s).
- That the Primary Components can be procured to meet the required development schedule.

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.
- The status of negotiations or agreements with suppliers.
- The maturity of the vessel and port plans 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. Plans that are consistent with New York State's decarbonization goals 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,
- The contractual arrangements with Major Suppliers to implement quality, health and safety standards and tracking,
- Demonstrated utilization of incident reporting systems, and
- Track record and culture of quality, health, and safety.

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

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:

- Demonstration of thoughtful cable routing and understanding of potential conflicts such that the associated underwater and overland footprint of the radial export cable and cabling between convertor stations and points of interconnection avoids or minimizes risks and impacts and employs appropriate mitigation measures as described in the Offshore Wind Cable Corridor Constraints [Assessment](#);
- An advanced and mature interconnection plan, including third party interconnection studies that provide details and certainty around completing the NYISO interconnection process or other interconnection process if the Project Injection Point is outside the NYCA;
- 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 the planned mitigation, 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, and;
- Details around the potential for the chosen Injection Point to accommodate multiple injections of offshore wind where applicable.

3.2.4 Responsible Development

Proposers must demonstrate a holistic understanding of the potential Project impacts and present plans to address 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 all development phases of the Project and how the Plans address avoidance, minimization, mitigation, restoration, and offsetting (e.g. net positive impacts) of potential environmental and fisheries impacts. Proposals that commit to achieving net positive impacts at the proposed Project level will be evaluated favorably.

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, including stakeholders in, or that serve Disadvantaged Communities, will be evaluated favorably. Proposers who have demonstrated excellence in stakeholder engagement practices, in alignment with the Guiding Principles for Offshore Wind Stakeholder Engagement and inclusive of such activities as outreach through open houses, and engagement through community input workshops and community advisory boards, will be evaluated favorably. In addition, proposers who have maintained a positive public reputation, in New York or in other markets, will be evaluated favorably. Proposers who have made significant progress in conducting stakeholder outreach and engagement regarding the Project, including demonstrating an understanding of stakeholder concerns, preferences, and priorities and developing shared goals with each stakeholder group, 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. Resource assessments using commercially certified power curves provided from the turbine manufacturer are preferred to synthetic or theoretical 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.

Only Incremental Economic Benefits that accrue through the end of the third Contract Year will be included in the 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 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 developing an in-state supply chain and supporting infrastructure through their own direct investments and purchase commitments. As such, this RFP (ORECRFP24-1) requires a minimum of \$100 million be earmarked for Supply Chain Investments that have not yet been designated as of the Proposal Submission Deadline for Non-Price Information, as further described in Section 2.2.18.

Proposers are encouraged to recognize NYSERDA's commitment to foster the economic development of New York MWBE and SDVOB subcontractors, suppliers and 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 consult Appendix G for more detail.

This RFP (ORECRFP24-1) requires a minimum of \$120,000/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 \$120,000/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.¹⁰

NYSERDA values enabling investments that occur on a near term basis as they act to engage the supply chain and build 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.

¹⁰ In the Offer Data Form, U.S. Iron and Steel is entered separately for in-state and out-of-state expenditures. Selected Projects will not be contractually held to this geographic allocation, only the total of Expected U.S. Iron and Steel Dollars.

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.

Table 1: Incremental Economic Benefits Key Metrics

	Near-Term Dollars (1/1/24 through Inflation Adjustment Date)¹¹	Mid-Term Dollars (Inflation Adjustment Date through the end of the third Contract Year)	Long-Term Dollars (Remainder of Contract Delivery Term)
Total Dollars ¹²			
Labor Dollars ¹³			
MWBE and SDVOB Dollars ¹⁴			
U.S. Iron and Steel Dollars ¹⁵			
Disadvantaged Community Commitments ¹⁶			
Supply Chain Investments ¹⁷			

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.

¹¹ 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.

¹² The sum of the amounts in the first two 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.

¹³ The sum of the amounts in the first two 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.

¹⁴ The sum of the amounts in the first two 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.

¹⁵ The sum of the amounts in the first two 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.

¹⁶ The Total amount of Disadvantaged Community Commitments will be entered into Section 6.05 of the Agreement.

¹⁷ The Total amount of Supply Chain Investments will be entered into Section 6.06 of the Agreement.

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, and the Disadvantaged Community Impacts submitted in accord with Section 6.2.8.4 and Appendix B.2 for Disadvantaged Community Commitments. 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 rows in Table 1.

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.

NYSERDA 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

	Near-Term Dollars (1/1/24 through Inflation Adjustment Date)	Mid-Term Dollars (Inflation Adjustment Date through the end of the third Contract Year)	Long-Term Dollars (Remainder of Contract Delivery Term)
Total Dollars	1.25	1.00	0.25
Labor Dollars	+1.25	+1.00	+0.25
MWBE and SDVOB Dollars	+1.25	+1.00	+0.25
U.S. Iron and Steel Dollars	+1.25	+1.00	+0.25
Disadvantaged Community Commitments	+1.25	+1.00	+0.25
Supply Chain Investments	+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.

As described in Section 12.02 of the Agreement, if there is a shortfall in Expected Near-Term Dollars, 25% of the shortfall will be added to the Expected Total Dollars. For example, a shortfall of \$100,000 in the Near-Term Period will result in \$25,000 being added to the Expected Total Dollars.

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. The

verification of Incremental Economic Benefits shall be based on the date of each expenditure, not the date on which a contract is signed or funds are otherwise committed.

Further, Seller shall engage an Independent Monitor (“IM”) that employs and relies upon the judgment of a certified public accountant from the Effective Date and continuing through the first three years of the Contract Delivery Term. The IM’s role is to provide the Seller with guidance as needed, confirmation of the acceptance of Economic Benefits, and to report independently to NYSERDA on the status of the Incremental Economic Benefits to New York State. The IM, funded at the Seller’s expense, shall have continuing access to the portion of documentation maintained within Seller’s electronic networks or databases housing all records and reporting regarding all aspects of Disadvantaged Community Benefits, MWBE/SDVOB, supply chain engagement, and labor related expenditures on the Selected Project to allow the IM to conduct an ongoing review of backup documentation in order to effectively monitor progress. The IM shall provide NYSERDA with quarterly reports that coincide with Seller’s quarterly reports and shall perform the steps to complete the agreed upon procedures and prepare the Agreed Upon Procedure Report (as defined in Exhibit I 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:¹⁸

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

where:

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

IC = Installed capacity (ICAP) of the generator (MW)¹⁹

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

Article V of the Agreement describes a number of adjustments to the Index OREC Strike Price or the Fixed OREC Price, some of which are optional while others are required. This section describes the optional and required adjustments that will be reflected in Article V of the Agreement to Selected Projects, and any adjustments reflected in the price evaluation of submitted Proposals. The Inflation Adjustment will be applied before any additive or subtractive adjustments resulting from interconnection cost adjustments or QFS adjustments.

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.

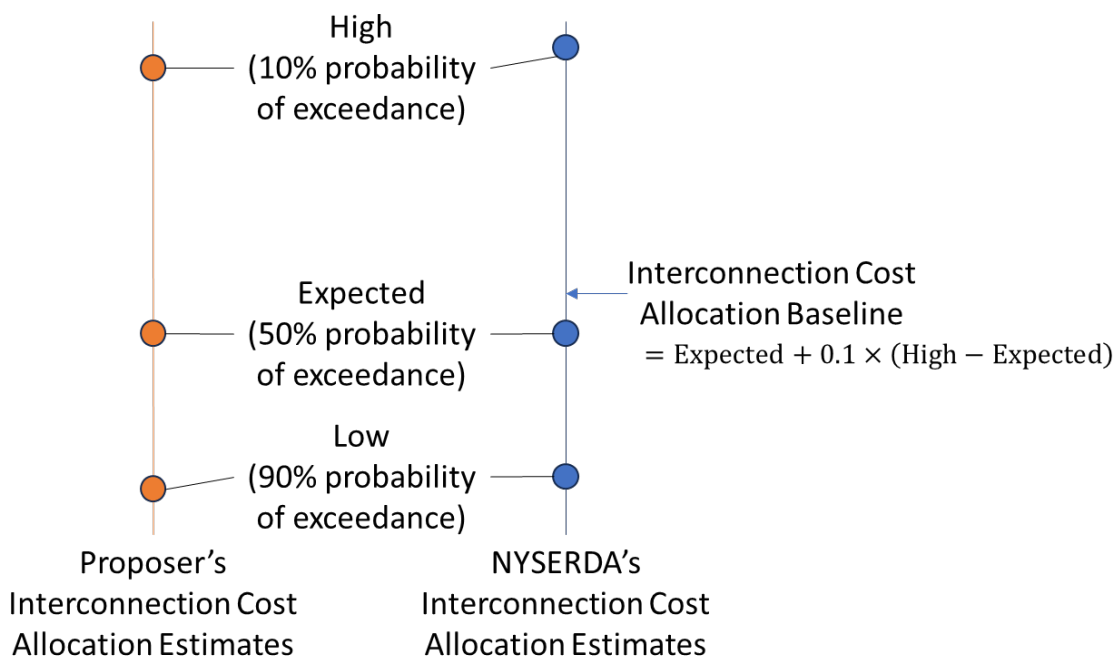
The value for the Interconnection Cost Allocation Baseline that will be reflected in Section 5.04 of the Agreement will be based on the information submitted by the Proposer in accordance with Section 6.2.7. NYSERDA's Specialist Reviewers and subject matter experts will review the submitted high, low 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

¹⁸ 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.

¹⁹ Offer Capacity for evaluation purposes, Operational Installed Capacity for settlement purposes.

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 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



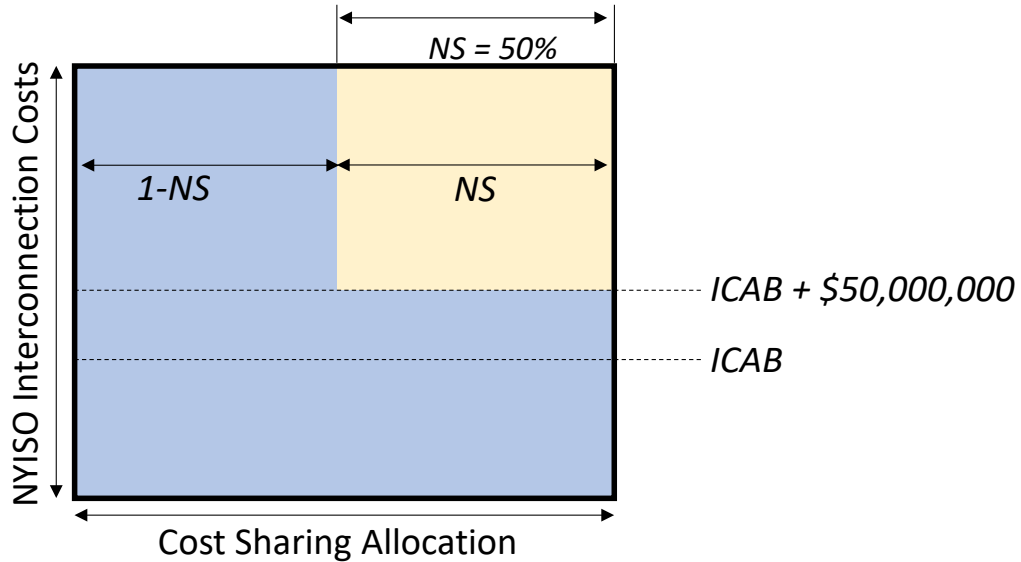
NYSERDA will confirm the Interconnection Cost Allocation Baseline value that will be reflected in Section 5.04 of the Agreement for each Proposer prior to submission of Offer Price, as indicated in the schedule presented in Section 1.3.

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 parameters once the Interconnection Cost Allocation Baseline has been established.

NYSERDA's share of Interconnection Costs will be fixed at 50% of all costs above the Cost Sharing Threshold, where the Cost Sharing Threshold (the threshold where cost-sharing begins) is defined as the value that is equal to the Interconnection Cost Allocation Baseline (ICAB), as established by NYSERDA consistent with the approach described above, plus \$50 million.

Figure 2: Interconnection Cost Sharing Illustration



- Paid by NYSERDA through As-Bid Index OREC Strike Price or Fixed OREC Price
- Paid by NYSERDA through Interconnection Cost Sharing Adder

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)

$$= \frac{AICSR}{AOQ_{P50}}$$

AOQ_{P50} = P50 Annual OREC Exceedance (MWh/year)

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

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

AF(NDR,CT) = Annuity factor using the NDR (7.55%) for the Contract Tenor

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

$$= \max(0, IC - (ICAB + \$50,000,000)) \times NS$$

- IC = Interconnection Cost Allocation (Nominal \$)
- ICAB = Interconnection Cost Allocation Baseline (Nominal \$) as specified in the Agreement
- NS = NYSERDA Share (via the ICSA) of Interconnection Cost Allocation greater than ICAB + \$50,000,000 (specified as 50%)

4.2.2 Inflation Adjustment

For all Proposals, the Index OREC Strike Price or Fixed OREC Price will be adjusted to account for inflation between the Submission Deadline for Offer Pricing and the Inflation Adjustment Date, defined as the later of 1) the Project’s COP Approval, or 2) New York State Public Service Commission approval of the initial phase of the Project’s EMCP or equivalent approval by the Office of Renewable Energy Siting and Transmission pursuant to the transmission siting process established by Article VIII of the Public Service Law. 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 of turbines and turbine generator sets, steel, fuel, copper, and consumer price indices. 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 all Proposals will be calculated as:

$$\begin{aligned}
 OREC_{adj} = OREC_{bid} & \\
 & \times \left(0.2 + 0.3 \times \frac{Index_{T,Labor}}{Index_{B,Labor}} + 0.08 \times \frac{Index_{T,Steel}}{Index_{B,Steel}} \right. \\
 & + 0.07 \times \frac{Index_{T,Fabrication}}{Index_{B,Fabrication}} + 0.03 \times \frac{Index_{T,Copper}}{Index_{B,Copper}} + 0.02 \times \frac{Index_{T,ULSD}}{Index_{B,ULSD}} \\
 & \left. + 0.15 \times \frac{Index_{T,CPI(EU)}}{Index_{B,CPI(EU)}} + 0.15 \times \frac{Index_{T,CPI(US)}}{Index_{B,CPI(US)}} \right)
 \end{aligned}$$

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 Submission Deadline for Offer Pricing

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

Table 3 identifies the publicly available US Bureau of Labor Statistics (BLS) Producer Price Index (PPI), Employment Cost Trend Index, Consumer Price Index (CPI), 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
Steel	Unitless index, monthly	U.S. BLS, PPI, Data Series PCU331110331110, Iron and steel mills and ferroalloy mfg, not seasonally adjusted https://data.bls.gov/dataViewer/view/timeseries/PCU331110331110
Fabrication	Unitless index, monthly	U.S. BLS, PPI, Data Series PCU33361133361105, Turbine and turbine generator set units https://data.bls.gov/dataViewer/view/timeseries/PCU33361133361105
Copper	\$/lb, daily	COMEX, spot price on last trading day of month https://comexlive.org/copper/
New York Harbor Ultra-Low Sulfur No 2 Diesel Spot Price	\$/gal, monthly	U.S. Energy Information Administration, Petroleum & Other Liquids Data https://www.eia.gov/dnav/pet/PET_PRI_SPT_S1_D.htm
CPI (Europe)	Unitless index, monthly	Eurostat, x% Harmonized index of consumer prices- European Union, monthly data PRC_HICP_MIDX https://ec.europa.eu/eurostat/databrowser/view/prc_hicp_midx/default/table?lang=en
CPI (US)	Unitless index, monthly	U.S. BLS, CPI, Data series CUSR0000SA0, Consumer Price Index for All Urban Consumers https://data.bls.gov/dataViewer/view/timeseries/CUSR0000SA0

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 Submission Deadline for Offer Pricing. The preliminary Index_B values as of the RFP issuance date are shown in Table 4.

Table 4: Commodity Inflation Indices as of ORECRFP24-1 Issuance Date (July 17, 2024)

Commodity Index	Value
Index _{B,Labor}	37.855
Index _{B,Steel}	270.176
Index _{B,Fabrication}	155.812
Index _{B,Copper}	4.225
Index _{B,ULSD}	2.600
Index _{B,CPI (EU)}	128.987
Index _{B,CPI (US)}	312.075

The Index_B values described in Table 5 are the 6-month averages of each indicator as of the RFP release date (July 17, 2024). Index_B values to be used in the Agreement will be provided to all Proposers prior to the Offer Price Submission on the timeline set forth in Section 1.3.

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 Inflation Adjustment Date. For daily indices, the monthly values will be the spot price on the last trading day of the month. 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 Inflation Adjustment Date.²⁰

4.2.3 Qualifying Federal Support

For all Proposals, the Index OREC Strike Price or Fixed OREC Price will be adjusted to account for Project Qualifying Federal Support, including LPO Financing, received by the Selected Project, as described in Section 5.07 of the Agreement.

The impact to the Fixed OREC Price or Index OREC Strike Price based on various Federal incentives is summarized at a generalized, high level in Table 5 below, but **Proposers should consult Section 5.07 of the Agreement for details.**

For purposes of determining treatment of the Energy Community Bonus Credit, the primary Project configuration and associated ITC qualification for each Proposal must be clearly delineated in the Financing Plan and will be used as the baseline for determining whether a material reconfiguration has occurred.

²⁰ 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.

Table 5: Qualifying Federal Support OREC Price Adjustments

Federal Incentive	OREC Price Adjustment
Inflation Reduction Act Energy Investment Tax Credit (without bonuses)	None
Energy Community Bonus Credit	If based on Project as proposed and in reliance on existing IRS guidance: None If qualified after reconfigurations of the proposed Project and/or in reliance on subsequent IRS guidance: 50% (or 75% if based on a waiver or exception) of the net benefit will be applied to an OREC price reduction
Domestic Content Bonus Credit	If qualification is not based on a waiver: 50% of the net benefit will be applied to an OREC price reduction If qualification is based on a waiver: 75% of the net benefit will be applied to an OREC price reduction
Other Project Qualifying Federal Support from legislation existing at the time of Offer Price Submission	None
Project Qualifying Federal Support based on legislation passed after the Offer Price Submission	75% of the net benefit will be applied to an OREC price reduction
LPO Financing	25% of the net benefit, as calculated pursuant to the definition of "LPO Financing QFS Amount" in the Agreement, will be applied to an OREC price reduction

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

QFSPR = Qualifying Federal Support Price Reduction (Nominal \$/MWh)

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

AOQP₅₀ = P50 Annual OREC Exceedance (MWh/year)

AQFSR = Annual Qualifying Federal Support Recovery (Nominal \$/year)

$$= NSQFS \times AF(NDR, CT_{YR})$$

AF(NDR,CT_{YR}) = Annuity factor using the NDR (7.55%) for the number of full Contract Years remaining in the Contract Delivery Term, from Section 5.07 of the Agreement

NSQFS = NYSERDA Share of Qualifying Federal Support recovered through the QFSPR (Nominal \$)

$$= QFSA \times NS$$

QFSA = Qualifying Federal Support Amount (Nominal \$)

NS = NYSERDA Share (via the QFSPR) of Qualifying Federal Support Amount, from Table 5 and Section 5.07 of the Agreement

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, (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. As set forth in Section 5.06(a) of the Agreement, in the event that interconnection with the PPTN is in the economic interest of the Seller, the Seller shall seek to integrate its offshore transmission system with the PPTN.

4.4 Offer Price Evaluation Metric

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

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

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%²¹ per year and a long-term inflation rate assumption of 2.26% 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 Proposals will be evaluated with a Contract Delivery Term commencement year of 2030, and therefore a COD_p of 2030. 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 price evaluation purposes, no Inflation Adjustment, Interconnection Savings Share adjustment, or QFS adjustment will be applied to the Offer Price.

For evaluation of 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 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.

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

²¹ 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 12, 2024.

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, a mutually exclusive interconnection point as determined by NYSERDA based on a review of information from Proposers and Specialist Reviewers, 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 2,800 MW delivered via two HVDC cables into Zone J Delivery Point(s). No such limit applies to capacity with a Zone K Delivery Point. 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, Climate Action Council Scoping Plan, Offshore Wind Cable Corridor Constraints Assessment, Public Service Commission Order Addressing Public Policy Requirements for Transmission Planning Purposes Case 22-E-0663) 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 timely and 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;
- The anticipated value of Meshed Ready Proposals compared to non-Meshed Ready Proposals in consideration of the Project site and proposed Injection Point, taking into account uncertainty regarding implementation of a meshed network;
- 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

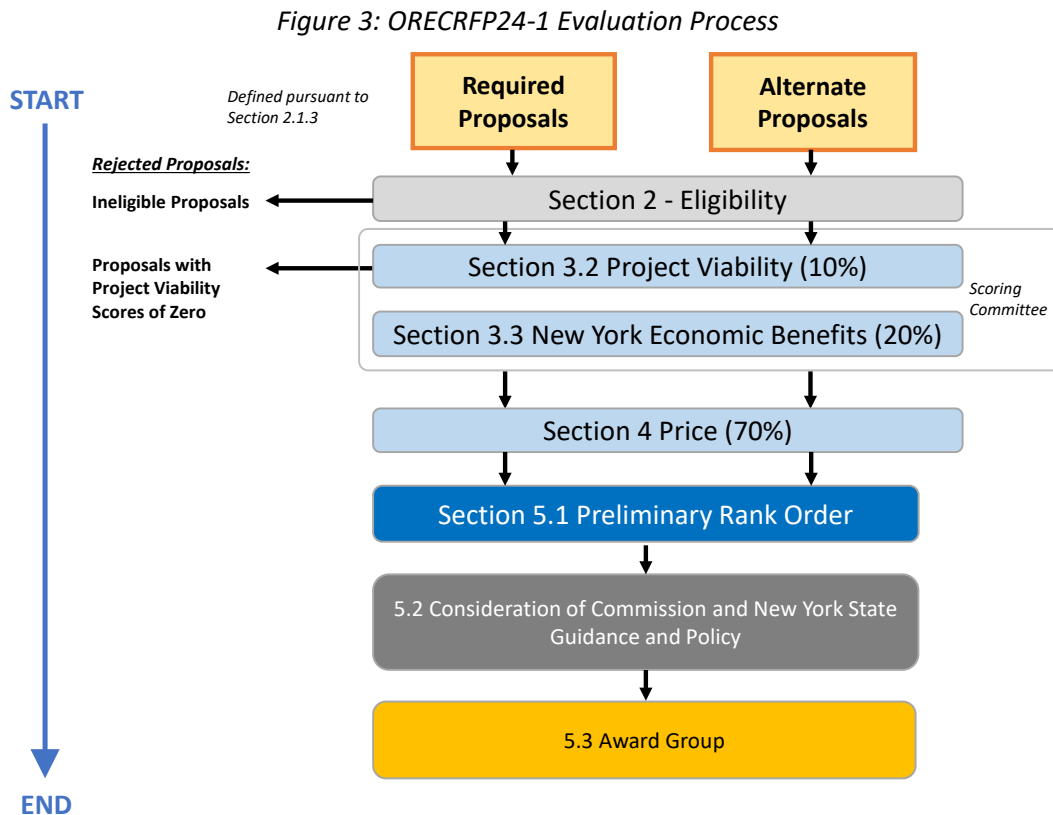
The initial award group will be comprised of the Preliminary Award Group determined in accordance with Section 5.1 as modified (if at all) in accordance with Section 5.2. NYSERDA reserves the right to determine the size of the award group in its sole discretion.

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 Contingent 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 also reserves the right to expand the initial award group to advance awards for Proposals ranked below 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 Submission Deadline for Offer Pricing indicated in Section 1.3.

The foregoing evaluation process is summarized in Figure 3 below.



NYSDA 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 [NYSERDA 2024 Offshore Wind Solicitation website](#) when preparing their Proposals. Each Proposer shall be solely responsible for and shall bear all of the 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 **August 26, 2024**, and closes for registration on **September 3, 2024 at 3:00 p.m. ET.**

For detailed instructions toward submission and interfaces with this site refer to Appendix K. Proposal Submission Guide once posted by NYSEDA. The Submission must be uploaded to NYSEDA's secure Salesforce site which will open for Proposal submission on **September 3, 2024.**

Links will be available on the [NYSERDA 2024 Offshore Wind Solicitation website](#) on the above-mentioned dates.

Technical support for NYSEDA'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 NYSEDA's Salesforce application.

The Proposal Submission Deadline for Non-Price information is September 9, 2024 at 3:00 p.m. ET. Proposers should allocate at least four hours for uploading the required documents to the portal once they have received final review. It is strongly recommended to start uploading documents at least one day before the Proposal Submission Deadline. All proposals in-process on September 9, 2024 at 3:00 p.m. ET will have a short grace period to complete uploading documents. NYSEDA reserves the right to reject all substantially incomplete or late submissions, pursuant to Section 1.7.

Submission Deadline for Offer Pricing is October 18, 2024 at 3:00 p.m. ET. Offer Pricing and the signed Proposer Offer Price Certification Form must be submitted to NYSEDA through a secure file transfer and emailed to offshorewind@nyserda.ny.gov. The form to be used to submit Offer Prices will be provided to Proposers at the time of NYSEDA Feedback to Proposers on Economic Benefits, Interconnection Costs, and Index_B values for use in Agreement(s) as described in Section 1.3.

By the date indicated in Section 1.3, NYSEDA will publish an updated Agreement, which will seek to incorporate feedback from potential Proposers. After the Proposal Submission Deadline for Non-Price Information, by September 26, 2024, NYSEDA will provide (i) a determination of any ineligible

Incremental Economic Benefit claims, (ii) the applicable Interconnection Cost Allocation Baseline, (iii) whether each proposed Injection Point will be evaluated as being able to accommodate injections from multiple Offshore Wind Generation Facilities, and (iv) Index_B values for use in the Agreement.

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.

The 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 2024 Offshore Wind Solicitation website](#) shortly after the Proposal Submission Deadline for Non-Price Information. The file name of the submitted file should include the word "Public" as noted in 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 Proposals 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 (at least two required) (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 6.2.8.4)
- 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 6.2.9)
- 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)
- Proposed edits to the 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 Forms, **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:
 - a. Offer Capacity,
 - b. Injection Point(s), and
 - c. The array of Required and Alternate Proposals included in the Submission, including the proposed Contract Tenor(s), along with the variance in Proposals due to Project configurations, interconnection, COD, or economic benefits.
2. Provide a map (or maps) showing:
 - a. The proposed Offshore Wind Generation Facility, including the turbine array location relative to the total lease area,
 - b. The Project Boundary Area (which will be memorialized in Exhibit H of the Agreement),
 - c. The distance of the Offshore Wind Generation Facility from shore,
 - d. The offshore substation and conceptual offshore and onshore cable route of the generator lead line to the Injection Point, and

- e. The onshore converter station, including any flexibility or alternative considerations.
- 3. Provide a map (or maps) showing:
 - a. The planned port and supply chain facilities,
 - b. Vessel providers, and
 - c. Any variances in the port and supply chain facilities for each Project configuration included in the Submission.
- 4. Provide a summary of the chosen turbine, cable, and installation technology, including how expected technology progress may evolve the development plan over time.
- 5. Provide a high level time-line noting the key project stages and identify the anticipated key milestones.
- 6. 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.
- 7. Please further include:
 - a. A list of contacts for the Proposal, including preferred key contacts for executive level, Project Team, and public communications.
 - b. Information or statements about how the selected Project Team embodies diversity, equity, and inclusion principles.
 - c. 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.
 - d. Overview of local community (elected officials and the public) support of the project, point-of-interconnection and, if applicable, cable fall and route.
 - e. 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.
 - f. Relevant company background, highlighting similar projects, notable experience, and global portfolio.

The public version of the Executive Summary must include, at minimum, basic information about the developer(s) and the Project, including the Project Boundary 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 Proposal includes Interconnection Cost Sharing.

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 technical, and operational information for the proposed Offshore Wind Generation Facility and claimed Incremental Economic Benefits of the Project. A separate ODF must be submitted for each Proposal. At least two ODFs must be included in each Submission, one for the Required Proposal Meshed Ready and one for the Required Proposal Not Meshed Ready. An additional ODF must be submitted for each Alternate 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 Proposal Definition

Proposer name, Proposal Code (from the Master Offers Form), Proposal type (Required Proposal Meshed Ready, Required Proposal Not Meshed Ready, or Alternate Proposal), unique Proposal name, pricing structure, contract tenor(s), 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, whether each Offshore Wind Generation Facility will include Interconnection Cost Sharing, radial export cable technology for each Offshore Wind Generation Facility, Commercial Operation Date for each Offshore Wind Generation Facility, P10 Annual OREC Exceedance value, and P50 Annual OREC Exceedance value for each Offshore Wind Generation Facility.

Part II Interconnection Details

Enter Injection Point and Delivery Point descriptive information, and interconnection request details.

Enter whether the Injection Point is, in the Proposer's opinion, able to accommodate multiple Offshore Wind Generation Facilities, and provide a brief summary of the explanation.

Enter export cable route information.

For calculation of the Interconnection Cost Allocation Baseline, enter the anticipated Interconnection Cost Allocation parameters, including an estimate of the expected, high, and low values.

Enter the estimated transmission costs for cable materials and installation, offshore substation materials and installation.

For Meshed Ready proposals, enter the estimated Meshed Ready material and installation costs.

Part III Expected Performance

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

Data are entered by ID number, including 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, number of jobs (unique jobs and FTE-years, if applicable), 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. The Minimum Unallocated Supply Chain Investment is pre-populated as claim EB001. 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

Proposals must demonstrate that the Interconnection and Deliverability Plan meets all requirements described in Section 2.1.6 through a brief overview.

The overview must include:

- A description of the interconnection plan including a timeline for completing the interconnection process.
- Either i) evidence and status of any existing interconnection requests with the NYISO, ii) the approximate time for submitting a Pre-application Request with the NYISO and the expected year the Project will undergo the Cluster Study, or iii) documentation from 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.
- The status (and a summary of the results, if applicable) of any completed and/or in progress interconnection studies conducted to date.
- A conceptual map of the radial export cable route demonstrating compliance with any applicable cable routing restrictions as prescribed in Section 2.1.6.
- 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.
- 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 Affected Resource (optional)

For Proposals that include an Affected Resource as described in Section 2.1.6.1 and in Section 12.19 of the Agreement, Proposers must provide an executed agreement or letter of intent with the owner(s) of the relevant Affected Resource to demonstrate the usage rights and authority to carry out the Proposal.

For Proposals that include an Affected Resource, Proposers are required to submit a description for conversion of the existing facility, a clear plan and timeline for implementation, including obtaining regulatory approvals relative to the Project's commencement of operations. Proposers are required to submit a contingency plan in the event that the proposed Affected Resource is retained for reliability needs, or the proposed conversion of the Affected Resource is delayed or unable to be completed prior to the Project's commencement of operations (for example, if regulatory approvals are not obtained by

such time). Contingency plans should also include a clear timeline, including obtaining regulatory approvals.

6.2.4.5 Technology Choice

Proposers are required to submit basic information regarding the proposed wind turbine generator and high voltage export cable, including the MW capacity, voltage, that the components are commercially available, and where else they have been installed or proven. Proposers must submit basic design information and certification from the manufacturer. Proposers must submit independent verification that the turbine selected will operate safely, reliably, and according to design specifications provided by an independent certification body. Potential design evolution that is consistent with expected technology progress may be presented as part of the Project Development Plan, as described in Section 6.2.7.4.

6.2.4.6 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.

6.2.4.7 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.

The Climate and Resilience Strategy must include details of assumed long-term climate impacts, including methods employed to estimate the impacts of long-term climate change on the generator.

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.

6.2.4.8 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 Non-Price Information Certification Form in Appendix A and attach it to this Submission document. The Proposer Non-Price Information 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.

Proposers must execute a Non-Disclosure Agreement (Appendix L) and attach it, in accord with Section 2.1.

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, 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, Investment Tax Credit, or LPO Financing (or other incentives) on the financing of the Project, including presumed qualification year and percentage and estimated eligible capital expenditures or estimated level of financing. Provide an explanation for the assumed ability or inability to qualify for the Federal Production Tax Credit, Investment Tax Credit, or LPO Financing. The Proposal may not be contingent on receipt of the Production Tax Credit, Investment Tax Credit, or LPO Financing. Refer to Section 2.1.4 and to Section 5.07 of the Agreement for the Fixed OREC Price or Index OREC Strike Price adjustment related to receipt of Project Qualifying Federal Support or LPO Financing. For purposes of

determining treatment of the Energy Community Bonus Credit, the primary Project configuration and associated ITC qualification for each Proposal must be clearly delineated.

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 any 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.²²
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.
12. A recent external audit management letter covering the Proposer.

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.

²² The financial statements should be included as an attachment at the end of the Project Development Plan file. These attachments will not be counted toward the 100-page limit.

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. To the extent that the Proposer expects technology progress to enable evolution of the Project design beyond currently available turbine and cable equipment, these expectations should be described, along with a discussion of how this will affect Project development.

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:

- Description and status of contractual requirements for Major Suppliers and other third-party services to adhere to Quality, Health, and Safety standards.
- 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's 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, site access requirements, 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.

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 or Tribal Nations. 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) Interconnection Cost Allocation along with high (10% probability of exceedance) and low (90% probability of exceedance) estimates of the Interconnection Cost 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. Explain whether, in the Proposer's opinion, the Injection Point can accommodate injections from multiple Offshore Wind Generation Facilities and why or why not. If the Injection Point can accommodate multiple injections, provide expected, high, and low estimates of the Interconnection Cost Allocation, and supporting information, as described in the item above, in the event that the Offshore Wind Generation Facility connecting to the Injection Point is not the first connection at the Injection Point.
8. 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.
9. 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.
10. 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.
11. For any Proposals that include an Affected Resource, please include a detailed timeline and plan to carry out the interconnection, and describe the contingency plan.
12. 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.
13. 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.

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. All letters of support for the Project should be included as a separate attachment 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, or Tribal Nations, 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. The visibility study may present larger wind turbines than those proposed,

but may not present smaller wind turbines than those proposed. 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 IV 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.²³ 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](#).

²³ For Labor Dollars, the numbers of unique jobs and FTE years as provided in the Offer Data Form and described in the Jobs and Workforce Plan in accord with Exhibit G will be considered by the Scoring Committee in determining firmness and credibility.

6.2.12 Proposed Edits to the Agreement

If Proposer is proposing any changes 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 as further described in Section 7.6.

Note that ORECRFP24-1 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 Provisional Award Notification and Confidentiality

Following the distribution of initial provisional award notification(s) to selected Proposals, the Proposer shall not distribute any press release or contact the media or other members of the public until after the awarded Agreement is executed by both parties and NYSERDA publicly discloses the award. Proposers will be required to execute a Non-Disclosure Agreement as part of the Proposal Submission, as described in Section 6.2.4.8. The Non-Disclosure Agreement is included as Appendix L to this RFP.

Following NYSERDA's public disclosure, if the Proposer wishes to contact the press regarding the awarded Agreement, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the NYSERDA Director of Communications prior to issuing any press release and/or holding an event or related announcement. Once all provisional award(s) are confirmed by NYSERDA, NYSERDA will inform Proposers if they were not 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 offshorewind@nyserda.ny.gov.

7.2 Provision of Award Security

Proposers selected for provisional awards must submit Award Security within 10 business days following the Contingent Award Notification Date in the form of cash, certified funds, or a Letter of Credit conforming to the requirements of Appendix M issued for direct payment by a bank that is either (a) a member of the New York Clearinghouse Association or (b) holds 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 is a United States bank, or a United States branch of a foreign bank, with a New York branch preferred.

The amount of Award Security required shall be calculated as \$1,000/MW of Offer Capacity. NYSERDA requires Award Security to be provided by any provisionally awarded Proposer.

If Award Security is not provided by this deadline and the deadline is not extended by NYSERDA (which NYSERDA does not intend to do except in extenuating circumstances or if the deadline is extended for all provisionally awarded Proposers), the provisional award will be rescinded.

The Award Security shall be returned to the awarded Proposer upon execution of the Agreement and provision of Contract Security or retained by NYSERDA if the Agreement is not signed within 120 days of the Contingent Award Notification Date ("Execution Deadline"), at which time NYSERDA would also be entitled to rescind the award. The Execution Deadline shall be extended by NYSERDA in the circumstances described in Section 7.4 below.

7.3 Documents Required for Contracting Purposes

NYSERDA requires the following documents from the Seller prior to contract execution:

- 1) Contracting Form, to be provided by NYSERDA to Seller, requesting information including Legal Business Name, State of Incorporation, Tax Identification Number (EIN), and other contractual information
- 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 first with the NYS Tax Department and NYSERDA does not need a copy. If not previously filed for the Seller, a completed form Tax Law ST-220-CA. Sellers will file this form after filing the ST-220-TD form. On the ST-220-CA 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;
- 3) Certificate of Incorporation (or similar) of the Seller;
- 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 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) A certificate of good standing, dated as of the most recent practicable date prior to the Effective Date, issued by the jurisdiction of Seller's organization Secretary of State, confirming the corporate good standing of Seller;
- 6) Application of Authority, if applicable (if the Seller is a foreign business corporation that has not yet applied for authority to do business in the State of New York);²⁴
- 7) Updated EO 16 Certification and/or EO 192 Vendor Responsibility Questionnaire, if any relevant changes have occurred since the Proposal Submission Deadline for Non-Price Information.

Provisionally awarded Proposers will be responsible for designating the legal entity that will serve as the Seller, which must be a subsidiary or affiliate of the Proposer unless otherwise agreed to by NYSERDA. The Seller is typically the legal entity that owns the Project; if a Proposer wishes to designate a different legal entity as the Seller, the Proposer should contact NYSERDA as early as feasible.

Any change in control of the Selected Project that occurs prior to full execution of a provisionally awarded Agreement may affect evaluation including as described in Sections 1.8 and 3 , and accordingly, NYSERDA cannot guarantee that a provisional award will remain valid if a change of control of the Selected Project prior to entry into the Agreement. After the Agreement with NYSERDA is executed, changes of control of the Seller will be governed by Article VIII of the Agreement.

²⁴ <https://dos.ny.gov/application-authority-foreign-business-corporation>

7.4 Process for Agreement Finalization for Execution

Proposers selected for provisional awards must provide a first draft of the Agreement populated with all Selected Project-specific inputs within 15 business days following the Contingent Award Notification Date.

Subject to the below terms and conditions, if the Seller fails to execute the Agreement on or prior to the date (“Execution Deadline”) that is 120 calendar days following the Contingent Award Notification Date, the Award Security will be forfeited to NYSEERDA, the provisional award will be rescinded, and the Selected Project may not be eligible to participate in future NYSEERDA OREC solicitations, subject to good faith extension under Section 7.2.

NYSEERDA and the Proposer will work together in good faith to expediently finalize the Agreement, making edits only to the extent reasonably necessary to clarify and properly implement the substance and intent of the RFP and form Agreement. Neither NYSEERDA nor Proposer is required to agree to Material Changes to the form Agreement.

NYSEERDA agrees to respond to the first draft of the Agreement provided by Proposer as well as to any comments from the Seller within 15 business days of receipt, and to the extent NYSEERDA exceeds this prescribed timing for response, the Execution Deadline will be extended day for day by the length of NYSEERDA’s lateness.

Proposer is responsible for arranging any and all necessary approvals (e.g., board or investment committee approval) as necessary to meet the Execution Deadline.

In the event that NYSEERDA provides an execution version of the Agreement less than 5 business days prior to the Execution Deadline, the Execution Deadline will automatically be extended to the date that is 5 business days following the date that NYSEERDA provides the Proposer with the execution version.

NYSEERDA shall also extend the Execution Deadline if, in NYSEERDA’s sole discretion, NYSEERDA concludes that the provisionally awarded Proposer is working in good faith to promptly finalize the Agreement.

NYSEERDA may publish the executed Agreements, and/or relevant terms within the Agreements, executed with awardees. Prior to such publication, NYSEERDA 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 NYSEERDA will not entertain any request to redact price information contained in the Agreement, specifically the Offer Price.

7.5 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.

7.6 Proposed Edits to the Agreement

NYSERDA recommends that Proposers review the Agreement (Appendix H) and all associated Exhibits prior to participating in ORECRFP24-1. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney prior to submitting a Proposal.

Articles and Exhibits of the Agreement to which NYSERDA does not intend to entertain redlines or negotiate Material Changes include but are not limited to:

- Article II: Purchase and Sale of ORECs;
- Article III: Electricity Delivery Requirements;
- Article IV: Pricing and Payment;
- Article VII: Audits;
- Article VIII: Assignment and Change of Control;
- Article XI: Indemnification and Insurance;
- Article XVI: Force Majeure;
- Article XVII: Compliance with Certain Laws;
- Article XXI: Confidentiality;
- Exhibit A: Standard Terms and Conditions;
- Exhibit B: Form of Irrevocable Standby Letter of Credit; and
- Exhibit C: NYSERDA Prompt Payment Policy;
- Exhibit G: Form of Guaranty;
- Exhibit J: Project Labor Agreement Requirements; and
- Exhibit Q: Inflation Price Adjustment.

NYSERDA does not intend to make any Material Changes to the Agreement.

If a Proposer wishes to propose any Material Change(s) to the Agreement that would result in a reissuance, any such suggested change(s) should be submitted as soon as possible and in any event no later than August 19, 2024, via email to offshorewind@nyserda.ny.gov. Any such requested change should indicate why the change would be beneficial to New York State (e.g., it will enable lower Offer Prices, make it more likely for Projects to be timely completed, etc.) rather than merely how it would benefit the Proposer.

As per the above, NYSERDA does not currently intend to make any Material Changes and will not consider any proposed Material Changes after this time. Proposers may submit other, non-material, requested changes to the Agreement at any time up until and including the Proposal Submission Deadline for Non-Price Information, but any requested change must be categorized as follows with a clear justification for the requested change:

- a) Fixing an error or ambiguity that could be problematic for the ability of the Bid Facility to proceed through financing and construction. NYSERDA will fix these errors or unwarranted ambiguities where NYSERDA determines in its sole discretion that a change is warranted.

- b) An improvement to the clarity or implementation of the Agreement to enable smoother financing or administration and/or to avoid unnecessary disputes. NYSERDA will consider any such proposed changes in good faith but reserves the right not to make any changes of this nature.

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 Contingent 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., 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 ORECRFP24-1 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.

8.13 Cybersecurity Requirements

Proposers are urged to review all applicable cybersecurity requirements including but not limited to CIP (Critical Infrastructure Protection) Reliability Standards as outlined by NERC/FERC/NYISO cybersecurity standards to protect critical infrastructure from cyber threats. In addition, data and information provided by or on behalf of NYSERDA must be handled in a manner that meets New York State security requirements, as outlined within the Doing Business with NYSERDA page located here:

<https://www.nyserda.ny.gov/About/Doing-Business-with-NYSERDA>.



Responses Due: Tuesday, May 21, 2024 by 3:00 PM Eastern Prevailing Time

The purpose of this Request for Information (RFI) is to invite external stakeholders to review and comment on the potential structure of NYSERDA’s next solicitation for Offshore Wind Renewable Energy Certificates (ORECs) and next solicitation for offshore wind supply chain infrastructure.

After receiving and reviewing feedback on this RFI, NYSERDA plans to release an OREC Request for Proposals (ORECRFP24-1) in the summer of 2024, with a complimentary and parallel Offshore Wind Major Component Supply Chain Request for Qualifications (OSWSC RFQL), followed by a \$300 million Offshore Wind Major Component Supply Chain Request for Proposals (OSWSCRFP24-2).

NYSERDA does not intend to publish responses to this RFI. **However, if you wish for your responses to remain confidential please mark them “Confidential” or “Proprietary,” in accordance with the procedure described below.** If NYSERDA receives a request from a third party for responses received that have been marked “Confidential” or “Proprietary,” NYSERDA will process such request under the procedures provided by New York State’s Freedom of Information (FOIL) regulations as detailed below (see foil@nyserda.ny.gov for additional information). The FOIL provides 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.” **Information submitted to NYSERDA that the disclosing party wishes to have treated as proprietary and confidential trade secret information should be identified and labeled “Confidential” or “Proprietary” on each page at the time of disclosure. This information should include a written request to 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.**

Respondents are not required to answer all questions and should focus on questions relevant to their participation in the ORECRFP24-1, OSWSC RFQL, OSWSCRFP24-2, and/or their field of expertise.

Comments responding to this RFI are due by Tuesday May 21, 2024 at 3 p.m. ET, and should be sent to offshorewind@nyserda.ny.gov with the subject line “OSWRFI24-1 Comments”. NYSERDA may reach out to respondents to seek clarifications. Any questions about this RFI or requests to discuss this RFI should be directed in writing to offshorewind@nyserda.ny.gov. NYSERDA may also at its sole discretion at any time also elect to engage in discussions with potential respondents and other interested parties regarding the matters described in this RFI.

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I. Background and Objectives

This RFI builds upon New York’s third and fourth offshore wind solicitations (ORECRFP22-1¹ & ORECRFP23-1²), 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),³ New York’s 10-Point Action Plan,⁴ and NYSERDA’s \$200 million Offshore Wind Supportive Manufacturing and Logistics RFP (OSWSCRFP24-1)⁵.

Under the Climate Leadership and Community Protection Act (Climate Act), New York State has adopted some of the most ambitious clean energy targets in the nation, including an offshore wind goal of installing 9,000 megawatts by 2035. Achieving these targets will require development timelines that consider both access to the current offshore wind supply chain overseas, as well as the burgeoning domestic offshore wind supply chain.

The objective of this RFI is to invite external stakeholder feedback on the potential structure and timing of the next OREC Request for Proposals (RFP) and interaction with the \$300 million Offshore Wind Major Component Manufacturing Supply Chain RFP to help inform NYSERDA’s planning of such solicitations prior to issuance. Feedback is primarily sought from prospective proposers into the forthcoming ORECRFP24-1 or OSWSCRFP24-2, and NYSERDA welcomes feedback from all stakeholders as well. Terms capitalized but not defined herein have the meanings assigned to them in ORECRFP23-1.

This RFI refers to potential characteristics of upcoming solicitations. However, all aspects of any proposed solicitation, including any features described or not described herein, may be altered, removed, or otherwise changed at the sole discretion of NYSERDA.

II. Potential OREC and OSW Supply Chain Solicitations Approach and Timing

NYSERDA currently expects ORECRFP24-1 and OSWSCRFP24-2 to launch on the following timeline:

¹ <https://www.nyscrda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Offshore-Wind-Solicitations/2022-Solicitation>

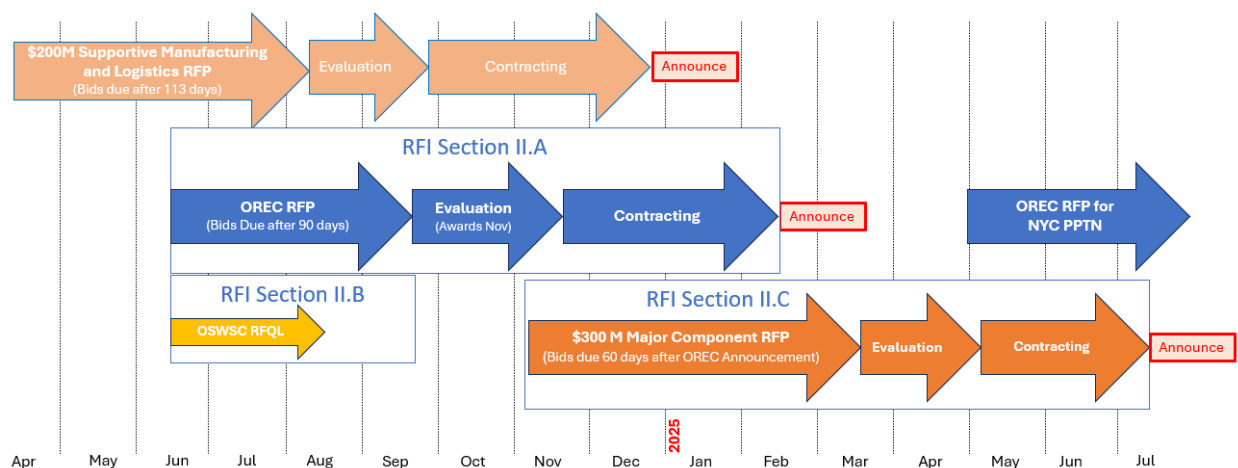
² <https://www.nyscrda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Offshore-Wind-Solicitations/2023-Solicitation>

³ Case 15-E-0302, *Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard*, Order Denying Petitions to Preserve Competitive Renewable Energy Market and Protect Consumers (issued on October 12, 2023).

⁴ <https://www.nyscrda.ny.gov/-/media/Project/Nyscrda/Files/Programs/Offshore-Wind/10-point-plan.pdf>

⁵ The first offshore wind supply chain solicitation, [OSWSCRFP24-1](#).

Figure 1. Illustrative timing and sequence of NYSERDA’s forthcoming 2024 solicitations



NYSERDA intends to launch New York’s fifth offshore wind solicitation (ORECRFP24-1) in mid-June 2024 concurrently with a pre-qualification process (OSWSC RFQL) for major components seeking to obtain early commitments from offshore wind developers prior to participation in the \$300 million Major Component Supply Chain RFP (OSWSCRFP24-2). Sub-section II.A further details the approach NYSERDA is considering for ORECRFP24-1. Pre-qualification responses would be due from supply chain participants in August 2024, with the pre-qualified components to be known to offshore wind developers prior to the OREC RFP submission deadline in September 2024. For each RFP, NYSERDA intends to finalize contract negotiation with awardees prior to any public announcement.

Sub-section II.B further describes the interaction of the offshore wind solicitation and pre-qualification process. The \$300 million Major Component Supply Chain RFP (OSWSCRFP24-2) would launch after ORECRFP24-1 proposals are submitted, with awards expected in the summer of 2025. OSWSCRFP24-2 will utilize \$300 million in New York State grant funding and may include additional funds not distributed from the \$200 million made available in OSWSCRFP24-1, launched on April 23, 2024. Sub-section II.C further details the approach NYSERDA is considering for OSWSCRFP24-2.

NYSERDA is utilizing two offshore wind supply chain solicitations, OSWSCRFP24-1 and OSWSCRFP24-2, as part of Governor Hochul’s \$500 million commitment to support offshore wind supply chain localization in New York. The first offshore wind supply chain specific solicitation, OSWSCRFP24-1, seeks to distribute up to \$200 million for subcomponent manufacturing and offshore wind logistics port infrastructure. Offshore wind projects along the eastern seaboard continue to develop and seek support around logistical needs served by port infrastructure or by supportive manufacturing components. The investments anticipated through OSWSCRFP24-1 present direct opportunities for small to mid-sized enterprises to scale infrastructure to serve the growing offshore wind market.

The second offshore wind supply chain specific solicitation, OSWSCRFP24-2, seeks to distribute \$300 million for larger enterprises focused on primary component manufacturing infrastructure in New York. Localization of primary component manufacturing in New York will fill a need for these products in the United States and support the build out of the expanding offshore wind market as New York and other states continue with offshore wind procurements.

NYSERDA plans to subsequently launch another offshore wind solicitation in 2025, which will leverage integration with the NYISO [New York City Offshore Wind Public Policy Transmission Need Project Solicitation](#) (NYC PPTN) and focus delivery of offshore wind projects into Zone J. The timing of the OREC RFP to integrate with the NYC PPTN will be determined after the 2024 solicitations have completed, and the illustration of timing in Figure 1 is not yet confirmed. The design elements included in this RFI relate to ORECRFP24-1 and are separate from the development of planned 2025 offshore wind solicitation, for which NYSERDA intends to release a separate and focused RFI.

NYSERDA will finalize preparation and timeline of ORECRFP24-1 and OSWSCRFP24-2 after receiving feedback from this RFI. Respondents are welcome to provide feedback on any aspects of the described approach, and/or respond to the specific questions contained in Section IV below.

A. ORECRFP24-1 Design

NYSERDA expects that ORECRFP24-1 would follow the general structure of ORECRFP23-1, with key elements described in the table below:

Table 1. NYSERDA design elements of the 2024 offshore wind solicitation

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Existing Contracts	Projects with existing OREC contracts with NYSERDA were eligible to submit proposals if they executed conditional termination agreements.	Projects with existing OREC agreements are not eligible to participate in the OREC RFP.
ORECs Offered and Delivery Point Limitations	<ul style="list-style-type: none"> • 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. • 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. 	<ul style="list-style-type: none"> • 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. • NYSERDA will select no more than 1,400 MW delivered via a single HVDC cable into Zone J. NYSERDA makes no limitation on awardable capacity delivered into Zone K. • NYSERDA is targeting an award group of at least 2,600MW.

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Transmission Export Cabling and Meshed Ready Rules	<ul style="list-style-type: none"> HVAC cabling is limited in “Constrained Areas” (as defined in Section 2.1.6 of ORECRFP23-1). HVAC cabling may not traverse any “Prohibited Areas” (as defined in Section 2.1.6 of ORECRFP23-1). HVDC proposals must be Meshed Ready unless a justification is provided, and non-Meshed Ready options must be submitted as alternate proposals that correspond to a Meshed Ready proposal. “Special Rules for HVAC Replacement” set forth in Section 2.1.6 of ORECRFP23-1 describe exceptions to these rules. 	<ul style="list-style-type: none"> All Proposals must submit both meshed ready and non-meshed ready variations. The same rules will apply to HVAC cabling as in ORECRFP23-1, except that Special Rules for HVAC Replacement will not be included.
Economic Benefits Start Date	Economic Benefits Start Date of May 15, 2019, and economic benefits included a “Past Dollars” time frame.	There will be no “Past Dollars”. The Economic Benefits Start Date will be January 1, 2024.
Supply Chain Interaction and Purchase Commitments	<ul style="list-style-type: none"> No interaction with New York State grant funding nor supply chain RFPs-unlike ORECRFP22-1, which included Supply Chain Investment Plan Proposals, and conditional economic benefits as part of “purchase commitment proposals”. Proposals can include additional contractual commitments to make specific “Supply Chain Investments”, which receive additional weight in evaluation. “Supply Chain Investments” are defined as 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.” 	<ul style="list-style-type: none"> NYSERDA will run a supply chain Request for Qualifications (OSWSC RFQL) in parallel with the OREC solicitation. Details of the interaction between the OSWSC RFQL and the OREC RFP are contained below in section II.B. As further described below, OREC Proposers can make conditional “purchase commitments” to supply chain facilities that have been pre-qualified through the OSWSC RFQL. Consistent with ORECRFP23-1, Proposals can also include “Supply Chain Investments” as defined in ORECRFP23-1. Unlike “purchase commitments”, any Supply Chain Commitment (such as a capital commitment to a supply chain facility contemplated under OSWSCRF24-1OSWSCRF24-2) would be <i>unconditional</i>, meaning that it would be required to be reallocated to another supply chain facility if the originally contemplated supply chain facility does not materialize.

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Submission Steps	Proposals were submitted at one time with both Offer Price and non-price information included in the submission.	<ul style="list-style-type: none"> • NYSERDA is considering a two-step RFP submission, with the initial submission containing only non-price information. Price would be submitted as a second step, with submission due four weeks following NYSERDA completing review and providing feedback to Proposers on OREC Purchase and Sale Agreement (“PSA”) comments, Interconnection Cost Allocation Baselines, Economic Benefits Claims and any other relevant matters. This would allow all relevant information to be incorporated into bid pricing and avoid the need for an additional re-price step as was included in ORECRFP22-1.
Contract Negotiation and Award Announcement	<ul style="list-style-type: none"> • Proposal submission includes OREC PSA markup, and NYSERDA provides feedback to Proposers in parallel with evaluation. • NYSERDA announces provisional awards, including the weighted average strike price of the provisional award group, and then contract negotiation is finalized. 	<ul style="list-style-type: none"> • Maintain approach adopted in ORECRFP23-1 allowing for NYSERDA to provide feedback to Proposers in parallel with evaluation. • NYSERDA is considering deferring all announcements and public press releases until after contracts are signed. • NYSERDA does not intend to publish any price or awardee-specific information prior to contract finalization.
Award Security and Contract Signing	No award security; contract security due only after the OREC PSA is signed.	NYSERDA intends to require award security of \$10,000 per MW to be provided by any awarded proposer, which would be returned to the awarded proposer upon OREC PSA execution and provision of contract security or retained by NYSERDA if the OREC PSA is not signed within 90 days following notification of award (at which time NYSERDA would also be entitled to rescind the award).

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Contract Security	<ul style="list-style-type: none"> • \$40,000/MW due at OREC PSA execution; additional \$20,000/MW due one year later; \$10,000/MW due each following year (for a 1.2GW project, this would amount to \$134 million seven years after OREC PSA execution). • All Contract Security is retained by NYSERDA in the event of contract termination (subject to certain exceptions). • If the Project is not built to at least 95% of Offer Capacity, a proportional amount of the Contract Security is retained by NYSERDA. For example, if a 1.2GW project is built to 900MW, NYSERDA would retain 21% of contract security (\$28.1 million in the example above). 	<ul style="list-style-type: none"> • NYSERDA is considering whether to maintain or potentially increase the contract security to roughly twice the amount in ORECRFP23-1 (i.e., resulting in \$268 million after seven years for a 1.2 GW project). • As noted below, NYSERDA is considering revising the OREC PSA to provide that in lieu of termination, NYSERDA may instead retain a certain portion of contract security if contractual milestones are missed. • NYSERDA is also considering revising the OREC PSA to provide that NYSERDA would retain 50% of Contract Security if by the date that is twelve (12) months following first power / commercial operation the Project is built to less than 95% of Offer Capacity but more than 80% of Offer Capacity and to retain all Contract Security and be entitled to terminate the contract if the Project is built to less than 80% of Offer Capacity within twenty-four (24) months following first power / commercial operation.
Phase-in of Capacity	<ul style="list-style-type: none"> • Proposers could propose “phased” projects with distinct contract delivery terms and specific offer capacity by phase. • If less than 25% of the project phase has commenced Commercial Operation, the Seller may elect to delay the commencement of the Contract Delivery Term for up to one year. 	<ul style="list-style-type: none"> • NYSERDA is considering removing the phased project concept. • NYSERDA is considering allowing Projects to delay commencement of the Contract Delivery Term Projects by up to a year after commencement of Commercial Operation, regardless of whether less than 25% of the project has commenced Commercial Operation.

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Outer Limit Date	<ul style="list-style-type: none"> • The Outer Limit Date was established as 1/1/2058 for 25-year terms and 1/1/2053 for 20-year terms, making the latest Contract Delivery Term start date to maintain a full term 1/1/2033. • The OREC PSA allows for up to two years extension of the outer limit date for certain enumerated reasons related to: <ul style="list-style-type: none"> ○ Certain interconnection-related delays ○ Actions taken by a permitting authority that apply to the offshore wind industry as a whole ○ Delays due to Force Majeure • As noted below, Section 5.06 also allows for extensions of the Outer Limit Date if applicable due to offshore transmission integration. 	<ul style="list-style-type: none"> • NYSERDA is considering setting the Outer Limit Date as 1/1/2059 for 25-year terms and 1/1/2054 for 20-year terms. • NYSERDA intends to maintain the maximum two-year extension to support de-risking projects while incentivizing projects come online as soon as possible. • In addition to the enumerated reasons for extension, NYSERDA is contemplating adding a provision that NYSERDA may provide extensions if NYSERDA determines in its sole discretion that development of the Project has been delayed due to reasons outside of the Project’s reasonable control. Such reasons could potentially include, depending on the circumstance, demonstrated unavailability of vessels or key components.
Contractual Deadlines and Events of Default	<p>The form OREC PSA contains certain project development milestones which, if missed, can trigger an Event of Default allowing for contract termination, including:</p> <ul style="list-style-type: none"> • Failure of SRIS to be presented within 15 months after OREC PSA execution • Failure to enter Interconnection Agreement within 48 months after OREC PSA execution • Failure to submit COP within 18 months after OREC PSA execution • Failure to submit Article VII within 18 months after OREC PSA execution • Failure to commence construction within 6 months after receiving COP and Article VII approvals 	<ul style="list-style-type: none"> • NYSERDA is considering allowing extensions to these project development milestones, similar to the permissible extensions to the Outer Limit Date. • NYSERDA is considering revising the OREC PSA to provide that in lieu of termination, NYSERDA may instead retain a certain portion of contract security if contractual milestones are missed.

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Interconnection Cost Adjustments	<ul style="list-style-type: none"> • Interconnection Cost Sharing is an optional proposal feature, which may be submitted as an alternate proposal. Proposers select the cost sharing thresholds and cost sharing percentages. • Interconnection Savings Sharing is a contractual requirement for all proposals, and are based on Interconnection Cost Allocation Baselines, set by NYSERDA based on proposal information. 	<ul style="list-style-type: none"> • NYSERDA is considering defining the Interconnection Cost Sharing thresholds and cost allocation share on a consistent basis across all proposals. Specifically, NYSERDA is considering applying the formula depicted in Section II of Appendix A to all proposals that opt into the Interconnection Cost Sharing mechanism. • The Interconnection Cost Allocation Baseline will continue to be calculated by NYSERDA based on proposal information and would be communicated to the proposer prior to the step two price submission. • Proposers would decide whether or not to submit proposal variants that incorporate the Interconnection Cost Sharing mechanism in the price submission.

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
<p>Inflation Adjustment</p>	<p>Proposals can be submitted with Inflation Risk Adjusted pricing as an alternate proposal. Required proposals do not include an inflation adjustment.</p> <p>The inflation risk adjustment formula is set forth in Exhibit Q of the OREC PSA and is based on changes between proposal submission and COP approval in the following indices: labor (30% weighting), commercial machinery repair and maintenance PPI (25%), steel (10%), diesel (10%), copper (5%). The adjustment formula also contains a 20% fixed component, recognizing that not all project costs will vary with these indices.</p>	<ul style="list-style-type: none"> • NYSERDA is considering that all offer pricing be subject to an inflation adjustment to protect against attrition and to protect ratepayers. • NYSERDA is considering altering the formula to more accurately reflect the components of offshore wind project LCOE. A potential adjusted version of the formula is set forth in Section I of Appendix A. • NYSERDA is also considering whether to incorporate a separate adjustment mechanism to account for changes in the cost of capital, as set forth in Section I of Appendix A. • NYSERDA is considering adding a provision to the OREC PSA that would allow NYSERDA to, subject to the Project’s consent, implement a portfolio-wide change to the inflation adjustment formula in the event that NYSERDA concludes, after consulting with the Department of Public Service, that credible evidence shows that the inflation adjustment formula has diverged from the expected breakdown of offshore wind LCOE compared with that at the time of proposal submission due to events beyond projects’ control.

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Offshore Transmission Integration	The Offshore Transmission system Integration Adjustment provision (Section 5.06 of the OREC PSA) describes that in the event that NYSERDA determines that any changes to design or scope of the Selected Project (other than the Meshed Ready requirements) must be made to prepare for or implement a future offshore transmission system, the schedule (potentially including the Outer Limit Date), delivery and/or pricing provisions of the OREC PSA shall be adjusted based on a cost estimate or other study carried out on behalf of the Selected Project and reviewed by a third party mutually acceptable to the Seller and NYSERDA.	<ul style="list-style-type: none"> • In light of ongoing offshore transmission initiatives including the New York City PPTN process, NYSERDA intends to further clarify that the offshore transmission integration provision applies to all Proposals. • In addition, NYSERDA is considering adding a binding dispute resolution component to Section 5.06 similar to the provision contained in Section 4.03(c)(iii) of the Tier 4 REC Agreement with Clean Path New York.
Qualifying Federal Support	OREC pricing is adjusted in the event that a Project obtains Qualifying Federal Support, which includes support arising from new federal legislation and certain bonus provisions of existing federal legislation but does not include federal loans.	<ul style="list-style-type: none"> • NYSERDA is considering expanding the definition of Qualifying Federal Support to include the incremental value (as compared to a market rate loan) of any federal loan or federal loan guarantee from the U.S. Department of Energy’s Loan Program Office (LPO), regardless of whether or not it arises from a law enacted by the U.S. Congress Before or after Proposal submission. • NYSERDA contemplates that this incremental value would be calculated by comparing the all-in cost on a present value basis of the LPO-backed financing with the published cost of a debt of the same weighted average life provided to a BBB rated credit, as of the date of the closing of the LPO-backed financing.
Climate Adaptation and Resiliency	Proposal submissions included a Climate and Resilience Strategy. No additional contractual requirements linked to the Project plans climate and resiliency strategy are included.	NYSERDA is considering requiring regular updates and contractual commitments to implement the climate adaptation and resiliency strategies presented in the proposal.
Energy Storage	Not included in RFP.	NYSERDA does not intend to include energy storage in ORECRFP24-1.

Topic	ORECRFP23-1 Approach	Contemplated ORECRFP24-1 Approach
Fossil Repurposing	Not included in RFP.	NYSERDA intends to incorporate similar requirements and contract provisions that applied to proposals that contemplated an “Affected Resource” in ORECRFP22-1, including terms similar to Section 12.16 of the ORECRFP22-1 OREC PSA .

B. Major Component Pre-Qualification and OREC Conditional Purchases

Considering Governor Hochul’s announcement of New York’s 10-Point Action Plan and NYSERDA’s April 19, 2024 update regarding [ORECRFP22-1](#), NYSERDA plans to launch a primary component offshore wind supply chain solicitation (OSWSCRFP24-2) to distribute \$300 million⁶ in New York State grant funding for utilization by and in coordination with offshore wind projects participating in ORECRFP24-1. To support such utilization, NYSERDA plans to issue a Request for Qualifications (RFQL) to qualify and make known specific supply chain facilities eligible for inclusion in proposals submitted to ORECRFP24-1. Proposers to ORECRFP24-1 will be permitted to make economic benefits claims to support their proposals in the form of “RFQL Purchase Commitments” as further described below.

Qualification through the RFQL **will not entitle** a supply chain facility to receive New York State grant funding through OSWSCRFP24-2. In addition, OSWSCRFP24-2 participants will **not be required** to pre-qualify through the RFQL to participate and receive New York State grant funding through OSWSCRFP24-2. However, supply chain projects that qualify through the RFQL and receive RFQL Purchase Commitments in ORECRFP24-1 are generally expected to be evaluated favorably in OSWSCRFP24-2 compared to supply chain projects without RFQL Purchase Commitments given the higher viability due to certainty of product sales.

The following table sets forth key information that supply chain facilities will be required to provide NYSERDA during the pre-qualification process and that will be made available to ORECRFP24-1 proposers:

⁶ OSWSCRFP24-2 will make available \$300 million in New York State grant funding and may make available additional funds not distributed in OSWSCRFP24-1.

Table 2. Prequalification facilities information for ORECRFP24-1 proposer consideration

RFQL Pre-Qualification Field	Description of RFQL Qualified Facility A	Description of RFQL Qualified Facility B	Description of RFQL Qualified Facility C
Specific component production (blades, nacelles, towers, foundations, cables, power conditioning equipment, etc.)			
Number of identified sub-suppliers, including how many will be localized and estimates of sub-supplier jobs created			
Technology proof such as product certification, market readiness, or number products sold with performance track record			
Project size, including total project cost, size of total private investment, and minimum grant funding sought			
Estimated facility offtake and, if applicable, minimum purchase requirements (in MW) to ensure return on investment			
Estimated facility production, or maximum capacity to serve the market (in MW per time period)			
Customer sponsorship and demonstration of project need and maturity to enter the market			
Site control and landowner sponsorship			
Estimated timeline, including start of production and ramp up time for products			

After the pre-qualification process, NYSERDA will share the information submitted by facilities that pre-qualify (“RFQL Qualified Facilities”) in the above table with ORECRFP24-1 proposers, who may then elect to include conditional purchase commitments from RFQL Qualified Facilities (“RFQL Purchase Commitments”) in their Proposal submission. Up to 5 out of the 20 Economic Benefits points will be awarded based on the quality of RFQL Purchase Commitments, and the evaluation of Offer Price will take into account the OREC offer price changes (if any) that would occur if the RFQL Purchase Commitments are fulfilled (as further described below).⁷

Given their unique and conditional nature, RFQL Purchase Commitments will be listed and evaluated separately from all other Economic Benefits. Each RFQL Purchase Commitment will be included in the OREC Purchase and Sale Agreement as an additional dollar amount of Expected Total Dollars⁸ that will become effective and binding⁹ only if the relevant RFQL Qualified Facility (i) is awarded funding in

⁷ NYSERDA is considering what methodology to employ in price evaluation to properly account for the potential for OREC price to change due to implementation of RFQL Purchase Commitments.

⁸ Total expenditures for RFQL Purchase Commitments will **not** be broken out into subcategories.

⁹ NYSERDA is considering what the appropriate contractual remedy should be for failure to fulfill RFQL Purchase Commitments that become binding.

OSWSCRFP24-2 by NYSERDA and (ii) becomes available by the times indicated in the above information provided by RFQL Qualified Facilities and shared by NYSERDA.

The following table sets forth key information that ORECRFP24-1 Proposers will be required to provide with respect to each RFQL Qualified Facility:

Table 3a. Information provided in ORECRFP24-1 submissions on commitments to prequalified facilities

RFQL Qualified Facility	RFQL Purchase Commitment? (Yes/No)	For RFQL Purchase Commitments		
		Conditional Total Expected Dollars	Offer Price Change if Realized	Mutual Exclusivity
Facility A				
Facility B				
Facility C				
Facility D				
Facility E				

For each RFQL Purchase Commitment, ORECRFP24-1 Proposers may include a change to the Offer Price, if any, that would be made if the Project fulfills that particular RFQL Purchase Commitment. Proposers will also indicate whether each RFQL Purchase Commitment is mutually exclusive with any other RFQL Purchase Commitment (for example, if there are two RFQL Qualified Facilities that produce the same component, a Proposer may wish to make a RFQL Purchase Commitment for each RFQL Qualified Facility but would only be able to ultimately fulfill one or the other RFQL Purchase Commitment depending on which RFQL Qualified Facility comes to fruition).

Table 3b. Illustrative example of information provided in ORECRFP24-1 submissions on commitments to prequalified facilities

RFQL Qualified Facility	RFQL Purchase Commitment? (Yes/No)	For RFQL Purchase Commitments		
		Conditional Total Expected Dollars	Offer Price Change if Realized	Mutual Exclusivity
Facility A	Yes	\$700 million	+\$1.25	Facility E
Facility B	No	N/A	N/A	N/A
Facility C	Yes	\$500 million	-\$0.25	None
Facility D	Yes	\$300 million	\$0.00	None
Facility E	Yes	\$900 million	-\$0.75	Facility A

C. OSWSCRFP24-2 Design

NYSERDA currently expects that OSWSCRFP24-2 will be broadly similar to the structure of [OSWSCRFP24-1](#), with the following key potential differences:

Table 4. NYSERDA design elements of the 2024 offshore wind supply chain solicitations

Topic	\$200 million Supportive Manufacturing and Logistics RFP OSWSCRFP24-1	\$300 million Major Component Supply Chain RFP OSWSCRFP24-2
Evaluation Tracks and Award Groups	Two separate tracks for each Ports and Manufacturing. Final selection is made on a review of portfolios that could include projects from one or both tracks.	Single submission and evaluation track intended for major component manufacturing. No secondary portfolio evaluation for award selection.
Total funding made available	\$200 Million; target to award up to \$100 million for each Track (Port Infrastructure and Supply Chain Manufacturing).	\$300 million plus any funds not distributed through OSWSCRFP24-1.
Funding request per proposal	\$1 million to \$100 million for Port Infrastructure Track \$1 million to \$50 million for Supply Chain Manufacturing Track	Minimum of \$50 million and up to \$300 million
Target facility	Logistics ports and sub-component manufacturing	Primary or subcomponent manufacturing
Funding Ratio ¹⁰	Minimum 2:1 of Non-NYS Funding: NYS Funding	Minimum 3:1 of Non-NYS Funding: NYS Funding
Offtake Agreements	Offtake agreements are evaluated favorably but not a requirement to propose.	Proposers must show industry validation and include a minimum of one letter of interest from an offshore wind developer or OEM. More advanced negotiations will be evaluated favorably. RFQL Purchase Commitments from offshore wind projects are not required but will be evaluated favorably.
Operational Dates	No strict operations date. Proposals must demonstrate the timeline to the project being operational will support the near-term offshore wind industry.	Facilities should aim to supply products as early as possible but production must begin by 2030 at the latest.
Project Size	Minimum total project cost of \$3 million.	Minimum total project cost of \$200 million. Project must also be able to serve multiple offshore wind projects simultaneously.

¹⁰ For this purpose, NYS Funding includes any funding from New York State, including grant funding requested through OSWSCRFP24-1, as well as funding provided by other New York State Agencies.

III. Content of Response

Responses should be concise and focus on areas in which the respondent has a particular interest or expertise. Please limit your response to 10 pages or less. Respondents should not seek to answer all questions but focus on questions relevant to their participation in ORECRFP24-1, the OSWSC RFQL, OSWSCRFP24-2, and/or their field of expertise. Respondents are also welcome to provide feedback on any of the design elements of ORECRFP24-1, the OSWSC RFQL and/or OSWSCRFP24-2 described in Section II above, even if not referenced in the questions.

Responses should include, and NYSERDA reserves the right not to review or consider responses that do not include, the following information and items:

- Respondent's name, affiliation, title, and primary contact information.
- Identify and provide general background about your organization, noting whether your organization is a potential proposer into ORECRFP24-1 (and/or future NYSERDA OREC RFPs generally) or the planned future Offshore Wind Supply Chain Request for Qualifications or Request for Proposals (OSWSC RFQL or OSWSCRFP24-2).
- Each page of the response should include a header stating the name of the respondent.
- Where applicable, comments should include the RFI Section IV question number to which it refers.
- Respondents should designate information intended to remain confidential as "Confidential" or "Proprietary." Respondents should not mark their entire response as "Confidential" or "Proprietary" unless there are no contents whatsoever that are not confidential.

IV. Specific Questions Seeking Stakeholder Feedback

Respondents are not required to answer all questions and should focus on questions relevant to their participation in ORECRFP24-1, the OSWSC RFQL, OSWSCRFP24-2, and/or their field of expertise. Respondents are also welcome to provide feedback on any of the design elements of ORECRFP24-1, OSWSC RFQL and/or OSWSCRFP24-2 described in Section II above, even if not referenced in the questions below.

A. ORECRFP24-1 Design

Structure, Timing, and Eligibility

1. What is your organization's level of interest in proposing into ORECRFP24-1 if launched in June 2024 with proposals due in September 2024?
 - a. How do other state offshore wind procurement timelines interact with your participation or potential participation in New York's next OREC RFP? What level of coordination should there be with other states? What considerations should NYSERDA make when planning the timeline of the next OREC RFP?
 - b. Does the proposed timeline enable 2030 project CODs? If not, how can the timeline be adjusted to do so?

2. How should NYSERDA evaluate track record of development and operations in New York State? Are there eligibility or evaluation criteria which may address previously awarded offshore wind projects?
3. Is NYSERDA's proposed two-step proposal submission process, under which Offer Prices would be collected in a separate step after submission of non-price elements of the proposal, appropriate?
 - a. How long should Proposers be given after receiving information from NYSERDA to submit offer pricing? What else should NYSERDA consider in designing this aspect of ORECRFP24-1?
4. Should NYSERDA establish a waitlist of proposals which may be contacted if initial awardees do not successfully negotiate contracts? What should NYSERDA consider in the design of such a waitlist process?
5. Should NYSERDA constrain proposals to single projects between 800 and 1,400MW?

Transmission

6. Regarding the pending [New York City Offshore Wind Public Policy Transmission Need Project Solicitation](#) (NYC PPTN):
 - a. How does the NYC PPTN impact your project development plans?
 - b. What provisions should NYSERDA consider including in the OREC PSA that could encourage projects with CODs close to the planned in-service date for the NYC PPTN to utilize the PPTN infrastructure in cases where it makes commercial sense to switch POI?
 - c. Should NYSERDA align the RFP submission deadline with any particular milestone in the NYISO's evaluation and selection process for the NYC PPTN? If so, how?
7. Are the proposed cable limitations for Zone J (up to one HVDC cable) appropriate given the forthcoming NYC PPTN?
8. How do zonal injection limitations impact your interest or strategy to propose into ORECRFP24-1?
 - a. How do limits on Zone J interconnection impact your consideration of ORECRFP24-1?
 - b. What is your interest in utilizing interconnection points in Zone K?
 - a. Does the fact that Zone K interconnections may be disallowed in the OREC solicitation to follow ORECRFP24-1 influence your decision to participate in ORECRFP24-1?
 - c. What is the perceived project on project risk with interconnection in Zone K?
 - d. Should NYSERDA consider a limitation for Zone K injection?
9. How can the Offshore Transmission System Integration and Adjustment provision included in OREC PSA section 5.06 be improved?
 - a. Should NYSERDA incorporate a binding dispute resolution concept similar to Section 4.03(c)(iii) of the [Tier 4 REC Agreement with Clean Path New York](#)? Why or why not?
 - b. How should offshore wind projects with CODs that are close to the planned in-service date for the NYC PPTN and that might achieve ratepayer savings by changing the Injection Point to utilize the NYC PPTN be treated?
10. Are there specific supply chain or other limitations that impact your project's ability to deliver on the Meshed Ready Technical Requirements?
11. Should NYSERDA allow for alternate Proposals where multiple projects are connected to each other offshore? How should NYSERDA consider multiple projects within the same lease area which can "self-mesh" and link their offshore substations?
12. What adjustments to the [Meshed Ready Technical Requirements](#) should NYSERDA consider?

Economic Benefits

13. Is an Economic Benefits Start Date of January 1, 2024 appropriate?

Contracting

14. What is an appropriate amount for NYSERDA to require for Award Security based on industry best practice and to incentivize successful and swift contract negotiation? How does Award Security impact Offer Price?
15. Are the levels being considered for Contract Security in line with industry standards? How would increasing the contract security impact the Offer Price?
 - a. Does increasing the contract security provide further incentive to complete the project as proposed?
 - b. What considerations should NYSERDA be aware of in considering doubling the amount of required contract security compared with the levels in ORECRFP23-1?
16. How should NYSERDA approach the sequence of contract negotiation to facilitate signing a contract in as little time possible following award notification?
 - a. What is an optimal sequence and timing of award notification and public announcement and contract finalization?
 - b. What details or key proposal metrics should be included or withheld from announcements and why?
 - c. How much time is required to complete contracting after award?
 - d. Is the proposed approach to providing feedback on the OREC PSA appropriate?
17. Regarding contract timeline incentives:
 - a. How can project development milestones be integrated into the contract to ensure projects advance apace while not overly burdening the OREC Offer Price with developer risk premium?
 - b. Is it appropriate for NYSERDA to have the right to retain contract security in lieu of termination in the event that key milestones are missed? If so, what is an appropriate level of contract security for NYSERDA to retain?
 - c. Are the proposed extensions to the Outer Limit Date and other contractual milestones appropriate and sufficient? How should they be augmented, cut back or otherwise changed?
 - d. Are the proposed timelines allotted for the contractual milestones realistic?
 - e. Should the milestones described in the Contractual Deadlines and Events of Default section of the table in Section II.A (SRIS, Interconnection Agreement, COP submittal, etc.) be maintained, removed, or augmented?

Offer Price Adjustments

18. Is there any reason not to apply the Inflation Adjustment to all proposals (i.e., for no adjustment to no longer be a permitted proposal variant)?
19. How else can NYSERDA improve the Inflation Adjustment mechanism in the RFP? Please reference Section I of Appendix A to this RFI for the proposed Inflation Adjustment mechanism.
 - a. Are the levels of the composite indicators weighted sufficiently to reflect the project cost exposure?
 - b. What are available indicators to reflect transport risks? Do transport risks include installation vessel and maintenance vessel fuel?
 - c. Is it appropriate to use U.S.-based indices only? Should NYSERDA consider also incorporating global indices for global commodities? If so, why, for what elements and what should the split be?
 - d. Should NYSERDA consider using a blend of copper and aluminum indices as cables can use either material? If so, would a 50:50 weighting be appropriate?

- e. Should a different indexing weighting apply for HVDC and HVAC projects to reflect the different cost proportions?
 - a. Are there other major differences between projects where a different split of index weighting should apply? If so what and what difference should there be in the split and why?
 - f. Are there other elements in addition to those listed in Appendix A that should be indexed? If so what and what unit and index should NYSERDA use?
 - g. Are there any specific elements in Appendix A that should be not indexed? If so what and why?
 - h. NYSERDA is considering renaming the more general category of 'Fabrication' as 'Other Indexable' to more clearly account for other elements of supply not explicitly mentioned as an element. As noted in Appendix A, NYSERDA is considering indexing that element with CPI. Is that appropriate and if not what index or combinations of indexes would be more appropriate?
 - i. NYSERDA is proposing to add indexing for Electricity and for Transport. Do you agree with these additions and if so, are the proposed indices appropriate or if not what indices should be used?
20. Should NYSERDA consider applying a cost of capital adjustment?
- a. Is the approach NYSERDA is considering for adjusting to reflect the impact of changes to the cost of capital appropriate? If not, how should it be adjusted?
 - b. Does the *Cost of capital adjustment* formula NYSERDA is considering appropriately capture the impact of changes to the cost of capital on OREC price? If not, how should it be adjusted?
 - c. NYSERDA is considering using the Effective Federal Funds Rate as the interest rate used in the *Cost of capital adjustment* formula. Is this appropriate? If not, what is appropriate?
21. Is the proposed new contract provision allowing for the inflation adjustment formula to be adjusted portfolio-wide in the event the formula diverges from the expected breakdown of offshore wind LCOE compared with that at the time of proposal submission due to events beyond projects' control appropriate? If not, how should it be adjusted?
22. What considerations should NYSERDA take to standardize the Interconnection Cost Sharing mechanism in the RFP? Please reference Section I of Appendix A to this RFI for the proposed Interconnection Cost Sharing mechanism.
- a. What thresholds for cost sharing are appropriate to use? Is the proposed 1.5 times the Interconnection Cost Allocation Baseline sufficient?
 - b. Is the proposed NYSERDA cost share of 50%, with no limit to the total cost incurred, sufficient to mitigate risk for developers and avoid unnecessary price premia in OREC prices?
 - c. Should there be a maximum limit to NYSERDA cost sharing, for example, NYSERDA may share in the Interconnection costs between 1.5 and 4 times the Interconnection Cost Allocation Baseline, and developer is responsible for any costs beyond 4 times the Interconnection Cost Allocation Baseline?
 - d. How else can interconnection cost sharing mechanism be made more effective to manage risks faced by developers?
 - e. Should Interconnection Cost Sharing be made mandatory for proposers, or remain an option? Should Proposals be required to be submitted only with or without Interconnection Cost Sharing, or should Proposers be allowed to submit two alternate Proposals, with and without Interconnection Cost Sharing at the step two submission of offer price?
23. Can the Interconnection Cost Adjustments as described in OREC PSA Section 5.04 be improved?

24. Is the approach to sharing the incremental benefit of LPO-backed financing appropriate? How much of the incremental benefit should be applied to a reduction in OREC price?

Reporting

25. Are there elements of the contractual reporting requirements, particularly those set forth in Section 6.02 and Exhibit K of the [OREC PSA](#), that are either overly burdensome or that should be augmented? Please include specific reasons for any proposed changes.
26. How do the reporting requirements as set forth in Section 6.02 and Exhibit K impact the offer price or other project economics?
27. How can the reporting requirements be made more effective and capture the project progress and alignment with the proposal commitments?

Climate Adaptation and Resiliency

28. What design standards are already required or are best practices in the industry that support climate resiliency goals? Climate resiliency refers to preparing the project to operate and deliver upon project goals under the climate conditions anticipated at the end of the useful life of the project.
29. What role does insurance play in supporting climate resiliency goals? What risk tolerance has been determined as acceptable? Do additional resiliency measures and system hardening improve insurance or financing terms for projects?
30. Are there existing requirements for design criteria in the industry that explicitly include future climate projections (ex. extreme storms, wave action, extreme heat, sea level rise)?
31. Are there industry standards for the anticipated useful life of each project component (WTG, tower, foundation, converter station, cabling, ports, O&M facility)? If not, what are common assumptions?
32. Are you aware of where to find future climate data relevant to these projects? If so, what sources are used?
33. What data is missing for a project to fully incorporate consideration of future climate risk (ex. future floodplains, sea level rise, wind speed changes, extreme storms, extreme heat)? What form of data is most useful?
34. What risk threshold would be most appropriate for these projects (for example, 2080s 90th percentile sea level rise projections)?
35. Are you aware of NYSERDA's OSW Climate Adaptation and Resilience Study (available here: <https://www.nyseda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Impacts-and-Benefits>)? What components would be easiest to incorporate into future proposals? What components are most challenging to implement and what would address this challenge?

B. Integration of Major Component Pre-Qualification and OREC Conditional Purchases

Structure, Timing, and Eligibility

36. What is your organization's level of interest in participating in a pre-qualification process for supply chain projects to be leveraged by offshore wind developers?
 - a. For major component manufacturers, are you able to participate in the pre-qualification process beginning in June 2024? What timeframe is necessary and ideal for a primary component manufacturer to develop an application in response to the RFQL?

- b. For major component manufacturers, is 45 days sufficient timing to submit the required RFQL information to be pre-qualified by NYSERDA?
 - c. For offshore wind developers, is 30 days following receipt of the pre-qualification results sufficient time to incorporate purchase commitments in your OREC proposal?
 - d. What are key sequencing and timeline needs to ensure the NYSERDA procurements align with business development cycles of suppliers and OSW developers?
37. What advantages or disadvantages does the pre-qualification process have to your strategy?
38. How should NYSERDA consider the track record of manufacturing localization for previously awarded or previously proposed offshore wind major component manufacturing facilities in New York or elsewhere?
39. How should the pre-qualified facilities be communicated to ORECRFP24-1 Proposers? Please consider the process described in Section II.B of this RFI, above.
- a. How much information about the pre-qualified facilities should be shared with ORECRFP24-1 Proposers?
 - b. Should the list of pre-qualified facilities resulting from the RFQL be made public during the ORECRFP24-1 process, after the ORECRFP24-1 announcement, or not at all?

Pre-Qualification Submission Content

40. What threshold criteria should be included in the OSWSC RFQL? Please describe appropriate threshold levels or milestones as well as the industry need or rationale. Threshold criteria could include the following:
- a. A requirement that the component produced be one of an enumerated list of allowed components (e.g., blades, nacelles, tower, foundation, cable, power conditioning equipment)
 - b. Scale of sub-supplier localization and job creation
 - c. Technology proof such as product certification, market readiness, or number products sold with performance track record
 - d. Project size such as total project cost, size of total investment, or minimum grant funding sought
 - e. Demonstration of local, regional and/or global cost-effectiveness
 - f. Estimated facility offtake, or purchase requirements to ensure return on investment (in MW)
 - g. Estimated facility production, or maximum capacity to serve the market (in MW)
 - h. Customer sponsorship and demonstration of project need and maturity to enter the market
 - i. Site control and landowner sponsorship
 - j. Estimated timeline, including start of production and ramp up time for products
41. How much flexibility should be provided between an approved pre-qualification proposal and the final OSWSCRF24-2 proposal? Which terms should or should not be flexible? This could include:
- a. Component specifications
 - b. Subcomponent localization
 - c. Output capacity
 - d. Total project costs
 - e. Project site location
 - f. Project schedule

Approach to ORECRFP24-1 Evaluation and Contracting of RFQL Purchase Commitments

42. How should NYSERDA evaluate the conditional commitment to purchase major components from pre-qualified facilities?
 - a. Should RFQL Purchase Commitments be evaluated quantitatively, qualitatively or both? What qualitative aspects RFQL Purchase Commitments should be taken into account for economic benefits evaluation?
 - b. Is 5 out of 20 total Economic Benefits points appropriate for RFQL Purchase Commitments? What is an appropriate weighting for commitments of this nature?
43. NYSERDA is considering evaluating one composite Offer Price for each proposal that includes price modifiers related to RFQL Purchase Commitments. How should NYSERDA assess Offer Price in light of the uncertainty in final pricing? For example, should NYSERDA utilize an average of all potential prices resulting from consummating or not consummating RFQL Purchase Commitments, or should the price prior to adjustment due to consummating RFQL Purchase Commitments be given more weight?
44. Alternatively, should NYSERDA consider only economic benefits associated with RFQL Purchase Commitments and not evaluate and/or allow for price differences within a small deviation from the base proposal? If so, what minimum deviation should be allowed and/or taken into account in evaluation?

C. OSWSCRFP24-2 Design

45. What is your organization's level of interest in participating in a \$300 million Major Component Manufacturing Supply Chain RFP (OSWSCRFP24-2) with proposals due in early 2025?
 - a. How important are early commitments, such as those provided through the pre-qualification process, to your projects' viability?
 - b. What are key sequencing and timeline needs to ensure the NYSERDA procurements align with business development cycles of suppliers and OSW developers?
 - c. How long after the ORECRFP24-1 awardees are known should the OSWSCRFP24-2 proposals be due to ensure inputs from offshore wind developers inform the proposal submissions?
46. Which, if any, primary components should be prioritized through OSWSCRFP24-2?
 - a. Should the OSWSCRFP24-2 target logistics needs outside of primary component manufacturing?
 - b. Are NYSERDA's minimum and maximum fund request thresholds (\$50 million and \$300 million, respectively) sufficient to develop the proposed target investments areas? If not, what thresholds are necessary to ensure development and competitive production of manufactured components?
47. Is the proposed minimum funding ratio, which would limit New York State Funding to a maximum 25% of total Project cost, sufficient to incentivize private investment? Will this ratio prohibit participation?
48. How can NYSERDA incentivize and maximize the impact of NYS grant funding to support direct, indirect and induced benefit for MWBE, SDVOB and DAC businesses?
 - a. How should NYSERDA account for the benefit to New York State of sub-suppliers localizing or existing suppliers transitioning into the market due to commitments received from a primary component supplier that obtains grant funding? How should NYSERDA evaluate those benefits if a contractual commitment among those suppliers is not established at the time of proposal submission into OSWSCRFP24-2?

49. What is a reasonable timeframe for facilities to be initially and fully operational?
50. What scale of component is right sized for New York State and to support offshore wind growth both regionally and globally?
 - a. Is there an ideal turbine MW capacity which will be more competitive on the global market?
 - b. Is there a radial cable carrying capacity which is most competitive on the global market or right sized for the industry? How about inter-turbine array cables?
 - c. Are there other electrical conditioning component investments that should be considered?
 - d. Is there a specific turbine or other primary component technology which is more durable and resilient? How so?
51. How should NYSERDA value primary component manufacturer designs that scale up or future proof the manufacturing process to grow as the offshore wind industry advances?
52. Considering offtake requirements to substantiate a business case, what propensity and interest is there for developing contract manufacturing facilities for primary component production?
53. Is there a grant distribution mechanism that is particularly advantageous to reduce finance, insurance or other costs?
54. Is there another financing mechanism besides grant funds that would be particularly advantageous to the growth of the local supply chain in furtherance of the Climate Act goals?
 - a. What would be the financing mechanism, how would it work, and what would be the advantages, or what problem would be solved?
 - b. Could the mechanism apply to all projects, or are alternative financing mechanisms best suited based on project type?
55. Is there another form of partnership with the State, besides providing direct financial support in the form of grant funding, that would be particularly advantageous to the growth of the local supply chain in furtherance of the Climate Act goals (e.g., State issued revenue bonds, sale-leasebacks etc.)?
 - a. What would be appropriate form(s) of partnership, how would it work, and what would be the advantages, or what problem would be solved by utilizing such form(s)?
 - b. Would the form of partnership reasonably apply to all projects, or is there a particular project type that is best suited?

V. General Conditions

The information gathered by NYSERDA will be advisory only and is not binding on NYSERDA or any other state agency, office, commission, or public authority. Responses will become the property of NYSERDA. Any actions recommended by NYSERDA will be subject to all applicable laws, including procedural, regulatory and environmental review requirements.

This RFI is neither a contract offer, nor a request for proposals and does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a respondent's ability to respond to any future competitive solicitation process, or influence the selection of a proposer going forward or affect its rights and obligations under any applicable laws or in any legal proceeding. NYSERDA reserves the right to discontinue or modify the RFI process at any time, and makes no commitments, implied or otherwise, that this process will result in a business

transaction or negotiation with one or more respondents. All costs associated with responding to this RFI will be solely at respondents' expense.



Appendix A

I. Inflation and Cost of Capital Adjustments

NYSERDA intends to maintain the method of adjusting Index OREC Strike Price or Fixed OREC Price for inflation, as described in ORECRFP23-1, and, as noted in Section II.A of this RFI, NYSERDA is considering making the adjustment mandatory. Proposed modifications to the formula are described in the section “Inflation Adjustment” below. In addition, NYSERDA is considering whether to incorporate a new mechanism to adjust for changes in the cost of capital, and a potential adjustment mechanism for that purpose is presented in the section “Cost of Capital Adjustment”.

Inflation Adjustment

This section describes changes that NYSERDA is considering to the formula implementing the inflation risk adjusted pricing mechanism described in ORECRFP23-1 Section 4.2.2 as well as Section 5.03 and Exhibit Q of the form OREC Purchase and Sale Agreement.

NYSERDA is considering altering the composite index used in ORECRFP23-1 illustrated below under the column “ORECRFP23-1 weighting” to utilize the weightings described below under the column “Proposed ORECRFP24-1 Weighting”:

Element	ORECRFP23-1 Weighting (%)	Proposed ORECRFP24-1 Weighting (%)	Units, Frequency	Index
Labor	30	30	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
Fabrication	25	0	Unitless index, monthly	U.S. BLS, PPI, Data Series PCU811310811310, Commercial machinery repair and maintenance
Steel	10	15	Unitless index, monthly	U.S. BLS PPI, Data Series PCU331110331110, Iron and steel mills and ferroalloy mfg, not seasonally adjusted
Fuel	10	7.5	\$/gal, daily	New York Harbor Ultra Low Sulfur No 2 Diesel Spot Price published by 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 / aluminum	5	10	\$/lb, daily	COMEX, spot price on last trading day of month for prompt month, split 50:50 among copper and aluminium
Electricity	0	2.5	\$/MWh	Monthly load-weighted average LBMP price published by the NYISO as part of the Market Performance Highlights in the CEO/COO report included as part of the monthly

				Management Committee; https://www.nyiso.com/management-committee-mc-
Transport	0	5	Unitless index, monthly	FBX21 global ocean freight container pricing index https://terminal.freightos.com/freightos-baltic-index-global-container-pricing-index/
Other indexable	0	10	Unitless index, monthly	CPI https://www.bls.gov/cpi/
Other (Fixed)	20	20	-	None
Total	100	100		

The above approach contemplates increasing the weightings of steel and copper to comprise a larger portion in the inflation adjustment formula, from 10% to 15% and from 5% to 10% respectively, to reflect the importance of those inputs on overall project costs particularly for projects in deeper waters and with longer export cable routes.

New indices are also being proposed to be added for transport and electricity, reflecting the relevance of these costs to project component procurement, construction and operations. Transport reflects distinct project exposure, separate from those captured for fuel, and is used to reflect global dynamics of vessel-specific supply and demand. Finally, NYSERDA is considering replacing the “fabrication” index and to instead include a CPI “Other indexable” element to capture other general costs subject to inflation. NYSERDA is considering maintaining the portion of the inflation adjustment formula that remains fixed at 20%.

Following substantially the same process described in ORECRFP23-1, the Proposal Offer Price would be adjusted between the Proposal Offer Price submission deadline and BOEM approval of the Project’s COP. The weighting for each commodity or component in the composite index would be standardized across all proposals. The Index OREC Strike Price or Fixed OREC Price for the Inflation Adjusted Proposal would be calculated as:

$$OREC_{adj} = OREC_{bid} \times (Inflation\ Adjustment)$$

where:

$OREC_{adj}$ is the Index OREC Strike Price or Fixed OREC Price after adjustment at the Project’s COP approval

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

Inflation Adjustment

$$= \left(0.3 \times \frac{Index_{T,Labor}}{Index_{B,Labor}} + 0.15 \times \frac{Index_{T,Steel}}{Index_{B,Steel}} + 0.075 \frac{Index_{T,ULSD}}{Index_{B,ULSD}} \right. \\ \left. + 0.10 \times \frac{Index_{T,Copper/Aluminum}}{Index_{B,Copper/Aluminum}} + 0.025 \times \frac{Index_{T,Electricity}}{Index_{B,Electricity}} \right. \\ \left. + 0.05 \times \frac{Index_{T,Transport}}{Index_{B,Transport}} + 0.1 \times \frac{Index_{T,CPI}}{Index_{B,CPI}} + 0.2 \right)$$

$Index_B$ (for each commodity or element) is the price or unitless index published by NYSERDA four weeks prior to the Proposal Offer Price submission deadline
 $Index_T$ (for each commodity or element) is the price or unitless index at the time of the Project's COP approval

Cost of Capital Adjustment

This section outlines a proposed adjustment mechanism to account for changes in the cost of capital between proposal submission and COP approval.

Changes in the cost of capital can have a material impact on offshore wind project LCOE, and NYSERDA recognizes that the cost of capital may vary greatly between Projects based on their unique characteristics. In addition, some Projects may have their cost of capital reduced even after COP approval, final investment decision, construction and commencement of operations, through refinancings that can be carried out if and when financing terms become more favorable.

Given these complexities, NYSERDA is exploring if and how to account for changes to the cost of capital in an OREC Strike Price adjustment formula and is also considering whether the magnitude of a cost of capital adjustment mechanism, if included in ORECRFP24-1, should potentially be lower than the total impact that changes in the cost of capital would have on offshore wind project LCOE.

Specifically, NYSERDA is considering augmenting the existing inflation adjustment formula with an additional new adjustment meant to capture changes in the cost of capital, in the following manner:

$$OREC_{adj} = OREC_{bid} \times Inflation\ adjustment \times Cost\ of\ capital\ adjustment$$

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
- Inflation adjustment* is the adjustment factor accounting for changes in commodity prices between Proposal Offer Price submission and COP approval as described in the "Inflation Adjustment" section above
- Cost of capital adjustment* is the adjustment factor accounting for a change in interest rates between Proposal Offer Price submission and COP approval

For the new *Cost of capital adjustment*, NYSERDA is considering utilizing the following formula:

$$Cost\ of\ capital\ adjustment = 11.4 \times \left(\frac{1 + i_T}{1 + i_B}\right)^2 - 17.5 \times \left(\frac{1 + i_T}{1 + i_B}\right) + 7.1$$

where:

- i_B is the interest rate published by NYSERDA four weeks prior to the Proposal Offer Price submission deadline
- i_T is the interest rate at the time of the Project's COP approval

NYSERDA is considering using the Effective Federal Funds Rate as the interest rate for purposes of i_b and i_r in this formula.

Below is an illustrative example of the application of this *Cost of capital adjustment* formula:

Interest rate published by NYSERDA four weeks prior to the Proposal Offer Price submission deadline, $i_b = 4\%$

Interest rate at the time of the Project's COP approval, $i_r = 5\%$

$$\text{Cost of capital adjustment} = 11.4 \times \left(\frac{1 + 5\%}{1 + 4\%}\right)^2 - 17.5 \times \left(\frac{1 + 5\%}{1 + 4\%}\right) + 7.1$$

$$\text{Cost of capital adjustment} = 11.4 \times (1.009615)^2 - 17.5 \times (1.009615) + 7.1$$

$$\text{Cost of capital adjustment} = 1.052$$

The above *Cost of capital adjustment* formula was derived through modelling the impact of various interest rate change scenarios on LCOE for a representative offshore wind project, using the following assumptions:

Parameter	Assumed value
Debt share	70%
Equity share	30%
Cost of equity	8%
Tax rate	21%
Project lifetime (years)	30
CAPEX LCOE contribution (@ 5% nominal WACC)	76%
OPEX LCOE contribution (@ 5% nominal WACC)	24%

NYSERDA welcomes feedback on the proposed formula, including the assumptions used in deriving it. Although the assumptions will never perfectly match every project's actual characteristics, NYSERDA's goal is to create a formula that is sufficiently representative of offshore wind projects proposed into ORECRFP24-1 such that it will (i) materially reduce risk to proposers, leading to a reduced risk premium in Offer Prices, and (ii) enable appropriate ratepayer savings if interest rates decrease materially between proposal submission and COP approval.

II. Interconnection Cost Sharing

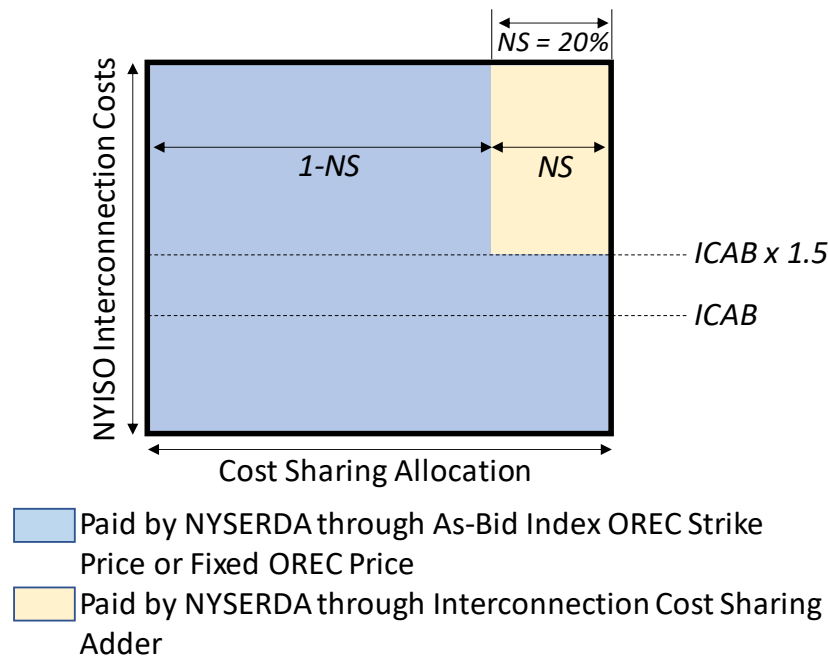
This section describes changes that NYSERDA is considering to the Interconnection Cost Sharing mechanism described in ORECRFP23-1 Section 4.2.1 as well as Section 5.04 of the form OREC Purchase and Sale Agreement.

Consistent with the approach described in ORECRFP23-1, for Proposals that include Interconnection Cost Sharing, the evaluated Index OREC Strike Price or Fixed OREC Price would be increased to account for NYSERDA’s Interconnection Cost Share.

In ORECRFP24-1, NYSERDA is considering fixing NYSERDA’s share of Interconnection Costs at 20% for all costs above the Cost Sharing Threshold, where the Cost Sharing Threshold (the threshold where cost-sharing begins) would be defined as the value that is equal to 1.5 multiplied by the Interconnection Cost Allocation Baseline (ICAB), as established by NYSERDA consistent with the approach described in ORECRFP23-1.

This proposed approach is illustrated in Figure 2 below.

Figure 2. Interconnection Cost Sharing Illustration



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

$$\begin{aligned} \text{ICSA} &= \text{Interconnection Cost Sharing Adder (Nominal \$/MWh)} \\ &= \frac{\text{AICSR}}{\text{AOQ}_{P50}} \end{aligned}$$

$$\begin{aligned} \text{AICSR} &= \text{Annual Interconnection Cost Sharing Recovery (Nominal \$/year)} \\ &= \text{NSIC} \times \text{AF}(\text{DR}, \text{CT}) \end{aligned}$$

$$\text{AOQ}_{P50} = \text{P50 Annual OREC Exceedance (MWh/year)}$$

$$\text{AF}(\text{NDR}, \text{CT}) = \text{Annuity factor using the NDR (in ORECRFP23-1, set as 7.55%) for the Contract Tenor}$$

NSIC = NYSERDA Share of Interconnection Cost paid through the ICSA (Nominal \$)
= $\max(0, IC - (ICAB \times 1.5)) \times NS$

IC = Interconnection Cost Allocation (Nominal \$)

ICAB = Interconnection Cost Allocation Baseline (Nominal \$) as specified in the Agreement

NS = NYSERDA Share (via the ICSA) of Interconnection Cost Allocation greater than $ICAB \times 1.5$
(specified as 20%)



NYSERDA

**Offshore Wind Supportive Manufacturing and Logistics
Request for Proposals OSWSCRFP24-1**

Release Date: April 23, 2024

Revised Date: July 16, 2024

UP TO \$200 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.*

Responses Due:

Tuesday, August 13, 2024 by 3:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) seeks to award grant funding to port infrastructure and/or supply chain manufacturing projects that will advance the offshore wind industry in New York State by leveraging private investment and generating long-term economic benefits. Through this Request for Proposals (RFP), NYSERDA may distribute up to \$200 million in the form of capital grant funding to qualified projects.

All relevant documents pertaining to this Request for Proposals (RFP) are available on NYSERDA's website <https://nyserda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Supply-Chain-Economic-Development/500M-Investment>. 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 by emailing offshorewind@nyserda.ny.gov.

- Primary Contacts: Kevin Flynn, Peter Lion, Gregory Lampman, and Alex Stein
- Other Designated Contacts: Doreen Harris, Pete Costello, Georges Sassine, Pauline Huet Le Bertre, Nate Chumley, Laila El-Ashmawy, and Bram Peterson.

No communication intended to influence this procurement is permitted except by contacting the Primary Contacts or Other Designated Contacts. 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 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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Appendices

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Appendix F	Non-Disclosure Agreement

Acronyms and Definitions

Awardees: Proposers who have been selected for award under this RFP.

Award Security: As defined in Section 5.4.1.

Capital Expenses: All costs associated with acquiring, constructing, or improving tangible assets, such as buildings, infrastructure, equipment and land. Capital Expenses include both Hard Costs and Soft Costs.

Commercial Operation Date: the first date of operation of the Facility in alignment with the Proposal.

Completion Deadline: The deadline for Substantial Completion, as defined in the Funding Agreement, agreed to by the Grant Recipient and NYSERDA, unless otherwise extended by NYSERDA.

Construction Deadline: The deadline for Commencement of Construction, as defined in the Funding Agreement, agreed to by the Grant Recipient and NYSERDA, unless otherwise extended by NYSERDA.

Contract Security: As defined in Section 5.4.1.

Disadvantaged Community (DAC): The Climate Leadership and Community Protection Act directed the [Climate Justice Working Group](https://www.nyserda.ny.gov/ny/disadvantaged-communities) (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: Tangible commitments in dollar terms outlined within the proposal to direct resources, investments, and benefits towards communities identified as disadvantaged within New York State. This encompasses targeted initiatives aimed at addressing socioeconomic disparities fostering community development and promoting economic equity such as job training programs, educational initiatives, infrastructure improvements and community engagement efforts.

Disadvantaged Community Jobs: The subset of Total Jobs containing FTE positions projected to be created within disadvantaged communities in New York State as a direct result of the proposed project. This metric emphasizes the project's contribution to inclusive economic development and job creation in marginalized areas.

Economic Benefits Start Date: The date of notification of award by NYSERDA in response to this RFP.

Eligible Project: As defined in Section 2.2.1 for the Supply Chain Manufacturing Track or 2.3.1 for the Port Infrastructure Track.

Eligible Proposer: As defined in Section 2.2.2 for the Supply Chain Manufacturing Track or 2.3.2 for the Port Infrastructure Track.

Eligible Uses of Funds: As defined in Section 2.2.3 for the Supply Chain Manufacturing Track or 2.3.3 for the Port Infrastructure Track.

Flexible Laydown Port: Offshore Wind Port for short-term storage and staging of offshore wind components leased by developers or component manufacturers.

Facility: The Offshore Wind Port or Supply Chain Manufacturing Facility in New York State proposed to be developed, constructed or expanded pursuant to the Proposal.

Full-time Equivalent Job (FTE): Metric for measuring the jobs created from a Project, with a single FTE determined as requiring at least 2,080 hours of work in a year based on a 40-hour work week over a 52-week year. Jobs not meeting 2,080 hours of work in a year may be combined to count as an FTE.

Grant Funding: The grant funding to be awarded pursuant to this RFP.

Grant Recipient: The legal entity that would be responsible for execution of the Funding Agreement and the recipient of grant funding in the event of an award under this RFP.

Hard Costs: Expenses incurred by a Project for materials, labor, equipment, subcontractors, or other expenses directly tied to the Project's physical construction, expansion, renovation or improvement process.

Labor Dollars: The aggregate payments allocated for labor-related expenditures directly associated with work performed within New York State. This includes gross wages (including employer side payroll tax payments), benefits costs, and compensation for various categories of personnel engaged in the Project, such as construction workers, manufacturing personnel, operations and maintenance staff, engineers, environmental service providers, consultants, researchers, and other relevant personnel.

Long-term Jobs: Full-time jobs (requiring at least 2,080 hours of work in a year based on a 40-hour work week over a 52-week year) that will be created or retained during the operation phase of the Project. Long-term Jobs are those which are reasonably expected to occur each year of the Facility's operational life. Long-term Jobs do not include jobs specifically tied to construction associated with the Project. Jobs not meeting the threshold of a full-time job may be reflected as an FTE.

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 Section 4.2.4.5 that a Proposer can demonstrate: (1) accrue after the Economic Benefits Start Date; (2) would not have accrued but for the award of a contract under this current RFP; (3) do not overlap with any economic benefits counted pursuant to any other New York State RFP; and (4) do not include any New York State Funding.

Inflation Reduction Act (IRA): The Inflation Reduction Act of 2022.

Inland Manufacturing Facility: A Supply Chain Manufacturing Facility located anywhere outside the existing or planned footprint of a maritime port or immediately adjacent land parcels.

Manufacturing Port: Offshore Wind Port with the infrastructure required to support a Port Based Manufacturing Facility.

MWBE: Minority and/or Women-Owned Businesses, as defined under New York State Law. New York State Certified MWBEs are searchable in the [MWBE Certified Database maintained by Empire State Development \(ESD\)](#).

MWBE/SDVOB Dollars: The monetary sum designated for procurement from businesses certified as MWBE or SDVOB within the state of New York. This includes funds specifically allocated for contracts purchases or services rendered by MWBE or SDVOB to promote diversity, inclusion, and economic empowerment within the business community.

New York State Funding: Funding from New York State, including grant funding requested through this RFP, as well as funding provided by other New York State Agencies. For a full list of New York State Agencies visit <https://www.ny.gov/agencies>.

New York State Iron and Steel Dollars: The total value of expenditures dedicated to the purchase of iron and steel products originating from sources within New York State. This includes payments made for iron

and steel materials used directly in the Project ensuring compliance with regulations while supporting New York-based manufacturing industries.

Non-New York State US Iron and Steel Dollars: The total value of expenditures dedicated to the purchase of iron and steel products originating from sources outside of New York State but within the United States. This includes payments made for iron and steel materials used directly in the Project ensuring compliance with regulations while supporting domestic manufacturing industries.

Offshore Wind Generation Facility: The installed wind turbine generators located within a Bureau of Ocean Energy Management lease area and all other associated offshore equipment and infrastructure delivering energy to the injection point.

Offshore Wind Port: Maritime port with infrastructure that supports offshore wind component manufacturing, storage, assembly, and/or the ongoing operation and maintenance of offshore wind projects. An Offshore Wind Port may be categorized in the context of this RFP as: Manufacturing Port, Staging & Assembly Port, Flexible Laydown Port, or a Regional Operations & Maintenance (O&M) Port.

Original Equipment Manufacturer (OEM): Designer and Manufacturer of an offshore wind turbine, or a Finished Component of the balance of plant, for purchase by an offshore wind developer.

Port Based Manufacturing Facility: A Supply Chain Manufacturing Facility located within the existing or planned footprint of a Manufacturing Port or an adjoining land parcel.

Port Infrastructure Project: The construction, redevelopment and/or improvements that enable a port site to provide critical services for the offshore wind industry upon completion of the Project. Such projects typically involve berth/quayside rehabilitation, improvement or expansion of docks, wharves, piers, roll-on/roll-off structures, and dredging designed to facilitate usage for offshore wind related projects. For further clarity, a project that enables critical services for the offshore wind industry only if another project (such as a Port Based Manufacturing Facility) is built at the port will not be considered a Port Infrastructure Project for purposes of this RFP.

Port Infrastructure Proposal: A Proposal submitted through the Port Infrastructure Track of this RFP.

Port Infrastructure Track: An evaluation track through which a Proposal for a Port Infrastructure Project may be submitted as defined in Section 1.1.

Primary Component or “Finished Component”: Any of the main parts of an offshore wind turbine or the Offshore Wind Generation Facility balance of plant, including the foundation, substructure, transition piece, tower, nacelle, rotor blades, offshore substation bottom side and topside, electrical equipment, inter-array cables and export cables.

Project: The Supply Chain Manufacturing Project or Port Infrastructure Project described in the Proposal.

Proposal: A request for Grant Funding to support a Project in response to this RFP.

Proposer: The business entity, or collection of entities, that submits a Proposal in response to this RFP.

Qualifying Federal Support: Any direct federal financial support to the Project in the form of tax credits or direct financial benefits expressly intended to incentivize (i) the development and operation of (x) port infrastructure and/or (y) facilities that manufacture equipment or components used for the development of offshore wind, and (ii) which either (A) arises from a law enacted by the U.S. Congress after the Proposal Submission Deadline or (B) is secured following the notification of award by NYSERDA and as such is not included in the financial information required in the Proposal under this RFP. Notwithstanding the foregoing, any support arising solely from Section 45(X) of the Internal Revenue Code in existence on the Proposal Submission Deadline shall not be considered Qualifying Federal Support to the extent such support is (l) 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 Project. Qualifying Federal Support shall not include ordinary course tax deductions.

Raw Materials: Materials such as steel, copper, carbon fiber, concrete, or rare-earth metals, that are directly processed into products used in generating offshore wind energy.

Regional Operations & Maintenance (O&M) Port: Offshore Wind Port serving as the operational hub and long-term base for multiple offshore wind developers and offshore wind projects occurring simultaneously.

Scoring Committees: The three scoring committees that will evaluate proposals in response to this RFP, specifically the Supply Chain Manufacturing Scoring Committee, the Port Infrastructure Scoring Committee, and the Portfolio Scoring Committee.

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 the [Directory of New York State Certified Service-Disabled Veteran Owned Business \(SDVOB\)](#) maintained by the Office of General Services (OGS).

Site Location Figure: Figure provided as part of the existing site / facility description which shows the site boundaries of the Project on an aerial map, the site address, and other information detailed in Section 4.2.4.2.

Soft Costs: Expenses incurred as part of the Project that are not directly associated with physical construction or tangible assets but are essential for the Project's planning and management. Soft Costs include costs for planning, design, engineering, permits, legal fees, administrative overhead, and other non-construction activities.

Staging & Assembly Port: Offshore Wind Port that receive, store, and partially assemble turbine components.

Subassembly: System that has a specific function for a Primary Component, which may include subassemblies of several smaller parts, such as a pitch system for blades.

Subcomponent: Component that is combined with other subcomponents into a Subassembly, such as motors, bolts, and gears.

Supply Agreement: Legal contract between supplier and purchaser defining the terms of the relationship, including the rights and obligations of the parties, which governs the procurement of products, materials, and/or services between the supplier and purchaser. The agreement may take the form of an offtake agreement, framework agreement, purchase agreement, master supply agreement, service level agreement, manufacturing agreement, or similar.

Standard Form Supply Chain Facility Funding Agreement or "Funding Agreement": The grant agreement between NYSERDA and the awardee(s) of this RFP included as Appendix B and defined in Section 1.4.

Supply Chain Data Form: Excel file required in the proposal submission as described in Section 4.2.2, which will be made available by NYSERDA following the release of this RFP.

Supply Chain Manufacturing Facility: A continuous-use facility located in New York State for manufacturing of Primary Components or Finished Components, Subassemblies or Subcomponents or Raw Materials to be used in Offshore Wind Generation Facilities..

Supply Chain Manufacturing Project: The development, construction, expansion, or renovation of a Supply Chain Manufacturing Facility. In the case of Port Based Manufacturing Facilities, the Supply Chain

Manufacturing Project can include port infrastructure improvements necessary to enable the planned use of such Supply Chain Manufacturing Facility.

Supply Chain Manufacturing Proposal: A Proposal submitted through the Supply Chain Manufacturing Track of this RFP.

Supply Chain Manufacturing Track: An evaluation track through which a Proposal for a Supply Chain Manufacturing Project may be submitted as defined in Section 1.1.

Total Dollars: The aggregate monetary value encompassing all projected expenditures, investments, and revenues directly associated with the proposed Project within New York State. This includes both public and private funding sources (excluding Grant Funding under this RFP), grants, loans, equity investments, and anticipated GDP created.

Total Jobs: The cumulative number of full-time equivalent (FTE) positions anticipated to be created or retained over the course of the proposed Project.

1. Introduction

1.1 Executive Summary

Under the Climate Leadership and Community Protection Act (Climate Act), New York State has adopted some of the most ambitious clean energy goals in the nation, including installing 9,000 megawatts of offshore wind by 2035. Building offshore wind projects in a timely and cost-effective manner requires investment in a reliable supply chain that also benefits New York's workforce, businesses, and supports transition to a clean energy economy.

Under this solicitation, OSWSCRFP24-1, NYSERDA is seeking to competitively fund the construction, expansion, or renovation of port infrastructure and manufacturing facilities that meaningfully aid the growth of the offshore wind industry in New York State. NYSERDA intends to utilize up to \$200 million in New York State grant funding to support and further leverage significant outside investments in projects critical to building a local, reliable, and economically beneficial offshore wind supply chain.

Developing an offshore wind supply chain requires investments in manufacturing to produce components for use in offshore wind projects, as well as port infrastructure to host fabrication activities, pre-assemble and stage components, and service offshore wind projects during their operations. To reflect the needs of the industry, this solicitation offers separate evaluation tracks for Proposals to develop Port Infrastructure Projects and Supply Chain Manufacturing Projects. The unique eligibility, submission requirements, and evaluation criteria for each track are detailed further in this RFP.

NYSERDA has allocated up to \$200 million for this solicitation and may award less than \$200 million at its sole discretion. NYSERDA targets awarding \$100 million in each of the Port Infrastructure and Supply Chain Manufacturing Tracks. NYSERDA reserves the right to increase, decrease, or reallocate funding between tracks, as well as to award all, some, or no Proposals in either track at its sole discretion. Any funding not invested in OSWSCRFP24-1 may be made available under supply chain opportunities issued at a later date.

1.2 Background on NYSERDA

NYSERDA was created in 1975 by the New York State Legislature as a public authority and public benefit corporation. 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.

NYSERDA is authorized by the New York State Public Service Commission's [Order Establishing Offshore Wind Standard and Framework For Phase 1 Procurement](#) to act as the central administrator of the Offshore Wind Standard program. Pursuant to this role as central administrator, NYSERDA purchases Offshore Wind Renewable Energy Certificates (ORECs) from contracted Offshore Wind Generation Facility Developers on behalf of the jurisdictional and voluntarily-complying Load Serving Entities (LSEs) in New York State within the Public Service Commission's jurisdiction. It also performs this role for LSEs outside the Public Service Commission's jurisdiction, such as the New York Power Authority and Long Island Power Authority, which may opt to use NYSERDA as a purchasing entity. NYSERDA then sells the ORECs to the LSEs for compliance with the LSEs' offshore wind obligations.

NYSERDA also leverages grant funding to catalyze the development of the offshore wind supply chain. To complement the build out of the Offshore Wind Standard program, and in recognition of the critical role the supply chain will play in attaining the goals of the Climate Act, Governor Hochul and the State Legislature allotted \$500 million for offshore wind supply chain investments in the 2022 State Budget. NYSERDA is authorized to utilize this funding to develop ports, manufacturing, and other supply chain infrastructure as necessary to advance the offshore wind industry.

1.3 Goals of OSWSCRFP24-1

Development of the offshore wind industry in New York and along the eastern seaboard requires corresponding development of local port infrastructure and supply chain manufacturing to meet the needs of industry and reap the benefits of a vibrant clean energy economy.

At this junction in the industry's evolution, it is vital that New York State's port infrastructure and manufacturing assets are prepared to capitalize on the growth opportunity the domestic supply chain affords, enabling New York's workforce to benefit from the clean energy economy transition. The buildout of New York's offshore wind supply chain will help ensure successful generation projects that deliver timely and cost-effective results, while also providing benefits to New York workers and businesses.

NYSERDA is issuing this Offshore Wind Supportive Manufacturing and Logistics Request for Proposals (OSWSCRFP24-1 or RFP) to continue progress on advancing the development of the offshore wind supply chain in New York State. NYSERDA seeks Projects that address a critical need for goods or services by the offshore wind industry as evidenced by tangible market demand, that identify opportunities which align with the State's strengths, and that as a portfolio best further the goals of this RFP listed below:

- Bolstering New York's ability to reliably develop offshore wind generation projects
- Creating a stable and cost-effective offshore wind supply chain
- Ensuring the supply chain benefits New York's residents, businesses, and economy
- Promoting a collaborative, inclusive, and environmentally responsible supply chain

Further information regarding how these goals will be utilized under this RFP is detailed in Section 3.3.

1.4 Funding Information

Funding awarded through this RFP will be distributed on a reimbursement basis under the terms of a Standard Form Supply Chain Facility Funding Agreement (Appendix B) ("Funding Agreement"). The Funding Agreement will contain a detailed scope of work and budget for the awarded project that aligns with the Proposal submitted in response to this RFP. Funding awarded through this RFP will be provided at critical project milestones on a reimbursement basis. As part of their Proposal, Proposers must include in the Supply Chain Data Form, when made available by NYSERDA, a detailed breakdown of total project costs by major cost elements and tasks, clearly identifying elements for which grant funding awarded under this RFP will be used to reimburse costs. This will be the basis for the detailed scope of work and budget included in the Agreement. Up to 25% of funds may be made available at construction start as an advance for awardees with demonstrated need. Remaining funds will be distributed as outlined in the Agreement in alignment with the milestone disbursement schedule provided in the Proposal, with the final 25% distributed in equal installments over the first five years of operation subject to meeting at least 85% of the minimum metrics detailed in the Supply Chain Data Form (when made available by NYSERDA) and in Section 4.2.4.5 in each year, namely:

- Total Dollars (\$000)
- Labor Dollars (\$000)
- MWBE/SDVOB Dollars (\$000)
- NYS Iron and Steel Dollars (\$000)
- Non-NYS U.S. Iron and Steel Dollars (\$000)
- Disadvantaged Communities Commitments (\$000)
- Total Jobs (FTE-Years)
- Long-Term Jobs (FTE-Years)
- Disadvantaged Community Jobs (FTE-Years)

Additionally, Proposers should include a proposed Construction Deadline and Completion Deadline as part of their Proposal as outlined in Section 4.2.4.2. If awarded, dates for the Construction Deadline and Completion Deadline will be set during negotiations on the Funding Agreement. Please note that deadlines

associated with the \$500 million funding appropriation limit NYSERDA's ability to agree to a Construction Deadline and/or Completion Deadline that would occur in the distant future, so Proposers are encouraged to present reasonable deadlines.

At no point during development, construction, or operation of the facility may NYSERDA's funding be provided at a level in excess of other investments made in the Project. NYSERDA reserves the right to limit all or some grant funding for a Project if the same activities are awarded funding through another funding source not already identified in the Proposal in accordance with this RFP. Quarterly progress reporting is required during the design and construction phases of the Project as described in the Funding Agreement. If selected for award, Awardees will be expected to provide preliminary quarterly reports prior to execution of the Funding Agreement. For operational metrics selected by NYSERDA related to job creation, job numbers will be verified annually using the employer's NYS-45 and NYS45-ATT and/or payroll reports prior to disbursement of funds.

All Grant Recipients must certify and agree that any decrease in the scope of work compared with the scope of work included in the Funding Agreement may result in a reduction of funding at NYSERDA's sole discretion, up to a full loss of award. If a Project obtains Qualifying Federal Support that is to be applied towards the scope included in the Funding Agreement, there will be an adjustment to the amount of funding provided equal to the amount of Qualifying Federal Support obtained. Alternatively, if the Grant Recipient demonstrates that the Qualifying Federal Support will be utilized to increase the value to New York of the scope above that stated in the Agreement, such as electrification/decarbonization of operations or increased facility capacity, then the amount of funding awarded under this RFP may be maintained at NYSERDA's sole discretion. Specific terms and funding mechanics associated with funding are described in the Funding Agreement.

1.4.1 Other Funding Resources

Proposers, by the time of submission, are encouraged to have already sought, or be in the process of attaining, funding from all other potential State resources, including 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 Proposer's region of interest. Interested Proposers are encouraged to reach out directly to ESD at: Cleantech@esd.ny.gov.

Proposers are also encouraged to seek NY Green Bank Financing in connection with their project if they have not already done so. NY Green Bank is a State-sponsored, specialized financial entity that works with the private sector to identify, address, and alleviate market barriers preventing the widespread deployment of clean energy projects across New York State. NY Green Bank is generally able to make competitively-priced, market-based debt financing available to offshore wind supply chain projects in New York State in amounts that range from approximately \$5 million to \$100 million per project. More information on NY Green Bank can be found at <https://greenbank.ny.gov/>

1.5 Schedule

The schedule for OSWSCRFP24-1 is as follows (all times ET):

RFP Release Date	April 23, 2024
Proposers' Webinar	May 7, 2024
Deadline for Submission of Written Questions	May 14, 2024
Responses to Written Questions Posted	June 11, 2024
NYSERDA Portal Open for Submissions	No later than July 23, 2024
Proposal Submission Deadline	August 13, 2024, 3:00PM
Award Notification Date & Beginning of Contract Negotiations	Est. Late September, 2024
Contract(s) Executed & Public Announcement	Est. Q4 2024

Please note that the above dates are subject to change. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0r8z000000Gzxc as well as <https://nyserda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Supply-Chain-Economic-Development/500M-Investment>.

1.6 Proposers’ Webinar and Written Question & Answers

A Proposers’ Webinar for interested bidders will be held on May 7, 2024 at 9AM E.T. to provide an overview of the RFP. Registration is available at the link below:

<https://nyserdany.webex.com/weblink/register/r6906a63e2c8341b88a06be0f13cedc26>.

Pre-registration for the webinar is required, and prospective Proposers are encouraged to register for this event as early as possible. Prospective Proposers will not have the opportunity to ask questions during the Proposers’ Webinar. All questions about this RFP should be submitted by emailing Offshorewind@nyserda.ny.gov with the subject line “OSWSCRFP24-1 Question”. All written questions must be submitted by May 14, 2024. NYSERDA will endeavor to respond to submitted questions within two weeks. Responses will be summarized and posted to the OSWSCRFP24-1 Question and Answer file available at <https://nyserda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Supply-Chain-Economic-Development/500M-Investment> by June 11, 2024 with all information anonymized.

Prospective Proposers may also submit requested changes to the Standard Form Funding Agreement (Appendix B) for NYSERDA consideration by emailing Offshorewind@nyserda.ny.gov with the subject line “OSWSCRFP24-1 Requested Funding Agreement Change” on or before the Proposal Submission Deadline. NYSERDA requests that any such requests be provided on or before the deadline for submission of written questions indicated above to the extent possible. Any requested changes should be accompanied by an explanation of the reasons for such changes. NYSERDA will consider the requested changes and may provide feedback at its discretion.

1.7 Modification or Cancellation of the RFP 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, its agents or consultants or members of the Scoring Committees.

Any changes to this RFP will be posted on the “Current Opportunities” section of NYSERDA’s website https://portal.nyserda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0r8z000000Gzxc

Prospective Proposers are encouraged to check the website frequently to be advised of any RFP changes or other news.

1.8 Proposal Completeness and Eligibility Review

Following submission, Proposals will first be examined to determine whether they meet the eligibility requirements and include all required components. To be eligible for evaluation, Proposals must meet all eligibility requirements set forth in Section 2.2 or 2.3, as applicable and be complete, i.e., contain materially all required contents listed in Section 4.2. Although an immaterial or insignificant omission of certain contents technically required by Section 4.2 will not on its own deem a Proposal ineligible for evaluation, it may negatively impact the Proposal’s evaluation.

1.9 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 Designated 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(s) as a change or revision to the terms of the Proposal unless the information is provided at NYSERDA's request under Section 1.10. If there are any material events that affect the validity of the Proposal, Proposers must promptly notify NYSERDA in writing, and these material events may be considered by NYSERDA and/or the Scoring Committee(s) during Proposal evaluation.

1.10 Requests for Additional Information

Following the submission of Proposals, NYSERDA and the Scoring Committee(s) may request clarification and additional information from Proposers at any time throughout the evaluation process. Such information will be subject to the protection of proprietary information as described in Section 7, 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.

NYSERDA reserves the right to request clarification directly from any potential Grant Recipient or entity comprising a Proposer. To that end, Proposals must include contact information for all entities comprising the Proposer.

1.11 Interviews with Proposers

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

2. Project Eligibility

2.1 Evaluation Tracks (Process, Setup, Funding)

This RFP has two evaluation tracks: the Port Infrastructure Track, and the Supply Chain Manufacturing Track. The Port Infrastructure Track is intended to award funding for Port Infrastructure Projects critical to advancing the offshore wind industry. The Supply Chain Manufacturing Track is intended to award funding to Supply Chain Manufacturing Projects. NYSERDA will target awarding \$100 million in grant funding under the Port Infrastructure Track and \$100 million in grant funding under the Supply Chain Manufacturing Track but reserves the right to award any other amount in NYSERDA's sole discretion. Projects seeking State funding in excess of \$100 million (e.g., port manufacturing of some Tier 1 components) are not eligible under this solicitation but may be eligible under a forthcoming NYSERDA solicitation.

Each Proposal must be submitted under either the Port Infrastructure Track or the Supply Chain Manufacturing Track. Eligibility and evaluation criteria differ by track. Proposals must specify the track through which an award is sought as detailed in the submission requirements in Section 4.2. NYSERDA will review each submitted Proposal to determine whether the eligibility requirements for the identified track have been met. Section 2.2 details eligibility requirements for the Supply Chain Manufacturing Track, and Section 2.3 details eligibility requirements for the Port Infrastructure Track.

Proposals not meeting the requirements of an Eligible Project (Section 2.2.1 or 2.3.1) and Eligible Proposer (Section 2.2.2 or 2.3.2) for the specified track will be removed from consideration for award.

Proposals will be reviewed to ensure the requirements regarding eligible uses of Grant Funding (Section 2.2.3 or 2.3.3) have been met. Any ineligible uses of Grant Funding will be removed from the funding request but will remain as part of the Total Project Cost, and the Proposal will be re-reviewed to determine if the requirements of an Eligible Project and Eligible Proposer have been met. NYSERDA may reduce a Project's potential amount of awardable Grant Funding from the amount requested in the Proposal should the project

budget contain funding uses considered ineligible by NYSERDA, as long as the reduced funding does not jeopardize the viability of the Project to proceed at the reduced funding level.

Supply Chain Manufacturing Projects may or may not be physically located at a port. Proposals requesting funding under the Supply Chain Manufacturing Track can include costs to support port infrastructure improvements necessary to enable the planned use of the Supply Chain Manufacturing Facility. The below table provides guidance as to which track may best align with different Projects.

Port Infrastructure Track	Supply Chain Manufacturing Track
Staging & Assembly Ports Regional Operations & Maintenance Ports Flexible Laydown Ports	Inland Manufacturing Facilities Port Based Manufacturing Facilities

2.2 Eligibility – Supply Chain Manufacturing Track

2.2.1 Eligible Projects – Supply Chain Manufacturing Track

Projects must:

- I. Include the development, construction, renovation, or expansion of a Supply Chain Manufacturing Facility to produce products (Primary/Finished Components, Subassemblies, Subcomponents, and/or Raw Materials) used in an Offshore Wind Generation Facility or the associated infrastructure.
- II. Have a total Project cost of at least \$3 million, where the total Project cost is the total cost necessary to complete all phases (including land acquisition, design and supervision, construction and/or equipment) required to make the resulting Facility operational for the intended use but does not include costs to operate the Facility.
- III. Request between \$1 million and \$50 million in grant funding through this RFP.
- IV. Leverage non-New York State Funding to limit New York State Funding to a maximum 33% of total Project cost. Funding from public entities other than New York State or New York State Agencies will be counted as non-New York State Funding.
- V. Create a number of direct new jobs that collectively earn wages from the Economic Benefits Start Date through the end of the fifth year of operations (i.e., through the end of the term of the Funding Agreement with NYSERDA) at least equal to the grant funding requested through the Proposal.

2.2.2 Eligible Proposers – Supply Chain Manufacturing Track

Eligible Proposers may include an individual company, organization, institution, port authority, or a combination thereof if the entities collectively support a single Project.

If the Proposer is a combination of business entities, the Grant Recipient must be a single designated entity, such as either:

1. The local port authority (if applicable); or
2. The entity that will own and/or operate the facility.

Additionally, the Proposer must:

- Be currently engaged in, or planning to enter, the offshore wind supply chain.
- Have existing operations in New York State or plan to locate operations of the Project in New York State upon notification of award selection.
- Have ownership or control of the site(s). To satisfy this requirement, the Proposer must either own the site(s) or have executed a legally binding agreement such as a purchase, lease or an option to purchase or lease that gives the Proposer the legal right to carry out the Project (as described in the Proposal) on the site(s).

2.2.3 Eligible Uses of Grant Funding – Supply Chain Manufacturing Track

Funds awarded through this RFP may only be used to cover costs tied to the acquisition, demolition, construction, renovation, repair or replacement of fixed assets and site infrastructure required to complete the Project and make the Facility operational for its intended use. This includes the costs noted below and any other costs that are not listed below as Ineligible and are deemed eligible at NYSERDA's discretion. Funds may not be used to cover Soft Costs, but Soft Costs associated with the Project should be included in the total project cost and will count toward the non-New York State Funding match. Expenses must be incurred on or after the Economic Benefits Start Date (detailed in Section 4.2.4.5) to be considered eligible.

Costs Eligible for Reimbursement

Costs for materials, labor, equipment, subcontractors, or other expenses directly tied to the physical construction process.

Costs Ineligible for Reimbursement

Costs that are not directly associated with physical construction or tangible assets but are essential for the Project's planning and management, such as costs for planning, design, engineering, permits, legal fees, administrative overhead, and other non-construction activities.

Any costs that are not incurred to advance the Project.

2.3 Eligibility – Port Infrastructure Track

2.3.1 Eligible Projects – Port Infrastructure Track

Projects Must:

- I. Include construction, redevelopment and/or improvements that enable a port site to provide critical services for the offshore wind industry upon completion of the Project. For further clarity, a project that enables critical services for the offshore wind industry only if another project (such as a Port Based Manufacturing Facility) is built at the port will not be eligible for the Port Infrastructure Track.
- II. Have a total Project cost of at least \$10 million, where total Project cost is the total cost necessary to complete all phases (including land acquisition, design and supervision, construction and/or equipment) required to make the resulting Facility operational for the intended use but does not include costs to operate the Facility.
- III. Request between \$1 million and \$100 million in grant funding through this RFP.
- IV. Leverage non-New York State Funding to limit New York State Funding to a maximum of 33% of total Project cost. Funding from public entities other than New York State or New York State Agencies will be counted as non-New York State Funding.
- V. Include, at a minimum, support for offshore wind activity through staging, marshaling, assembly, construction, operation and maintenance services or related activities based at the port.
 - a. **If a Regional Operations & Maintenance Port Facility (O&M Port):** Must have plans and site infrastructure to serve as the operational hub and long-term base for multiple offshore wind developers and offshore wind projects occurring simultaneously.

2.3.2 Eligible Proposers – Port Infrastructure Track

Eligible Proposers may include an individual company, organization, institution, port authority, or combination thereof if the entities collectively support a single Project.

If the Proposer is a combination of business entities, the Grant Recipient must be a single designated entity, such as either:

1. The local port authority; or,
2. The entity that will own and/or operate the facility.

Additionally, the Proposer must:

- Be currently engaged in, or planning to enter the offshore wind supply chain, specifically performing port development and/or operation.
- Have existing operations in New York State or plan to locate operations of the Project in New York State upon notification of award selection.
- Have ownership or control of the site(s). To satisfy this requirement, the Proposer must either own the site(s) or have executed a legally binding agreement such as a purchase, lease or an option to purchase or lease that gives the Proposer the legal right to carry out the Project (as described in the Proposal) on the site(s).

2.3.3 Eligible Uses of Grant Funding – Port Infrastructure Track

Funds awarded through this RFP may only be used to cover costs tied to the acquisition, demolition, construction, renovation, repair or replacement of fixed assets and site infrastructure required to complete the Project and make the Offshore Wind Port operational for its intended use. This includes the costs noted below and any other costs that are not listed below as Ineligible and are deemed eligible at NYSERDA's discretion. Funds may not be used to cover Soft Costs, but Soft Costs associated with the Project should be included in the total project cost and will count toward the non-New York State Funding match. Expenses must be incurred on or after the Economic Benefits Start Date (detailed in Section 4.2.4.5) to be considered eligible. Expenses may not include Supply Chain Manufacturing Facility related costs, as these are only eligible for reimbursement through the Supply Chain Manufacturing Track.

Costs Eligible for Reimbursement

Costs for materials, labor, equipment, subcontractors, or other expenses directly tied to the physical construction process.

Costs Ineligible for Reimbursement

Costs that are not directly associated with physical construction or tangible assets but are essential for the Project's planning and management, such as costs for planning, design, engineering, permits, legal fees, administrative overhead, and other non-construction activities.

Any costs that are not incurred to advance the Project.

3. Evaluation

Proposals that meet the eligibility requirements described in Section 2.2 for the Supply Chain Manufacturing Track will be scored with respect to the evaluation criteria as defined below in Section 3.1. Proposals that meet the eligibility requirements described in Section 2.3 for the Port Infrastructure Track will be scored with respect to the evaluation criteria as defined below in Section 3.2. Proposals will be evaluated to determine a score out of 100 possible points. Proposals will then be combined into potential award portfolios using the results of the track specific evaluation, and portfolios will be scored using the Portfolio Evaluation Criteria (Goals of OSWSCRFP24-1) as detailed in Section 3.3.

3.1 Supply Chain Manufacturing Evaluation Criteria

Proposals submitted through the Supply Chain Manufacturing Track will be evaluated based on the impact the project is expected to have and the viability of the project as proposed, with impact accounting for a larger proportion of the Project's raw score.

The Supply Chain Manufacturing Scoring Committee will award points for impact based on several factors that together demonstrate that each proposed project will increase the State's ability to reliably develop

offshore wind by addressing a critical market need in a manner that minimizes rate payer costs through competitive funding requests, provides economic benefits, and conducts stakeholder engagement and engenders community support.

The Supply Chain Manufacturing Scoring Committee will award points for viability based on several factors that together demonstrate that each proposed project can be built as designed, on the schedule outlined in the proposal, reach commercial operation on a timeline that will support the near-term offshore wind industry, demonstrate the maturity of the development plans, the feasibility of the technical and logistical plans, and the experience, expertise, and financial resources of the Proposer.

The primary Evaluation Criteria below are listed in order of importance.

3.1.1 Impact

The Supply Chain Manufacturing Scoring Committee will use the evaluation criteria below **listed in order of importance** to provide an impact score.

New York State Project Impact and Offshore Wind Market Need

This evaluation criterion considers the direct impact a proposed project will have on offshore wind generation projects in New York State, the need as determined by the market, the competitiveness of the business activity, and the efforts made to develop the supply chain. Ability to show evidence of market demand for the products and/or services the Project will provide as well as commitments to purchase goods or services from sub-suppliers located or planning to locate in New York will be heavily factored in evaluation. Projects will be evaluated favorably that:

1. Demonstrate positive cost and/or timing impact for New York offshore wind generation projects;
2. Directly alleviate an existing or prospective constraint/bottleneck in the offshore wind supply chain with the scale to provide a meaningful change in market capacity;
3. Establish the market demand for the project through supply agreements that demonstrate need despite competitor alternatives, with preference for offtake agreements and/or ideally framework agreements.
4. Demonstrate cost competitiveness of the business activity of the proposed project, in consideration of availability and cost through other regional and global facilities;
5. Demonstrate the ability of the project to support future generations of offshore wind development, recognizing possible growth in the scale of technology and its supporting infrastructure;
6. Are advanced in the status of agreements with suppliers, with supply agreements – particularly offtake and/or framework agreements - using New York State suppliers strongly favored, and level of detail in plans to secure remaining needed contracts; and,
7. Show engagement efforts, partnerships, and other programs with new or existing New York supply chain partners to support the project, including identification and education for purposes of retooling operations to create multi-tiered supply chain growth.

Economic Benefits

This evaluation criterion reflects the importance of positive impacts on the State's economy from developing a New York based offshore wind supply chain. This criterion focuses on the job creation and macroeconomic impacts that the project is expected to have, specifically:

1. Total incremental job creation and in-state expenditures anticipated to result from the project;
2. Plans and ability to provide economic opportunities to Disadvantaged Communities, MWBEs and SDVOBs;
3. Plans and ability to provide clean energy job opportunities to New York residents, including specific efforts for existing workers facing known or potential displacements as described in The New York Scoping Plan's [just transition](#) chapter; and,
4. Plans and ability to utilize U.S. Iron and Steel.

Projects providing a greater level of economic benefit as outlined above will be evaluated favorably. The various categories of economic benefits are described in Section 4.2.4.5.

Cost

This evaluation criteria examines the cost to New York State to support the Project. Cost will be evaluated based on elements of the Financial Plan as described in Section 4.2.4.4, including the funding request when compared to the total cost of the Project, with projects requesting a lower percentage of the total cost of the project evaluated favorably. Cost will also be considered in the context of requests from similar projects, to ensure alignment with fair market value.

Stakeholder Engagement and Community Support

This evaluation criteria considers community and stakeholder engagement plans and support for the Proposal. Stakeholder engagement activities spanning the planning, construction and operations phase that engender support from a broad range of stakeholders will be viewed favorably. Proposers will be evaluated based on their approach, including specific measures that they will take to foster collaboration and cooperation among product customers, suppliers, and contractors, impacted communities, marine users (if applicable), 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.

3.1.2 Viability

The Supply Chain Manufacturing Scoring Committee will use the evaluation criteria below **listed in order of importance** to provide a viability score.

Financial Plan

Proposers must demonstrate a mature and well-backed financial plan that provides assurance that the Project will be built and operational, and will be evaluated based on: the completeness of information provided; demonstration that the funding request is “last mile”, such that all other private and public funding sources have been sought/utilized to the extent possible and the provision of the requested funds will allow the Project to proceed to completion; credibility of funding sources; level of funds sourced from Offshore Wind Industry firms; the schedule for disbursement – with short time horizons viewed favorably; the ability of the project to be cash flow positive without further funding assistance required by NYSERDA; the plans and ability to absorb cost overages; as well as the creditworthiness of the Grant Recipient.

Development Plan

This evaluation criterion considers the likelihood that the Project will be developed, constructed and operational in alignment with the schedule provided in the data form. Proposers are encouraged to demonstrate their Project can reach commercial operation in a timeframe that will support the near-term offshore wind industry, including mature development plans that are feasible and account for stakeholder engagement and responsible development practices.

Evaluation will focus on:

1. Proposed development and construction schedule and risk, with a preference for those plans that can demonstrate the ability to serve the offshore wind industry as soon as possible;
2. Demonstration of site control ownership and longer lease agreements will be evaluated more favorably than shorter or more limited site use agreements;
3. Permitting plan, permitting challenges and current permitting progress for federal, state, and local requirements;

4. Identification of environmental issues/concerns, how they are being addressed, and progress in these efforts;
5. Any physical barriers restricting the ability of the Project to perform the proposed activity;
6. Technology risk associated with the proposed activity and Project, with firms encouraged to seek technology transfer agreements from existing firms if new to the industry;
7. Responsible development, climate adaptation and resiliency; and
8. Community and stakeholder outreach and support, and corresponding commitments to Stakeholder Engagement.

Qualifications and Experience

This evaluation criteria considers the Proposer's qualifications to execute the proposed project and experience delivering similar comparable projects. Proposers will be evaluated based on the information submitted in response to Section 4.2.4.1 and must demonstrate that the Project team principals, including the management team, staff, consultants, EPC contractor, lawyers, financial advisors and any other named parties 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, complexity or requiring similar skill sets, including experience in New York State. Proposers with more demonstrated experience in these areas will be evaluated favorably.

3.2 Port Infrastructure Evaluation Criteria

Proposals submitted through the Port Infrastructure Track will be evaluated on factors to determine the viability of the Project as proposed and the impact the Project is expected to have on the State's ability to reliably develop offshore wind, with viability accounting for a larger proportion.

The Port Infrastructure Scoring Committee will award points for viability based on several factors that together demonstrate that each proposed Project can be built as designed, on the schedule outlined in the proposal, reach commercial operation on a timeline that will support the near-term offshore wind industry, demonstrate the maturity of the development plans, the feasibility of the technical and logistical plans, and the experience, expertise, and financial resources of the Proposer.

The Port Infrastructure Scoring Committee will award points for impact based on several factors that together demonstrate that each proposed project will increase the State's ability to reliably develop offshore wind by addressing a critical market need in a manner that minimizes rate payer costs through competitive funding requests, provides economic benefits, and supports diversity, equity and inclusion.

The primary Evaluation Criteria below are listed in order of importance.

3.2.1 Viability

The Port Infrastructure Scoring Committee will use the Evaluation Criteria below **listed in order of importance** to provide a viability score.

Development Plan

This evaluation criterion considers the likelihood that the project will be developed, constructed and operational in alignment with the schedule provided in the data form. Proposers are encouraged to demonstrate that their project can reach commercial operation in a timeframe that will support the near-term offshore wind industry, including mature development plans that are feasible and account for stakeholder engagement and responsible development practices.

Evaluation will focus on:

1. Proposed development and construction schedule and risk, with a preference for those plans that can demonstrate the ability to serve the offshore wind industry as soon as possible;
2. Demonstration of site control – ownership and longer lease agreements will be evaluated more favorably than shorter or more limited site use agreements;
3. Permitting plan, permitting challenges and current permitting progress for federal, state, and local requirements;
4. Identification of environmental issues/concerns, how they are being addressed, and progress in these efforts;
5. Any physical barriers restricting the ability of the project to perform the proposed activity;
6. Technology risk associated with the proposed activity and proposed Project;
7. Responsible development, climate adaptation and resiliency; and
8. Community and stakeholder outreach and support, and corresponding commitments to Stakeholder Engagement.

Financial Plan

Proposers must demonstrate a mature and well-backed financial plan that provides assurance that the project will be built and operational, and will be evaluated based on: the completeness of information provided; demonstration that the funding request is “last mile”, such that all other private and public funding sources have been sought/utilized to the extent possible and the provision of the requested funds will allow the Project to proceed to completion; credibility of funding sources; level of funds sourced from Offshore Wind Industry firms; the schedule for disbursement – with short time horizons viewed favorably; the ability of the project to be cash flow positive without further funding assistance required by NYSERDA; the plans and ability to absorb cost overages; as well as the creditworthiness of the Grant Recipient.

Qualifications and Experience

This evaluation criteria considers the Proposer’s qualifications to execute the proposed project and experience delivering similar comparable projects. Proposers will be evaluated based on the information submitted in response to Section 4.2.4.1 and must demonstrate that the Project team principals, including the management team, staff, consultants, EPC contractor, lawyers, financial advisors and any other named parties 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. Proposers with more demonstrated experience in these areas will be evaluated favorably.

3.2.2 Impact

The Port Infrastructure Scoring Committee will use the Evaluation Criteria below **listed in order of importance** to provide an impact score.

New York State Project Impact and Offshore Wind Market Need

This evaluation criterion considers the direct impact a proposed project will have on offshore wind generation projects in New York State as well as the need as determined by the market. Furthermore, it is critically important for Proposals to show evidence of market demand for the services they will provide. Projects will be evaluated favorably that:

1. Demonstrate positive cost and/or timing impact for New York offshore wind generation projects;
2. Demonstrate near-term value of the facility;
3. Directly alleviate an existing or prospective constraint/bottleneck in the offshore wind supply chain with the scale to provide a meaningful change in market capacity;

4. Establish the market demand for the project through supply agreements, particularly offtake agreements, that demonstrate need despite competitor alternatives; and,
5. Demonstrate the ability of the project to support future generations of offshore wind development, recognizing possible growth in the scale of technology and its supporting infrastructure.

Cost

This evaluation criteria examines the cost to New York State to support the proposed Project. Cost will be evaluated based on the Financial Plan as described in Section 4.2.4.4, including the funding request when compared to the total cost of the Project, with projects requesting a lower percentage of the total cost of the Project evaluated favorably. Cost will also be considered in the context of requests from similar projects, to ensure alignment with fair market value.

Economic Benefits

This evaluation criterion reflects the importance of positive impacts on the State's economy from developing a New York based offshore wind supply chain. This criterion focuses on the job creation and macroeconomic impacts that the project is expected to have, specifically:

1. Total incremental job creation and macroeconomic impacts from in-state expenditures anticipated to result from the project;
2. Plans and ability to provide economic opportunities to Disadvantaged Communities, MWBEs and SDVOBs;
3. Plans and ability to provide clean energy job opportunities to New York residents, including specific efforts for existing workers facing known or potential displacements as described in The New York Scoping Plan's [just transition](#) chapter; and,
4. Plans and ability to utilize U.S. Iron and Steel.

Projects providing a greater level of economic benefit as outlined above will be evaluated favorably. The various categories of economic benefits are described in Section 4.2.4.5.

Stakeholder Engagement and Community Support

This evaluation criteria considers community and stakeholder engagement plans and support for the Proposal. Stakeholder engagement activities spanning the planning, construction and operations phase that engender support from a broad range of stakeholders will be viewed favorably. Proposers will be evaluated based on their approach, including specific measures that they will take to foster collaboration and cooperation among product customers, suppliers, and contractors, 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.

3.3 Portfolio Evaluation Criteria

The dual track rankings and NYSERDA's authority to shift funding between tracks potentially allows for different combinations of Proposals ("Portfolios") that may be awarded by NYSERDA within the funding constraints. Portfolio awards could potentially include only Port Infrastructure Proposals, only Supply Chain Manufacturing Proposals or a combination of both tracks. The possible combinations of Proposals, adhering to rank order by track, will be packaged as Portfolios of potential awarded projects where the total portfolio funding request does not exceed \$200 million. The Portfolio Scoring Committee will compare these Portfolios using the criteria below to determine a score for each Portfolio, reflecting that Portfolio's ability to progress the Goals of OSWSCRFP24-1, stated in Section 1.3.

The Evaluation Criteria listed below are provided in order of importance to the evaluation. Each considers the balance of benefits afforded by each eligible Portfolio in comparison to other eligible Portfolios.

- ***Bolstering New York’s ability to reliably develop offshore wind generation projects***
The portfolio enables critical supplies and services to be sourced for New York offshore wind projects. The portfolio directly supports the offshore wind industry, is responsive to the time constraints of developing nine (9) gigawatts of offshore wind in New York State by 2035 and is comprised of projects that are resilient and viable over the long-term as demand for offshore wind grows in New York, the U.S., and globally.
- ***Creating a stable and cost-effective offshore wind supply chain***
The portfolio addresses market needs and existing constraints such that primary components, subassemblies, subcomponents, materials, and services required to build offshore wind projects are readily available and can be serviced and/or transported in a manner that allows for timely industry development. This requires a portfolio of Projects that has the scale to make a marked difference in the availability of products and services, at a price that allows further domestic buildout and export at a regional and global level.
- ***Ensuring the supply chain benefits New York’s residents, businesses, and economy***
The portfolio creates long-term jobs for New York residents, affords opportunity for those looking to participate in the transition to a clean energy economy, increases the economic activity of the State and local communities, provides meaningful economic benefits to New York State, and maximizes private investment in the offshore wind industry.
- ***Promoting a collaborative, inclusive, and environmentally responsible supply chain***
The portfolio promotes collaboration across multiple tiers of the supply chain, advances the principles of diversity, equity, and inclusion, has robust support from local stakeholders, and is developed in an environmentally conscious manner that promotes a clean energy future for New York.

4. Proposal Submission Guidelines

4.1 Preparation of Proposals

Proposers should rely only on information provided in this RFP and any associated written updates posted on NYSEDA's website <https://nyserda.ny.gov/All-Programs/Offshore-Wind/Focus-Areas/Supply-Chain-Economic-Development/500M-Investment> 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 7. 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.**

NYSEDA uses a secure Salesforce site to accept Proposal submissions. The Salesforce Portal will open for submission no later than **July 23, 2024**.

For detailed instructions toward submission and interfaces with this site refer to Appendix D, Proposal Submission Guide, when made available by NYSEDA. The Proposal must be uploaded to NYSEDA's secure Salesforce site which will open for Proposal submission no later than **July 23, 2024**. Links will be available on the above-mentioned dates.

Technical support for NYSEDA'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 NYSEDA's Salesforce application.

All files submitted under this RFP must be fully searchable.

4.2 Organization of Proposals

The organization and contents of the Proposal should align with the below sections and should be responsive to the evaluation criteria described in Section 3.1 or 3.2 depending on the appropriate track, as well as Section 3.3. In composing the Project Narrative (Section 4.2.4), Proposals should specifically note which evaluation criteria is addressed at the outset of each section. Proposers must include the following separate files:

1. Executive Summary
2. Supply Chain Data Form
3. Financial Model
4. Project Narrative
5. Additional Forms
6. Supplemental Attachments

4.2.1 Executive Summary

Provide a no more than two (2) page summary in PDF form, including the following:

- Proposal Name
- Proposer Name
- Name, email and telephone of the primary point of contact for the Proposer
- Name, email and telephone of the secondary point of contact for the Proposer
- Funding Track (Supply Chain Manufacturing Track or Port Infrastructure Track)
- Proposal Brief Description: No more than 250-word short description of the project including:
 - The proposed activity upon operation and role in the offshore wind supply chain;
 - Throughput capacity upon operation;

- Supply agreements in place;
- Technology transfer partnerships (if applicable); and
- Brief description of the work required to complete the Project for operation
- Address of the Project's location
- Budget and Funding:
 - Total Project Cost
 - Total Grant Funds Requested
 - Total Other New York State funding (if any)
 - Total non-New York State funding
 - Sources of non-New York State funding

4.2.2 Supply Chain Data Form

Completed version of the Excel workbook template (Appendix E), which will be made available by NYSERDA following the release of this RFP, containing worksheets for:

- I. Identification & Summary
- II. Sources & Uses
- III. Project Activity & Market Demand – including data on Facility supply, supply agreements in place, market demand, etc.
- IV. Timeline Milestones
- V. Economic Benefits – include direct economic benefits only, such as direct investment, labor expenditures, FTE years created, etc.
- VI. Environmental Review
- VII. Permitting

Each Supply Chain Data Form must be submitted as a working Excel file with the file name “Proposal Name_ OSWSCRFP24-1 Data Form”.

4.2.3 Financial Model

Projects must submit a financial model of the proposed project in the form of a working Excel file. The financial model must include a summary of the expected revenues (broken down by number of units sold and price per unit, or service and price structure), costs, and cashflows for the project, including income statement, cashflow statement, and balance sheet information.

Please include in the Financial Plan section of the Project Narrative (Section 4.2.4.4, below) key assumptions used to produce the Financial Model and supporting evidence for key assumptions underlying these projections.

Please title the financial model file in the format “CONFIDENTIAL_Proposal Name_ OSWSCRFP24-1 Financial Model” and ensure the first worksheet of the file states the confidential nature and sole permissible use of the file is for evaluation purposes by the OSWSCRFP24-1 Scoring Committee(s).

The degree to which financial details and cash-flow clarity are provided will be a consideration in the evaluation of the proposal. Bidders are encouraged to be forthcoming with details around their financial models and their certainty/uncertainty.

4.2.4 Project Narrative

The project narrative must contain the following six (6) sections in order, and may not exceed thirty (30) pages:

1. Proposer Background
2. Development Plan
3. Market Need and Commercial Strategy to Align with RFP Goals
4. Financial Plan

5. Economic Benefit Claims
6. Stakeholder Engagement Plan and Local Support

4.2.4.1 Proposer Background

The Proposer Background information will be used to evaluate the “Qualifications and Experience” criterion described in RFP Section 3.1.2 and 3.2.1.

Proposers should provide the following information below about the Grant Recipient responsible for execution of the Project. If the Grant Recipient is a subsidiary, information should be provided for the Proposer business entity, as well as the parent and any key intermediate entities. Please provide:

- Descriptive information about the entity, including but not limited to company name, corporate form, jurisdiction of formation, description of key business activities, year established, headquarters location, global and domestic footprint of portfolio, and current number of employees.
- In addition, include a brief description of the entity’s and (if applicable) its parent company’s business profile, key products manufactured or services provided for the offshore wind or related industries, end markets, and competitors.

Proposers should clearly identify and describe the role of all organizations that will be involved in the implementation of the Project, including development, construction and operation.

Proposers should provide the following information on the Project team responsible for implementation of the Project:

- A management chart that lists the key personnel dedicated to the Project
- Resumes of the key personnel as a supporting attachment
- A description of key personnel experience successfully developing, constructing and/or operating one or more projects of similar size or complexity or requiring similar skill sets. Proposers should emphasize where the Project team or Project principals have successfully developed, constructed, or operated projects of similar size and/or complexity in New York State and/or the U.S. Proposers should also emphasize where the Project team or Project principals have successfully developed, constructed, or operated projects in the offshore wind or related industries.

Proposers should identify and demonstrate relevant experience for each of the following, as applicable:

- Construction Period Lender, if any
- Diversity, Equity, and Inclusion Officer
- Environmental Consultant
- EPC Contractor (if selected)
- Facility Operator and Manager
- Financial Advisor
- Labor Liaison and/or Community Liaison
- Legal Counsel
- Operating Period Lender and/or Tax Equity Provider, as applicable
- Owner’s Engineer
- Permitting Consultant
- Site Construction Lead
- Site Design Consultant
- Site Operations Lead
- Supply Chain Localization Contact

4.2.4.2 Development Plan

The development plan will be used to evaluate the “Development Plan” criterion described in RFP Section 3.1.2 and 3.2.1. The development plan should include three elements:

- Existing Site/ Facility Description;
- Conceptual Plan for Facility Operations; and
- Site Construction Plan.

Existing Site / Facility Description

Proposers should identify the Facility on a Site Location Figure which shows the site boundaries on an aerial map and the site address. Associated with the Site Location Figure, the Proposers should provide a description of the existing site, infrastructure present, and surrounding neighborhood, including any Disadvantaged Communities present.

Proposers must complete the details requested in the Site Characteristics Table below.

Site Characteristics Table:

Site Characteristic	Description
1. Existing zoning	
2. Describe any zoning amendments that may be required for the Facility.	
3. Existing land use on-site and adjacent properties	
4. Proximity to Disadvantaged Communities (see NYSERDA's interactive map)	
5. Developable acres	
6. Proposed site use	
7. Known contamination on site	
8. Regulated wetlands/open waters on site	

Proposers should also identify in the narrative the current ownership/control of the Facility, operational structure, and uses of the Facility as well as for any adjacent site that is relevant to the usage of the Facility. Information must be verifiable through supporting attachments submitted such as applicable deeds, lease agreements, option agreements, memoranda of understanding, letters of support or other documentation showing the level of site control in place for the Facility. This information should include the terms of any relevant current leases within the site.

Additionally, on the Site Location Figure, proposers should provide a concentric ring map identifying the following points of interest and resources in proximity to the Facility:

- Public transportation;
- Childcare services;
- Healthcare facilities;
- Workforce centers;
- Wraparound services

Conceptual Plan for Facility Operations

Proposers should provide a conceptual site plan and associated description of the proposed Facility in the context of the Project.

The conceptual site plan (simple 2D plan view) should include the following where applicable:

- Proposed layout of functional uses of the site, including buildings and facilities locations
- Truck/vehicle access points, circulation routes, parking area improvements.
- Freight rail improvements
- Buildings and facilities to be constructed
- Buildings and facilities on site to be demolished
- Existing buildings and facilities on site to be repurposed/reused
- Power generation and/or transmission infrastructure improvements
- Proposed flood and storm surge resiliency improvements
- Ground stabilization improvements (approximate PSF ratings)
- Ports must identify the approximate dimensions of laydown/staging areas, berth areas, wharf, crane pad loading/unloading areas, mooring and anchorage areas. Ports should also identify berth area vessel uses (Barges, SOVs, CTVs, etc.).

The conceptual site plan should be accompanied by a description of Facility operations containing:

- A narrative that corresponds with the conceptual site plan, including:
 - Any freight rail uses planned
 - Truck routes from the site, the closest highway and types of truck/vehicles serving the site
 - Proposed functional uses and operations of the Facility
- The proposed long-term offshore wind use of the Facility and its alignment with required thresholds as defined in Section 2.2 or 2.3 depending on the appropriate track, including:
 - A description of the proposed offshore wind supply chain role, including technical description of the components produced/services provided, the offshore wind end market application including other end market application capability, including information on the scale, size, and capacity of production for site logistics and technical feasibility purposes.
 - The Proposer's relevant experience and expertise to support successful execution at the scale envisioned, including any technology transfer agreements with existing firms in the industry.
 - A factory and/or port layout design outlining manufacturing processes or site logistics relevant to how goods and/or services will be developed and delivered from the facility.
 - Port facilities must provide:
 - The expected end-users of the Facility, including the proposed operational structure (long-term vs. short-term leases, single user vs. multiple users, etc.);
 - The expected types of vessels or vehicles needed to utilize and service the Facility, as well as proposed vessel logistical plans to enter and exit facility including vessel traffic rates;
 - Expected duration of use of the Facility, including how the Facility will accommodate next generation technology or deepwater projects, and its capacity to serve multiple offshore wind developers and projects.
- Description of the operational phase timeline and key milestones for the Project, including further capital expenditure components of the Project and the workforce development and/or operational cost components of the Project.

Site Construction Plan

Proposers should provide a written Site Construction Plan describing the following, which will be used as the basis for the detailed scope of work included in the Funding Agreement in connection with the Supply Chain Data Form if selected for award as stated in Section 1.4:

- Proposed site work (all that apply)
 - Truck/vehicle access points, circulation routes, parking area improvements
 - Freight rail improvements
 - Buildings and facilities to be constructed

- Buildings and facilities on site to be demolished
- Existing buildings and facilities on site to be repurposed/reused
- Power generation and/or transmission infrastructure improvements
- Flood and storm surge resiliency improvements
- Ground stabilization improvements (approximate psf ratings), wharf improvements, dredging areas for access channels, and moorings and berth area improvements
- Construction schedule with key milestones aligning with the Supply Chain Data Form
- Proposed Construction Deadline and Completion Deadline. If awarded, dates for the Construction Deadline and Completion Deadline will be set during negotiations on the Funding Agreement as noted in Section 1.4.
- Cost estimate with specified costs and other milestones and performance guarantees;
- A table listing current status of critical path Federal, state, and local permits, licenses, and approvals required to site and construct the facility that aligns with the Supply Chain Data Form;
- Summary of critical environmental issues or concerns along with a description of how they will be addressed. Acreage of potential regulated wetlands/open waters impacts should be included.
- A description of whether, how and to what scale domestically produced iron, steel, and construction materials are intended to be utilized during Project construction.
- Sustainability & Climate Change Approach (NYS Climate Act): Proposers should indicate and identify specific and direct ways that the Project will mitigate or reduce climate change impacts in the development and operation of the Project and resulting Facility. Proposers should take into account the broad decarbonization goals of the Climate Act and should consider green building and process designs that mitigate or eliminate emissions. Green building and site design, adaptive re-use, recycling, use of renewable energy, equipment electrification, implementation of lean manufacturing and continuous improvement in operations, green transportation technologies and other mainstream and innovative activities and use of technologies that increase the operating and energy efficiencies of the Project and Facility, reduce emissions or discharge, and contribute to more robust and resilient infrastructure should be incorporated. Proposers should describe measures that will be deployed and implemented and how the performance of those measures will be tracked. Further, Proposers should demonstrate where applicable:
 - LEED certification for the Project or Facility;
 - Green, sustainable and energy efficient process and support equipment;
 - Process heating provided by low-carbon fuels, heat pumps, electric arc furnace, or electric resistance;
 - Materials and composites that can be safely off-gassed with minimal carbon emissions; and,
 - Waste heat capture and regenerative technology.
 - If the Facility is a port;
 - Alignment and/or achievement of certification with the Waterfront Alliance – Waterfront Edge Design Guidelines

Proposers are strongly encouraged to meet with the New York State Department of Environmental Conservation (DEC) and the New York Department of State (DOS) regarding their Development Plan prior to Proposal submission. Proposers may contact the below individuals for assistance in arranging such a meeting:

- **DEC:** Karen Gaidasz, Offshore Wind Section Chief, NYSDEC – Division of Environmental Permits at (518) 402-9153 or by email karen.gaidasz@dec.ny.gov; and
- **DOS:** Matthew Maraglio, Director, Development Division at (518) 474-6000 or by email matthew.maraglio@dos.ny.gov

4.2.4.3 *Market Need and Commercial Strategy to Align with RFP Goals*

This section of the Project Narrative will be used to evaluate the “New York State Project Impact and Offshore Wind Market Need” criterion as described in Sections 3.1.1 and 3.2.2 and to perform the portfolio evaluation as described in Section 3.3.

Describe how the Project meets the objectives of this RFP including:

- Bolstering New York’s ability to reliably develop offshore wind generation projects
- Creating a stable and cost-effective offshore wind supply chain
- Ensuring the supply chain benefits New York’s residents, businesses, and economy
- Promoting a collaborative, inclusive, and environmentally responsible supply chain

In doing so, Proposers must identify their commercial strategy, including:

- **Addressable Market Demand:** Information on addressable market demand and projected growth. Specify what percentage of the Facility’s output will serve the offshore wind industry, and explicitly reference the top customers for each major product / service and associated volumes (to the extent known).
- **Any concrete evidence of product/service demand in the form of supply agreements, which should also be submitted as a supplemental attachment.**
 - Proposers should outline the status, parties and key elements of any agreement relating to the Project with customers. Specific detail should be offered regarding the contractual relationship between the Proposer and customer. Proposers should also include a description of the counterparties, status of contractual negotiations, and the steps and time necessary to complete such negotiations. Counterparties that have not yet been identified should be included generically in this status summary.
- **Market Position and Competitor Landscape:** Include an assessment of key competitors, market dynamics (including the Proposer’s relative place in the market), the Facility’s ability to compete with other regional and global offshore wind supply chain facilities; and supply and demand dynamics over time, and pricing trends and exposure to pricing pressure during downturns.

Proposers should provide a description of how the goods and/or services proposed to be provided will be priced and made available to the market, and what commitments the Proposer is willing to make to ensure that the costs remain attractive and beneficial to the offshore wind industry. Proposers that offer goods or services that are less subject to natural competitive pressure (for example, port facilities that may offer a unique service due to their location such as staging and marshaling) may be required to make contractual commitments to NYSERDA with respect to maintenance of open access and reasonable pricing on an ongoing basis and should include in the Proposal any such proposed commitments.

Required for Supply Chain Manufacturing Projects, Proposers should clearly outline a plan to localize the Facility’s supply chain to enhance the Facility’s long-term viability through cost reduction and economic benefits that align and support industry growth in New York and the United States.

Proposers should outline the status, parties and key elements of any contract, letter of intent or similar arrangement relating to the Facility with suppliers. This may include engineering, procurement and construction contracts; operation and maintenance contracts; and revenue contracts. Specific detail should be offered regarding the contractual relationship between the suppliers and Proposer. Proposers should also include a description of the counterparties, status of contractual negotiations, and the steps and time necessary to complete such negotiations. Counterparties that have not yet been identified should be included generically in this status summary.

Proposals with at least one (1) framework agreement and/or offtake agreement should provide detail on any such agreement(s). Such agreements may be firm or conditional upon award but detail must be included for all agreements with an annual value in excess of \$100,000 for the duration of the term. Details on any such agreement(s) should include the following:

- Parties and the roles of each (noting, if applicable, the Proposers and Proposals involved)
- Narrative of overall strategic vision;
 - How the vision aligns with NYSERDA’s offshore wind supply chain objectives as stated in Section 1.4 of the OSWSCRFP24-1 and the relevance of each agreement to that vision
 - Describe and list actions that the Proposer is taking or intends to take to facilitate cluster development, such as any efforts to coordinate with suppliers on site selection, infrastructure

- development, workforce development, permitting, growth of new supply chain partners and/or community engagement
 - Structure of the agreement, including how entities intend to coordinate and/or collaborate with one another
 - Includes any documentation / evidence of contractual obligations / contractual purchases, financial obligations, roles and responsibilities, and any memoranda of understanding submitted as a supporting attachment
 - Potential growth of the partnership, including industry days, and technical opportunities to onboard and evaluate new partnering supply chain facilities collaboratively
- Primary component partners will provide an outline and list of sub-components and sub-assemblies and develop a commodity catalogue describing those components
- Letters of commitment must be submitted as a supporting attachment from all entities responsible for executing a portion of any agreements identified

4.2.4.4 *Financial Plan*

This section of the Project Narrative will be used to evaluate the “Financial Plan” criterion as described in Sections 3.1.2 and 3.2.1 The Proposer must include a financial plan detailing the ability to sustain the Project without any additional funding beyond the Grant Funding requested and other sources of funds that have already been identified.

- The plan should include sources and uses of funds, cash flow projections, key return and debt service metrics, and the amount of NYSERDA funding requested. The Proposer should also provide supporting evidence for any key assumptions.
- Project Sources and Uses of Funds: Provide the information listed below about project costs and capital sources via a descriptive narrative and by completing the Supply Chain Data Form.
 - Project Costs: Project costs should include, but are not limited to:
 - Capital Investment: Costs required to complete construction of the project and initiate operation, broken down by category such as land, construction, equipment, infrastructure improvements, and administrative expenses directly attributable to the project construction.
 - Operating Losses and Other Cash Outflows until Cash Flow Breakeven: Estimated operating losses/cash outflows, including upgrade investments, maintenance, interest expenses, and working capital once the project is operationalized until cash flow breakeven.
 - Workforce Development Costs: Spending by the Proposer on workforce development activities to support the proposed project.
 - Project Capital Sources: Total project capital sources should equal the project costs described above and should include, as applicable, any sponsor equity; debt funding; third-party equity; state and local government incentives; state and federal tax credits; Grant Funding requested under this RFP; and any other sources of funds, such as from customers or suppliers.
- Financial Model: Proposers must discuss in the narrative supporting evidence for key assumptions underlying projections made in the financial model.
- NYSERDA Funding Request:
 - Narrative description for how the financial information submitted for the project supports a conclusion that a NYSERDA award will incentivize the Proposer to make investments in facilities and equipment that would not occur in the absence of the incentives or would otherwise not progress.
- Description of specific efforts to date to bring other capital (debt, federal, state and local incentives, other private capital) into the project and how Grant Funding awarded under this RFP would enable and not displace those other funding sources. If available, please include audited consolidated financial statements for the entity at fiscal year-end for each of the last three (3) years, and interim financial statements for the current fiscal year. Financial statements should be provided as a supporting attachment.

4.2.4.5 Economic Benefit Claims

The Proposer must describe and demonstrate the Economic Benefit claims made in the Supply Chain Data Form expected to result from the Project. For the avoidance of doubt, Grant Funding under this RFP cannot itself be counted as part of a Proposal’s Economic Benefits Plan or Incremental Economic Benefits Claims.

Proposers should provide an estimate of the direct Incremental Economic Benefits that would result from execution of the proposed project. Incremental Economic Benefits should include only those direct benefits that would accrue to New York State through the implementation of the Proposal, and that would not have accrued but for the implementation of the Proposal. For the avoidance of doubt, eligible claims may only include direct Incremental Economic Benefits created following the Economic Benefits Start Date. Incremental Economic Benefits should be presented in the following three categories.

- Incremental Economic Benefits associated with Project development and construction, including feasibility studies, design, engineering and facility equipment procurement and expenditures related to negotiating and complying with a Project Labor Agreement. Domestic, non-New York iron and steel for use in construction of the facility will qualify as an economic benefit.
- Incremental Economic Benefits associated with operation and maintenance of a Project during the Funding Agreement Term, including capital expenditures for site upgrades and maintenance, as well as wages paid to jobs created at the Facility.
- Incremental Economic Benefits associated with operation and maintenance of the Facility upon completion the Project during the remainder of Facility’s anticipated life, including capital expenditures for site upgrades and maintenance, as well as wages paid to jobs created at the Facility.

The Proposer should include a qualitative description and quantitative summary of the Economics Benefits associated with the proposed project. These Incremental Economic Benefits should match those provided in the Supply Chain Data Form, and the quantitative summary must be an aggregate of the individual line items included in the Supply Chain Data Form as shown in Table 1 below.

Table 1: Template for Aggregated Incremental Economic Benefits Entry

Benefits Metric	Design & Construction (Contract Term)	Operation & Maintenance (Contract Term)	Operation & Maintenance (Post Contract Term)
Total Dollars (\$000)			
Labor Dollars (\$000)			
MWBE/SDVOB Dollars (\$000)			
NYS Iron and Steel Dollars (\$000)			
Non-NYS U.S. Iron and Steel Dollars (\$000)			
Disadvantaged Communities Commitments (\$000)			
Total Jobs (FTE Years)			
Long-term Jobs (FTE Years)			
Disadvantaged Community Jobs (FTE-Years)			

The Proposer must include a jobs and workforce plan that is consistent with the project scope and economic benefit claims as described. This requires specific detail regarding workforce training efforts investments, and job commitments for MWBE, SDVOB, and Disadvantaged Communities. The plan should include identifying any strategic partners the Proposer has worked with in crafting workforce strategies, such as labor unions, workforce development organizations, state and local workforce boards, educational institutions, offshore wind supply chain facilities or developers, and other relevant entities. It should also specifically identify the Project's ability and plans to provide clean energy transition job opportunities for New York residents who may lose employment in the current transition to a green economy, such as the provision of worker retraining in connection with conversion of existing infrastructure to become part of the offshore wind supply chain.

Proposers should provide details of Proposer's experience engaging or utilizing MWBEs and SDVOBs in developing projects of similar type, size and complexity.

Proposers should describe the Project's ability and plans to provide economic opportunities for Disadvantaged Communities, MWBEs and SDVOBs. Incremental Economic Benefits claims benefiting these groups will be identified in the Supply Chain Data Form as well.

4.2.4.6 Stakeholder Engagement Plan and Local Support

Proposers should describe the community and stakeholder engagement and support for the Proposal. Depending on the scope of the Proposal, relevant stakeholders could include the maritime community, environmental advocates, local elected officials, environmental justice advocates, members of Disadvantaged Communities, economic development organizations, local businesses, and the local public, among others. Information submitted with the Stakeholder Engagement Plan and Local Support will be used to evaluate the "Stakeholder Engagement and Community Support" criterion described in Section 3.1.1 and 3.2.2.

Included in the plan should be stakeholder engagement activities and commitments during the planning, construction, and operation of the Facility. Proposers should also include specifics on how representatives of local Disadvantaged Communities will be, or have been, engaged. The Stakeholder Engagement Plan must include considerations for engagement with representatives of local environmental justice or otherwise Disadvantaged Communities. The plan must include information on specific localized support and/or opposition to the Project of which the Proposer is aware. Detailed supporting information, including copies of any agreements with communities and other constituencies impacted by the Project, and documentation identifying the level of public support for the Project including letters from public officials, community and local interest groups, newspaper articles, etc. should be included as supporting attachments.

Proposers should describe any preliminary communications with the community points of interest identified through the concentric ring map of local points of interest on the Site Location Figure described in Section 4.2.4.2.

4.2.5 Additional Forms

Proposer Certification Form

Completed version of the form in Appendix A, when made available by NYSERDA, must be signed by authorized representative(s) for the Proposer to certify the validity of the Proposal and attest to other representations. Only one Proposer Certification Form can be included in the Submission.

Executive Order No. 16

Completed version of the form must be signed by an authorized representative for the Proposer associated with the specific project. One completed version of Executive Order No. 16 must be provided for each entity comprising the Proposer.

Disclosure Statement

Completed version of the form must be signed by an authorized representative for the Proposer associated with the specific Proposal. One completed version of the Disclosure Statement must be provided for each entity representing the Proposer.

Non-Disclosure Agreement

Completed version of the form in Appendix F, when made available by NYSERDA, must be signed by an authorized representative for the Proposer associated with the specific Proposal. One completed version of the Non-Disclosure Agreement must be provided for each entity comprising the Proposer.

4.2.6 Supporting Attachments

Proposers should also submit supporting attachments where applicable and as referenced in the Organization of Proposals (each file size capped at 100MB) to provide information or studies related to the Proposal. Each supporting attachment must be a fully searchable PDF file, unless a different file type such as Excel is necessary for presentation of the information.

5. Award Process

5.1 Counteroffers

NYSERDA reserves the right to engage in counteroffers with Proposers with regard to Projects based on feedback from the Scoring Committee(s). For example, to the extent a Scoring Committee determines that the amount of requested funding is not required for the Project to be viable, NYSERDA reserves the right to make a counteroffer with a reduced amount of funding.

5.2 Establishment of Award Group

NYSERDA reserves the right to determine the size of the award group in its sole discretion.

5.3 Notification of Award

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 Funding Agreement with NYSERDA.

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 1.5.

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

5.4 Post Award

5.4.1 Award Security and Contract Security

If a Project is awarded, each Grant Recipient associated with a Project must, within 10 business days, issue award security to NYSERDA in the form of a letter of credit for an amount equal to 4% of the funding awarded to that Grant Recipient under this RFP, as detailed in the Forms of Awards Security (Appendix C) when made available by NYSERDA. For example, if a Grant Recipient is awarded \$100 million of funding under this RFP, the award security for that Grant Recipient would be \$4 million.

The award security letter of credit must be unconditional and provide that it can be drawn by NYSERDA if the Funding Agreement is not executed on or before the date that is thirty (30) calendar days following the date stated in the Proposal as the latest expected time of completion of the State Environmental Quality Review Act permitting for the Project, unless (i) such deadline is extended by NYSERDA in its sole discretion, (ii) there is a delay in execution of the Funding Agreement that is solely attributable to NYSERDA or (iii) there is a delay in the execution of the Funding Agreement caused by a Force Majeure (as such term is defined in the Funding Agreement). Upon execution of the Funding Agreement, and provision of Contract Security pursuant to the Funding Agreement, the award security will be released.

Once the Funding Agreement is executed, Contract Security in the amount of 4% of the funding awarded to that Grant Recipient is due and will be held by NYSERDA until the Project reaches Commencement of Construction (as defined in the Funding Agreement). Please see Section VIII of the Funding Agreement for more information.

5.4.2 Finalization of Funding Agreement

If selected for award, NYSERDA will work with the Grant Recipient(s) to finalize the form of a Funding Agreement for each Facility covering the terms and conditions of the funding awarded under this RFP, based on the form of the Funding Agreement attached as Appendix B.

As noted in footnote 1 of the form Funding Agreement, the form of the Funding Agreement will be finalized with the Grant Recipient at the time of award, but the agreement will not be signed unless and until NYSERDA has issued a findings statement under SEQRA that meets the requirements of 6 NYCRR 617.11.

6. Additional Requirements

6.1 Quarterly Progress Reports

Quarterly progress reports must be provided during the design and construction phases of the Project as described in the Funding Agreement. Quarterly Expenditure Reports, detailed by the Milestone Based Budget, must accompany the Quarterly Progress Reports, within 30 days from the end of the quarter. These reports must correlate to subsequent vouchers submitted for reimbursement payment. If selected for award, Grant Recipients should prepare preliminary quarterly reports prior to the finalizing of the Funding Agreement.

If awarded a contract, and as detailed in its Quarterly Progress Reports on New York State Supplier Opportunities, Proposers must agree to provide New York companies with the opportunity to offer to provide goods and services for which there is capability in New York State to developers, their contractors and other suppliers of the Project. Proposers 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.

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 the Funding 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 Quarterly Report in an electronic format designated by NYSERDA.

6.2 Prevailing Wage Requirement

Although Projects may not be a public work covered by NYS Article 8, unless otherwise provided in a Project Labor Agreement (PLA) covering the construction on the Project, all laborers, workmen and mechanics (within the meaning of those terms under NYS Labor Law Article 8) performing construction activities with

respect to the Project, whether through long-term or short-term employment, must be paid wages and benefits in an amount not less than the Prevailing Rates (as determined under NYS Section 220 for construction activities in New York State), that would be applicable to a public work in the area where the subject Project construction activities occur. This requirement applies to all laborers, workmen and mechanics performing construction activities, whether direct employees of the Proposer or Proposer's subcontractor(s)

6.3 Project Labor Agreement

In light of the State's interest in timely and cost-effective completion of the Project, NYSERDA strongly encourages the use of PLAs in connection with construction projects. Proposers that commit to using best-practice PLAs will generally be likely to produce a construction workforce that supports the viability the Project. Applicants that do not commit to using PLAs will need to demonstrate that they intend to take other measures to ensure workforce continuity and reduce the risk of project delays. Proposers are advised that efforts to ensure the timely completion of development work, costs savings from use of a PLA, and the commitment to avoid labor strife through a PLA will be considered factors that mitigate project risk.

Proposers are encouraged to make every effort to ensure the timely completion of development work. In addition to the negotiation and execution of PLAs, additional agreements (such as labor peace agreements) or measures that demonstrate a commitment to avoid labor related delays, when possible, will be considered factors that mitigate project risk.

7. 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 - 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. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 6 weeks from the Proposal Submission Deadline 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 offshorewind@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 Funding 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.

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.

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.

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 Grant Recipient 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. 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.

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.

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.

Executive Order No. 192 – As per Executive Order 192, NYSEERDA 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.

**Update to Renewable Energy Standard Purchase of New York Tier 1 Eligible Renewable Energy
Certificates Request for Proposals (RFP) No. RESRFP24-1 RFP**

Original Release Date: June 20, 2024

UPDATE EFFECTIVE: July 18, 2024

Summary of Revisions

1. Revisions to Section 1.8, 4, 5.2.1, 7, and 8.1.
2. Index_B has been updated.
3. Revisions to [Attachment A – RESRFP24-1 Standard Form Agreement](#).

**Purchase of New York Tier 1 Eligible
Renewable Energy Certificates (RECs)
Request for Proposals (RFP) No. RESRFP24-1
RFP Release Date: June 20, 2024
RFP Revision Date: July 18, 2024**

**Step One Eligibility Applications Due:
Monday, July 15, 2024, by 3:00 p.m. Eastern Time (ET)
Step Two Bid Proposals Due:
Thursday, August 8, 2024, by 3:00 p.m. ET**

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 RESRFP24-1).

RESRFP24-1 will be implemented through a two-step process, consisting of:

1. **Step One Eligibility Application:** A qualifying step through which the Proposer must provide evidence that the Bid Facility is Tier 1 eligible and other general information about the Proposer and the Bid Facility.
2. **Step Two Bid Proposal:** A competitive Bid Proposal step, through which NYSEDA will: (1) examine each Bid Proposal to determine whether the Bid Price does not exceed the Benchmark LNRC and it demonstrates that the Bid Facility and Proposer meet the Minimum Threshold Requirements; and (2) for Bid Proposals that meet those minimum requirements, a competitive evaluation based on price and non-price factors.

Only those Proposers found eligible under Step One will be permitted to submit a Step Two Bid Proposal. Only those Proposals found to have met all Minimum Threshold Requirements will be evaluated under Step Two.

Step One Eligibility Application: Step One Eligibility Applications must be **received by NYSEDA by 3:00 p.m. ET on Monday, July 15, 2024 via electronic submission on the [solicitation website](#)**. NYSEDA 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 [NYSEDA's Solicitations for Large-scale Renewables webpage](#)¹ or [NYSEDA's Current Funding Opportunities website](#),² located in the "Current Funding Opportunities" section of NYSEDA's website at that time.

¹ <https://www.nyserda.ny.gov/ces/rfp>

² <http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>

NYSERDA intends to notify all prospective Proposers who submitted a Step One Eligibility Application as to their eligibility status by **Monday, July 18, 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 Thursday, August 8, 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 the 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 RESRFP24-1 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 submitted via 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 RESRFP24-1 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 RESRFP24-1 are: Mac Farrell, Bram Peterson, Abbey DeRocker, Marci Brunner, John Bernecker, 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 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.

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.

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 by NYSERDA if any submitted Bid Proposals are deemed ineligible for failure to meet Minimum Threshold requirements. Bid Fees submitted for Bid Proposals deemed ineligible or for late or incomplete submittals will be returned to the Proposer. Proposers whose Bid Proposals are deemed ineligible on account of exceeding the Benchmark LNRC, as described in Section 5.5, shall not be notified of such finding of ineligibility, nor will such Proposers be entitled to a return of their respective Bid Fees.

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.nyscrda.ny.gov/all-programs/clean-energy-standard/renewable-generators-and-developers/large-scale-renewables-email-list>

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APPENDICES

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[Appendix 2 – RESRFP24-1 Smart Solar Siting Scorecard](#)

[Exhibit 1 to Appendix 2 – RESRFP24-1 Smart Solar Siting Scorecard Workbook](#)

[Exhibit 2 to Appendix 2 – Scorecard Acronyms and Definitions](#)

[Exhibit 3 to Appendix 2 – Scorecard Resources](#)

[Exhibit 4 to Appendix 2 – In-Field Verification Checklist](#)

ACRONYMS AND DEFINITIONS

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 Attachment G 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 – The maximum number of RECs that NYSEDA is obligated to purchase from Seller in any Contract Year as defined in the Agreement.

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.

Applicable REC Price Method – The method employed by NYSEDA in each month for determining the Monthly REC Price as determined in Article IV of the Agreement.

Award Notification Date: The date upon which NYSEDA provides written confirmation to a Proposer indicating that a Bid Facility is the subject of a provisional award in the solicitation and has been selected for contract negotiations.

Benchmark LNRC – The confidential maximum price levels for the Fixed REC and Index REC offers that NYSEDA 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 NYSEDA (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.

CAF – Capacity Accreditation Factor.

CARC – Capacity Accreditation Resource Class.

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 July 1, 2024, unless the Proposer indicates a preference for a later commencement date or if the Bid Quantity is encumbered or otherwise not yet available for transfer to NYSERDA as of that time; provided that (for Bid Facilities in Commercial Operation) in no case shall the Contract Delivery Term commence later than the first day of the month after the date on which the Agreement is executed by NYSERDA and Seller. The Contract Delivery Term shall extend for the term of the Contract Tenor.

Contract Security – Security delivered to NYSERDA by a Proposer for its provisionally awarded Bid Facility and 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 through the New York State Office of Renewable Energy Siting, 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 2024 Soils Data](#).'⁹ 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>.

⁹ https://data.ny.gov/Energy-Environment/NYSERDA-2024-Soils-Data-for-use-in-the-Large-Scale/7xrz-ds9m/about_data

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), 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), and October 12, 2023 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 Denying Petitions Seeking to Amend Contracts with Renewable Energy Projects,” issued and effective October 12, 2023).

ORES – New York State Office of Renewable Energy and Electric Transmission 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 RESRFP24-1 and confirmed through the Statement of Qualification and the Operational Certification process.

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 – The Proposer or other entity (as further described in Section 7.3) designated by an awarded Proposer that enters into the Agreement with NYSERDA 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.

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 (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. For greater clarity, Tier-1 Renewable Energy Certificate attributes shall not include federal, state, or local tax benefits, tax credits or tax incentives related to the Bid Facility or its generation of electricity.

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 in the Application for Qualification and Bid Proposal in response to RESRFP24-1 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 RESRFP24-1, the date by which Bid Facilities must enter commercial operation, is November 30, 2026, which may be extended through November 30, 2029.

2. Clean Energy Standard Biennial Review

A comprehensive biennial review of the CES is being undertaken by NYSERDA and DPS Staff in 2024, consistent with the CES requirements.¹⁰ This biennial review is intended to examine progress in meeting the overall targets for deployment of renewable energy systems and zero emission sources, including (a) factors that will or are likely to frustrate progress toward the targets; (b) distribution of systems by size and load zone; and (c) annual procurement targets, funding commitments, and expenditures. The biennial review is anticipated for release for public comment on July 1, 2024. Interested parties are encouraged to review the filing once released.

3. Updated Policy on Material Changes

Section 1.8 includes additional detail regarding how certain events affecting Bid Facilities and Bid Proposals will be managed in this RFP.

4. Updates to Mutual Termination Agreement Terms

Section 2.2 of this RFP sets forth an update to NYSERDA's policy regarding the Mutual Termination Agreements entered into in connection with RESRFP23-1.

5. Minimum Threshold Requirements & Non-Price Evaluation

The Step Two Bid Proposal Minimum Threshold Requirements include updated requirements for the Permitting Viability, Agricultural and Forested Lands, Project Development, Financing and Creditworthiness, and Climate Resiliency subcategories. See Section 4.3 for requirement-specific details.

6. Agricultural and Forested Land Requirements

Starting with the RESRFP20-1 solicitation, NYSERDA adopted an approach 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 RESRFP24-1 solicitation, all Proposers of solar Bid Facilities are required to provide a complete Appendix 2 RESRFP24-1 Smart Solar Siting Scorecard by submitting the Scorecard Workbook in Exhibit 1 to Appendix 2 RESRFP24-1 Smart Solar Siting Scorecard. Proposers may also indicate their intent to defer this payment to the extent that the Proposer elects to adopt agricultural co-utilization measures in their

¹⁰ CES Modification Order, p. 6 (citing PSL §66-p(5)).

Step Two Bid Proposal. Proposers are advised to reference Section 4.3.5 of the RFP, Section 6.11 of the Agreement, and Appendix 2 RESRFP24-1 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 with a Bid Facility physically located in New York State are required 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).

The RESRFP24-1 Smart Solar Siting Scorecard has been modified to now require Proposers of most solar Bid Facilities to complete, in addition to the Exhibit 1 Workbook, the Exhibit 4 In-Field Verification to assess and confirm the extent of Forested Lands within the Bid Facility's Facility Area. Bid Facilities that have a submitted application to ORES, including Exhibits 11 and 15, can base the relevant Avoidance Flow Chart data inputs (Agroforestry and Forest Land) on these Exhibits and do not need to complete the Exhibit 4 In-Field Verification.

Proposers of solar Bid Facilities now have the option to request access to Climate and Applied Forestry Research Institute (CAFRI) data used by the State University of New York, College of Environmental Science and Forestry (SUNY-ESF) and by NYSERDA to assess the potential impacts of a Bid Facility(ies) on forested lands and to evaluate the Forested Lands Protection component of the Scorecard. Proposers seeking to access this data will be required to execute the CAFRI Data Access & Use Agreement provided as part of the Step One Eligibility Application on the solicitation website.

7. 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 ample new opportunities for renewable energy growth and Proposers are asked to utilize this 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).

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 RESRFP24-1. 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 RESRFP24-1, 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.

8. Proposed Changes to RES Standard Form Agreement

Section 8.1 provides new, specific guidance on Proposers' proposed changes (or redlines) to the Agreement.

9. Contract Security and Agreement Execution

Section 7 details a new, prescribed process to be followed following provisional award, issuance of Contract Security and execution of the Agreement, including the circumstances in which Contract Security will be drawn if the Agreement is not executed in a timely manner.

10. Provisional Statement of Qualification (PSOQ) and Statement of Qualification (SOQ)

Any Bid Facilities that are not yet in operation with a PSoQ that is over two years old are requested to re-submit a Tier 1 certification request to NYGATS for verification **no later than Monday, July 1, 2024**. This applies to Bid Facilities with a PSoQ issued on or before June 12, 2022. To re-submit a Tier 1 certification request to NYGATS please follow the [Tier 1 Certification process](#).

11. Loan Programs Office (LPO) Financing

To reduce financing costs, NYSERDA encourages applicants to apply for long term, fixed-rate Loan Programs Office (LPO) financing. If a Bid Facility obtains LPO-backed financing, a portion of the incremental value of the LPO-backed financing will be applied to a reduction in the Strike Price. See Sections 1.2 and 5.2.2.

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)¹¹ 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 plans¹² 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)¹³ 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.¹⁴

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 NYSERDA 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.¹⁵

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

¹¹ 2015 New York State Energy Plan is available from <http://energyplan.ny.gov/>

¹² As of the date of RESRFP24-1 issuance, NYSERDA has published 5 Final Implementation Plans under Case 15-E-0302. These include: Phase 1 Implementation Plan, Phase 2 Implementation Plan, Phase 3 Implementation Plan, Phase 4 Implementation Plan, and Phase 5 Implementation Plan. All Implementation Plans are available on NYSERDA Large Scale Renewables Filings, Orders, and Reports website: <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Clean-Energy-Standard-Resources/Filings-Orders-and-Reports>

¹³ 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.

¹⁴ [New York State Senate Bill S6599](https://www.nysenate.gov/legislation/bills/2019/s6599), <https://www.nysenate.gov/legislation/bills/2019/s6599>

¹⁵ [New York State Announces Passage of Accelerated Renewable Energy Growth and Community Benefit Act as Part of 2020-2021 Enacted State Budget](#)

Flexibility and Peak Coincidence evaluation factors, approving the development of portfolio risk factors, and clarifying the CES delivery requirements.

On January 13, 2021, NYSERDA 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, NYSERDA 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](#).¹⁶

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 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).¹⁷ 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,

¹⁶ <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/Tier-Four>

¹⁷ LT&D Planning Proceeding, Order on Local Transmission and Distribution Planning Process and Phase 2 Project Proposals (September 9, 2021) (Phase 2 Order).

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.¹⁸ For the avoidance of doubt, NYSERDA 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.¹⁹

The RECs generated from the Bid Facility offered to NYSERDA through this RFP, up to the Annual REC Cap (defined in the Agreement), may not be contractually committed or otherwise transferred or attempted to be transferred to any other entity over the duration of the Contract Tenor. In addition, please refer to Section 2.1 for a discussion of restrictions against submitting Tier-1 RECs already committed to NYSERDA or any other entity into the RESRFP24-1 solicitation. 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](#).²⁰ All Proposers are strongly advised to review the Orders and Implementation Plans before participating in this RFP. Information regarding NYSERDA's implementation of the RES and prior solicitations under the RES, RESRFP17-1, RESRFP18-1, RESRFP19-1, RESRFP20-1, RESRFP21-1, RESRFP22-1, and RESRFP23-1 can be found on [NYSERDA's RES Solicitation webpage](#).²¹

1.2 Background on NYSERDA and NY Green Bank

NYSERDA 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, NYSERDA acts as the Central Administrator of the RES program. Under the RES, each LSE is obligated to serve their retail customers by procuring new

¹⁸ 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. 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 NYSERDA's long term procurements for RECs.

¹⁹ 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.

²⁰ <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

²¹ <https://www.nyserda.ny.gov/ces/rfp>

renewable resources, evidenced by the procurement of Tier 1 RECs from NYSEERDA 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, NYSEERDA 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 NYSEERDA, 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 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 NYSEERDA incentive payments, as well as wholesale power and capacity sales to support long-term financing.

To reduce financing costs, NYSEERDA encourages applicants to apply for long term, fixed-rate Loan Programs Office (LPO) financing. To encourage the establishment of this financing, NYSEERDA and the United States Department of Energy (DOE) executed a Memorandum of Understanding (MOU) dated September 28, 2023, to facilitate clean energy financing for large-scale renewable projects. The MOU will allow New York State to leverage the DOE Loan Programs Office and strengthen the cooperation between Federal and State energy departments, supporting New York's goal to obtain 70 percent of the state's electricity from renewable sources by 2030. The NY Green Bank, as a division of NYSEERDA, qualifies as a State Energy Financing Institution (SEFI) which satisfies the requirements of the Title XVII Loan Guarantee Program. Pursuant to the MOU, NY Green Bank would consider working with Tier 1 applicants by participating in LPO financing subject to satisfactory due diligence by NY Green Bank, the execution of definitive documentation satisfactory to NY Green Bank and final credit approval by NY Green Bank. Applicants interested in applying for this financing are encouraged to submit an application to NY Green Bank RFP No. 1 which can be accessed [here](#).²²

Bid Facilities that execute a Tier 1 REC Agreement and subsequently receive LPO financing will be subject the Bid Price adjustment detailed in Section 5.2.2 due to the lower cost of LPO-backed financing compared with other, more traditional and expected financing sources.

²² [NY Green Bank RFP 1: Clean Energy Financing Arrangements](#)

1.3 Schedule

The schedule for RESRFP24-1 is as follows (all times ET):

Table 1. RFP Schedule

RFP Release Date	Thursday, June 20, 2024
NYSERDA opens Step One Eligibility Application	Thursday, June 20, 2024
Proposers' Webinar	Thursday, June 27, 2024, 2:30-4:00 p.m.
Requested date to submit an application for a Resource Eligibility Determination (PSoQ/SoQ) in NYGATS	Monday, July 1, 2024
Deadline to submit proposed material changes to the Agreement	Monday, July 8, 2024
Deadline for Step One Eligibility Application Submission	Monday, July 15, 2024 by 3:00 p.m.
NYSERDA responds with Notice of Qualifications to bid, opens Step Two Bid Proposal to eligible Proposers	Thursday, July 18, 2024
Deadline for Bid Fee Submission	Wednesday, August 7, 2024
Deadline for Step Two Bid Proposal Submission	Thursday, August 8, 2024 by 3:00 p.m.
NYSERDA notifies Proposers receiving initial Awards	Expected September 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 RESRFP24-1 [solicitation website](#).

1.4 Eligibility & Contractual Requirements

Information on Bid Proposal eligibility, Tier 1 REC 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 accordance 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 Bid Facility Nameplate Capacity

Nameplate Capacity (MW)	Bid Fee
Less than 5.00 MW or Operating Bid Facility	\$5,000
5.00 – 24.99 MW	\$20,000
25.00 – 99.99 MW	\$50,000
100.00 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, June 27, 2024 at 2:30 p.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 solicitation process. Questions will be taken and, to the extent possible, responses will be provided during the webinar.²³

Proposers are encouraged to submit questions prior to the webinar via email to res@nyserdera.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. Any submitted questions that NYSERDA posts publicly will be posted anonymously, along with NYSERDA's responses, on the solicitation website under the Q&A feature, which is accessible to all Proposers, following the webinar. NYSERDA reserves the right to not post responses to questions that are specific to a Bid Facility. Any such questions should be directed to NYSERDA through the Messages feature of the solicitation website.

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.

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 NYSERDA's RESRFP24-1 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 NYSERDA.

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

²³ To sign up for the Proposers' Webinar please register here: [RESRFP24-1 Proposers' Webinar](#)

before the submission deadline for that Step, the Proposer should follow the posted instructions for editing a submission and may contact NYSERDA's Designated Contacts with questions or issues.

NYSERDA will contact Proposers regarding any instances where NYSERDA is seeking clarification regarding a potential error or misunderstanding reflected in the Bid Proposal, or if Bid Proposal materials were received in a corrupted or unusable format. NYSERDA will provide the Proposer with an opportunity to cure the error or provide properly formatted materials. NYSERDA will not make material adjustments to any Proposal, including the Index REC Strike Price or Fixed REC Price.

After the submission deadline, Proposers may provide information that was not available at the time of their submission at NYSERDA's request as described in Section 1.9. These requests are for clarification and/or informational purposes and will not be treated by NYSERDA as a change or revision to the material terms of Bid Proposal submission (e.g., Bid Price, Incremental Economic Benefits).

If any event or change of circumstances occurs that affects the Bid Facility or the Bid Proposal in a manner that could reasonably be expected to have a material impact on the eligibility of the Bid Proposal or its evaluation in RESRFP24-1 (a "Material Change"), Proposers must promptly notify NYSERDA in writing. Proposers and their Bid Proposals must maintain eligibility under the Minimum Threshold Eligibility requirements throughout the Bid Proposal evaluation period and, if provisionally awarded, up to the execution of the Agreement by the Proposer and NYSERDA.

In the event that a Material Change occurs that affects RESRFP24-1 Proposers generally, NYSERDA may solicit updates to all eligible Step Two Bid Proposals to account for the Material Change. In accordance with this process for evaluating systemic Material Changes, Proposers' scores may be adjusted upwards or downwards as a result.

In the event of a Material Change that does not affect RESRFP24-1 Proposers generally, the evaluation of the affected Bid Proposal(s) will be re-visited in the applicable category(ies). However, no scores may be increased as a result of this type of material change; scores may only be adjusted downwards.

If any information on Attachment B Public Release of Bid Facility Information or the Community Engagement Plan changes at any time following submission and prior to execution of the Agreement, Proposers are required to promptly submit an updated version of Attachment B and/or the Community Engagement Plan so that NYSERDA can update its website accordingly.

1.9 Requests for Additional Information and/or Interview

Following the submission of 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 Section 9, 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.

1.10 Coordination with Non-Jurisdictional Load-Serving Entities

The Order Adopting a Clean Energy Standard provides for NYSERDA to conduct regularly scheduled solicitations for the procurement of Tier 1 RECs on behalf of the State's jurisdictional LSEs. 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 NYSERDA 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 Forced Labor Prevention

In order to ensure an ethical and sustainable supply chain for renewable energy, NYSERDA is requiring all RESRFP24-1 Proposers of solar Bid Facilities 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. Proposers will be required to evidence that they have signed the Pledge as part of their Step Two Bid Proposal submission.

2 STEP ONE & STEP TWO COMPONENTS; ELIGIBILITY & EVALUATION

RESRFP24-1 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 June 20, 2024. 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 Bid Price does not exceed the Benchmark LNRC, the Bid 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: Monday, July 15, 2024 by 3:00 p.m.	Due Date: Thursday, August 8, 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>). • Att. F Min Thresholds Narrative • 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. • Att. L 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 whose Bid Price does not exceed the Benchmark LNRC and 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.²⁴ 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 Sections 5.4 and 5.5.

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.²⁵ 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. 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.

²⁴ 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>

²⁵ 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.

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.

Any project that was the subject of an award under NYSEDA's RESRFP22-1 or RESRFP23-1 solicitations is not eligible under this RFP. For greater clarity, previously awarded projects that failed to execute NYSEDA's RES Standard Form Agreement for an award in the RESRFP22-1 and RESRFP23-1 solicitations are prohibited from participation in RESRFP24-1. However, a project whose award under RESRFP22-1 or RESRFP23-1 was subsequently rescinded by NYSEDA, or that was ultimately found by NYSEDA to have been ineligible for the RFP under which it was originally purported to have been awarded, would not be affected by this requirement, and will be permitted to participate in RESRFP24-1. Additionally, projects that are seeking or have secured funding through a separate NYSEDA incentive program (e.g., NY-Sun for solar facilities, NYSEDA funding for geothermal facilities) are not eligible to participate under this RFP. RESRFP24-1 Bid Facilities are permitted to seek a NYSEDA Tier 1 REC Agreement and funding under NYSEDA's [Agrivoltaics Research and Demonstration \(RFP 5752\)](#).

Tier 1 RECs that are already committed to NYSEDA or any other entity pursuant to an existing award or contract (Encumbered Tier 1 RECs) are not eligible for award in RESRFP24-1. As such, a Bid Proposal in RESRFP24-1 should not include any Encumbered Tier 1 RECs in the Bid Quantity or Bid Quantity Percentage. For example, a Bid Proposal with a Bid Quantity Percentage of 100% should have 100% of the Tier 1 RECs to be produced by the Bid Facility free and unencumbered for purposes of sale to NYSEDA during the Contract Delivery Term of the NYSEDA Tier 1 REC Purchase and Sale Agreement. As a further example, if the RECs associated with 25% of the output of a Bid Facility are Encumbered Tier 1 RECs, the Bid Quantity Percentage of that Bid Facility should be no more than 75%.

NYSEDA reserves the right to adjust a Bid Proposal's Bid Quantity and Bid Quantity Percentage in a manner that will remove any Encumbered Tier 1 RECs from the Bid Quantity and Bid Quantity Percentage as a condition to eligibility and consideration for award.

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 RESRFP24-1 and/or future Tier 1 solicitations subject to Tier 1 eligibility requirements.

2.2 Update to Mutual Termination Agreement Terms

Pursuant to the terms of the Mutual Termination Agreement that was included as Attachment I of RESRFP23-1 (the "MTA") and was entered into between NYSEDA and certain Sellers for previously awarded Bid Facilities, NYSEDA reserved the right to draw on the posted contract security if the Bid Facility was not awarded in RESRFP23-1. NYSEDA has elected not to exercise this right at this time. Instead, NYSEDA will implement the following approach to drawing on posted contract security of Bid Facilities, which will be offered to all MTA counterparties as an amendment to the MTA:

1. NYSEDA will not draw on MTA contract security until a pre-established but confidential amount of generation associated with Bid Facilities subject to the MTA is awarded and contracted with NYSEDA (the "Threshold Point"), at which point NYSEDA **will draw** on the contract security of the remaining Bid Facilities subject to MTAs that have not been provisionally awarded as of that time, other than Bid Facilities, if any, that have been ineligible to propose into any of the RES

solicitations issued after the date of the MTA under which awards have been made as of such time (“Ineligible Bid Facilities”). **Please note that unlike the prior policy that gave NYSERDA the right, but not the obligation to draw on the contract security of projects that proposed but were not awarded, NYSERDA by this policy is committing to draw on contract security if and when this confidential level of generation is under contract.** NYSERDA will provide notice to affected Bid Facilities prior to drawing on contract security in this event.

2. If a Bid Facility that is eligible for RESRFP24-1 or a subsequent RES solicitation does not participate in the first RES solicitation that it is eligible for, NYSERDA **will draw** its contract security at that time.
3. At the time the Threshold Point is reached, NYSERDA will not draw on the contract security of any Ineligible Bid Facilities (as defined above). However, after the Threshold Point being reached, NYSERDA **will draw** on the contract security of any Ineligible Bid Facility if and when it becomes eligible to propose into an RES solicitation if it either fails to propose or is not awarded in such solicitation.
4. Consistent with the existing terms of the MTA, if a Bid Facility that is subject to an MTA is awarded in RESRFP24-1 or any subsequent RES solicitation, its existing contract security will be added to the additional contract security due in the solicitation it is awarded under.

2.3 Upgrade and Repower Eligibility & Evaluation

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,²⁶ 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.

A Bid Facility that has 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

²⁶ 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.

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

2.4 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.

2.5 Conformance with NYGATS Operating Rules

If awarded under RESRFP24-1, Proposers must maintain a valid NYGATS ID, obtain a Statement of Qualification, achieve Operational Certification, and operate in conformance with the [NYGATS Operating Rules](#).²⁷ 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, 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

²⁷ [New York Generation Attribute Tracking System \(NYGATS\)](#)

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.

2.6 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 that includes data for the alternate Bid Proposal(s) with the Step Two Bid Proposal.

2.6.1 Alternate Nameplate Capacity Bid Proposal

Bid Facility configurations representing different Nameplate Capacities may be submitted as Alternate Bid Proposals under Step Two of RESRFP24-1. 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 nor a separate PSoQ is 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 Proposal and the Alternate Bid Proposal(s) with a different Nameplate Capacity in Attachment D. Bid Data Form.

2.6.2 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.

In light of recent developments, including the U.S. Department of Commerce Antidumping and Countervailing Duty (AD/CVD) investigation announced May 15, 2024 and the potential for new tariffs and duties on imported solar panels and materials, NYSERDA is currently evaluating whether to amend this RFP to incorporate modified or additional inflation-related Alternate Bid Proposal options to address

major equipment price inflation in a more technology-specific manner. Any such RFP amendment would be issued no later than fifteen business days prior to the Step Two Bid Proposal submission deadline.

2.7 Contractual Commitments

2.7.1 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 staging, installation, erection, and placement of the Bid Facility and its electrical interconnection as well as 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 Wage applicable in the area where the Bid Facility will be situated, erected and used, in accordance with New York State Labor Law § 220 or at least the equivalent Prevailing Wage requirements of the jurisdiction where the Bid Facility is located. No less than six months prior to the start 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 construction of 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 and 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.

2.7.2 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.

2.7.3 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.

2.7.4 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 RESRFP24-1, NYSEDA finds that “structural” iron and steel subject to PSL §66-r includes the following components. For onshore wind, NYSEDA 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, NYSEDA 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, NYSEDA 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, NYSEDA 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.

For hydroelectric repowers, NYSEDA determined that the following were “structural” iron and steel components: (1) the control gate; and (2) the trash rack; (3) intake diversion structure; (4) penstock; (5) transformer and foundation; (6) foundation powerhouse; (7) gantry crane rails and supports; (8) generator foundation; (9) Powerhouse Building; (10) Turbine Pedestal; and (11) fish ladder.

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 (RESRFP24-1). 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 RESRFP24-1 would not be in the public interest.²⁸ 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 RESRFP24-1 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 NYSERDA 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 NYSERDA. 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 RESRFP24-1 is required to establish that it expends a minimum of \$56,000 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 RESRFP24-1 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. Any hydroelectric Bid Facility awarded a contract in RESRFP24-1 is required to establish that it expends a minimum of \$59,000 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. 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 NYSERDA 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, onshore wind or hydroelectric repowering, and have yet to be constructed, or for Bid Facilities that qualify as an incremental upgrade or repowering facility, NYSERDA will determine the compliance obligation in cooperation with Proposers in advance of the Step Two Bid Proposal deadline.

2.7.5 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

²⁸ 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://nyserdera.ny.gov/-/media/Project/Nyserda/Files/Programs/Clean-Energy-Standard/NYSERDA-Buy-American-Supplemental-Study-Onshore-Wind-UtilityScale-Solar.pdf>. NYSERDA has determined that the domestic content provisions of the Buy American Act would not be in the public interest for RESRFP22-1, RESRFP23-1, and RESRFP24-1.

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.

2.7.6 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.

2.7.7 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 RESRFP24-1 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.²⁹ Proposers are encouraged to include these Program Fees in their Incremental Economic Benefits submission.

²⁹ 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” ³⁰ 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 RESRFP24-1, and each Bid Facility is registered in the New York Generation Attribute

³⁰ 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 RESRFP24-1, and are requested to apply for Tier 1 certification no later than Monday, July 1, 2024.

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 in [Attachment C. Step One Submission Instructions](#). 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 Monday, July 15, 2024**.

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 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.³¹ 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 is requested to be completed in NYGATS no later than Monday, July 1, 2024. 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.

Any Bid Facilities that are not yet in operation with a PSoQ that is over two years old are requested to re-submit a Tier 1 certification request to NYGATS for verification **no later than Monday, July 1, 2024.** This applies to Bid Facilities with a PSoQ issued on or before June 12, 2022. To re-submit a Tier 1 certification request to NYGATS please follow the [Tier 1 Certification process](#).

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 and training materials for using NYGATS to apply can be found on [NYSERDA's RES Tier 1 Certification website](#).

3.2 Consistency with Existing PSoQ

For a Bid Facility with an existing PSoQ, a Step One Eligibility Application submitted for the Bid Facility under this RESRFP24-1 must be consistent with the existing 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 a new PSoQ.

NYSERDA will work with the Proposer to rectify any discrepancies. If assistance is needed, please contact lsrops@nyserda.ny.gov by June 27, 2024 to allow adequate time for NYSERDA to respond to the requests, help cure any deficiencies or seek clarifications needed to issue an PSoQ with ample time prior to the Step One Eligibility Application deadline. Emails seeking assistance should be sent with a subject line "PSoQ Assistance."

³¹ See <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Standard/Renewable-Generators-and-Developers/RES-Tier-One-Eligibility/Certification>

Any requests to transfer an already approved PSoQ to a different NYGATS account must follow the [Transfer process](#). The transfer process must be completed prior to requesting an updated PSoQ. Do not request a transfer if the PSoQ is over two years old. Instead, register and apply for a new PSoQ.

Proposers are permitted to submit a Bid Facility at a Bid Capacity that is smaller than their PSoQ specifies without need for a PSoQ revision or resubmission.

Any projects with generation that will not be fully Tier 1 eligible, such as upgrade projects or repowered projects that have not reached the end of their useful life, need to apply to NYGATS as early as is feasible such that NYSERDA can determine the amount of generation that the facility may produce to be Tier 1 eligible. NYSERDA will contact the Proposer and coordinate with them if additional information is needed to make this determination.

Any requests for new NYGATS applications or modifications to existing NYGATS applications are requested to be submitted by Proposers by July 1, 2024 to give sufficient time for review and approval of the PSoQ.

3.3 Incremental 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 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, a generator that has not yet reached the end of their useful life can be repowered, and a portion of the generation from the Repowered Bid Facility may be Tier 1 eligible until the end of the useful life of the original generator is reached. NYSERDA would make this determination based on the results of a required third-party engineering report as described in the CES Tier 1 Eligibility Guidelines. If the generator is repowered prior to the end of the original generator's useful life, and the Repowering Bid Facility is eligible in all other respects, the percentage increase in generation attributable to the Repowering will be Tier 1 eligible. Once the useful life of the original generator is met, all generation (100%) from the Repowering Bid Facility will be Tier 1 eligible.

Proposers seeking to participate in RESRFP24-1 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 RESRFP24-1. 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. 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.

3.3.1 Incremental Upgrades

Proposers that intend to submit bids for incremental Upgrades must utilize the Tier 1 Upgrade Percentage determined in the NYGATS SoQ or PSoQ. 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 (MWac) 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.

3.3.2 Repowering

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.

3.3.3 Return to Service

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 to submit a Proposal into RESRFP24-1 if the Proposer can demonstrate to NYSERDA that the project had 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 when submitting a PSoQ or SoQ application, such as an engineering report, formal letter, and/or data from the NYISO or the local utility.

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 that have already commenced 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 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).

For a Return to Service generation unit, the date of Commercial Operation for purposes of calculating the Maximum Contract Tenor shall be the Return to Service Commercial Operation date noted in the PSoQ or SoQ.

Illustrative Example of a Return to Service hydroelectric Bid Facility Maximum Contract Tenor:

- *Original Commercial Operation date: 8/1/1987*
- *Return to Service Commercial Operation Date: 12/15/2019*
- *RESRFP24-1 Launch Date: 6/20/2024*
- *Useful Life: 50 years (600 months)*

20 Years: 240 months – (6/20/2024 – Return to Service Commercial Operation Date 12/15/2019 or 53 months rounding down) = 16 years rounded to the nearest full year (187 months)

Useful Life: 600 months – (6/20/2024 – Return to Service Commercial Operation Date 12/15/2019 or 53 months rounding down) = 45 years rounded to the nearest full year (547 months)

16 years is less than 45 years; therefore, the Maximum Contract Tenor is 16 years.

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, as determined by the Public Service Commission.

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.

Only those Proposers qualified through the Step One Eligibility Application process will be permitted to submit a Step Two Bid Proposal.

If after submission of the Step One Eligibility Application the Bid Facility is expected to undergo a change in control, the Proposer must contact NYSERDA to enable the appropriate entity to submit the Step Two Bid Proposal for the Bid Facility as the Proposer for Step Two Bid Proposal purposes. For clarity, in such situation the Proposer that takes over control of the Bid Facility or is expected to take over control following the Step One Eligibility Application will be eligible to submit the Step Two Bid Proposal even if it is a different entity from the Proposer whose Step One Eligibility Application was deemed qualified.

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. 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 eighty (180) days from the Step Two Bid Proposal deadline.

Under Step Two, NYSERDA will: (1) examine each Step Two Bid Proposal to determine whether the Proposal demonstrates that the Bid Facility and Proposer meet all Minimum Threshold Requirements and the Bid Price does not exceed the Benchmark LNRC; 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. 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.

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 clarify whether the Bid Facility and/or Proposer had achieved the Minimum Eligibility Threshold at the time of the Step Two Bid Proposal submission. Proposers must maintain these Minimum Threshold Eligibility requirements throughout the Bid Proposal evaluation period and, if awarded, up to the execution of the

Agreement by the Proposer and NYSERDA. Please see Section 1.8 of the RFP for more information regarding changes that may occur during this period. 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.³² A Step Two Bid Proposal may not be contingent on the receipt of any federal tax credits or incentives.

RESRFP24-1 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. **Please see Section 8.1 for more information regarding proposed edits to the Agreement.** 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 Thursday, August 8, 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 incomplete 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 D. Bid Data Form.

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);

³² NYSERDA will award at most one Bid Proposal per Bid Facility.

- 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 3.4).
- 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 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. A Tier 1 eligibility percentage has a 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.
 - a. Proposers with existing offtake agreements for a portion of the Expected Annual Eligible Production may place a Bid Proposal for the Tier 1 RECs not otherwise under contract.

Proposers may wish to adopt an approach where a certain percentage of the Expected Annual Eligible Production is bid to NYSERDA. For example, a 100 MW Bid Facility with an Expected Annual Eligible Production of 180,000 could specify a Bid Quantity Percentage of 50%, resulting in an eligible Bid Quantity of 90,000 annual Tier 1 RECs.

Nameplate Capacity (MWac)	Expected Annual Eligible Production (MWh)	Tier 1 eligibility percentage (100%)	Bid Quantity Percentage (%)	Bid Quantity (MWh)
100	180,000	100%	50%	90,000

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 and interconnection agreements for renewable energy facilities in NYISO zones A through G.³³

³³ 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 RESRFP24-1.

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)³⁴
Small Generator, Local Low Voltage (13.8-46 kV)	8	19	\$103
Small Generator, Local High Voltage (69-115 kV)	24	20	\$151
Large Generator, Local High Voltage (69-115 kV)	23	106	\$122
Large Generator, Bulk Transmission (230-345 kV)	13	214	\$111
Total/ Average	68	86	\$128

If land needed to access the interconnection point(s) is not controlled, provide a detailed plan and timeline for the acquisition of any additional rights necessary for the right-of-way to the interconnection point(s). Identify and describe the individual land parcels associated with the interconnection and any rights of way needed. If applicable, fully describe the relationship of the site to other adjacent infrastructure, including preferred or alternate point(s) of interconnection (POI). Please indicate whether there are known risks or uncertainty associated with the preferred POI. If the Proposer is planning on using an adjacent parcel or if the right of way is controlled by or assignable to the interconnecting utility that will own the interconnection facilities, clearly explain this in the description. 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.

Tariff Impacts for Solar Projects (if applicable)

Proposers of solar Bid Facilities must describe how the U.S. Department of Commerce Antidumping and Countervailing Duty (AD/CVD) investigation announced May 15, 2024³⁵ may affect the procurement timing and expected costs of equipment for their Bid Facility.

Proposers bidding solar Bid Proposals must also describe any expected impacts that may occur from the Uyghur Forced Labor Protection Act, Section 301 tariffs, and the potential revocation under Section 201 of the exemption from tariffs on bifacial solar panels.

³⁴ 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.

³⁵ Department of Commerce, International Trade Administration, [A-555-003, C-555-004, A-557-830, C-557-831, A-549-851, C-549-852, A-552-841, and C-552-842], “[Commerce Initiates Antidumping and Countervailing Duty Investigations of Crystalline Silicon Photovoltaic Cells from Cambodia, Malaysia, Thailand, and the Socialist Republic of Vietnam](#)”

The information that Proposers must provide to NYSERDA includes:

- 1) Type of panels proposed/being considered for the Bid Facility;
- 2) Price assumptions for the cost of panels (\$/W) intended for the Bid Facility;
- 3) Mitigation strategies to address the risk of tariff impacts;
- 4) Whether a premium for tariff risk mitigation is included in the Bid Price;
- 5) Whether an executed agreement or purchase order for solar panels for the Bid Facility is in place;
- 6) Whether solar panels have already been purchased, and if so:
 - a) What company and country have the panels been sourced from?
 - b) Are any purchased panels on-shore in the U.S., processed through customs, and/or warehoused?

Address whether and to what extent the original procurement plan has changed following the announcement of the U.S. Department of Commerce investigation, and, if applicable, how the Proposer has addressed solar panel supply chain risk. NYSERDA encourages proposers to provide as much detail as possible. 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 Attachment L. 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 initial award notifications through the period of time between award notification and contract execution. The Effective Date for the Non-Disclosure Agreement shall be the date it is executed by the Proposer. Redlines will not be accepted to Attachment L. Non-Disclosure Agreement; the Non-Disclosure Agreement must be executed as published.

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 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 Wednesday, August 7, 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, or for Bid Proposals that are ineligible under the Minimum Eligibility Thresholds. 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 8 based on the highest Nameplate Capacity in megawatts (MWac) submitted for the eligible generator.³⁶

Table 8. Bid Fees by Bid Facility Nameplate Capacity

Nameplate Capacity (MWac)	Bid Fee
Less than 5.00 MW or Operating Bid Facility	\$5,000
5.00 – 24.99 MW	\$20,000
25.00 – 99.99 MW	\$50,000
100.00 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: For operating projects: GENXXXXX_RESRFP24-1; for projects in development: PROXXXXX_RESRFP24-1; for external operating projects: IMPXXXXX_RESRFP24-1. Bid Fees provided via electronic wire must have this unique identifier included within the Payment Details/Description. Bid Fees provided via cashier’s check must have this unique identifier clearly labeled within the Memo or elsewhere on the check.

³⁶ Nameplate Capacity is submitted in Attachment D. Bid Data Form and is measured in AC capacity (MWac). Nameplate Capacity cannot exceed the Tier-1 eligible generation in the NYGATS PSoQ or SoQ and does not include Energy Storage.

4.3 Project Viability, Operational Flexibility and Peak Coincidence

This category is intended to preferentially evaluate Bid Facilities that are more advanced through project development, demonstrate high project viability/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.³⁷

Using Attachment F, available on the solicitation website, the Proposer must provide narrative descriptions detailing how the Bid Facility meets and/or 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 9Table 9. Points will be awarded in the indicated 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 9. 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

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

³⁷ 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>.

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.**³⁸ The Bid Facility must meet the Minimum Threshold Requirements in all categories throughout the evaluation period and up to the execution of the Agreement to remain in contention for an award under RESRFP24-1.

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.

For Bid Facilities proceeding through the FERC-jurisdictional NYISO interconnection process or an equivalent process, evidentiary documentation includes 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 also provide the anticipated interconnection costs 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.

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.
- A deliverability study or other analysis performed by the Proposer to demonstrate that the output of the Bid Facility is energy deliverable. See Section 4.3.3.
- A one-line diagram.

Minimum Threshold: The Proposer must have an active Interconnection Request with the NYISO or the Bid Facility's interconnecting control area or utility and have a Facilities Study, or equivalent, for the Bid Facility in progress with the NYISO or equivalent system operator.

Proposers that receive an initial award and that have not yet been tendered an Interconnection Agreement from the NYISO (or equivalent ISO/RTO) **will be required to accept their System Upgrade**

³⁸ 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.

Facilities (SUFs) cost allocation as a result of the Bid Facility’s Facilities Study (or equivalent) prior to NYSERDA executing the provisionally awarded Tier 1 Agreement.

Documentation provided to NYSERDA by the Proposer to demonstrate the Bid Facility’s interconnection status must be consistent with the Bid Facility as proposed. Documentation that does not reflect the Bid Facility as proposed may be rejected.³⁹ For Bid Facilities interconnecting to the NYISO, the NYISO Zone of the Bid Facility should align with the zone being studied by the 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 the 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:

- 1) With respect to the Key Permit needed to construct the Bid Facility, evidence that:
 - a. the Key Permit has been issued by the applicable jurisdictional permitting authority; or
 - b. the application for the Key Permit has been submitted and is under review by the applicable jurisdictional permitting authority; or
 - c. the application for the Key Permit can be submitted for review by the applicable jurisdictional permitting authority by December 17, 2024 (180 days from the issuance date of RESRFP24-1), as evidenced by a populated Attachment D. Bid Data Form (List of Key Permits and Project Schedule) and summary of desktop and field studies conducted to date.
- 2) Regardless of the expected permitting process and status of the 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 is located within New York State and 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 located in

³⁹ The Bid Facility’s Bid Capacity must be at maximum the capacity submitted with the Interconnection Request.

New York State 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 and Electric Transmission Siting (ORES) will be required to comply with all ORES requirements.

If applicable and/or available, the Proposer should provide the following documents:

- Documentation filed with or received from the local governmental authority confirming that a request for a zoning change or variance has been initiated and/or the local approval process is underway.
- 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 Assessment⁴⁰ 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.
- If applicable, include an initial review of any physical and economic impacts that the Bid Facility’s development may have on disadvantaged communities.
- 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.⁴¹

Minimum Threshold: Proposers must provide proof that the application for the Key Permit for the Bid Facility either (i) has been submitted and such application is either under review by, or has been issued by, the applicable jurisdictional permitting authority, or (ii) based on the status and schedule of applicable workstreams required to support the Key Permit, such as site and environmental studies, can be submitted for review by the applicable jurisdictional permitting authority by December 17, 2024 (180 days from the issuance date of RESRFP24-1).

If a Proposal is selected for award prior to the application for the Key Permit for the Bid Facility having been submitted, the award will be conditional upon the application being submitted no later than March 17, 2025 (i.e., the expiration of a 90-day cure period following December 17, 2024). If the application is not submitted by such time, the award will be rescinded, the Agreement (if it has been executed by such time) will be terminated, and Contract Security will be permanently retained by NYSERDA.

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

⁴⁰ 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>.

⁴¹ 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 Department of Environmental Conservation (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.

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. NYSERDA recognizes that certain permits are typically procured after a NYSERDA Tier 1 REC Award is received by a Bid Facility, which will be considered as part of evaluation.

NYSERDA may coordinate with the NYS DEC and/or ORES, 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 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 2021-2040 System & Resource Outlook Report study and outputs](#),⁴² the [ongoing work supporting the next NYISO System & Resource Outlook Report](#),⁴³ the Final Climate Action Council Scoping Plan,⁴⁴ the Scoping Plan's [Appendix G. Resource Integration Technical Supplement](#),⁴⁵ utility resources such as [National Grid's Wholesale Interconnections](#) reference documents,⁴⁶ and other similar studies conducted by the state, the 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.

NYSERDA and the TEP will use recent and pertinent available data and modelling assumptions for evaluation purposes to assess energy deliverability. Updated assumptions and outputs published by DPS, NYSERDA, the 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

⁴² See the System & Resource Outlook documents: <https://www.nyiso.com/library#reports>

⁴³ See NYISO Transmission Planning Advisory Subcommittee meeting materials: <https://www.nyiso.com/tpas>

⁴⁴ <https://climate.ny.gov/Resources/Draft-Scoping-Plan>

⁴⁵ <https://climate.ny.gov/-/media/Project/Climate/Files/Draft-Scoping-Plan-Appendix-G-Integration-Analysis-Technical-Supplement.pdf>

⁴⁶ <https://www.nationalgridus.com/Wholesale-Interconnections/New-York/>

Transmission Planning Pursuant to the Accelerated Renewable Energy Growth and Community Benefit Act (AREGCBA).⁴⁷

Bid Facilities located outside of the NYCA or NYISO Market Zone (External Facilities) are not eligible for evaluation in this category.

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)
- P(50) Long-term Energy Production Estimate (MWh)⁴⁸ 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 RESRFP24-1 must be substantiated by the Proposer as deliverable. Proposers are encouraged to review the [Updated Headroom Calculations](#) filed in NYPSC Case No. 20-E-0197 on February 1, 2024,⁴⁹ which references the [Utilities' Revised Headroom Calculations](#), filed in NYPSC Case No. 20-E-0197 on August 1, 2023.⁵⁰

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 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.

⁴⁷ 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>

⁴⁸ Populated in Cell Y9 of Attachment E. P(50) 8760 Template

⁴⁹ <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={80EA658D-0000-CE3C-8C94-DA5B66C83366}>

⁵⁰ <https://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={7031B289-0000-C33E-8330-2AE34FC790A0}>

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."⁵¹

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 RESRFP24-1. 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.

4.3.4 Peak Coincidence

Submission Requirements: See Energy Deliverability submission requirements in Section 4.3.3.

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 the NYISO load net of the portfolio of already

⁵¹ See NYISO tariff section 31.3.1.3.5.7 as filed and approved in FERC Docket No. ER21-1074-000.

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 (*Solar Bid Facilities in New York State Only*)

Submission Requirements:

Description: 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 RESRFP24-1.

Agricultural Mitigation Payment Estimate: Proposers of Solar facilities physically located in New York State must complete and submit the Attachment G 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.

Smart Solar Siting Scorecard: Proposers of Solar facilities must also complete and submit the [Appendix 2. Exhibit 1. RESRFP24-1 Smart Solar Siting Scorecard Workbook](#). Proposers should consult the [Appendix 2. RESRFP24-1 Smart Solar Siting Scorecard](#), before completing this Excel-based workbook, which will score projects based on their expected impacts to active agricultural land 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.

The RESRFP24-1 Smart Solar Siting Scorecard has been modified to now require Proposers of most solar Bid Facilities to complete, in addition to the Exhibit 1 Workbook, the Exhibit 4 In-Field Verification to assess and confirm the extent of Forested Lands within the Bid Facility's Facility Area. Bid Facilities that have a submitted application to Office of Renewal Energy Siting including Exhibits 11 and 15 can base the relevant Avoidance Flow Chart data inputs (Agroforestry and Forest Land) on these Exhibits and do not need to complete the Exhibit 4 In-Field Verification.

Maps of Bid Facility: Proposers are required to submit a map of the Bid Facility with their MSG 1-4 acreage calculations that shows the Facility Area overlaid on the MSG 1-4 data and the parcel boundaries hosting the Facility Area.

Maps should be provided in both PDF format and GIS shapefiles. The shapefiles should contain polygons of the Forest Land and Agroforestry areas in the Facility Area boundary. Proposers should include separate shapefiles of the Facility Area boundary and security fences for the Bid Facility. Clearly identify any areas via polygons found to be misidentified during the desktop review both on the map and as a shapefile.

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 RESRFP24-1 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 RESRFP24-1. 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 RESRFP24-1) 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.

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.

Proposers of solar Bid Facilities now have the option to request access to Climate and Applied Forestry Research Institute (CAFRI) data used by the State University of New York, College of Environmental Science and Forestry (SUNY-ESF) and by NYSERDA to assess the potential impacts of a Bid Facility(ies) on forested lands and to evaluate the Forested Lands Protection component of the Scorecard. Proposers seeking to access this data will be required to execute the CAFRI Data Access & Use Agreement provided as part of the Step One Eligibility Application on the solicitation website.

Minimum Threshold: All Proposers of Solar facilities within New York State 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 RESRFP24-1.

Proposers of Solar facilities within New York State will be required to complete and submit the Appendix 2 RESRFP24-1 Smart Solar Siting Scorecard, which will allow NYSERDA to score Bid Proposals based on the Bid Facilities expected impacts to active agricultural land and 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 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 Bid Facility.

Exceeding the Threshold: Non-Solar Bid Facilities will be awarded full points for the Agricultural and Forested Land category.

Proposed Solar Bid Facilities will be evaluated based on their verified Scorecard total score, with respect to expected impacts to active agricultural land, 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,⁵² 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;

⁵² Resource and prime mover, *e.g.*, solar or wind. Not meant to distinguish between different solar technologies, for example.

- The anticipated total capital expenditures for the Bid Facility, including to the extent 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 50% of the proposed Bid Facility capacity, in MWac; or
- A project of at least 33% 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. 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 scale⁵³ and similar technology⁵⁴ and location.⁵⁵ 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, the security or perimeter fence(s) 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.*).

⁵³ Comparable scale is 50% or more of the proposed capacity.

⁵⁴ 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.

⁵⁵ 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 RESRFP24-1. 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 submission of Step Two Bid Proposals.

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 RESRFP24-1. In the event of an election within the Host Community or the AHJ, Proposers are responsible for informing current and subsequent local officials in a timely manner. NYSERDA may request written verification from a Proposer that the current local official(s) are aware of the project's participation in this solicitation should an election occur within a Host Community or AHJ relevant to the Bid Proposal. 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)⁵⁶ 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. To the extent possible, incorporate into the Resource Assessment and Energy Production Estimate the effects of climate change impacts projected to occur within the Bid Facility's useful life, and any efforts undertaken to ensure the generation over the useful life of the Bid Facility will be maintained despite potential climate change impacts. 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.

⁵⁶ P(50) represents a level of resource projection or production estimate with a 50% likelihood of being exceeded in any future year. The P(50) value shall be the expected value (*i.e.*, the mean) based on the Proposer's Resource Assessment diligence in accordance with the minimum requirements listed in the section herein for the respective renewable technology.

4.3.10 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 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 must describe how the Bid Facility will actively support the outcomes for climate resiliency envisioned by the Climate Act. Proposers will demonstrate how the impacts of climate

change have been considered and incorporated into the reliability⁵⁷ and expected performance⁵⁸ 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 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 climate exposure the Bid Facility may face will be based on its location and anticipated useful life. Main climate hazards in NYS include but are not limited to extreme storms, high winds, 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 NYS Climate Impacts Assessment, 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.

To the extent possible, Proposals 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.

If awarded, the Seller will be required to provide a Climate Resiliency Plan as further described in Section 6.08 of the Agreement.

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. 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. 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.

If a Bid Proposal is rejected based on the evaluation of viability, NYSERDA will notify the Proposer of the determination and provide an explanation following the submission of the Step Two Bid Proposal and the receipt of responses to any clarifying questions. Proposers with Bid Proposals that are rejected in

⁵⁷ The extent to which the system provides output and avoids temporary disruptions.

⁵⁸ Ability of the system to provide expected output of energy over its useful life.

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 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 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.

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, if applicable, Specialist Reviewers' assessment of the Bid Facility.

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.

For facilities participating in RESRFP24-1 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).

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.

Incremental Economic Benefits claims are summarized in the "Agreement – Schedule 1" tab of the Attachment D Bid Data Form. Please review these claims as they will be memorialized in the Agreement for awarded Bid Proposals, subject to any adjustments confirmed by the TEP.

For this RFP, as discussed in Section 2.7.4, 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: \$56,000/MWac for onshore wind, \$32,000/MWdc for solar, and \$59,000/MWac for hydroelectric. For Upgrades and Repowering Bid Facilities of utility-scale solar PV, onshore wind, and hydroelectric, 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, onshore wind, or hydroelectric 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.⁵⁹ 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 RESRFP24-1.

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.

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 Program](#)
- [Apprenticeship and Pre-apprenticeship Clean Energy Training](#) provides funding to create and/or expand the capacity of existing Direct Entry Pre-apprenticeship and Registered Apprenticeship programs as a pathway to high-quality, family-supporting jobs.
- [Climate Justice Fellowships](#) provide funding for year-long, full-time fellowships for individuals that currently reside in NYS and are from a priority population. NYSERDA provides funding for salaries, professional development, and wraparound services so that fellows have the

⁵⁹ 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](#).

opportunity to work within businesses and organizations that advance climate justice and clean energy priorities in their respective communities.

- [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 SDVOBs⁶⁰ 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.

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 used for power generation (*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

⁶⁰ Businesses certified by entities other than New York State will not warrant preferential evaluation.

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 transportation 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 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.⁶¹

While all Bid Proposals must employ a single pricing structure, Bid Proposals are permitted to employ a different pricing structure for a materially different Bid Proposal. 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.

NYSDERA 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:

$$\text{Monthly REC Price} = SP^{\text{Index}} - REP - RCP$$

where:

⁶¹ See Section 3.4.

SP^{Index} = Index REC Strike Price (\$/MWh)

REP = Reference Energy Price (\$/MWh)

RCP = Reference Capacity Price (\$/MWh)

Each month's Index REC Strike Price shall be as offered in the Bid Proposal for the relevant Contract Year, with the same Index REC Strike Price applied for every month of the Contract Tenor.

For Bid Facilities in New York State, each month's Reference Energy Price shall be a simple average of the hourly NYISO Day-Ahead Market (DAM) locational based marginal pricing (LBMP) for the NYISO Zone in which the Bid Facility's Delivery Point is physically located.⁶² 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 the NYISO.⁶³ 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:⁶⁴

$$RCP = \frac{RUP \times IC \times 1,000 \times CAF}{\text{Total RECs} \times BQP}$$

where:

RUP = Reference UCAP Price (\$/kW-month) described in Section 4.01(a) of the Agreement.

⁶² 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>.

⁶³ 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.

⁶⁴ 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 CARC⁶⁵

5.2 Bid Proposals Price Adjustments

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.⁶⁶ 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.

$Index_B$ 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

⁶⁵ Capacity Accreditation Resource Class. For Incremental 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.

⁶⁶ U.S. Bureau of Labor and Statistics (<https://www.bls.gov/data/>), Series ID WPU00000000, PPI Commodity data for All commodities, not seasonally adjusted.

the Bid Proposal Submission Deadline. The final Index_B value prior to the Bid Proposal Submission Deadline is 254.747, published July 18, 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.⁶⁷ 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.

5.2.2 LPO-Backed Financing Adjustment

It is expected that Loan Program Office (LPO)-backed financing, if obtained, would provide incremental value to a Bid Facility that was not contemplated or quantified at the time of submission of the Step Two Bid Proposal, due to the lower cost of LPO-backed financing compared with other, more traditional and expected financing sources. To ensure New York State ratepayers share in these benefits, a portion of this expected incremental value will be applied as a decrease in the Bid Facility's Index REC Strike Price or Fixed REC Price.

The exact amount of this incremental value will likely differ somewhat from Bid Facility to Bid Facility based on a variety of factors, but NYSERDA has estimated the incremental value for a typical Bid Facility to be on the order of approximately 4% of levelized cost of energy. To share a portion of this value with New York State ratepayers while seeking to avoid dis-incentivizing Bid Facilities from pursuing LPO-backed financing, Section 5.04 of the RES Standard Form Agreement for RESRFP24-1 provides that **the Index REC Strike Price or Fixed REC Price will be reduced by 1%** in the event that the Bid Facility receives LPO-backed financing.

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 RESRFP24-1 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 Bid Proposals 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.

⁶⁷ 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.

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 November 2026 therefore a $COMD_p$ of November 2026, and Bid Proposals for Bid Facilities currently operating will be evaluated with a Contract Delivery Term commencement month of November 2024 and therefore a $COMD_p$ of November 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.

$$LNRC_{p,f} = PVNRC_{p,f} / PVRQ_p$$

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 7.55% per year and a long-term inflation rate assumption of 2.26% per year will be used in the LNRC calculation procedure.⁶⁸

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. Proposals that exceed the applicable Benchmark LNRC will be ineligible for further consideration for award in the solicitation. 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.

⁶⁸ The discount rate (DISCO Discount Rate or DDR) and inflation rate for Bid Price evaluation were established by the DPS Office of Accounting, Audits & Finance, revised February 12, 2024.

6 PRELIMINARY RANKING, PORTFOLIO EVALUATION, AND INITIAL 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 initial 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, the 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 with DPS, may recommend adjustments to the initial award group to (1) remove Bid Proposals from the initial award group to avoid material risks to the portfolio (as described in factors 1-4 below), and/or (2) add Bid Proposals to the initial 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 RESRFP24-1 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 initial award group are identified.

6.3 Initial and 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 an initial award group. NYSERDA and DPS also reserve the right to expand the initial award group to advance awards 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 eighty (180) days from the Step Two Bid Proposal deadline.

The number of Tier 1 RECs procured in the RESRFP24-1 solicitation is subject to NYSERDA's discretion and the review and approval of the Department of Public Service. 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 initial award group both by voice and written communication to Proposers' Project Sponsor(s) and Authorized Representative(s). 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 7 and 8).

In accordance with the Non-Disclosure Agreement submitted by Proposers in the Step Two Bid Proposal, Proposers awarded a REC Agreement under RESRFP24-1 will be required to maintain the confidential nature of the award prior the public announcement of the RESRFP24-1 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.

NYSERDA cannot adjust the Fixed or Index REC Bid Price, or other material/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 RESRFP24-1 Standard Form Agreement. NYSERDA will not entertain requests for material modifications to the Standard Form Agreement (See Section 8.1).

7 POST-AWARD AND CONTRACTING PROCESS

7.1 Award Notifications and Confidentiality

Following the distribution of initial award notifications, the Proposer shall not distribute any press release or contact the media or other members of the public until after the awarded Agreement is executed by both parties and NYSERDA publicly discloses the award. Proposers will be required to execute a Non-Disclosure Agreement as part of the Step Two Bid Proposal, as further described in Section 4.1.

Following NYSERDA's public disclosure, if the Proposer wishes to contact the press regarding the awarded Agreement, the Proposer must collaborate with NYSERDA's Large-Scale Renewables Team and the NYSERDA Director of Communications prior to issuing any press release and/or holding an event or related announcement. Once all provisional awards are confirmed by NYSERDA, NYSERDA will inform Proposers if they were not 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 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 (LOC).

If contract security is not provided by this deadline and the deadline is not extended by NYSERDA (which NYSERDA does not intend to do except in extenuating circumstances or if the deadline is extended for all provisionally awarded Proposers), the award will be rescinded.

The criteria for accepting a LOC includes:

- 1) the issuing bank is an owner bank of The Clearing House,⁶⁹ or
- 2) the issuing bank must have a credit rating of A or better by Standard and Poor's, A or better by Fitch, or A2 or better by Moody's; and
- 3) the issuing bank must be a United States bank, or a United States branch of a foreign bank, with a New York branch preferred.

NYSERDA has included a standard form of letter of credit in the RES Standard Agreement (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. **Please refer to Section 7.4 for more information regarding Contract Security draw conditions prior to execution of the Agreement.**

Contract security provided pursuant to a prior NYSERDA Agreement and held by NYSERDA pursuant to a termination agreement entered into by the Proposer and NYSERDA ("Posted Contract Security") (such

⁶⁹ Please see the owner bank membership for The Clearing House available from <https://www.theclearinghouse.org/about/owner-banks>

agreement hereafter referred to as the “Mutual Termination Agreement”) will, as permitted by the terms of the Mutual Termination Agreement and in accordance with its terms, temporarily **not** be drawn by NYSERDA pending the outcome of RESRFP24-1. **Please refer to Section 2.2 for more information regarding the Mutual Termination Agreement.**

For greater clarity, if the same Bid Facility that was subject to the Mutual Termination Agreement and whose Posted Contract Security is held pending the outcome of RESRFP24-1 is awarded in the RESRFP24-1 solicitation, the Posted Contract Security will be **added** to the amount of contract security required to be posted in connection with the RESRFP24-1 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).

7.3 Designation of Seller, Changes of Control and Documents Required for Contracting Purposes

Awarded Proposers will be responsible for designating the legal entity that will serve as the Seller, which must be a subsidiary or affiliate of the Proposer unless otherwise agreed by NYSERDA. The Seller typically is the legal entity that owns the Bid Facility; if a Proposer wishes to designate a different legal entity as the Seller, Proposers should contact NYSERDA as early as feasible.

Any change in control of the Bid Facility that occurs prior to full execution of an awarded Agreement may affect evaluation including as described in Section 4.3.6, and accordingly, NYSERDA cannot guarantee that an initial award will remain valid if a change of control of the Bid Facility occurs prior to entry into the Agreement. After the Agreement with NYSERDA is executed, changes of control of the Seller will be governed by Article VIII of the Agreement.

NYSERDA requires the following documents from the Seller prior to contract execution:

- 1) Contracting Form, to be provided by NYSERDA to Seller, requesting information including Legal Business Name, State of Incorporation, Tax Identification Number (EIN), and other contractual information;
- 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 first with the NYS Tax Department and NYSERDA does not need a copy. If not previously filed for the Seller, a completed form Tax Law ST-220-CA. Sellers will file this form after filing the ST-220-TD form. On the ST-220-CA 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;
- 3) Certificate of Incorporation;
- 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) A certificate of good standing, dated as of the most recent practicable date prior to the Effective Date, issued by the jurisdiction of Seller's organization Secretary of State, confirming the corporate good standing of Seller;
- 6) Application for Authority, if applicable (if the Seller is a foreign business corporation that has not yet applied for authority to do business in the State of New York);⁷⁰
- 7) Updated EO 16 Certification and/or EO 192 Vendor Responsibility Questionnaire, if applicable.

7.4 Process for Agreement Finalization; Pre-Execution Contract Security Draw Conditions

NYSERDA will provide a first draft of the Agreement populated with all Bid Facility-specific inputs other than (i) any of the items listed in Section 7.3 of the RFP that have not yet been provided by Proposer and (ii) if not yet available, Exhibits H and/or M (the "Conformed Draft") reasonably promptly after provisional award. For further clarity, NYSERDA shall not be required to provide the Conformed Draft or to execute the Agreement prior to the deadline for provision of contract security.

For Proposers with multiple awards that share the same technology and vintage type, unless otherwise agreed to by NYSERDA, one Conformed Draft will be provided to the Seller along with Bid-Facility-specific Schedules 1 and 2 for each award, and, once the Agreement terms are finalized, that form Agreement will be used to populate the other awarded Agreements for the other awarded Bid Facilities of the same technology and vintage type.

Subject to the below terms and conditions, if the Seller fails to execute the Agreement on or prior to the date ("Execution Deadline") that is 120 calendar days following the date on which NYSERDA provides the Conformed Draft to Proposer, the contract security will be forfeited to NYSERDA, the award will be rescinded, and the Bid Facility may not be eligible to participate in future NYSERDA Tier 1 solicitations.

NYSERDA will provide any and all remaining Bid Facility-specific inputs that are not included in the Conformed Draft no later than the date that is 30 calendar days following the date on which NYSERDA has received from Proposer all required contracting information described in Section 7.3 of the RFP. If NYSERDA fails to provide these inputs by such time, the Execution Deadline will be automatically extended day for day by the length of NYSERDA's lateness.

NYSERDA and the Proposer will work together in good faith to expediently finalize the Agreement, making edits only to the extent reasonably necessary to clarify and properly implement the substance and intent of the RFP and form Agreement.

Neither NYSERDA nor Proposer is required to agree to material changes to the form Agreement. NYSERDA also does not intend to make **any** changes to certain sections of the Agreement, as noted in Section 8.1 of the RFP.

NYSERDA agrees to respond to any comments from the Seller within 15 business days of receipt, and to the extent NYSERDA exceeds this prescribed timing for response, the Execution Deadline will be extended day for day by the length of NYSERDA's lateness.

⁷⁰ <https://dos.ny.gov/application-authority-foreign-business-corporation>

Proposer is responsible for arranging any and all necessary approvals (e.g. board or investment committee approval) as necessary to meet the Execution Deadline.

In the event that NYSEDA provides an execution version of the Agreement less than 10 business days prior to the Execution Deadline, the Execution Deadline will automatically be extended to the date that is 10 business days following the date that NYSEDA provides the Proposer with the execution version.

As noted in Attachment A of the RES Standard Form Agreement, NYSEDA will have the right to draw on the Contract Security if the Execution Deadline (as extended, if applicable, in accordance with the terms and conditions above) has passed and the Proposer has not executed the Agreement. In such circumstances, the Bid Facility may also not be eligible to participate in the next NYSEDA Tier 1 solicitation.

As noted in Attachment A of the RES Standard Form Agreement, NYSEDA will not be entitled to draw on the Contract Security for the other reasons enumerated therein until the Agreement is executed by both parties.

NYSEDA may publish the executed Agreements, and/or relevant terms within the Agreements, executed with awardees. Prior to such publication, NYSEDA 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 NYSEDA will not entertain any request to redact price information contained in the Agreement, specifically the Bid Price.

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 NYSEDA a report including all information required by Section 305(4)(b) of the Agriculture and Markets Law. NYSEDA 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).⁷¹

7.6 Confidentiality Waiver for Interconnecting Authority

The Proposer shall waive confidentiality with the pertinent Interconnecting Authority after the RES Agreement has been executed.

7.7 In the Matter of a Renewable Energy Facility Host Community Benefit Program (Case Number 20-E-0197)

Following the execution of awarded Agreements, NYSEDA is required to inform impacted Utilities serving residential customers proximate to the Bid Facility's location and file with the PSC in case 20-E-0249 pursuant to the PSC's Order in Case Number 20-E-0249. Prior to Agreement execution, Sellers will

⁷¹ 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>

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. NYSERDA will include the Bid Facility Name, Nameplate Capacity (MWac), Utility, NYISO Queue Position (if applicable), 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 NYSERDA.

7.8 Updated Project Schedule

If an awarded Bid Facility is under development, NYSERDA will request an updated Bid Facility Project Schedule six months after the Bid Proposal was submitted, revisiting key development milestones throughout that period. Awardees must update all project schedule details previously provided in the Bid Proposal via the Project Schedule tab, Section VI of Attachment D Bid Data Form and provide an update to NYSERDA through the Salesforce Portal.

Proposers shall include a narrative that describes progress since the project schedule was submitted as part of the Step Two Bid Proposal. If the awarded Bid Facility is Operational, an updated Project Schedule will not be required.

7.9 NYISO Waiver for Project-Specific Capacity Accreditation Resource Class (CARC)

If awarded under the Index REC Settlement methodology, the Seller will be required to waive confidentiality with the NYISO for the term of the Contract Tenor, as to NYSERDA, in order for NYSERDA to obtain the project-specific CARC used in the settlement calculations.

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 RESRFP24-1. Proposers that were previously awarded a Tier 1 REC Agreement are also recommended to closely review Section 2.1 and 2.2 of RESRFP24-1. The Agreement is a legally binding document; it is recommended that Proposers consult with an attorney prior to submitting a Step Two Bid Proposal.

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.

8.1 Proposed Edits to the Agreement

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.

Articles, Schedules and Exhibits of the Agreement to which NYSERDA also does not intend to entertain redlines or negotiate edits include but are not limited to:

- Article VIII: Assignment and Change of Control;
- Article IX: Seller's Representations, Warranties and Guarantees;
- Article X: NYSERDA's Representations, Warranties and Guarantees;
- Article XI: Indemnification;
- Article XII: Insurance;
- Article XV: Contract Security;
- Article XVIII: Additional Provisions; Schedule 2;
- Exhibit B: Letter of Credit; and
- Exhibit J: Project Labor Agreement Requirements.

NYSERDA does not intend to make any material changes to the Agreement.

If a Proposer wishes to propose any material change(s) to the Agreement that would result in a re-issuance, any such suggested change(s) should be submitted as soon as possible and in any event **no later than July 8, 2024, via email to res@nyserdera.ny.gov**. Any such proposal should indicate why the change would be beneficial to New York State (e.g., it will enable lower Bid Prices, make it more likely for Bid Facilities to be timely completed, etc.) rather than merely how it would benefit the Proposer. As per the above, NYSERDA does not currently intend to make any material changes and will not consider any proposed material changes after this time.

Proposers may submit other, non-material, requested changes to the Agreement at any time up until and including submission at the Step Two Deadline, but any requested change must be categorized as follows with a clear justification for the requested change:

- a) Fixing an error or ambiguity that could be problematic for the ability of the Bid Facility to proceed through financing and construction. NYSERDA will fix these errors or unwarranted ambiguities where NYSERDA determines in its sole discretion that a change is warranted.

- b) An improvement to the clarity or implementation of the Agreement to enable smoother financing or administration and/or to avoid unnecessary disputes. NYSERDA will consider any such proposed changes in good faith but reserves the right not to make any changes of this nature.

8.2 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.

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 Contract Award

NYSERDA anticipates making one (or multiple, as it applies to solicitation) award(s) under this solicitation. A contract may be awarded based on initial applications and Bid Proposals without discussion, or following limited discussion or negotiations. Each Bid 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 RESRFP24-1 Standard Form 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 on the Agreement. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

9.5 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 or the presence of a material possibility of any reputational or legal risk in extending an award to such Proposers.

9.6 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

9.7 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.

9.8 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.

9.9 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.

9.10 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.

9.11 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.

9.12 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.

9.13 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 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.

9.14 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 RESRFP24-1 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.



Large-Scale Renewables
Request for Information RESRFI24-1
RFI Release Date: April 29, 2024

Responses Due: Monday, May 13, 2024, by 3:00 PM Eastern Prevailing Time

The purpose of this Request for Information (RFI) is to invite external stakeholders to review and comment on the proposed schedule and key elements of the upcoming NYSERDA competitive solicitation for Renewable Energy Standard Tier 1 Certificates (RECs), referred to herein as RESRFP24-1. After receiving and reviewing feedback on this RFI, NYSERDA plans to release RESRFP24-1 in Q2 2024, with awards intended to be made in either Q4 2024 or Q1 2025, as further described below.

NYSERDA does not intend to publish responses to this RFI. **However, if you wish for your responses to remain confidential, please mark them “Confidential” or “Proprietary,” in accordance with the procedure described below.** If NYSERDA receives a request from a third party for responses received that have been marked “Confidential” or “Proprietary,” NYSERDA will process such request under the procedures provided by New York State’s Freedom of Information (FOIL) regulations, as detailed below (see foil@nyserderda.ny.gov for additional information). The FOIL provides 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.” Information submitted to NYSERDA that the disclosing party wishes to have treated as proprietary and confidential trade secret information should be identified and labeled “Confidential” or “Proprietary” on each page at the time of disclosure. This information should include a written request to 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.

Respondents are not required to answer all questions and should focus on questions relevant to their participation in RESRFP24-1 and/or their field(s) of interest or expertise.

Comments responding to this RFI are due by Monday, May 13, 2024, at 3 p.m. ET, and must be sent to res@nyserderda.ny.gov with the subject line “RESRFI24-1 Comments” **and marked as confidential** where applicable. NYSERDA may reach out to respondents to seek clarifications. Any questions about this RFI or requests to discuss this RFI should be directed in writing to res@nyserderda.ny.gov, but NYSERDA may also at its sole discretion at any time also elect to engage in discussions with potential respondents and interested parties regarding the matters described in this RFI.

I. Background and Objectives

This RFI builds upon RESRFP23-1,¹ 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),² and New York’s 10-Point Action Plan,³ all of which include elements and guidance that NYSERDA is considering as part of RESRFP24-1.

Under the Climate Leadership and Community Protection Act (Climate Act), New York State has adopted some of the most ambitious clean energy goals in the nation, including an annual Tier 1 solicitation target of 4,500,000 megawatt-hours for each year 2021 through 2026, to support the generation of 70% of New York’s electricity from renewable energy sources (such as solar and wind) by 2030 (“70x30”). Achieving this goal will require aggressive development timelines that considers both the existing and future renewable energy project development pipeline, as well as supply chain, workforce, financing, and construction considerations.

The contemplated aim of RESRFP24-1 would be to prioritize projects sufficiently mature in their development to advance timely progress towards the achievement of New York’s 70x30 target. As further described in this RFI, this could entail the retention and/or introduction of measures to the solicitation process that would simplify and expedite the evaluation of bid proposals and/or modify the threshold requirements that projects must meet to be eligible for evaluation and award. The objective of this RFI is to invite external stakeholder feedback on the proposed structure and timing of RESRFP24-1 to help inform NYSERDA’s planning around the drafting and timing of such a request for proposals (RFP) prior to issuance.

Feedback is primarily sought from potential RESRFP24-1 proposers (Proposers, parties interested in submitting a bid to RESRFP24-1) and welcomed from all interested stakeholders. This RFI refers to potential characteristics of RESRFP24-1. However, all aspects of any proposed RFP, including any features described or not described herein, may be altered, removed, or otherwise changed at the sole discretion of NYSERDA.

II. Content of Response

Responses should be concise and focus on areas in which the respondent has a particular interest or expertise. Responses should be limited to 10 pages or less. Respondents do not need to answer all questions but focus on questions relevant to their participation in RESRFP24-1 and/or their field(s) of expertise.

Responses should include, and NYSERDA reserves the right not to review or consider responses that do not include, the following information and items:

¹ <https://www.nyserdera.ny.gov/ces/rfp>

² Case 15-E-0302, Order Denying Petitions to Preserve Competitive Renewable Energy Market and Protect Consumers (issued on October 12, 2023).

³ <https://www.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Programs/Offshore-Wind/10-point-plan.pdf>

- Respondent’s name, affiliation, title, and primary contact information.
- Identify and provide general background about your organization, noting whether your organization is a potential Proposer into RESRFP24-1 and/or future NYSERDA RES RFPs generally.
- Each page of the response should include a header stating the name of the respondent.
- Where applicable, comments should include the RFI Section and/or question number to which it refers.
- Respondents should designate information intended to remain confidential as “Confidential” or “Proprietary.” Respondents should not mark their entire response as “Confidential” or “Proprietary” unless there is no content whatsoever that is not confidential.

III. Specific Elements/Questions for Stakeholder Feedback

A. RESRFP24-1 Participation and Schedule

NYSERDA is seeking feedback on the preferred schedule and key solicitation deadlines relating to RESRFP24-1. To comply with Orders and Implementation Plans issued in Commission Case 15-E-0302, each Tier 1 solicitation must have a two-step process: an eligibility step (Step One) and a bid proposal step (Step Two). To comply with New York State procurement rules, a minimum of 15 business days must elapse between release of RESRFP24-1 and the date on which proposals into RESRFP24-1 are due. Evaluation of bid proposals in RESRFP24-1 is expected to require a minimum of approximately eight weeks, with finalization of the award group by NYSERDA, in consultation with Department of Public Service staff, carried out promptly thereafter. NYSERDA is currently authorized to continue issuing annual Tier 1 solicitations through 2026.

Earliest RESRFP24-1 Timeline

The earliest expected RESRFP24-1 issuance date is in late May 2024, to allow for NYSERDA to complete drafting and preparation of the RFP after receiving feedback from this RFI. Under this timeline:

- Step One Eligibility Applications could be due as early as late June 2024;
- Step Two Bid Proposals could be due as early as late July 2024; and
- NYSERDA could notify conditional awardees as early as October 2024.
- Contracts would be expected to be signed within 90 days of the receipt of a conformed agreement from NYSERDA following award, i.e., by January-February 2025.

NYSERDA is prepared to issue RESRFP24-1 with this schedule, and is specifically seeking feedback to determine if these deadlines would 1) align with any key development milestones expected to be achieved in 2024 for proposers seeking to participate in RESRFP24-1, and 2) if the schedule allows for sufficient time to prepare a Step Two Bid Proposal by late July 2024, with respect to other proposed RESRFP24-1 key elements detailed in this RFI.

Alternative RESRFP24-1 Timeline

NYSERDA has also identified potential merits to setting a Step Two Bid Proposal submission deadline in October 2024, with award notifications occurring in December 2024/January 2025 (and contracts expected to be signed in Spring 2025), due in part to the current schedule of the NYISO Class Year Study (CY23). The CY23 schedule currently anticipates completing its CY23 report for the NYISO Operating Committee's review by September 2024, and completing CY23 between December 2024 and February 2025.⁴

Accordingly, the alternative RESRFP24-1 timing option described above could allow for potential Proposers with projects being studied in CY23 to (1) have greater visibility into their expected upgrade costs prior to submitting a Bid Proposal, and (2) re-assess the viability of their Bid Proposal(s) in light of CY23 results prior to the completion of RESRFP24-1, if warranted.

NYSERDA seeks stakeholder feedback on the following:

1. *Level of Interest.* What is your level of interest in submitting a bid to RESRFP24-1? For respondents with more than one project under development potentially eligible to bid into a NYSERDA RES RFP, which project(s) would you be interested in bidding into RESRFP24-1? Proposers should reference NYSERDA's proposed Minimum Threshold Requirements outlined in Section C of this RFI.
2. *Bid Submission Timing.* Please explain what timeline for RESRFP24-1 (earliest or alternative) is preferable and what variations, if any, on the timeline described above would be preferable for your project(s) and conducive to your ability to 1) complete and submit a Step Two Bid Proposal and 2) proceed with your preferred project development schedule for projects that may be bid to RESRFP24-1.
3. *Timeline Preference.* Which timeline for proposal submission, award and contracting described above would be preferred to facilitate the development of the project(s) considered for participation in RESRFP24-1? Please explain the preferred timing and reference any applicable factors (e.g., timing considerations for the 2024 and 2025 construction seasons, NYISO Class Year/Cluster Study decisions, potential updates to the federal funds rate,⁵ the potential for revocation of the Section 201 bifacial solar panel tariffs exemption⁶, permitting and/or site control considerations, etc.), and include potential cost/logistical/other impacts of any deviation from these preferred dates, if applicable.

B. Bid Facility/REC Eligibility

NYSERDA intends to modify its eligibility requirements to prohibit previously awarded projects that failed to execute NYSERDA's RES Standard Form Agreement from participating in RESRFP24-1. As such, NYSERDA intends to impose updated eligibility requirements that would preclude Proposers from submitting a Step Two Bid Proposal for a project that received a NYSERDA award

⁴ [Order No. 2023/2023-A Compliance Update](#), NYISO Transmission Planning Advisory Subcommittee (TPAS), April 1, 2024

⁵ Federal Open Market Committee Meetings: <https://www.federalreserve.gov/monetarypolicy/fomccalendars.htm>

⁶ [US plans to restore tariffs on dominant solar technology](#), April 2024

under either RESRFP22-1 or RESRFP23-1 and failed to execute such awarded NYSEDA agreement. However, a project whose award under RESRFP22-1/RESRFP23-1 was subsequently rescinded by NYSEDA or that was ultimately found by NYSEDA to have been ineligible for the RFP under which it was originally purported to have been awarded would not be affected by this requirement and would be permitted to submit a Step Two Bid Proposal to RESRFP24-1.

Tier 1 RECs that are already committed to NYSEDA or any other entity pursuant to an existing award or contract (Encumbered Tier 1 RECs) will not be eligible for award in RESRFP24-1. As such, a Bid Proposal in RESRFP24-1 should not include any Encumbered Tier 1 RECs in the Bid Quantity or Bid Quantity Percentage. For example, a Bid Proposal with a Bid Quantity Percentage of 100% should have 100% of the Tier 1 RECs to be produced by the Bid Facility free and unencumbered for purposes of sale to NYSEDA during the Contract Delivery Term of the NYSEDA Tier 1 REC Purchase and Sale Agreement and should withdraw from or otherwise terminate any award or contract that creates Encumbered Tier 1 RECs. NYSEDA will require adjustment of the Bid Proposal's Bid Quantity and Bid Quantity Percentage in a manner that will remove any Encumbered Tier 1 RECs from the Bid Quantity and Bid Quantity Percentage as a condition to eligibility and consideration for award.

4. *Eligibility Feedback:* Would these revisions to the RESRFP24-1 eligibility requirements affect your potential participation in the solicitation?

C. Minimum Eligibility Thresholds

NYSEDA updated several Minimum Threshold Requirements in RESRFP23-1 to ensure that projects submitting a Step Two Bid Proposal were sufficiently advanced through key project development milestones. NYSEDA is considering retaining or modifying the Minimum Threshold Requirements for RESRFP24-1, subject to respondent feedback. Minimum Threshold Requirements for RESRFP24-1 not noted in this document are also subject to change, and NYSEDA invites feedback on other threshold requirements if they are of interest to respondents.

Interconnection: The RESRFP23-1 Minimum Threshold Requirement for Interconnection was that the proposed Bid Facility have a valid NYISO interconnection request and a NYISO Facilities Study in progress (or equivalent for adjacent control areas), or to have reached a later stage in the NYISO interconnection process (or equivalent). NYSEDA is considering retaining this threshold or modifying it to expand eligibility to projects that have a valid NYISO interconnection request and NYISO Facilities Study in progress (or later stage), or projects that are active in the NYISO Transitional Cluster Study following the Physical Infeasibility Screen (or equivalent for adjacent control areas).

Permitting: The RESRFP23-1 Minimum Threshold Requirement for Permitting Viability was to demonstrate 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. NYSEDA intends to retain this threshold but encourages feedback from respondents as to whether this threshold would restrict the participation in RESRFP24-1 of otherwise mature projects.

Agricultural and Forested Land: NYSERDA intends to continue evaluating projects based on their potential impacts to agricultural and forested land as demonstrated in a submitted Smart Solar Siting Scorecard. NYSERDA also intends to introduce new elements to the Smart Solar Siting Scorecard, including (1) integrating an on-site assessment of the proposed site of participating solar facilities to assess potential impacts on forested lands, and (2) providing proposers with access to the forested land carbon stock data/maps for use in evaluating forested lands' impacts where applicable to inform potential site optimization.⁷

Other Minimum Threshold Requirements: NYSERDA is not currently considering materially modifying the Minimum Threshold Requirements for the following categories: Energy Deliverability, Peak Coincidence, Project Development, Financing and Creditworthiness, Site Control, Community Engagement, Resource Assessment and Energy Production Estimate, Emissions and Embodied Carbon, Climate Resiliency.

5. *Interconnection Minimum Threshold:* Do you intend to participate in the 2024 NYISO Cluster Study? If yes, how many projects/how much renewable capacity do you plan to submit for inclusion in the 2024 NYISO Cluster Study?
6. *Other Minimum Eligibility Threshold Feedback:* Would these revisions to the RESRFP24-1 Minimum requirements affect your potential participation in the solicitation? Respondents are encouraged to detail any specific benefits or risk associated with the retention of existing minimum eligibility thresholds or proposed modifications.

D. Contracting

In RESRFP23-1, Proposers were encouraged to submit any proposed redlines of the issued Standard Form Agreement in parallel with bid proposals, allowing NYSERDA to commence review of contract redlines in parallel with bid evaluation. This approach was intended to accelerate the process of contract negotiations such that contracts can be signed more promptly after bid evaluation is complete. NYSERDA intends to maintain this approach for RESRFP24-1.

NYSERDA also intends to implement changes to the post-award process, including shortening the time period after which NYSERDA would be entitled to draw on the contract security of awardees who fail to execute an awarded REC Agreement from the current period of 180 days following the receipt of a conformed agreement from NYSERDA to a period of 90 days following such receipt.

As noted above, NYSERDA will consider feedback on the Standard Form of Agreement issued with RESRFP24-1. However, to ensure fairness to all Proposers and to enable timely execution of agreements, NYSERDA does not intend to negotiate material changes to agreement terms with awardees. Articles, Schedules and Exhibits of the [RESRFP24-1 Standard Form Agreement](#) to which NYSERDA does not intend to entertain redlines or negotiate edits include but are not limited to: Article VIII: Assignment and Change of Control; Article IX: Seller's Representations, Warranties and Guarantees; Article X: NYSERDA's Representations, Warranties and Guarantees;

⁷ [NYS Agricultural Technical Working Group Solar Scorecard Specialist Committee April 5, 2024 Presentation](#)

Article XI: Indemnification; Article XII: Insurance; Article XV: Contract Security; Article XVIII: Additional Provisions; Schedule 2; Exhibit B: Letter of Credit; and Exhibit J: Project Labor Agreement Requirements.

7. *Contracting Process*: Would the above approach to the RESRFP24-1 contracting process affect your potential participation in the solicitation?
8. *Non-Editable Terms*: Is there any reason NYSEDA should entertain edits to any of the above-listed Articles, Schedule and/or Exhibits? If so, please explain your reasoning with reference to the specific terms that you believe may need to be edited.

E. Other Elements of RESRFP24-1

In part to minimize the time required to prepare RESRFP24-1 and to facilitate construction during the 2024 construction season, **NYSEDA expects that RESRFP24-1 would follow the structure of RESRFP23-1**, with the key potential adjustments described below. Respondents are encouraged to respond with feedback on each of these items, describing whether the potential changes are appropriate or if a different approach would be preferable.

Simplified Two-Step Process: NYSEDA intends to maintain a streamlined process for intaking Step One Eligibility Applications, issuing Notices of Qualification to eligible Proposers, and intaking Step Two Bid Proposals, managed through the third-party solicitation website that has been used to run previous NYSEDA Tier 1 solicitations.

Energy Storage: RESRFP23-1 did not allow for Proposers to submit bid proposals with paired (co-located or separately located in New York State) energy storage facilities to support the solicitation's accelerated timeline. NYSEDA is considering whether this change should be retained for RESRFP24-1, or whether Bid Facilities will be permitted to submit bid proposals with paired energy storage facilities.

Inflation Risk-Adjusted Proposals: NYSEDA intends to maintain the optional Inflation Risk Adjusted Proposal (IRAP) Alternate Bid Proposal option, allowing Proposers to submit a 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 or indices subsequent to the Step Two Bid Proposal deadline. In prior solicitations, the index used to implement this one-time adjustment for awarded IRAP bid proposals was the PPI All Commodities⁸ index. NYSEDA is considering whether the exclusive use of this index should be re-considered either in RESRFP24-1 or in future solicitations in order to more accurately align with potential changes to the major cost components of large-scale renewable projects. Specifically, for greenfield wind and solar projects, NYSEDA is considering adopting a modified version of the formulas described in NYSEDA's Comments on Petitions Requesting Price Adjustments to Existing Contracts⁹ in Section 4.3 (Analysis of Petitioners' Requested Relief – Requested Relief – ACE NY), with various adjustments in line with the discussion in Section 4.5

⁸ U.S. Bureau of Labor and Statistics (<https://www.bls.gov/data>), Series ID WPU0000000, PPI Commodity data for All commodities, not seasonally adjusted.

⁹ [NYSEDA Comments on Petitions Requesting Price Adjustments to Existing Contracts](#), filed 8/28/2023, New York State Department of Public Service [Case Number 15-E-0302](#)

(Policy Considerations Associated with Petitioners' Requested Relief) of NYSERDA's comments. For projects other than greenfield solar and wind projects, NYSERDA is considering retaining the option to utilize the PPI All Commodities index. NYSERDA is interested in respondents' feedback as to what indices, including technology-specific indices, would be most appropriate to make available for potential proposers interested in submitting an IRAP bid proposal. NYSERDA also seeks feedback on how NYSERDA should forecast these indices for evaluation purposes, to ensure that proposals that utilize different indices as well as feedback on the level of transparency in this area is appropriate to provide to participating proposers. Lastly, NYSERDA seeks feedback on the level of importance of the IRAP mechanism for RESRFP24-1, which could be less critical given the maturity of the projects eligible for this solicitation.

Cost of Capital-Adjusted Proposals: NYSERDA is considering other potential adjustments that could be introduced to allow for awarded Tier 1 REC Agreements to include one-time price adjustments to account for changes to market cost of capital. Respondents are encouraged to review the proposed Cost of Capital Adjustment detailed in [Appendix A of the 2024 Offshore Wind Request for Information](#) and respond with feedback if this type of adjustment would be of interest for bid proposals submitted to RESRFP24-1 and if so, how it would reduce project risk and overall costs for ratepayers.

Energy Deliverability and Portfolio Risk Factors: NYSERDA intends to maintain its process of enlisting an independent party to perform curtailment modeling to assess potential impacts on operating, under development, and contracted large-scale renewable projects in New York State prior to advancing an award group.

Economic Benefits: NYSERDA intends to maintain the structure and eligibility of the Incremental Economic Benefits to New York State non-price evaluation category utilized in RESRFP23-1, including weighting of long-term and short-term benefits, benefits to DACs and MWBEs, and eligibility of expenses that have occurred since the launch of the first Tier 1 RFP: June 2, 2017.

Contract Security: NYSERDA intends to maintain the initial and ongoing contract security requirements for awarded Bid Facilities introduced in RESRFP23-1, which include the requirement to deposit additional contract security with NYSERDA in order to extend a Bid Facility's Commercial Operation Milestone Date (COMD).

Climate Resiliency: NYSERDA is considering requiring regular updates and contractual commitments to implement climate adaptation and resiliency strategies committed to by proposers in their submitted bid proposal(s). These may include enhanced design standards/best industry practices, enhanced requirements for accounting for long-term climate projections when completing resource assessments and energy production estimates for proposed projects, as well as new reporting requirements for awarded proposers to report to NYSERDA during the operating period of projects how the owner is tracking and accounting for potential climate and meteorological changes that may affect the generation of the project.

Other Elements: NYSERDA is not planning to make material changes to the following provisions included in RESRFP23-1: Buy American/Domestic Steel technology-specific requirements, Prevailing Wage and Labor Peace Agreement requirements, Host Community Benefit Payment requirements per Commission [Case 20-E-0249](#), agricultural land avoidance and mitigation

payment requirements, and the requirement that all solar projects adopt and employ the provisions of the NYS Department of Agriculture and Markets [Guidelines for the construction and operation of solar projects](#).

9. *Inflation Risk-Adjusted Proposals and Cost of Capital-Adjusted Proposals*: Would you be interested in submitting a bid proposal with one or both of these potential, optional one-time adjustments? Why or why not? Given that projects eligible for RESRFP24-1 are expected to be relatively mature, how important are these adjusters for this solicitation? Proposers should note that the IRAP adjustment included in RESRFP23-1 requires three months of data post-commencement of construction to be published before NYSERDA can effectuate the one-time adjustment.
10. *Design Elements*: Are the above proposed elements of the design of RESRFP24-1 appropriate? Why or why not? Would any affect your potential participation in the solicitation? If so, how? Respondents are encouraged to provide feedback on some or all of the elements described above based on their applicability to the proposer and bid facilities planned for participation in RESRFP24-1.

F. Other Considerations for RESRFP24-1

Respondents are encouraged to identify any other issues that NYSERDA should consider in its design of RESRFP24-1, while bearing in mind (i) the priority of advancing timely progress towards achievement of New York's 70x30 target, (ii) the bounds of Commission orders that prescribe how RES RFPs must be evaluated, (iii) legislation mandating inclusion of certain provisions (e.g. labor-related requirements) in NYSERDA's RES RFPs, (iv) the ability of Proposers to prepare and NYSERDA to evaluate bids into the RFP on an accelerated timeline, and (v) requirements of New York State procurement law.

11. *Other Considerations*: What other elements could be introduced to RESRFP24-1 to support the achievement of NYSERDA's program objectives?

IV. General Conditions

The information gathered by NYSERDA will be advisory only and is not binding on NYSERDA or any other state agency, office, commission, or public authority. Responses will become the property of NYSERDA. Any actions recommended by NYSERDA will be subject to all applicable laws, including procedural, regulatory and environmental review requirements.

This RFI is neither a contract offer, nor a request for proposals and does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response, or to procure or contract for services or supplies. Respondents are encouraged to respond to this RFI; however, failure to submit a response will not impact a Respondent's ability to respond to any future competitive solicitation process (if any) for projects, or influence the selection of a service provider going forward or affect its rights and obligations under any applicable laws or in any legal proceeding. NYSERDA reserves the right to discontinue or modify the RFI process at any time, and makes no commitments, implied or otherwise, that this process will result in a business transaction or negotiation with one or more Respondents. All costs associated with responding to this RFI will be solely at Respondents' expense.



NY Green Bank
A Division of NYSERDA

Community Decarbonization Fund RFP 23:

**Financing for
Disadvantaged Community Lenders
Request for Proposals**

RFP No. 23
April 2023

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1 Introduction

1.1 Community Decarbonization Fund Overview

NY Green Bank (“**NYGB**”), a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), invites Eligible Applicants (See [Section 2.1](#)) actively working (or developing plans) to deploy capital into efficiency-first decarbonization projects that consider energy affordability and benefit disadvantaged communities (“**DACs**”)¹ and affordable housing in New York State (“**NYS**”) to submit proposals (each, a “**Proposal**”).

Under the Community Decarbonization Fund (“**CDF**”), NYGB expects to deploy \$250MM of concessionary capital from 2023 through 2027 by making loans to Eligible Applicants, starting at a minimum of \$2MM to maximum of the lesser of (i) \$25MM or 20% of an Eligible Applicant’s total capitalization. Illustrative terms and conditions of loans made pursuant to this RFP can be found in [Appendix 1](#).

NYGB is seeking to support lenders that demonstrate success and ongoing capabilities originating, underwriting, and managing: (i) project financings in DACs, (ii) affordable housing, and/or (iii) small businesses in DACs, and are looking to expand existing lending activity to clean energy and sustainable infrastructure projects and businesses with a focus toward efficient building decarbonization and energy affordability that both reduce greenhouse gas (“**GHG**”) emissions and deliver benefits to DACs in NYS. Expanding engagement with DACs and community access to building decarbonization are core to the intent of the CDF and are aligned with the equity goals and mandates of the Climate Act and Scoping Plan. Funding will be prioritized for programs and uses that follow an efficiency-first approach (e.g., weatherization, load reduction, etc.) that maximize bill savings, improve comfort, and result in healthy, clean, and resilient buildings communities with consideration to energy affordability. Lenders seeking financing outside the scope of this offering are encouraged to submit proposals under NYGB’s RFP 1.

This RFP will remain until the \$250MM capitalization has been fully allocated and responses will be evaluated on a rolling basis. See [Section 2](#) for eligibility requirements and [Section 4](#) for further detail on the proposal submission and evaluation process.

NYGB hosted a webinar about this solicitation on May 11, 2023. A link to the recording can be found on NYGB’s website [here](#).

1.2 NYGB Background

NYGB was initially capitalized with \$1 billion to accelerate clean energy and sustainable infrastructure deployment in NYS. NYGB 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 models unfamiliar to banks and institutional investors, and/or deal structuring and underwriting complexities. NYGB collaborates with the private sector to develop transaction structures and methodologies that other capital providers can readily replicate and scale. As capital providers “crowd in” to an area within the sustainable infrastructure landscape, NYGB moves on to other areas where private sector interest and activity have yet to be spurred.

The Climate Leadership and Community Protection Act (“**CLCPA**”) requires state agencies, authorities, and entities, to the extent practical, to invest or direct resources in a manner designed to deliver no less than 40% of overall benefits from spending on clean energy and energy efficiency programs to DACs. In addition, DACs are required to receive no less than 35% of the overall benefits of such spending on clean energy and energy efficiency programs. As a division of NYSERDA and a key component of the State’s Clean Energy Fund (“**CEF**”), NYGB will contribute to the achievement of these targets by committing at least 35% of its capital on a go-forward basis from January 1, 2020, to projects that create benefits for DACs. NYGB’s DAC investment activity aims to deliver the best emission reduction and sustainable energy outcomes for historically marginalized communities in NYS. NYGB is expanding its investment approach to prioritize historically underserved New Yorkers with an initial focus on building electrification and affordable housing as demonstrated by its interim targets to invest \$100MM into the electrification of buildings (including non-residential facilities) that are located in DACs or used by DAC residents and to invest \$150MM into high-performance affordable housing properties.

This strategy for advancing DAC investments is heavily informed by the findings of a stakeholder engagement process conducted from December 2021 to April 2022 and summarized in its [Amended Annual Plan 2021 - 22](#). Many stakeholders recommended the creation of a dedicated funding pathway that would provide capital on concessionary terms to third party financial intermediaries experienced in working with DACs. NYGB has responded to this market need with the creation of the Community Decarbonization Fund.

¹ As defined under the final rules adopted pursuant to New York State’s Climate Leadership and Community Protection Act of 2019. For more information see: <https://climate.ny.gov/resources/disadvantaged-communities-criteria/>

2 Eligibility Requirements

The Proposal must demonstrate that the Proposing Entity meets the: a) eligible applicant criteria listed in [Section 2.1](#), and b) is lending to projects that satisfy the eligible project criteria listed in [Section 2.2](#).

2.1 Eligible Applicant Criteria

Eligible Applicants must be one of the following:

- A certified Community Development Financial Institution ("CDFI"), including:
 - Community Development Banks
 - Community Development Credit Unions
 - Community Development Loan Funds
 - Community Development Venture Capital Funds
- A specialty lender, defined as a 501(c)(3) non-profit organization or government-chartered institution or public housing agency with a mission that includes developing, managing, or investing in:
 - Affordable housing solutions;
 - Cooperatives;
 - Clean energy projects; and
 - Contractors
- A for-profit subsidiary of any of the categories listed above, provided that the for-profit subsidiary is operating exclusively in support of the tax-exempt or municipal mission of the parent entity.

2.2 Eligible Project Criteria

Eligible Applicants must be able to demonstrate that they lend to Eligible Projects which:

1 Provide DAC Benefits:

Eligible Projects are deemed to provide DAC Benefits if they satisfy one or more of the following requirements:

- (a) 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").
- (b) Not located in a DAC census tract but:
 - i. Project involves a residential building where at least 50% of the housing units are restricted upon initial occupancy to households making 80% AMI or less via a regulatory agreement with a public agency; or
 - ii. Project involves a building that has a demonstrable impact on households making 80% AMI or less or a vulnerable population (e.g., a facility that predominantly serves such households such as a Federally Qualified Health Center or a multi-service center operated by a non-profit organization).

2 Are located in NYS;

3 Are focused on interventions that follow an efficiency-first approach (e.g., weatherization, load reduction, etc.) that maximize bill savings, improve comfort, and result in healthy, clean, and resilient buildings and communities with consideration to energy affordability or otherwise contribute to GHG emissions reductions in support of NYS clean energy policies, including the CLCPA; and

4 Utilize an Eligible Technology (see [Appendix 2: Eligible Technologies](#))

Eligible Applicants can demonstrate that they lend to Eligible Projects by having:

- Either (i) a successful track record of delivering capital through the origination of successful, performing loans for buildings, businesses, and projects in DACs or (ii) a detailed and credible plan (consistent with the management team's experience and capabilities) to develop the capacity to participate in Eligible Project lending;
- Efficiency-first building decarbonization and energy affordability aligned offerings that utilize Eligible Technologies and lead to GHG emissions reductions supportive of CLCPA goals;
- Capacity to participate in Eligible Project lending in NYS; and
- Either (i) a pipeline of forward-looking opportunities of Eligible Projects in New York State or (ii) a detailed and credible plan (consistent with the management team's experience and capabilities) to develop such a pipeline.

3 Proposal Contents

Proposals must clearly and concisely address each of the topics of Sections 3.1 to 3.6. The failure to respond to a topic will render the Proposal incomplete and NYGB unable to proceed. Proposals tend to be 6 – 10 pages in length, excluding attachments. There is no requirement or constraint on Proposal length.

3.1 Required Disclosures

Please provide the following information labeled “Required Disclosures”:

Disclosure of whether any of the following instances are applicable, or confirmation that they do not apply. Failure to disclose an applicable Required Disclosure may render the Proposing Entity ineligible for NYGB investment. Disclose whether the Proposing Entity or any members of the Proposing Entity’s governing body (such as an officer, partner, or director):

- (a) Is the subject of an indictment for alleged felony or any conviction for a felony under federal or state laws in the last five years and the circumstances thereof; and/or
- (b) Has ever been disbarred or suspended by any agency of the United States Government or the NYS Department of Labor and the circumstances thereof.

3.2 Company and Management Team Credentials

Please provide the following information labeled “Company and Management Team Credentials”:

- (a) A brief overview of the Proposing Entity;
- (b) The identities of all parties to the Proposal
 - i. If Proposal includes a partnership of one or more entities – provide a description of the purpose and objectives of the partnership, the roles and deliverables of each entity, and all Proposal Contents requested in Section 3 for each entity;
- (c) Resumes, bios and/or LinkedIn profiles for the Proposing Entity’s management team;
- (d) As applicable, name(s) of agency/ies by which the Proposing Entity is regulated and/or insured;
- (e) A summary of the Proposing Entity’s underwriting, origination, and servicing process and experience;
- (f) Description of your business model/strategy (or attach a Business Plan); and,
- (g) Audited financial statements.

3.3 Portfolio

Please provide the following information labeled “Portfolio”:

- (a) Description of overall portfolio of loans/investments originated, including:
 - i. Portfolio loan loss rate over the past 1-, 3-, and 5-year periods and since inception; and
 - ii. Return on assets over past three years.
- (b) Description of the portfolio of projects that benefit DACs in NYS and elsewhere, including:
 - i. Volume and number of portfolio investments that benefit DACs;
 - ii. Description of DACs supported and benefits to DACs provided by portfolio investments; and
 - iii. DAC loan loss rate over the past 1-, 3-, and 5-year periods and since inception.
- (c) Description of experience investing in projects that reduce GHG emissions in NYS and elsewhere; and
- (d) Provide summaries of 2-5 relevant recent portfolio transactions. For each transaction, include:
 - i. Project scope;
 - ii. Technology type (if applicable);
 - iii. Transaction size;
 - iv. Borrower type; and
 - v. Estimated impact (potentially including GHG emission reductions and/or any of the benefits listed in [Section 3.6](#)).

3.4 Pipeline

Please provide the following information labeled “Pipeline”:

- (a) Describe Eligible Project investment activity currently underway. Include:
 - i. Volume and number of Eligible Project investments currently in pipeline. Specify the percentage (by both dollar volume and transaction count) of total pipeline that such transactions represent; and
 - ii. Redacted/abstracted summaries of 2-5 Eligible Project investments in pipeline. For each transaction, include:

1. Status of transaction process, and probability of closing based on prior track record;
 2. Project scope;
 3. Technology type;
 4. Transaction size;
 5. Borrower type; and
 6. Estimated impact (potentially including GHG emission reductions and/or any of the benefits listed in [Section 3.6](#)).
- (b) If the Proposing Entity does not have an active Pipeline of Eligible Projects, describe plans to expand investment Pipeline to include Eligible Projects. Identify and describe:
- i. Targeted origination strategy;
 - ii. Demonstrated demand for the Proposing Entity's capital; and
 - iii. Any existing relationships that are expected to support deal flow.

3.5 Capital Needs

Please provide the following information, labeled "Capital Needs":

- (a) Amount and source(s) of the Proposing Entity's initial capitalization and ongoing funding/income sources;
- (b) Value of current portfolio and pipeline;
- (c) Current liquidity situation and outlook;
- (d) Current debt and equity needs;
- (e) The Proposing Entity's reason for approaching NYGB rather than another capital provider for the proposed investment, including barriers that the Proposing Entity has faced in obtaining sufficient, appropriately priced capital;
- (f) Dollar amount the Proposing Entity is seeking from NYGB;
- (g) Description of how quickly the Proposing Entity could commit and deploy additional loans enabled by the proposed NYGB investment; and
- (h) Description of how proceeds from an NYGB investment would enable the Proposing Entity to expand its financing to interventions that follow an efficiency-first approach (e.g., weatherization, load reduction, etc.) that maximize bill savings, improve comfort, and result in healthy, clean and resilient buildings / communities with consideration to energy affordability or otherwise contribute to GHG emissions reductions in support of NYS clean energy policies, including the CLCPA specifically in or benefiting DACs.

3.6 Impact Measurement and Reporting Capability

NYGB collects and disseminates project and investment performance data (on an aggregated and anonymized basis) to facilitate improving investor confidence in addition to promoting standardization wherever possible to help drive down transaction costs. Proposing Entity will be required to assist with initial impact estimates and report on relevant metrics (such as those listed below) periodically during the term of the financing. Specific data reporting requirements will be determined prior to transaction execution.

Please provide the following information labeled "Impact Measurement and Reporting Capability":

- (a) Types of environmental or social data that the Proposing Entity collects from its borrowers.
- (b) Impact metrics that the Proposing Entity tracks for its investments, e.g.:
 - i. Bill savings or cost reductions for DAC residents
 - ii. Units of affordable housing created/preserved
 - iii. GHG emission reductions achieved and CO₂-equivalent reductions
 - iv. Local air quality improvements
 - v. Jobs created
 - vi. Improved comfort or value for building occupants/users
 - vii. Improved health outcomes
 - viii. Capital commitments and mobilizations by sector/end-user
 - ix. Other
- (c) Data collection process and calculation methodologies that the Proposing Entity employs to regularly evaluate and track the metrics listed above.
- (d) Acknowledgement by the Proposing Entity that the Proposing Entity will be required to deliver the agreed-upon impact data to NYGB within 30 days after the end of every quarter in all cases for at least the term of the financing.

4 Proposal Process and Evaluation

Proposing Entities are encouraged to contact NYGB before the submission of a Proposal to ensure alignment with NYGB's mission, mandate, and broad investment criteria, as well as RFP 23's specific eligibility criteria. To this end, please email us at InvestmentRFPs@greenbank.ny.gov and include "RFP No. 23" in the subject line. As noted in Section 4.1 below, direct communication will be limited after a Proposal is submitted and while it is under consideration.

4.1 Proposal Submission Process

Proposals must be submitted electronically via the online proposal submission system portal. Faxed, mailed, or e-mailed proposals will not be accepted. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. For detailed instructions on how to submit a proposal online, follow the instructions on NYGB's website (www.greenbank.ny.gov) under "Work with Us;" "RFP Resources;" "Instructions to Submit Service Provider Proposals."

If changes are made to this solicitation, an e-mail will be sent to the proposer's contact as listed in the Proposer Contact Information section of the NY Green Bank portal as part of the online submission process, and any modified documents will be posted on NYGB's website (www.greenbank.ny.gov) under "Work with Us;" "Open Solicitations;" "RFP 23: Community Decarbonization Fund."

If you have technical questions concerning this solicitation, contact one of the Designated Contacts: (i) InvestmentRFPs@greenbank.ny.gov; or (ii) David Davenport at david.davenport@greenbank.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at VeniceSolicitations@nyserda.ny.gov. Please include "NY Green Bank RFP 23" in the subject line of all e-mail communications.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Contacting anyone other than these Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement may result in a proposer: (1) being deemed a non-responsible offerer, and (2) not being awarded a contract.

4.2 Proposal Evaluation Process

Proposals will be processed and scored on a regular basis as they are received. Proposing Entities can generally expect an email response, including the result of Proposal scoring and any next steps if applicable, within two weeks after NYGB's receipt of Proposal. NYGB will close the solicitation at any point if it is determined that a satisfactory response has been received.

Proposals will be evaluated by a rotating committee of NYGB investment team members ("Scoring Committee"). Each Proposal will be reviewed to determine satisfaction of the Eligibility Requirements (Sections [2.1](#) and [2.2](#)), and if determined to be eligible, will be scored using the Evaluation Criteria in Section [4.3](#).

Scoring may result in one of three possible outcomes: Proposal is deemed "Passing" in which case NYGB will arrange for proposed transaction to move into NYGB's active pipeline; Proposal is deemed "Not Passing" because it is determined ineligible under RFP 23 or does not score highly across Evaluation Criteria, in which case Proposer may request further discussion of outcome and may resubmit Proposal at a later date should circumstances surrounding the transaction change; or "Additional Clarification/Information Required" if Scorers are unable to fully evaluate Proposal with the information provided, in which case NYGB will request additional information from Proposer, upon sufficient receipt of which the Scoring Committee will evaluate Proposal in full to reach a Passing or Non-Passing determination.

4.3 Evaluation Criteria

- a. Financial Strength, Portfolio & Performance; Does the applicant have acceptable financial strength (balance sheet), financial performance, portfolio performance, risk management policies and sound business model? Evaluation of:
 - i. Financial strength/standing;
 - ii. Overall investment performance;

- iii. Experience and volume of investment in projects that deliver benefits to DACs;
 - iv. Financial performance of DAC portfolio;
 - v. Describe experience and volume of investment in efficient building decarbonization, energy affordability, clean energy and sustainable infrastructure projects, with a preference for those located in NYS; and
 - vi. Impact of relevant portfolio investments indicated without limitation by:
 - o Types of energy improvements made, with a priority on energy efficiency, weatherization, electrification, and energy affordability, energy storage, and/or clean transportation;
 - o GHG emission reductions achieved/expected to be achieved; and
 - o Benefits delivered/expected to be delivered to members of DACs.
- b. Management & Experience: Evaluation of applicant's management team qualifications, both generally and specifically with respect to DAC and efficient building decarbonization and energy affordability, and clean energy/sustainable infrastructure lending experience and expertise.
- c. Readiness: Does the applicant have the resources or have a plan to develop the resources (e.g., staff, financial, partners, capital) needed to implement its strategy? Evaluation of:
- i. Readiness to launch underwriting Eligible Project lending and capacity to underwrite/close transactions and service them successfully.
 - ii. Impact- or sector-related mandates, mission, or other criteria that drive applicant's capital deployment decision-making.
- d. Renewable and Energy Efficiency Strategy: Does applicant have a *compelling strategy* to expand efficient building decarbonization financing products and services that benefit DACs, including but not limited to an affordable electrification strategy to mitigate energy cost shifting? Evaluation of the quality of the proposal including, but not limited to, its cohesiveness, conciseness, and clarity.
- e. Use of Funds: Does applicant have compelling proposed funding opportunities that will effectively advance its strategy in ways that otherwise would not be possible without CDF funding? Evaluation of the relative stage of strategy execution readiness, complexity to close, and monitoring and administrative intensity for Eligible Projects in the pipeline.
- f. Pipeline of Eligible Projects: Does applicant demonstrate a pipeline or a near-term plan to deliver a pipeline of Eligible Projects? Evaluation of:
- Total dollar value and number of Eligible Projects in the pipeline; and
 - Impact of pipeline indicated without limitation by:
 - o Types of Eligible Technologies utilized;
 - o GHG emission reductions expected to be achieved; and
 - o Benefits expected to be delivered to members of DACs
- g. Viability of plan to expand and grow the pipeline, including without limitation the strength of:
- Targeted origination strategy; and
 - Demonstrated demand for applicant's capital and existing relationships that support deal flow.

If applicant does not currently have a pipeline, how strong is its plan to build the organizational capacity to create a pipeline? Is this plan funded or are funding prospects identified? Is there a track record of the senior staff and/or organization building out new business line(s)?

- h. Impact Evaluation & Reporting: Does applicant have a solid track record of defining, evaluating, projecting, and tracking/reporting the impact of its investment activities? Evaluation of ability of applicant to track and record performance data against CLCPA targets and report that information to NYGB (at a minimum within 30 days after the end of every quarter) and in all cases for at least the term of the financing.
- i. Diversity Practices: Does applicant have the ability to meet NYSERDA goals with respect to deploying capital to minority- and women-owned business enterprises (MWBE) and service-disabled veteran-owned business enterprises (SDVOB)?

5 General Conditions

5.1 Costs & Expenses

Once a Proposal has been submitted to NYGB, satisfied the eligibility requirements under RFP 23, and scored favorably according to the evaluation criteria described above, the proposed transaction will move into NYGB's active pipeline. Then, if Proposing Entity and NYGB have preliminarily agreed upon general indicative transaction terms, they will execute an engagement letter providing that whether or not the proposed investment is closed, each party will be responsible for its own closing costs and expenses associated with preparation, due diligence, development, and administration of all investment-related documentation. Upon closing, Proposing Entities shall pay a \$5k closing fee, and a \$5k annual administration fee. There is no Commitment Fee on any undrawn amounts available under the CDF Loan during the first 12 months of the Availability Period, however a 0.50% per annum Commitment Fee shall apply to any undrawn amounts available under the CDF Loan during the second 12 months of the Availability Period.

5.2 Municipal Advisor Rules

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential Proposing Entities and the review of Proposals, to be arm's-length negotiations. NYGB recognizes that Proposers have financial and other interests that differ from NYGB; as such, NYGB does not consider a fiduciary relationship to arise in this context. NYGB has engaged an independent registered municipal advisor ("**IRMA**") with the intent of relying (i.e., taking into careful consideration, along with any other information deemed relevant or appropriate) on that IRMA for advice related to any potential transactions (but not bound to follow that advice), and consequently allowing Proposing Entities to qualify for the exemption provided by 17 CFR §240.15Ba1-1(d)(3)(vi) (the "**IRMA exemption**"). The name and contact information of the IRMA is listed on the NYGB website at www.greenbank.ny.gov/IRMA, and the IRMA is available to respond to any questions a Proposing Entity may have with respect to the IRMA's independence.

5.3 Proprietary Information

Among NYGB's goals is the promotion of standardization of material contract terms and structures and the collection of project performance data across NYGB transactions. NYGB is keenly aware that commercial markets and their incumbents value non-disclosure extremely highly to protect confidential transaction terms and other competitive information, and NYGB remains highly sensitized to usual and customary confidentiality practices. Nevertheless, as a division of NYSERDA, certain State laws specifically apply to NYGB; and it is recommended that careful consideration be given before confidential information is submitted to NYGB as part of any Proposal. Review should include whether it is critical for evaluating a Proposal and whether more general, non-confidential information may be adequate for review purposes. New York's Freedom of Information Law, Public Officers Law, Article 6 provides for public access to information NYSERDA and its divisions possess. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYGB that the Proposing Entity wishes to have treated as proprietary and confidential trade secret information should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.

5.4 Limitation

This RFP does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a Proposal or to procure or contract for services or supplies. NYGB reserves the right to accept or reject any or all Proposals received, to evaluate any Proposal received under any other open NYGB solicitation, including but not limited to NYGB's RFP 1, to negotiate with all qualified parties or to cancel in part or in its entirety this RFP.

Appendix 1: Summary of Indicative Terms and Conditions

This summary of indicative terms and conditions (the “**Term Sheet**”) summarizes the principal terms and conditions of potential loan facilities to be made available by NY Green Bank (“**NYGB**”), a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), to lending entities that meet the criteria of an “**Eligible Applicant**” as defined in [Section 2.1](#) (any such entity, a “**Borrower**”). The Term Sheet does not constitute an offer, commitment, or agreement by NYGB to enter into any loan facility or other investment with any party. The closing of a loan facility described herein shall be subject to, without limitation, the completion of satisfactory due diligence by NYGB, the execution of definitive documents satisfactory to NYGB and final credit approval by NYGB. The terms of the definitive documents for NYGB’s loan facility may differ substantially from the terms set forth herein based on due diligence, credit considerations and prevailing market conditions.

I. Transaction; Financing Parties	
CDF Loan	Multi-draw senior or subordinated loan facility for eligible Uses of Proceeds (as defined below) on terms that are satisfactory to the Lender
Lender	NYGB, a division of NYSERDA
Borrower	Eligible CDFIs and specialty lenders as described in the RFP
II. Principal Financing Terms	
CDF Loan Sizing	<ul style="list-style-type: none"> • Minimum: \$2,000,000 • Maximum: The lesser of (i) \$25,000,000 or (ii) 20% of a Borrower’s total capitalization
Security	CDF Loan will be fully recourse to the Borrower on a senior or subordinated basis, as the case may be.
Use of Proceeds	<p>The Borrower shall use proceeds solely to finance loans made by the Borrower to Eligible Projects (“Eligible Loans”). “Eligible Projects” are defined as projects that meet the following requirements:</p> <ol style="list-style-type: none"> 1. Support efficiency-first building decarbonization and energy affordability, energy storage, and/or clean transportation; 2. Contribute to greenhouse gas emissions reductions; 3. Benefit disadvantaged communities (“DACs”), as further described under “DAC Benefits” below; 4. Are physically located in New York State; and 5. Must use an Eligible Technology (see Appendix 2: Eligible Technologies)
DAC Benefits	<p>Eligible Projects are deemed to provide DAC Benefits if they satisfy one or more of the following requirements:</p> <ol style="list-style-type: none"> 1. 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”). 2. Not located in a DAC census tract but: <ol style="list-style-type: none"> a. Project involves a residential building where at least 50% of the housing units are restricted upon initial occupancy to households making 80% AMI or less via a regulatory agreement with a public agency; or b. Project involves a building that has a demonstrable impact on households making 80% AMI or less or a vulnerable population (e.g., a facility that predominantly serves such households such as a Federally Qualified Health Center or a multi-service center operated by a non-profit organization).

Advances	<ul style="list-style-type: none"> No more than one advance per quarter for one or more Eligible Loan. Borrower must certify that advances are for Eligible Projects and provide basic project information. After giving effect to the advance, at least 50% of cumulative CDF Loan advances must be allocated to Eligible Projects located in DAC census tracts as defined in item 1 of DAC Benefits.
Capital Recycling	Principal repayments from Eligible Loans will be tracked and accounted for in a restricted asset account (the " Principal Repayment Account "). The Borrower may draw on the Principal Repayment Account to fund new Eligible Loans associated with new Eligible Projects at any time (pursuant to the same certification and verification protocols governing advance requests), provided that after giving effect to the draw, at least 50% of cumulative CDF Loan advances must be allocated to Eligible Projects located in DAC census tracts as defined in item 1 of DAC Benefits
Availability Period	24 months from the closing date
Term / Maturity Date	12 years after the closing date
Interest Rate	1.50% per annum fixed interest rate on daily average balance, payable quarterly in arrears
Amortization	There will be no scheduled amortization and no prepayment penalty for prepaying the CDF Loan at any time. However, the CDF Loan is subject to a quarterly Principal Repayment Sweep (as defined below).
Principal Repayment Sweep	If the balance in the Principal Repayment Account is in excess of twenty percent [20%] of the then outstanding balance of the CDF Loan for two (2) consecutive quarters, the amount in the Principal Repayment Account that is greater than twenty [20%] percent of the outstanding balance of the CDF Loan will be used to repay the CDF Loan. ² The repaid Principal may not be reborrowed.
Reporting Requirements	<p>The Principal Repayment Sweep test will be conducted on a quarterly basis.</p> <ul style="list-style-type: none"> Financial Reporting <ul style="list-style-type: none"> Annual audited financial statements Quarterly: <ul style="list-style-type: none"> Compliance certificate Unaudited financial statements Summary report on the performance of the Borrower's Eligible Loan portfolio Individual non-performing loan report on any non-performing Eligible Loans or Eligible Loans on Borrower's watch list, each prepared in accordance with the Borrower's portfolio, credit and risk management policies and procedures including standard rating policy Covenant compliance reports for other senior lenders Impact Reporting <ul style="list-style-type: none"> Annual impact reporting on Eligible Projects funded with CDF Loan advances or Capital Recycling Prompt delivery of notices of default, material litigation, and material adverse changes
Fees	<ul style="list-style-type: none"> Closing Fee: \$5k Commitment Fee: <ul style="list-style-type: none"> None during the first 12 months of the Availability Period 0.50% per annum on any undrawn amounts available under the CDF Loan during the second 12 months of the Availability Period Administration Fee: \$5k annually

² The percentage of the balance assessed in the Principal Repayment Sweep is negotiable based on business strategy.

III. Other Terms	
Conditions Precedent	Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Lender.
Representations and Warranties	Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Lender (subject to exceptions and materiality thresholds acceptable to the Lender).
Affirmative and Negative Covenants	Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Lender (subject to exceptions and materiality thresholds acceptable to the Lender), including without limitation: <ul style="list-style-type: none"> • Lender's right to inspect books and records of the Borrower and meet with the Borrower's senior management upon reasonable notice • Maintenance of a Net Asset Ratio or similar liquidity covenant to be determined
Events of Default	Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Lender (subject to exceptions and materiality thresholds acceptable to the Lender), including without limitation cross-default to any senior debt or other material indebtedness.
Cure Period	<ul style="list-style-type: none"> • Interest & Fees payment defaults: 3 calendar day cure period • All other financial covenant defaults: 15 calendar day cure period • All other covenant defaults: 30 calendar day cure period
Default Interest Rate	4.00% per annum above the interest rate otherwise payable
Confidentiality	Usual and customary for facilities of this type, subject to (a) the Lender's public disclosure obligations under the New York State Freedom of Information Law, and (b) the Lender's right to publicly disclose a general transaction description and aggregated or anonymized data.
Expenses	Each party will be responsible for its own closing costs and expenses.

Appendix 2: Eligible Technologies

1. Building Electrification and Supporting Measures³, examples including but not limited to:
 - a. Heating and Cooling Load Reduction
 - i. Weatherization
 - ii. Windows
 - iii. Heat recovery ventilation
 - b. Clean Heating Technologies⁴
 - i. Air Source Heat Pumps
 - ii. Water Source Heat Pumps
 - iii. Ground Source Heat Pumps
 - iv. District thermal interconnection
2. Electric Vehicle Infrastructure (including charging stations)
3. Thermal and Electric Energy Storage
4. On-site Solar serving customer load when combined with one or more of the above listed Eligible Technologies

NYGB will consider other technologies that reduce greenhouse emissions, beyond those listed above. The Scoring Committee will assess whether a given technology is supporting New York State climate policy goals.

³ NYGB expects borrowers to monitor and evaluate building performance using acceptable industry benchmarking tools.

⁴ Multifamily buildings with 5 or more units must obtain an EPA ENERGY STAR Score >50 prior to installing heating and cooling electrification to ensure comfortable heat pump operation or be coupled with building envelope improvements (e.g., weatherization, insulation, windows, etc.) that would reasonably be expected to result in an EPA ENERGY STAR Score >50 post project completion.

NYSERDA Commercial and Industrial (C&I) Carbon Challenge

Funding Available: Up to \$10 million available

DESCRIPTION

The New York State Energy Research and Development Authority (NYSERDA) has \$10 million of incentives available to support decarbonization project portfolios for large Commercial and Industrial customers across New York State. All projects must demonstrate greenhouse gas emissions savings and be installed within a 3-year implementation period. Eligible projects include, but are not limited to, energy efficiency improvements, retrofits, clean heating and cooling, carbon capture, utilization and storage (CCUS), industrial process emission reduction, and on-site renewable energy systems.

The Commercial and Industrial (C&I) Carbon Challenge provides incentives for projects at eligible New York State commercial, industrial, and institutional entities on a competitive basis. Applicants are required to identify a carbon savings goal and the projects they will complete to meet that target. The carbon savings goal must be at least 25,000 mtCO₂e. Available awards range from \$500,000 to \$3.75 million. Award amounts are determined by the size of the carbon savings goal.

NYSERDA is especially interested in maximizing the impact of the available funding by coordinating with federal funding programs that support greenhouse gas reduction. Applicants who are currently receiving or have applied for federal support for greenhouse gas reduction projects are strongly encouraged to apply.

At least 30% of the applicant's greenhouse gas savings come from utilization of low-carbon fuels, onsite CCUS, industrial process emission reduction, and/or beneficial electrification projects

- Beneficial electrification is defined for the purposes of this program as the utilization of electricity for activities that would otherwise consume fossil fuels.
- Industrial process emissions are those generated from physical or chemical changes to materials in the manufacturing process, unrelated to the consumption of energy

Applicants will indicate on Attachment B whether a particular project falls into one the four required project categories, but the ultimate determination of whether a project fits this designation is at NYSERDA's sole discretion.

Proposals may qualify under one of the two following categories:

Category A – Applications submitted by a commercial or industrial entity for projects at a single site or multiple sites in New York State.

Category B – Applications submitted by a service or solutions provider that will implement greenhouse gas reduction projects at their customer's commercial or industrial sites in New York State. Category B applicants can propose a single greenhouse gas reduction solution or a diverse range of solutions. Scoring consideration will be given to the administrative and technical effort required to manage the portfolio of projects if selected for an award as described in the Selection Criteria, Category B, Project Plan.

If selected for an award, funding associated with a Category B proposal will be administered directly to the service or solutions provider.

APPLICATION SUBMISSION

In addition to the CFA Application, Applicants to this program will be required to complete additional required attachments:

- Attachment A, Clean Energy Action Plan - The Clean Energy Action Plan serves as the keystone document for tracking the overall strategic approach of the Applicant throughout the C&I Carbon Challenge program. It will be used to document goals; track timelines and key metrics including costs, savings, and personnel requirements; provide high level overviews of project implementation planning and ongoing progress; and detail measurement and verification approaches as projects are finalized.
- Attachment B, Project Savings Tracker – This calculation and tracking tool is meant to assist Applicants in determining their carbon savings goal and the value of their award. Each project included in the Clean Energy Action Plan must be included on this spreadsheet.
- Attachment C (Category A only), Data Collection Form
- Attachment D, Letters of Support (Category B only) – Applicants must include letters of support from the commercial, industrial, or institutional entity or entities where the project(s) will take place, signed by an authorized signatory for the organization. The letter must be on official letterhead and include:
 - The name of the business or institution
 - A statement of support for the submission of the application
 - A statement of their intention to participate in the program if selected for funding
 - A list of the addresses for sites where projects will be implemented and a brief description of the solutions being pursued at each
- Attachment E, Federal Funding Documentation (if applicable) – Applicants indicating that they have applied for or secured federal funding for their proposed projects must provide documentation including, but not limited to:
 - Concept Papers, if applicable
 - Proof of Funding Status
 - Proof of Final Submissions
 - Letters of Encouragement or Discouragement
 - Funding Decision Letter

Attachment templates can be found at <https://www.nyserda.ny.gov/cicc>.

APPLICATION QUERIES

No communication intended to influence this procurement is permitted except by contacting Sean Mulderrig at (212)-971-5342, ext. 3804 or by e-mail carbonchallenge@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.

ELIGIBLE TYPES OF APPLICANTS

Eligible Applicants include, but are not limited to:

- Colleges and Universities
- Food and Beverage Processing
- Health Care Facilities
- Manufacturing
- Mining and Extraction
- Municipal Facilities

- Not-For-Profit and Private Institutions
- Office Buildings
- Public and Private K-12 Schools
- Retail
- State and Local Governments
- Warehouse and Distribution Facilities
- Wastewater Treatment Plants

While third party advisors or consultants are permitted to assist in preparing applications for Category A, they are not an eligible applicant type.

Decarbonization solutions providers implementing projects for customers are eligible to apply under Category B if they are providing services to eligible commercial, industrial, or institutional entities in New York State.

PRE-APPLICATION REQUIREMENTS

- Projects must save a minimum of 25,000 metric tons of CO₂ equivalent
- Work conducted prior to the execution of an Agreement between NYSERDA and the applicant is not eligible for cost-reimbursement;
- New construction and expansion projects are not eligible for this program; and
- Projects must be performed on systems with a remaining useful life of at least six years.

Work conducted prior to the execution of an Agreement between NYSERDA and the Applicant is not eligible for cost-reimbursement.

ELIGIBLE ACTIVITIES / PROGRAM BENEFIT REQUIREMENTS

Grant funds may be used for any energy or industrial-process related projects that can reduce carbon emissions. These actions include, but are not limited to:

- Energy Efficiency Improvements
- On-site Renewable Energy Systems (photovoltaics, wind, or solar thermal)
- Heat Pumps
- Electrification of Thermal Loads
- Carbon Capture, Utilization, and Storage
- Process Emission Reduction
- Low-Carbon Fuel Use
- Other efficiency or renewable energy technologies.

For certain carbon reduction measures, Category A awardees will be required to meet NYSERDA minimum quality standards and work with NYSERDA approved participating contractors, where applicable. More information on approved contractors can be found here:

<https://www.nyserda.ny.gov/Contractors/Find-a-Contractor>.

Selected applicants will work with NYSERDA to develop a 4-year contract agreement commencing in 2025. All carbon reduction projects must be installed within 3 years of agreement execution. The final year will be used to complete any outstanding measurement and verification (M&V), if necessary, and determine final project results. This award is available for four years from the date of award. If the project is making progress and funding is still available, the grant may be extended for an additional period of time at NYSERDA's discretion.

NYSERDA will issue awards ranging from \$500,000 to \$3.75 million per applicant. Category A applicants who pay the electric System Benefits Charge (SBC) and Category B applicants providing solutions to customers who pay the SBC will be eligible for a maximum award of \$3.75 million. Category A and B applications including sites that do not pay the electric SBC will be eligible for a maximum award of \$2 million.

Awards are determined by the size of the carbon savings goal. As the amount of carbon saved increases, the financial incentives increase. For each ton of carbon reduced, NYSERDA will provide funding according to a marginal rate schedule shown below.

Payment Structure	
mtCO2e	\$ per mt CO2e
0 - 25,000	\$20.00
25,000 - 60,000	\$22.00
60,000 - 125,000	\$24.00
125,000+	\$26.00

Here is an example of how the award size is calculated: an applicant submits a proposal that sets a target of reducing 130,000 tons of CO2 equivalent. The overall award equals

$$(25,000mt \times \$20) + (35,000mt \times \$22) + (65,000mt \times \$24) + (5,000mt \times \$26) = \$2,960,000^*$$

To provide Applicants with flexible funding, up to 70% of the overall award will be made available as project costs are incurred. NYSERDA and awardees will use the Clean Energy Action Plan and monthly meetings to document expected costs and determine funding requirements, ensuring disbursements are proportional to all project costs anticipated through the Clean Energy Action Plan and align with progress toward carbon savings goal. Participants will be required to provide NYSERDA with justification for incurred costs and remittance of payment will be at the discretion of the Project Manager.

All remaining funds will be awarded upon completion of M&V conducted by a third-party evaluator and will be subject to readjustment based on the participant's performance relative to their stated carbon savings goal according to the marginal rate schedule.

Proposals that receive an award under the C&I Carbon Challenge program will not be eligible to apply for any other incentives from NYSERDA or the proposer's utility for the projects awarded in this proposal. However, Applicants that are not awarded incentives through this competitive selection process may be eligible to participate in other NYSERDA or utility programs as applicable.

NYSERDA will have discretion to accept only a portion of the submitted portfolio of projects for funding. Any individual project(s) not selected for funding will still be eligible for alternative NYSERDA or utility incentive program funding.

SUCCESSFUL APPLICANT REQUIREMENTS

Selected C&I Carbon Challenge awardees will be expected to work closely with NYSERDA in updating, refining and implementing Clean Energy Actions Plans over the term of the program. Each program participant will receive the benefit of a dedicated NYSERDA Project Manager. The Project

* \$2,000,000 in the case of an application including entities that do not pay the SBC

Manager will work with participants to track progress, provide feedback and guidance on measures to be implemented, and coordinate cross-collaboration with participants and NYSERDA external resources when necessary or requested.

Both the Clean Energy Action Plan and the Project Savings Tracker will be required to be updated on a bi-annual basis, at a minimum. The originals of these documents submitted in this application will serve as the initial document to which all revisions will be applied. Updates will encompass the following:

- Indication of instances where estimates have been revised or implementation plans have been altered
- A brief summary of all Clean Energy Actions taken to date
- A detailed account of progress on completed measures, including:
 - Project Costs
 - Estimated Savings
 - Verified & Realized Savings
 - Upcoming Measurement and Verification actions
- Identification of new measures, if applicable

SELECTION CRITERIA

An application is eligible to receive a total final score of 100, of which 80 points are derived from the NYSERDA review criteria below and 20 points are allotted by the applicable Regional Economic Development Council (REDC). The REDC rates the degree to which the project aligns with the REDC's Strategic Plan.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria for each Category below **listed in order of importance**. After proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. NYSERDA reserves the right to adjust awards and related carbon goals based on available funding.

Category A Proposals

1. Project Plan (20 points)

- Does the proposed plan and approach utilize well established means of implementing emissions reduction projects? Does the proposed approach utilize technologies or solutions that have proven themselves in the marketplace? How does the proposal help the applicant meet their long-term sustainability goals? Can projects feasibly be completed according to the proposed schedule? Does the personnel identified to work on projects possess the experience necessary to ensure success? Are adequate means of tracking project metrics and schedules in place? Have thorough responses been included for all required prompts related to the application's low-carbon fuels, CCUS, industrial process emission, and/or beneficial electrification projects?

2. Project Analysis (15 points)

- Does the proposer demonstrate a thorough investigation of potential measures and sound reasoning for selecting their proposed approach? How thoroughly have projects been scoped? What level of analysis has been completed? Is the methodology for determining energy savings or generation provided and well detailed? Are assumptions disclosed? Are project costs reasonable and based on customer

experience and/or market intelligence? Have projects in the proposal been examined in a NYSERDA FlexTech study or an investment grade audit?

3. Experience (15 points)

- Does the proposer have a codified institutional or corporate social responsibility framework? Does the proposer have a demonstrated record of sustainable planning and implementation? Has the proposer set a specific net-zero goal, science based target, or other industry-standard emission target? Are they on track to achieve the goal or target? Has the proposer traditionally undertaken energy efficiency or distributed energy resource projects? Are adequate personnel resources in place to deliver on sustainability goals?

4. Resiliency & Disadvantaged Community Impacts (15 points)

- Is the applicant located in a [disadvantaged community](#)? Will the proposal offer benefits to disadvantaged communities? Does the proposal outline a strategy to ensure that the projects are resilient to future climate change impacts?

5. Cost Share (10 points)

- Is the applicant contributing at least 50% cost-share?

6. Federal Funding (5 points)

- Has the applicant submitted a concept paper or application for federal funding for the projects included in the proposal? Have they received a response from the federal government? How much funding is potentially available? How much funding has been offered to date?

Category B Proposals

1. Project Plan (25 points)

- Does the proposed plan and approach utilize well established means of implementing emissions reduction projects? Does the proposed approach utilize technologies or solutions that have proven themselves in the marketplace? How does the proposal help the applicant's customers meet their long-term sustainability goals? Can projects feasibly be completed according to the proposed schedule? Are adequate means of tracking project metrics and schedules in place? Have thorough responses been included for all required prompts related to the application's low-carbon fuels, CCUS, industrial process emission, and/or beneficial electrification projects? Has the applicant secured letters of support from their participating customers? Will the geographic dispersal of participating customers or the diversity of project types being pursued present challenges for controlling measurement and verification administrative costs?

2. Project Analysis (15 points)

- Does the proposer demonstrate a thorough investigation of potential measures and sound reasoning for selecting their proposed approach? How thoroughly have projects been scoped? What level of analysis has been completed? Is the methodology for determining energy savings or generation provided and well detailed? Are assumptions disclosed? Have projects in the proposal been examined in a NYSERDA FlexTech study or an investment grade audit?

3. Resiliency & Disadvantaged Community Impacts (15 points)

- Are the participating customers located in a [disadvantaged community](#)? Will the proposal offer benefits to disadvantaged communities? Does the proposal outline a strategy to ensure that the projects are resilient to future climate change impacts?

4. Experience (10 points)

- Does the proposer have a demonstrated record of implementing similar projects in similar operational environments? Do the participating customers have specific net-zero goals, science based targets, or other industry-standard emission targets?

5. Cost Share (10 points)

- Is the applicant contributing at least 50% cost-share?

6. Federal Funding (5 points)

- Have the applicant or its participating customers submitted a concept paper or application for federal funding for the projects included in the proposal? Have they received a response from the federal government? How much funding is potentially available? How much funding has been offered to date?

In addition to the criteria noted above, NYSERDA shall have the discretion to consider additional factors in determining the relative merits of projects to illustrate innovative carbon-reducing strategies in New York State. NYSERDA may also consider the following program policy factors in making award decisions:

- Monetary value of the applicant or participating customer's contribution to the System Benefits Charge;
- Degree to which the proposed project exhibits technological diversity in technology and implementation approach when compared to the existing Commercial and Industrial Carbon Challenge project portfolio and other projects selected from this solicitation;
- Degree to which there is diversity among awardee sectors and industries;
- Degree to which the proposed project, or group of projects, represent a desired geographic distribution (considering past awards and current applications);
- Potential for the project portfolio to contribute to a shifts in an industry or market ecosystem toward a low-carbon product;
- Degree to which there are of alternate sources of financial support available via other programs funded by the System Benefits Charge (e.g. traditional utility programs).

AWARD CRITERIA DETAILS

- An initial screening for eligibility will be conducted several weeks after the close of the CFA. Applicants that are determined to not meet basic eligibility criteria will be informed at that time that they are not eligible for further consideration of this program for this year.
- Notice of a funding award will be given in the form of a contract outlining the terms of the proposed assistance. Project funding may only be used for expenses incurred after the date of contract execution. Applicants are strongly encouraged to review and countersign NYSERDA's Agreement prior to starting the project.
- All Applicants will be required to certify and agree that any decrease in the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, may result in NYSERDA's reduction of the award, in NYSERDA's sole discretion, in an amount proportionate to any such decrease.
- All Applicants will be requested to certify and agree that any expansion of the scope of work described in the Applicant's final CFA submission including, but not limited to, total project costs, may not result in an increase of the award, consideration of scope changes will be at the sole discretion of NYSERDA.
- Please note that awarded grants are transferable at the sole discretion of NYSERDA.

- NYSERDA expects projects to proceed in the time frame set forth by the Applicant. If the implementation of a project fails to proceed as planned and is delayed for a significant period of time and there is, in NYSERDA's exclusive judgment, doubt as to its viability, NYSERDA reserves the right to cancel its funding commitment to such project. NYSERDA reserves the right to require Recipient to provide any additional information and/or documentation NYSERDA deems necessary and terminate the project at any point if the applicant fails to provide such documentation in a timely manner.
- All required public approvals must be in place prior to the start of construction and installation of renewables, including State Environmental Quality Review (SEQRA). Physical work on a NYSERDA-funded project may not be started prior to the completion of any necessary environmental review.
- Grant funds originally awarded to projects that have since been cancelled or terminated may be repurposed for economic development projects by NYSERDA at its discretion in consultation with the REDCs.

ADDITIONAL RESOURCES

For more information, applicants should contact Sean Mulderrig at the New York State Energy Research and Development Authority, 17 Columbia Circle, Albany, New York 12203, call (518) 862-1090 ext 3804, email carbonchallenge@nyserda.ny.gov or visit: <https://www.nyserda.ny.gov/All-Programs/Programs/CI-Carbon-Challenge>.



NYSERDA

**Natural Carbon Solutions Innovation
Challenge**
Program Opportunity Notice (PON) 5180
Round 2
Up to \$13M Available

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

Proposals Due: **August 20, 2024** by **3:00 PM EST**
Phase Two Proposals are by Invitation Only and are due April 30, 2025.

Through this solicitation, New York State Energy Research and Development Authority (NYSERDA) issues a second round of funding to catalyze and de-risk novel approaches to significantly increase the scale of negative emissions and carbon sequestration, reduce waste-related methane, and advance New York’s clean energy goals. Projects can involve enabling technologies, novel business models, and other scalable strategies. Successful projects will be able to self-sustain and scale beyond the period funded by NYSERDA, catalyze additional private investment if needed, and in some cases, inform changes to policy, incentives, and procurement guidelines.

This round has two challenge areas, listed below. For each challenge area, this solicitation uses a two-step process to award funding. Phase 1 awardees will receive up to \$50,000 to perform an in-depth feasibility assessment that includes finalizing the proposed team and roles, evaluation of potential New York State benefits, engaging relevant demonstration partners and stakeholders, and completing a refined statement of work and budget to qualify for Phase 2. Phase 2 awardees will receive up to \$1,000,000 each for Challenge Area 1, and up to \$1,500,000 for Challenge Area 2 to further implement the proposed project. Submission of Phase 2 proposals requires a Phase 1 award and is by **invitation only**.

Challenge Areas (Round 2)			
CHALLENGE AREA 1: Green Cooling: Research, development, and demonstration of tools, technologies, and strategies that increase adoption, performance, and benefits of nature-based approaches to passive cooling, resilience, and reliability in extreme heat.			
CHALLENGE AREA 2: Carbon Negative Buildings: Demonstration, introduction, and scale up of carbon negative products in New York State that support building energy efficiency.			
Challenge Area	Maximum Total NYSERDA Award	Funding Available	Phase 2 Minimum Cost Share*
1	\$1,050,000	\$5,500,000	25%
2	\$1,550,000	\$7,500,000	40%

*Note: no cost share is required for Phase 1

Challenge Area 1 projects may begin from a feasibility (pre-commercial), product development, or demonstration stage, including demonstrations that evaluate other novel approaches to increase the scalability and performance of a mature technology, service, or business model in the New York State market. Regardless of the starting stage, all projects must include a demonstration stage, in which results are evaluated by an independent 3rd party. Submissions must demonstrate significant improvements compared with current best practices in the market, reduce greenhouse gas (GHG) emissions, mitigate extreme heat¹, reduce costs for end users, and benefit disadvantaged communities by providing benefits such as increased resilience, pollution reduction, improved health, and economic opportunity. When possible, demonstration projects should be located in heat-vulnerable² disadvantaged communities³.

Challenge Area 2 projects must begin at the demonstration stage for building products that have the potential to achieve net negative emissions, lowered embodied carbon and have potential for scaled-up manufacturing in New York State. All proposals must articulate how introducing a product into the New York State market, increasing market share, or optimizing manufacturing will benefit end users via reduced costs, improved building energy efficiency, reduced GHG emissions, and increased carbon sequestration inside New York State. Demonstrations are encouraged to leverage novel strategies in design, pre-fabrication, installation, and finance to reduce costs, disruptions, and project completion time. Submissions must demonstrate a clear value proposition over the current state of practice that includes the potential for manufacturing within New York State with local feedstocks and benefits for disadvantaged communities.

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). Please see the specific guidance provided in each of the accompanying Attachments regarding file type. 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. Please refer to the requested file naming convention in the Attachments that accompany this 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.

Questions? Please see the list of Designated Contacts below.

- No communication intended to influence this procurement is permitted except by contacting the Designated Contact. Ziggy Majumdar (**Designated Contact**), (518) 862-1090 ext. 3439 or by e-mail NatCarbon@nyserda.ny.gov.
- If you have contractual questions concerning this solicitation, contact Renee Serbu (**Designated Contact**), (518) 862-1090 ext. 3231 or by email renee.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

¹ See the [Extreme Heat Action Plan - NYSERDA](#).

² https://www.health.ny.gov/environmental/weather/vulnerability_index/nys_maps.htm

³ <https://climate.ny.gov/Resources/Disadvantaged-Communities-Criteria>

influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3:00 p.m. Eastern Standard Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note for online submission, there are required questions that you must answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Standard Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted.

I. INTRODUCTION

New York State's Climate Leadership and Community Protection Act (Climate Act) sets a net zero greenhouse gas (GHG) emissions goal through a combination of gross emission reductions, energy conservation, and negative emissions, or atmospheric carbon dioxide removal.⁴ The natural and working lands sectors, primarily agriculture and forestry, are anticipated to play a substantial role in increasing carbon sequestration, while these and other sectors can play a significant role to reduce methane emissions from organic waste. Improvements in yield and production efficiency of crops and forest products, and utilization of organic waste with optimal land management can enable a regenerative and circular economy that supports resilience, health, and the environment. There are numerous opportunities to mitigate the impacts of extreme heat across urban communities and substitute current products and energy sources with low emissions alternatives that reduce emissions in New York State and globally. The potential to incorporate alternative nature-based solutions and locally sourced materials for building products offers the potential for lowered costs, a robust local business ecosystem, simpler supply chains, benefits to disadvantaged communities, and job growth in New York State⁵.

NYSERDA encourages all proposers to **team with others that complement your capabilities**. This may be especially helpful for teams outside New York State, who can benefit from the knowledge of local policies, businesses, research, and community ecosystems. **A [webinar](#) has been scheduled for July 23, 1-3 p.m., EST, and a teaming list will be provided; updates will be posted to the funding opportunities website.**

Proposers who wish to be included on the public teaming list should submit the requested information to the Designated Contact to have their information added so others may contact them (*Name, organization, email address, brief description of your capability, description of collaborations/ team members sought*). Note, this is not required, it is purely optional for the purpose of facilitating teaming and bringing awareness to entities interested in collaboration in these topic areas. Presence on the teaming list does not constitute endorsement by NYSERDA – interested parties are strongly cautioned to perform their own due diligence.

Eligible Proposers

Eligible proposers include companies, manufacturers, research organizations, architects, universities, farmers, individuals, local governments, corporate strategic partners, investors, end-

⁴ See for example pages 119-120, 272 of <https://climate.ny.gov/resources/scoping-plan/> .

⁵ See <https://www.nyscrda.ny.gov/About/Newsroom/2022-Announcements/2022-02-17-New-York-State-Agencies-Announce-Report-on-Economic-Benefits>.

users, and community representatives. Team members may include anyone who is an eligible proposer. Proposers not organized in the United States must be authorized to and be able to provide all documentation required to conduct business in the United States at the time of submission. This requirement does not apply to team members.

State agencies are not eligible for funding under this PON.

II. INNOVATION CHALLENGE AREAS

Each proposal must identify only one Challenge Area. Each Challenge area has different scope, application requirements, eligibility criteria, and funding. *Please review the attachments referenced below for each challenge area to determine eligibility and examples of approaches sought – these provide important guidance for completing your application.* **Section III** describes the budget and schedule requirements; **Section IV** summarizes all documents that must be completed and submitted as part of an application.

- **See Attachment A1 for Challenge Area 1** – Green Cooling: Research, development, and demonstration of tools, technologies, and strategies that increase adoption, performance, and benefits of nature-based approaches to passive cooling, resilience, and reliability in extreme heat.
- **See Attachment A2 for Challenge Area 2** – Carbon Negative Buildings: Demonstration, introduction, and scale up of carbon negative products in New York State that support building energy efficiency.

Proposals will be reviewed to determine if they meet all Proposal Requirements and fit within the designated Challenge Area. Proposals that do not identify or do not fit within a Challenge Area may not be reviewed by NYSERDA. NYSERDA may change a proposal to a more appropriate Challenge Area if the Area the proposer selects does not match the scope of the project; if this is the case and the proposal receives an award, it will be subject to the requirements of the Challenge Area to which NYSERDA has assigned it.

See Attachments A1 and A2 for eligibility guidance within the specific Challenge Area.

Proposers should contact the Designated Contact for specific questions about eligibility.

III. FUNDING AND SCHEDULE

Figure 1 below summarizes the process for both Challenge Areas. Proposals awarded under Phase 1 will receive up to \$50,000 to complete a pre-defined set of deliverables. At the conclusion of Phase 1 contracts, Phase 1 awardees are eligible to submit a proposal under Phase 2 (see Section IV for instructions). Please note that an award as part of Phase 1 does not guarantee an award under Phase 2. NYSERDA reserves the right to fund some, all, or none of the Phase 2 proposals, and may award only specific portions of the proposed plan or a reduced amount of funding. The Table below estimates the number of awards for Phase 1 and Phase 2 for the respective Challenge Areas and is dependent on proposals received and availability of funds.

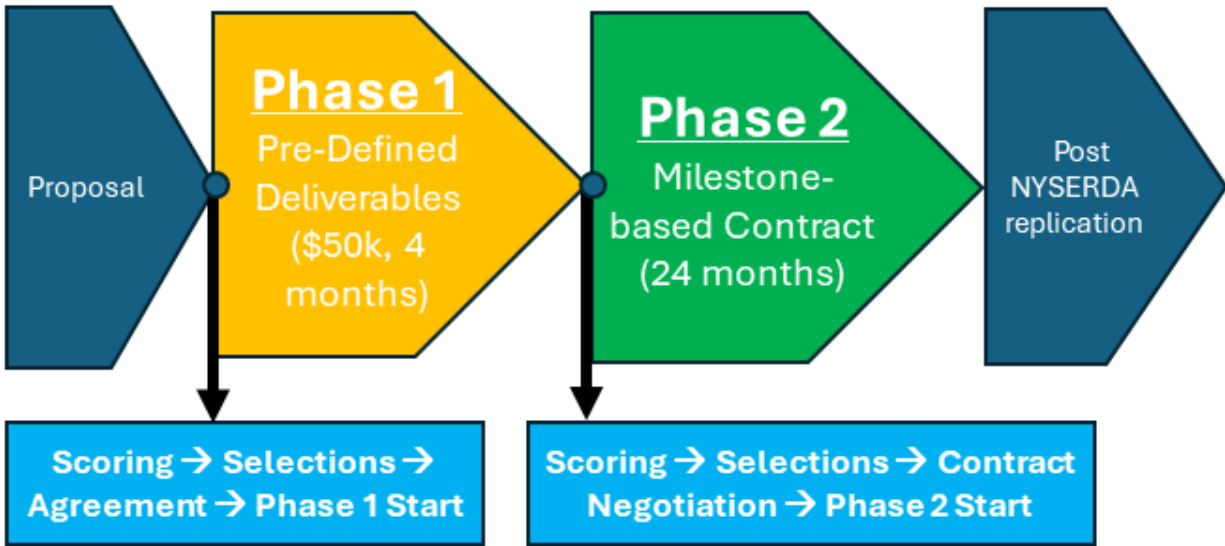


Figure 1. Schedule and Phase Structure for Round 2 of PON 5180.

Anticipated awards and funding by challenge area and phase

Challenge Area	Phase	Estimated # of Projects	Maximum per Project	Total NYSERDA Funding	Minimum Proposer Cost share*
1	1	10	\$50,000	\$500,000	0%
	2	5	\$1,000,000	\$5,000,000	25%
2	1	10	\$50,000	\$500,000	0%
	2	5	\$1,500,000	\$7,500,000	40%

Note: The total number of Phase 2 contracts awarded will depend on the amount of NYSERDA funding per contract.

*Phase 1 does not include proposer cost-share.

The bulleted clauses below apply to all challenge areas with additional guidance for each challenge area in their respective documents (See Attachments C1, C2, A1, A2). Apply the guidance in this Section to your proposal submission, further instructions for completing proposals are in Section IV and Section II.⁶

Phase 1

- **Phase 1 proposals selected for award must accept NYSERDA’s standard terms and conditions in the Sample Agreement (Attachment E) without exceptions. Phase 1 contracts will not be negotiated. Note: Phase 1 contracts are not subject to recoupment and cost share is optional.**
- A project is expected to begin within four months of the Phase 1 proposal due date. Delays by the proposer beyond this period may result in disqualification of the award.

⁶ Funds for projects with statewide benefit that are funded through the Regional Greenhouse Gas Initiative (RGGI) Operating Plan will be allocated each fiscal year. Non-SBC-funded proposers putting forward projects of significant statewide benefit should still provide the full proposed budget for all phases.

- Phase 1 will have a duration of 4 months with a pre-defined Statement of Work (see *Attachments C1 and C2; specific to each challenge area*)
- Anticipated NYSERDA Interactions with Phase 1 Teams and schedule:
 - The Phase 1 project teams for each Challenge Area (cohort) will work on the same schedule. NYSERDA anticipates holding a Phase 1 kickoff meeting with the entire cohort for each challenge area, and schedule group check-in meetings to address questions and provide relevant information for the entire group.
 - The Phase 2 proposal due date is April 30, 2025 and proposal submissions are by invitation only.

Phase 2 – INVITATION ONLY

- Phase 2 qualification is contingent on a Phase 1 award, completion of Phase 1 deliverables, and submittal of a Phase 2 proposal. A Scoring Committee will be convened to evaluate the Phase 2 proposal.
- NYSERDA will enter into new contracts with proposers selected for a Phase 2 awards.
- The anticipated maximum Phase 2 period will be 24 months, however, reporting requirements to NYSERDA may continue beyond 24 months. In rare circumstances, exceptions may be made to extend the period of performance and will be at the sole discretion of NYSERDA.
- Proposer cost share requirements for Phase 2:
 - **Challenge Area 1, Green Cooling:** at least 25% of total project cost
 - **Challenge Area 2, Carbon Negative Buildings:** at least 40% of total project cost
 - Cost share commitments for Phase 2 will be required at the time of Phase 2 proposal submission, see definitions of cost share below.
- Phase 2 Contracts will require Go/No-Go milestones to de-risk the project over time.
- By the end of Phase 2, the goal for each project should be, at a minimum, to provide a demonstration with benefits quantified, based on real-world data acquired in the project period with independent review. 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.
- 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.

Cost Sharing Definition and Guidance - The proposal should show non-NYSERDA funding that meets the minimum requirements described above. 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. Preference will be given to proposers that provide attractive leverage (cash co-funding, partnerships) opportunities for NYSERDA, and proposers that have a strong path to commercialization (see Section V – Proposal Evaluation Criteria). The Phase 1 period can be used to refine the sources of cost share contributions beyond phase 1, as some forms of cost share are contingent on other factors, such as performance in phase 1 from a co-funding organization.

IV. PROPOSAL REQUIREMENTS

To submit a Phase 1 Proposal:

Note: In the Online Submission Form, the term “Concept Paper” is used to indicate the Phase 1 proposal. Please note for clarity that this is in fact the Phase 1 proposal.

1. Complete the Phase 1 section of the Proposal Narrative (**Attachment A**), including all attachments referenced therein. This consists of:
 - a. Proposal Narrative (**Attachment A**)
 - b. Project Summary Slide (**Attachment A0**)
 - c. Budget Form (**Attachment B**)
 - d. Statement of Work (**Attachment C1 and C2 challenge area specific**)
 - e. DISCLOSURE STATEMENT
 - f. Executive Order 16 Certification Form
 - g. Vendor Responsibility Form
 - h. **Any additional attachments appropriate to your project:**
 - i. TRL/CRL Calculator (**Attachment D**)
 - ii. Letters of Support
 - iii. Demonstration Site Agreements or Commitments
 - iv. Resumes
 - v. References
2. Submit per instructions on pages 2 of this document (“**Proposal Submission**” section).

Proposers must carefully review the Proposal Narrative to ensure that all required sections are completed. Please note that certain sections are required for Phase 1 and others only for Phase 2. Failure to complete the designated sections may result in the proposal being rejected as non-responsive.

Phase 2 proposals will be submitted by invitation only upon completion of Phase 1.

Instructions on how to submit a Phase 2 proposal are the same as in Phase 1 and clarification will be provided to Phase 1 awardees. See “**Proposal Submission**” instructions on page 2.

General instructions for completing Phase 2 proposals are given below with details in the Phase 2 Proposal Narrative and associated attachments listed below. Any additional instructions on the submission process, including the Phase 2 due date, will be provided to those awarded Phase 1 contracts.

To submit a Phase 2 Proposal (by invitation only):

1. Complete the Proposal Narrative (**Attachment A - note certain sections will already be completed with the Phase 1 proposal, the same document can be amended as per the instruction within**), including all attachments referenced therein. This consists of:
 - a. Project Summary Slide (**Attachment A0 – if revised from Phase 1**)
 - b. Statement of Work, Phase 2 (**Attachment C**)
 - c. Budget Form (**Attachment B – Phase 2 portion**)
 - d. **Phase 1 Deliverables attached to the Proposal Narrative**
 - e. **Any additional attachments appropriate to your project, such as:**
 - i. Letters of Support
 - ii. Resumes
 - iii. References
 - iv. TRL/CRL Calculator (**Attachment D**)

Note: The proposer's goal should be to concisely present the information needed to fully address the scoring criteria (Section V). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be deemed 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 VI instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may be excluded from review.

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.

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 E**, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration-only 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 D 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.

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) and will be submitted via a web-based form, which will be provided by NYSERDA. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

V. PROPOSAL EVALUATION CRITERIA

Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria and relevance to chosen Challenge Areas described in Section II. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. After initial review of the Proposal, the Proposer, at NYSERDA's sole discretion, may be asked to address specific questions or provide additional information, either in writing or through an interview, as part of the Proposal scoring process. The Proposer will be required to address NYSERDA's feedback on its detailed Statement of Work, Budget, and may also be asked to address specific recommendations and contingencies of the Scoring Committee, before contract award.

The following Scoring Criteria will be used upon proposal submission for Phase 1 qualification. These same Scoring Criteria will be applied at the conclusion of Phase 1 for Phase 2 proposals. In addition, Phase 2 Scoring Criteria will include how well the team performed against the defined Phase 1 deliverables (see the Phase 1 deliverables in the Statement of Work Template Attachments C1 and C2). The cost-share and project value will be more heavily weighted in Phase 2, as per the Project Value evaluation criteria described below.

Proposal Scoring Criteria:

Proposed Solution/Scope–

- How well does proposed project specifically address the problem or opportunity identified in the challenge area?
- To what extent is the proposed work feasible, innovative, and superior to alternatives, demonstrating an understanding of the current state of the art and alternative solutions?
- Does the proposed solution have a high potential for commercialization and/or scalability?
- Is the statement of work clear and consistent with achieving the goals of as described for the identified challenge area requirements?

Project Benefits –

- How significant are the potential reductions in GHG emissions resulting from the project?

- Will a significant part of the project take place in New York State? (*Challenge Area 2 will also consider the potential for manufacture in NYS with local feedstocks*)
- Is a successful project likely to provide direct benefits to low-income or historically disadvantaged communities (DACs)⁷? (*For Challenge Area 1, this also includes “heat vulnerable communities”*)
- How significant are other benefits to New York State, such as increased resilience, environmental benefits, economic activity, or job creation?

Market Potential

- How well does the proposed project address a current challenge or opportunity that is not being addressed by others? Is the implementation or commercialization strategy well-conceived and appropriate for the level of maturity/ stage(s) of development?
- Is there potential for wide-scale replication?
- Has the proposer demonstrated support from market actors and customers?
- Is there a process to measure progress and success?

Proposer Team and Support –

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- Has the proposer provided evidence of good past performance on other relevant projects?
- Are the team members’ roles and responsibilities defined and reasonable?
- Have letters of support that show the needed collaboration been provided?

Project Value –

- Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant is the potential market or deployment opportunity?
- To what extent does the proposal include a plan to leverage other resources and/or sources of funding to enable a greater level of impact for NYSERDA’s funding contribution?
- How appropriate are the proposer’s co-funding contributions (sources and amounts) in view of the proposer’s overall financial resources, degree of risk exposure, and potential to benefit from the work? Does the proposer have a reasonable plan for pursuing additional funding (if needed) for commercialization and/or replicability? (*Phase 2 only*)

Other Considerations

Program Policy Factors –NYSERDA reserves the right to accept or reject proposals based on the following Program Policy Factors:

The degree to which pricing and hourly rates are in line with the rest of the market.

Program Portfolio Value and Optimization

- The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas:
 - Technological diversity
 - Organizational diversity
 - Geographic diversity

⁷ <https://climate.ny.gov/Resources/Disadvantaged-Communities-Criteria>

- Demographic diversity
- Technical or commercialization risk
- Stage of technology development
- Complementary efforts to balance risk.

Project Diversity, Leverage and Collaboration

- The consideration of the impact on, and benefits to, a diversity of communities/locations, including disadvantaged communities, low-income and rural communities, partnerships with minority serving and/or owned businesses.

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

Contract Award - NYSEDA anticipates making multiple awards under this solicitation. NYSEDA anticipates a contract duration of up to three (3) 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 (Attachment E) 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 six (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 Ziggy Majumdar at (518) 862-1090 ext. 3439 or by e-mail at NatCarbon@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.

Recoupment - For any new product research and/or development, NYSEDA will generally require a royalty based on sales of the new product developed. NYSEDA's standard royalty terms are 1% of sales revenue and of all license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSEDA an amount equal to the amount of funds paid by NYSEDA to the Contractor, whichever comes first).

Annual Metrics Reports – If awarded, the proposer will be required to submit to NYSEDA'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). NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for 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 the 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://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. SUMMARY OF ATTACHMENTS

- Attachment A – Proposal Narrative Template
- Attachment A0 – Project Summary Slide
- Challenge Area Specific Proposal Guidelines
 - Attachment A1 – Green Cooling Challenge
 - Attachment A2 – Buildings Challenge
- Attachment B – Budget Form & Instructions
- Statement of Work Templates
 - Attachment C1 – Green Cooling Challenge
 - Attachment C2 – Buildings Challenge
 - Attachment C – Phase 2 SOW Template – Both Challenges
- Attachment D – TRL-CRL Calculator Workbook
- Attachment E – Sample Agreement
- DISCLOSURE STATEMENT
- Executive Order 16
- Vendor Responsibility Form



NYSERDA

**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 Natalie Tauro (Designated RFQL 5312 Proposal Contact) at (518) 862-1090, ext. 3519 or by e-mail cleantrans@nyserda.ny.gov or David McCabe (Designated Project Application Contact) at (518) 862-1090, ext. 3281 or by e-mail cleantrans@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Solicitation 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. Vendors may submit new applications or update information about existing equipment throughout the time that the Program is active, no more than once every month.

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.
- Each charger must have a minimum dedicated circuit of 30A or higher.
- The equipment must be intended for installation following the National Electric Code (ANSI/NFPA 70) and be indoor/outdoor rated.
- The equipment must be new and designed to pass inspection according to the National Electrical Code, Article 625. The equipment must be certified by a National Recognized Testing Laboratory (for example, UL category FFWA).
- Both single and dual charging stations are eligible. Single charging stations are stations that have a single charging port originating from a single pedestal, pole-mount, or wall-mount; dual charging stations are stations that have two charging ports originating from a single pedestal, pole-mount or wall-mount. For program purposes, single charging stations will be eligible for an incentive payment for one charging port and dual charging stations will be eligible for an incentive payment for two charging ports.
- 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 Part 3 Hardware Ready. Charging stations 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 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.
 - NYSERDA 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 across all ports.
- Conditions for Charging Management
 - Equipment Owners/operators may conduct power sharing and/or participate in smart charge management programs so long as each charging port continues to meet an EV's demand for power of at least 6.2 kW unless the EV charging customer consents to accepting a lower power level.
- 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.
- 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 compatible with a credit card, and EVSPs 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.
 - Examples of acceptable payment methods include a QR code, a physical credit card reader, or payment via a website.
- Charging equipment must have a display screen that can clearly display customer pricing per kW. 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.
- White-labeled models that have not been previously approved through RFQL-5312 are ineligible for Program funding.
- 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 in the program to be able to receive a rebate for an installation.
- 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 compatible with a credit card, and EVSPs 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 [Core Registration and Session Data Collection Reference](https://github.com/AtlasPublicPolicy/charging-use-spec/blob/main/core-specification/registration-and-session-data-reference.md) data collection and access standards. These standards for the process, structure, and format for data and access for EVSEs and charging networks. These standards can be found at <https://github.com/AtlasPublicPolicy/charging-use-spec/blob/main/core-specification/registration-and-session-data-reference.md> 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 at any time of the day. 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 funded 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:
 - EVSE Serial Number (symbols such as dashes should be removed)
 - 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)
 - 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)
 - Port Identifier, if applicable (dual port chargers)
- **Status reports**
 - Ability to view EVSE status via online portal.
 - Charging networks must provide the ability for NYSERDA to download station status reports directly from the online portal.
 - Networks will be required to provide a glossary of status terms and their definitions.
 - 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.
- Each port of eligible charging equipment must be able to simultaneously charge vehicles at a minimum of 6.2 kW across all ports. Equipment Owners/operators may conduct power sharing and/or participate in smart charge management programs so long as each charging port continues to meet an EV's demand for power up to 6.2 kW, unless the EV charging customer consents to accepting a lower power level,
- 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 can be disseminated and utilized by NYSERDA at its own discretion. NYSERDA shall have the right to use, duplicate, or disclose the charging station data, in whole or in part, for any purpose other than resale or commercialization of the data, 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
 - **Attachment D**
- Charging Network Applications:
 - Charging Network Qualification Worksheet (**Attachment B**)
 - **Attachment D**
- **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:

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Minority and Women's Business Development Division
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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).

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



KATHY HOCHUL
Governor

NYSERDA

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**Workforce Training: Building Operations and Maintenance (BOM)
Program Opportunity Notice (PON) 5357
\$11,500,000 Available**

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

PROGRAM SUMMARY

Overview

NYSERDA's Building Operations and Maintenance Workforce Training Program aims to reduce energy use and associated carbon emissions while saving building operators and owners money by developing and strengthening the skills of operations and maintenance (O&M) staff and managers across the state. The program is designed to equip building O&M workers with the skills to operate increasingly energy-efficient, grid- flexible, and electrified building systems that reduce buildings' contribution to climate change.

The goal is to support building owners, facility managers, property management companies, business associations/trade groups, and organized labor associations in creating the talent development strategy, corporate culture, on-site training framework, and tools needed to advance building O&M workers beyond classroom training.

While a training organization or trade association may be the applicant, it must partner with a specified entity or entities employing building O&M workers. Applications must be for training activities connected with specific buildings or portfolios/campuses of buildings named in the application. This can include partnerships of businesses with common training needs and skills gaps that have total annual energy expenditures of \$1 million or more (all fuels and uses.)

NYSERDA will support eligible projects by providing funding for programs and activities such as, but not limited to, creation of on-site training laboratories, curriculum development, in-person and virtual training, coaching/mentorships, and training trainers within a company.

NYSERDA will provide funding of up to 90% with a cap of \$500,000 per application when 75% or more of the buildings employing O&M workers are located in a [Disadvantaged Community](#), or when the application is for a qualifying union-led project or qualifying pre-apprenticeship program. For all other applications, NYSERDA will provide funding of up to 70% with a cap of \$500,000 per application. Additional funding of up to \$500,000 may be awarded to successful projects after the original contract award if funding is available. The minimum funding request is \$50,000. In all applications, the majority of the cost share must be provided by the employer(s) of building O&M workers. Examples of eligible

cost share include the training provider/facility's employees' wages while working on tasks defined in the Statement of Work, the training provider/facility's employees' wages during training hours, equipment that will be used exclusively for training purposes, and training fees offset by a third party.

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

Application Submission

Applications, including all required attachments, must be submitted via email to BOM@nyserda.ny.gov.

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 Kerry Hogan, primary contact (Designated Contact) at (518) 862-1090, ext. 3509 or Laura Giannini, secondary contact (Designated Contact) at (518) 862-1090, ext. 3457 or by e-mail to BOM@nyserda.ny.gov.

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I. INTRODUCTION

NYSERDA seeks applications for comprehensive O&M training initiatives designed to help build O&M staff technical skills and reduce facility energy use, while realizing other benefits such as reduced equipment downtimes, increased occupant comfort, reduced occupant complaints and tenant turnover, increased numbers of staff with national certifications, and greater opportunities for employee retention, promotion, and career advancement.

Building O&M occupations or job titles that are targeted for training under this program may include, but are not limited to, the following: facility and property managers; operating and stationary engineers; technicians; building superintendents; repairpersons; maintenance workers; porters; mechanics and supervisors; electricians; plumbers; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

Applications should be aimed at delivering comprehensive initiatives to train workers involved in the operations and maintenance of specific buildings listed in the application. It is anticipated that eligible training initiatives funded under this PON will be equipment-based or O&M-based.

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

- Lighting and lighting controls
- Heating and hot water electrification systems
- Domestic hot water
- Air and ground-source heat pump systems
- Boilers and hot water/steam distribution systems
- Chillers and chilled water distribution systems
- Cooling towers
- Economizer/Ventilation and controls
- HVAC control systems
- Motors and drives
- Water and other fluid pumps
- Pneumatic system and controls
- Building envelope
- Solar water heating
- Photovoltaics
- Energy storage (chemical, thermal or mechanical)
- Digital monitoring and control
- Building diagnostics
- Energy management systems
- Demand management and demand response

O&M-based skills training can target general or very specific areas such as, but not limited to, the following:

- Cleaning heat exchangers and coils
- Optimizing supply air temperatures
- Equipment scheduling (boilers, pumps, fans, etc.)
- Tuning-up boilers
- Matching boiler capacity to loads
- System commissioning, recommissioning and continuous commissioning
- Chiller system optimization
- Utilizing natural ventilation
- Measuring and optimizing HVAC system performance
- Setback temperatures
- Optimizing pump performance
- Heat recovery
- Fan optimization and air distribution, including measures to mitigate viral and bacterial transmission
- Water conservation
- Environmental health and safety
- Energy accounting

Applications should be aimed at continuously advancing the skills of building O&M workers beyond training that is currently available within the facilities and beyond training readily available in the market.

Following are examples of areas eligible for funding:

- Developing and delivering customized building O&M training to facility staff to improve their knowledge and skills in operating and maintaining the buildings in which they work.
- Developing and implementing a new New York State-registered apprenticeship program or modifying an existing registered apprenticeship program, including developing or modifying curriculum and training trainers.
- Developing and constructing a hands-on training lab at a building site, supported by other training elements like those mentioned below.
- Using a learning management system to provide engaging and interactive, synchronous and/or asynchronous on-line trainings.
- Customizing an app-based system or learning management system for tracking O&M activities in real-time, providing training on the system, and integrating the system into on-going building operations.
- Development and implementation of a job mentoring program that includes training mentors, classroom training, on-the-job field training with a defined training plan, and/or developing O&M manuals or on-line training tools.
- Partnerships between employers with job openings and technical high schools, community colleges, or community-based organizations to allow students with basic skills training to work as apprentices or receive on-the-job training at buildings included in the application.
- Initiatives from business associations/trade groups and organized labor associations to support advanced training of their memberships, resulting in improved operation and maintenance of the facilities in which their members work. (Because formal facility commitments for their workers to be trained must be included in a PON 3715 application, business associations/trade groups and organized labor associations wishing to offer training to members independent of the facilities in which they work can submit proposals to the Energy Efficiency and Clean Technology Training Program, [PON 3981](#).)

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

- Training of contractors or other individuals outside of those employed by the facility.
- Work focused on the new construction of buildings.
- Projects that train on system installation techniques.
- Partnerships with manufacturers to develop customized training modules or O&M manuals that would not normally be a service or resource offered by the manufacturer.
- Training for commercial tenants that do not have ownership of and/or the ability to maintain space conditioning equipment in their leased space.
- O&M training for processes associated with product manufacturing.

NYSERDA will support measurement and verification of project impacts; foster employer partnerships with training organizations; share project results and case studies with other New York State building owners and operators; and facilitate industry partnerships to help address common barriers related to building O&M.

Projects will be required to provide energy data and/or utility energy data release authorizations for all buildings participating in the project.

II. PROGRAM REQUIREMENTS

Eligibility Requirements

- While a training organization, a business association/trade group or an organized labor association may be the applicant, it must partner with a specified entity or entities that employ building O&M workers. Such entities may include, but are not limited to, building owners, facility managers, and property management companies.
- Qualifying union-led and pre-apprenticeship projects must:
 - Integrate clean energy training into existing New York State registered apprenticeship program(s) or journey worker training,
 - Develop a new clean energy apprenticeship program registered with the New York State Department of Labor, or
 - Be a direct entry pre-apprenticeship workforce training program recognized by the New York State Department of Labor that incorporates clean energy content.
- Buildings employing O&M workers participating in the project must be New York State electricity customers of an investor-owned utility company that are paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF).
- Eligible buildings may be in the following sectors: multi-family, commercial office, commercial retail, mixed-use, colleges and universities, hospitals and health care, New York State and local government, industrial, hospitality, data centers, public and private schools, and not-for-profit and private institutions. Other building types will be evaluated on a case-by-case basis.
- Participating employers of building O&M workers must have specific buildings or portfolios/campuses of buildings, including partnerships of businesses with common training needs and skills gaps.
- The identified buildings must have total annual energy expenditures of \$1 million or more (all fuels and uses). For multi-family buildings, the energy expenditures of the buildings to meet the threshold must be through accounts impacted by building O&M staff (i.e., common area accounts).

Program Budget

Total funding currently available for this solicitation is \$11,500,000. Additional funds may be added to the PON if funds become available, and it is anticipated that the PON could be re-issued with or without modifications. If changes are made to this solicitation, notification will be posted on [NYSERDA's website](#).

NYSERDA anticipates awarding multiple contracts under this solicitation with a maximum initial award of \$500,000 and a minimum award of \$50,000 per contract. NYSERDA may modify/extend contracts and add funds at its sole discretion provided that additional funds are available. NYSERDA may partially fund applications.

NYSERDA will provide funding of up to 90% with a cap of \$500,000 per application when 75% or more of the buildings employing O&M workers are located in a [Disadvantaged Community](#), or when the application is for a qualifying union-led project or qualifying pre-apprenticeship program. For all other applications, NYSERDA will provide funding of up to 70% with a cap of \$500,000 per application.

Situations where the total number of buildings within [Disadvantaged Communities](#) is less than 75% may qualify for the 10% minimum cost share if applicants can show that 75% of the O&M workers in those buildings reside in a Disadvantaged Community. Please reach out to the [Primary Contact](#) if this is your situation.

Cost share may include cash or in-kind services. The majority of the cost share must be provided by the employer of the O&M staff. Cost sharing by task may vary between the trainer, the employer of the O&M staff, and NYSERDA.

Examples of eligible cost share include the training provider/facility's employees' wages while working on tasks defined in the Statement of Work, the training provider/facility's employees' wages during training hours, equipment that will be used exclusively for training purposes, and training fees offset by a third party. Should the project require the purchase of desktop computers, servers, laptops, tablets, cell phones, or similar electronics equipment, these should be designated as applicant cost share.

Funding requests should be in line with the project's potential impact, including the number of staff trained, energy saved, and tangible non-energy benefits.

Work completed or costs incurred prior to NYSERDA's execution of a contract are ineligible for funding or for consideration as cost share.

If a project is selected for funding, the entity entering into the contract with NYSERDA can be either the lead training provider or the facility employing O&M staff.

Program Policy Factors

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

- The degree to which the proposed project, including proposed cost share(s), optimizes the use of available funding to achieve NYSERDA's overall programmatic and portfolio objectives, as specifically set forth in the Solicitation.
- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals.
- Diversity of awards within multiple locations, climates, regions, or other geographically articulated criteria (for example, Regional Economic Development Regions, NYISO zones, or other geospatially described areas, etc.) to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives.
- Distribution of training projects across multiple sectors.
- The degree to which there is portfolio diversity, including considerations as to funding duplicative efforts stemming from the Solicitation itself or similar, previously funded efforts.
- Consideration of the impact on just transition and equity goals.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income and rural communities.
- The degree to which the training provider and/or the employer of the O&M staff have the resources (human and financial) to be able to complete the project.
- Number of awards previously made to the trainer and or building owners.

- The applicant’s performance on current and/or past NYSERDA contracts.
- Types of training NYSERDA has funded in the past at the facilities or with the training provider.

III. APPLICATION REQUIREMENTS

Applicants must complete each section of Attachment A, Project Application Form, and include all required components in the application submission.

Statement of Work Requirements

Applicants must include a detailed Statement of Work for their proposed training project with their submission. The Statement of Work must include project goals, objectives, tasks, and deliverables. Applicants are encouraged to submit a Statement of Work that is innovative and shows the best potential for sustainable energy savings.

Attachment B contains a *Template* Statement of Work, which outlines both required and optional tasks. Applicants should use this document as a template when crafting their Statements of Work. Failure to provide all required information may result in NYSERDA rejecting the Statements of Work. Final approval of a Statement of Work or section thereof is subject to NYSERDA’s discretion.

Schedule Requirements

Applicants are required to provide an anticipated schedule for completing tasks. This schedule should be in months from date of contract execution, using the format *Month 1, Month 2...Month 24* instead of *January, February...December*. Training activities should be completed within 24 months or less from contract execution.

Example Schedule:

Task No.	Title or Description	Month 1	Month 2	Month 23	Month 24
1	Establish Partnerships / Subcontracts						
2	Modify/Develop Curriculum						
3							
4							
5							
6							

Budget (Attachment D) Requirements

Applicants must complete and submit a budget with their application, including all information requested on Attachment D, which has tabs for the Budget Form and the Per-Task Summary Form. The budget must be reasonable and must show the funding requested from NYSERDA and the cost

share that is the responsibility of (1) the trainer and/or (2) the employer of the O&M workers.

Applicants must also complete one Attachment D Budget Form for each subcontractor/consultant identified in cost element 5, including costs related to labor, direct materials and travel.

Based on the costs calculated in the Budget Form(s), applicants must complete the Per-Task Summary, which shows the cost breakdown for both the NYSERDA funding and the applicant's cost share.

IV. APPLICATION EVALUATION

Evaluation Process

NYSERDA will review applications monthly. All applications received by the last day of a month will be reviewed during the first two weeks of the following month. At NYSERDA's discretion, applicants may be requested to interview with members of NYSERDA's Workforce Development Team to address questions or clarify information presented in their application. NYSERDA may request additional data or material to support applications.

NYSERDA intends to inform applicants of the results of the evaluation before the end of the month following their submission. NYSERDA reserves the right to accept or reject any or all applications received, to negotiate with all qualified sources, or to cancel the PON in part or in its entirety when it is in NYSERDA's best interest.

Applicants receiving favorable evaluations may be asked to address specific recommendations or contingencies or make modifications to the Statement of Work, Schedule, or Budget before being awarded funding. An award under this PON will result in a contract. NYSERDA may award a contract based on applications without discussion or following discussion.

Denied Applications:

Applicants whose submissions are denied may request a debriefing from the Designated Contact and may reapply for program funding.

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 a 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.

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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> . 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 multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful 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 four (4) weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a 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 a 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 application relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a 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 applicant's 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 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 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 a application, or the prospects for commercial success of the applicants' business (whether directly related to, or unrelated to the specific elements in a 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 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 application 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.

XI. ATTACHMENTS:

- Attachment A – Project Application
- Attachment B – Statement of Work Template
- Attachment C – Sample Agreement
- Attachment D – Budget and Instructions

New York State Energy Research and Development Authority

Albany
17 Columbia Circle, Albany, NY 12203-6399
(P) 1-866-NYSERDA | (F) 518-862-1091
nyserda.ny.gov | info@nyserda.ny.gov

Buffalo
726 Exchange Street
Suite 821
Buffalo, NY
14210-1484
(P) 716-842-1522
(F) 716-842-0156

New York City
1359 Broadway
19th Floor
New York, NY
10018-7842
(P) 212-971-5342
(F) 518-862-1091

**West Valley Site
Management Program**
9030-B Route 219
West Valley, NY
14171-9500
(P) 716-942-9960
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Charge Ready NY 2.0 Program

Program Opportunity Notice (PON) 5367

Implementation Manual

August 2024



**NEW
YORK
STATE**

NYSERDA

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Definitions

Applicant is the entity that submits an incentive application to NYSERDA. Applicants may be public or private, for-profit or not-for-profit entities. Applicants may be the Equipment Owner or may be the Installer of the Charging Equipment.

Assigned Parking Space is a space that is reserved for the exclusive use of an individual driver or reserved for vehicles that are part of a specific active vehicle fleet.

Charge Ready NY 2.0 Program (Program) is a program that provides incentives for the purchase and installation of eligible Level 2 electric vehicle charging equipment in New York State. It is run by NYSERDA and administered by Center for Sustainable Energy (CSE) and the Electrification Coalition.

Charging Equipment Vendor is a provider of eligible Charging Equipment. The Charging Equipment Vendor must determine eligibility of its Charging Equipment through RFQL (Request for Qualifications) 5312 to be eligible to participate in the Program.

Disadvantaged Community is one of the New York State communities identified by the Climate Leadership and Community Protection Act's Climate Justice Working. A searchable map of communities that meets this definition can be found at <https://www.nyserda.ny.gov/ny/disadvantaged-communities>.

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

Electric Vehicle Charging Equipment (Charging Equipment) is a Level 2 electric vehicle charging station that meets all requirements of RFQL 5312 (see also Eligible Charging Equipment).

Eligible Charging Equipment is Charging Equipment that has been approved for use in the Program. The offering Charging Equipment Vendor must apply for and receive approval through RFQL 5312 to be eligible to participate in the Program.

Eligible Network Services are network services that have been approved for use in the Program. The offering Network Services Vendor must apply for and receive approval through RFQL 5312 to be eligible to participate in the Program.

Equipment Owner is the entity that purchases the Charging Equipment. The Equipment Owner may be the recipient of the incentive payment and is responsible for providing charging data to NYSERDA for a period of five years (refer to section 8).

Facility is a project location where charging stations will be installed.

Fleet Vehicles are company cars provided for workplace or MUD employee use.

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

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

Network Services Vendor is a provider of network services for eligible Charging Equipment. The Network Services Vendor must determine eligibility of its network through RFQL 5312 to be eligible to participate in the Program.

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

Pre-Approval Date is the date that NYSERDA approves the Applicant's pre-installation application for a Charge Ready NY 2.0 incentive.

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

Program Effective Date is July 19, 2023. This is the date the Charge Ready NY 2.0 program launched.

RFQL 5312 refers to NYSERDA's Charge Ready NY 2.0 Equipment and Network Qualification Process solicitation, through which NYSERDA approves charging equipment and network services for eligibility in the Program.

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

1 Program Overview

The **Charge Ready NY 2.0 Program** (Program) is an incentive program designed to accelerate the deployment of Level 2 electric vehicle charging equipment in New York State. By increasing the use of electric vehicles and electric vehicle charging stations, this program benefits New York State by reducing harmful emissions and the transportation sector's dependence on petroleum. The New York State Energy Research and Development Authority (NYSERDA) developed the Program to provide incentives that reduce the cost of purchasing and installing eligible Level 2 charging equipment for use in New York State.

Note to Applicants: This Implementation Manual (Manual), including the Equipment Owner Agreement, the Installer Agreement, and eligible charging equipment and network providers may be amended from time to time without notice, at NYSEDA's sole discretion. Pre-installation or post-installation applications must comply with the most current version of the Manual, including charging equipment and network providers eligibility, on the date the application is submitted to NYSEDA.

This document, including Appendix A, constitutes the Implementation Manual for the Program. Definitions of key program parameters are in the Definitions section of the Manual.

The Program provides incentives that reduce the cost of purchasing and installing eligible Level 2 charging equipment installed within New York State that provide charging at a public facility within a [Disadvantaged Community](#) (DAC), workplace, or at a multi-unit dwelling (MUD) as defined below. Public and private (both for-profit and not-for-profit) entities may participate in the Program. NYSEDA intends to provide incentives of \$4,000 per charging port installed at a public facility within a DAC, \$2,000 per charging port installed at a workplace or MUD location, and \$2,500 per charging port installed at a workplace or MUD location within a DAC. Incentives will be paid upon completion of the installation of the charging equipment and the provision of appropriate documentation. Charging stations in assigned parking spaces reserved for the exclusive use of an individual driver or reserved for fleet vehicles are eligible at a reduced incentive level, and certain larger workplace and multi-family dwellings are subject to additional requirements. Minimum and maximum charging ports per site are described in section 3; the number of incentives awarded per site shall be at NYSEDA's discretion. Bonus incentives for workplace and MUD locations are also available as discussed in section 7.

The Program is offering \$12 million in funding for incentives and **will accept applications on an open-enrollment, first-come, first-served basis until December 31, 2025, or until the program runs out of funds, whichever comes first.** An additional \$3 million is available for the bonus incentives described in section 7.

Additional information about the program, current lists of eligible charging equipment and networks, and the current amount of funding remaining in the program can be found on NYSEDA's website, www.nyserda.ny.gov/charge-ready-ny. Charging equipment and network service eligibility rules are defined in section 2.1 of this Manual.

The Program allows Applicants to participate in one of two ways:

1. **Pre-Installation Approval:** Applicants can apply for pre-installation approval of an incentive payment. If the pre-installation approval application is granted, NYSERDA will reserve funds for the Applicant's incentive. However, the applicant must complete their installations and submit all required documentation to NYSERDA within one-hundred eighty (180) calendar days of the pre-installation approval date. Upon approval of all documentation (refer to section 6), NYSERDA will issue an incentive payment directly to the Applicant in the form of a paper check or by electronic payment.
2. **Post Installation Approval:** Applicants can apply for an incentive payment after the installation is completed. The installation must be completed after the Program Effective Date. NYSERDA must receive the application within 90 days of the Installation Date. As part of their application, Applicants must submit all required documentation. Upon approval of all documentation, NYSERDA will issue an incentive payment directly to the Applicant in the form of a paper check or by electronic payment.

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

1.1 Program Contacts

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

Center for Sustainable Energy
3980 Sherman St, Suite 170
San Diego, CA 92110
Phone: 866-595-7917
Email: ChargeReadyNY@energycenter.org

Questions regarding the Bonus Incentive application process described in section 8 should be directed to the Electrification Coalition:

Electrification Coalition
1111 19th Street NW, Suite 406
Washington, DC 20036
Phone: 202-964-7192
Email: ChargeReadyNY@electrificationcoalition.org

Questions regarding RFQL 5312: Charge Ready NY 2.0 Equipment and Network Qualification Process should be directed to the following:

Natalie Tauro, Project Manager
New York State Energy Research and Development Authority
17 Columbia Circle
Albany, New York 12203
(518) 862-1090 ext. 3519
Email: natalie.tauro@nyserda.ny.gov
www.nyserda.ny.gov

Questions regarding the Charge Ready NY 2.0 Project Application process should be directed to the following:

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

2 Program Eligibility

2.1 Charging Equipment and Network Service Eligibility

To receive an incentive payment through the Program, Applicants must purchase and install the required minimum number of Eligible Charging Equipment charging ports as described in section 3. Only original equipment manufacturer (OEM) and white-labeled models, and network service providers approved by NYSERDA through [RFQL 5312: Charge Ready NY 2.0 Equipment and Network Qualification Process](#) are eligible for incentives through the Program. White-labeled models that have not been previously approved through RFQL-5312 are ineligible for Program funding. [Eligible Charging Equipment will be listed on NYSERDA's website](#) and updated as needed. Charging Equipment Vendors and Network Services Vendors may submit new applications or update information about existing eligible equipment throughout the time that the Program is active, no more than once every month.

As part of the equipment and network qualification process, Charging Equipment Vendors and Network Services Vendors will provide technical information about the equipment and networks and a list of distributors and vendors who sell the equipment and networks in New York State. Applicants can contact these vendors to request quotes. Charging Equipment Vendors and Network Services Vendors must agree to the terms and conditions found in RFQL 5312 to participate in the Program. Some requirements for RFQL-5312 will be modified at future dates and may affect charging equipment and network providers eligibility. You can review RFQL-5312 here: [Charge Ready NY Charging Equipment and Network Qualification Process](#). Charging Equipment Vendors and Network Services Vendors are encouraged to attend an available training on how the Program works. A recording of the trainings will be posted on the Charge Ready NY 2.0 website.

2.2 Equipment Owner Eligibility

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

1. Be licensed to do business in New York State, including not-for-profit corporations or be a State agency or political subdivision of the State, including municipalities, school districts, and other local government entities.
 - Privately owned parking facilities are ineligible for Charge Ready NY 2.0.
 - Restaurants and retail locations are ineligible for Charge Ready NY 2.0.
 - Seasonal locations that operate less than 75% (nine months) of the calendar year are ineligible for Charge Ready NY 2.0.
2. Be an organization with an Employer Identification Number (EIN).
3. Purchase and install new Eligible Charging Equipment at a site in New York State that meets site eligibility requirements (refer to section 2.4).

4. Projects that have or will receive funding for charging equipment from any of the below programs are ineligible for Charge Ready NY 2.0.
 - NYSDEC's Municipal Zero-Emission Vehicle (ZEV) and ZEV Infrastructure Rebate Program.
 - NYPA's ReCharge NY Workplace Charging Program.
 - Federal programs that offer grant funding for EV charging stations, such as the National Electric Vehicle Infrastructure (NEVI) Formula Program and the Charging and Fueling Infrastructure (CFI) Discretionary Grant Program.
 - Any other NYSERDA initiatives that provide incentives for installing charging equipment, such as the Clean Energy Communities or Clean Green Schools programs.
 - Charging Equipment funded entirely (100%) by party(ies) other than the Equipment Owner. This includes Charging Equipment provided to the Equipment Owner by automakers, Electrify America, and other entities.

Projects participating in Charge Ready NY 2.0 may also claim the New York State tax credit for installing charging stations (more information at https://www.tax.ny.gov/pit/credits/alt_fuels_elec_vehicles.htm). The tax credit is applied after deducting the funding received from NYSERDA.

5. Charging stations at car dealerships will be considered workplace locations. They must be installed in designated employee parking areas, and clearly defined in the submitted site maps.
6. Charging stations reserved for fleet vehicles will be considered assigned parking and are eligible at a reduced incentive level (refer to section 3).
 - The maximum fleet charging eligibility is two (2) ports per location.
 - Vehicles that use the charging stations must be part of an active fleet.
 - Vehicles must be weight class 2 or lower.

2.3 Installer Eligibility

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

1. Be registered to do business in the State of New York.
2. Possess and maintains all credentials, licenses, and certifications necessary to perform all jobs associated with the installation of electric vehicle charging stations in the location where the Installer performs work.

2.4 Site Eligibility Rules

General Site Requirements:

- All locations must have a minimum of twenty (20) parking spaces.
- Applicants may apply for no more than 25% of the total assigned parking spaces, as well as 25% of the total unassigned parking spaces, up to a maximum of forty (40) charging ports per site.

- Any existing charging ports located at the site will be subtracted from the maximum amount allowed. Any application for more than twenty (20) charging ports at a single site will be reviewed by NYSERDA to determine if the number of charging ports is appropriate for the site, based on the site size, usage, and number of current and prospective EV drivers. NYSERDA reserves the right to limit the number of charging ports for a specific site that are eligible for incentives under the Program at its own discretion.
- All charging equipment must be networked charging equipment and maintain network service for the duration of the five-year Program reporting requirement.
- Charging stations in assigned parking spaces reserved for the exclusive use of an individual driver or reserved for fleet vehicles are eligible at a reduced incentive level (refer to section 3).
- Applicants must install a minimum of four (4) charging ports at each site. Workplace and MUD locations with more than one hundred (100) parking spaces must install a minimum of ten (10) charging ports at each site. These locations will be considered Large Workplace/MUD sites for Bonus Incentive purposes.

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

- **Public Facility Site:** A public facility must be located within a DAC. They can include but not be limited to buildings, property, recreation areas and roads. Examples include municipal parking lots, on-street parking on public roads, government buildings, public libraries, municipal and state parks, municipal recreation centers, and other similar locations. Community-oriented locations such as churches, places of worship, and non-profit entities that run community centers (YMCAs and Boys and Girls Clubs, etc.), shall be considered public locations under this Program. Publicly owned multifamily buildings are considered MUDs for this program. Privately owned parking facilities, restaurants, and retail locations are ineligible for Charge Ready NY 2.0.

Public facility locations must be located within a DAC.

The price for EV parking at a public facility can be no more than the municipality's on-street parking rate to be eligible. A public facility is a parking location with at least twenty (20) parking spaces that is open to the general public at least twelve (12) hours per day, for at least five (5) days per week. On-street parking locations should have at least twenty (20) on-street parking spaces within a one-block radius of the location of the charging stations. Charging equipment at public facilities should be primarily for patrons but may also be available for public use.

- **Workplace Site:** A workplace site is a parking facility with at least twenty (20) parking spaces that primarily serves employees who work at or near the facility. Workplace sites must have a minimum of twenty (20) employees regularly working at the site. The Charging Equipment must be installed at parking spaces reserved for employees parking at a workplace site on a typical business day. Charging stations in assigned parking spaces reserved for the exclusive use of an individual driver or reserved for fleet vehicles are eligible at a reduced incentive level. Workplace sites may be employee-only parking lots or parking areas. Examples of workplace sites include office buildings, universities, schools, and hospitals. Privately owned parking facilities, restaurants,

and retail locations are ineligible for Charge Ready NY 2.0. Workplace sites that have more than one hundred (100) parking spaces will be considered Large Workplace sites.

- **Multi-Unit Dwelling (MUD) Site:** A MUD site is a multi-unit dwelling's parking facility with at least twenty (20) parking spaces that primarily serves a MUD with ten (10) or more connected housing units. More than 50 percent of vehicles regularly parked at a MUD site must be resident owned. Examples of MUD sites include apartment buildings, condominiums, co-ops, including public housing, and motels/hotels.

Motels/hotels shall be considered Small MUD sites under this Program. Motels/Hotels must install a minimum of four (4) charging ports at each site. If a Motel/Hotel opts into the Bonus Incentive Program, their requirements and Bonus Incentive will be dependent on the number of charging ports installed. Refer to section 7 for Bonus Incentive application process requirements.

Individual residents or tenants who are not the building owner may not be the Equipment Owner at a MUD site. Charging Equipment at MUD sites may be restricted to use by residents only or may be open to a broader user group. Charging stations in assigned parking spaces reserved for the exclusive use of an individual driver or reserved for fleet vehicles are eligible at a reduced incentive level. Charging Equipment installed at MUD sites must be networked charging equipment. Privately owned parking facilities are ineligible for Charge Ready NY 2.0. MUD sites that have more than 100 parking spaces shall be considered Large MUD sites.

3 Incentive Amounts

NYSERDA may choose to limit rebates to applicants owned by or affiliated with the same entity to the limits stated below per calendar year. These limits will be tracked using the application approval date.

- Equipment Owners may not apply for more than \$300,000 in Program incentives in a single calendar year.
- Installers may not apply for more than \$1 million each in Program incentives in a single calendar year.

3.1 Public Facilities

Applicants installing charging stations at publicly owned facilities or curbside parking within a DAC where the price for EV parking in the municipal lots is no more than the municipality's on-street parking rate may receive an incentive payment of \$4,000 per charging port installed. Charging equipment with a single charging port is eligible for an incentive of \$4,000. Charging equipment with two charging ports (a dual port charging station) is eligible for an incentive of \$8,000. **Applicants must install a minimum of four (4) charging ports at each site.**

Single Port Station	\$4,000
Dual Port Station	\$8,000
Minimum Ports per Site	Four (4)

3.2 Workplace and Multi-Unit Dwelling Locations

Applicants installing charging stations in workplace or multi-unit dwelling (MUD) locations may receive an incentive payment of \$2,000 per charging port installed, or \$2,500 per charging port installed at workplace or MUD locations within a DAC. NYSERDA will determine whether an installation qualifies for this additional incentive as part of the application process. Charging stations in assigned parking spaces reserved for the exclusive use of an individual driver or reserved for fleet vehicles are eligible for an incentive of \$1,000 per charging port installed. Charging stations installed in assigned parking spaces are ineligible for the \$500 DAC bonus. **Applicants must install a minimum of four (4) charging ports at each site. Large Workplace/MUD Sites that have more than 100 parking spaces must install a minimum of ten (10) charging ports.**

Base Incentive (per port)	\$2,000
Located within a DAC	\$2,500
Assigned Parking Spaces (All locations, regardless of DAC location)	\$1,000
Minimum Ports per Site (Small Locations)	Four (4)
Minimum Ports per Site (Large Locations)	Ten (10)

3.3 Bonus Incentives for Workplace and MUD Locations

Workplace and MUD locations may choose to participate in a bonus program to receive additional incentives of either \$4,000 (small locations that install between four (4) and nine (9) ports) or \$10,000 (large locations that install ten (10) or more ports). To participate, Equipment Owners will be required to distribute NYSERDA developed marketing information and industry updates on a quarterly basis for a period of one year before being eligible to receive the incentive payment. In addition, Equipment Owners (i.e., incentive recipients) must also complete at least two of the following actions:

1. **Ride & Drive**

Participate in and/or host one ride-and-drive event or host at least two presentations from car dealers.

- NYSERDA contractor will coordinate and facilitate ride-and-drives across multiple employers/MUDs in an area if they help promote them for employees/tenants.

2. **Electric Vehicle Purchase**

Complete group purchase of multiple new electric vehicles for tenants or workplace fleets. Equipment Owners may be eligible for the Drive Clean Rebate of up to \$2,000 per vehicle as well as the Federal Tax Credit of up to \$7,500 per vehicle depending on the model.

- This does not include “company cars” provided as benefits to individual employees.
- At least two (2) purchases for small locations and four (4) purchases for large locations must be made to be eligible for the Bonus Incentive. Purchases of fewer than two (2) vehicles for small locations or four (4) vehicles for large locations will not qualify for the Bonus Incentive.

3. **Free On-Site Charging (one year)**

To encourage use of charging stations, offer free charging to employees or tenants for at least one year. Bonus Incentive payments will not be made for anything less than one year of free charging.

Bonus Incentive Amounts

The incentives are as follows per site:

- Small locations: \$4,000
- Large locations: \$10,000

Refer to section 7 for Bonus Incentive application process requirements.

Note: Incentive amounts and the criteria used to determine them are subject to change at NYSERDA's sole discretion. NYSERDA will provide at least 10 days' notice to all program participants before new incentive amounts take effect.

4 Incentive Application Process

The incentive application process is described in a flow diagram in Appendix A. Refer to section 7 for the Bonus Incentive application process.

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

Equipment Owners may complete and submit their own pre-installation or post-installation rebate applications or allow their Installer to complete the applications on their behalf. If the Installer applies, the rebates can be paid directly to them. In all cases, the Installer must pass the entire rebate onto the Equipment Owner. In all cases, the Equipment Owner must complete a Participation Agreement.

APPLICANT TYPE	APPLICATION PROCESS
Equipment Owner - Payee	The Equipment Owner submits its own application, and the Incentive is paid to the Equipment Owner. The Equipment Owner must complete the Participation Agreement.
Equipment Owner – Non-Payee	The Equipment Owner submits its own application, and the Incentive is paid to the Installer. The Equipment Owner and the Installer must complete Participation Agreements.
Installer - Payee	The Installer submits an application on the Equipment Owner’s behalf, and the Incentive is paid to the Installer. The Equipment Owner and the Installer must complete Participation Agreements.
Installer – Non-Payee	The Installer submits an application on the Equipment Owner’s behalf, and the Incentive is paid to the Equipment Owner. The Equipment owner must complete the Participation Agreement.

If an Installer applies, the Equipment Owner may not submit an application for the same Charging Equipment. However, the Equipment Owner may apply for additional Charging Equipment at the same location so long as that Charging Equipment has not received a Program incentive. In no cases may either an Equipment Owner or Installer receive an incentive payment for Charging Equipment that has already received an incentive payment from NYSERDA.

Applicants may apply for incentives before or after installing Eligible Charging Equipment. Incentives are available on a first-come, first-served basis.

Pre-installation approval does not guarantee that an Applicant will receive any funds from the Program. Pre-installation approval only reserves funds in the Program budget for the Applicant. The Applicant

must satisfactorily complete all the Program requirements and submit all required documentation before receiving a rebate.

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

If an Equipment Owner decides to purchase different eligible charging equipment from the make and model initially selected in the pre-installation application, you must notify NYSERDA by contacting ChargeReadyNY@energycenter.org for assistance with updating the application. White-labeled models that have not been previously approved through RFQL-5312 are ineligible for Program funding. The Equipment Owner may change Installers after applying for pre-approval without having to reapply. If an Equipment Owner decides to install charging equipment at a location other than the one listed in their pre-installation application, the application will be cancelled, and the Applicant must reapply.

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

Applicants shall submit incentive applications through NYSERDA's web portal. [Register for an account.](#)

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

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

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

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

5 Equipment Owner Program Requirements

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

1. **Sign and agree to the Equipment Owner Agreement.**
 - If an Installer is submitting the application on behalf of the Equipment Owner, the Equipment Owner must sign the Installer Agreement and the Equipment Owner Agreement.
2. **Operate the charging equipment for at least five (5) years from the Installation Date.**

Charging equipment must remain at the location listed in the application and maintain network service for the entire five (5) year Program reporting requirement period.
3. **Each port of charging equipment must be able to simultaneously charge vehicles at a minimum of 6.2 kW across all ports.**
4. **Conditions for Charging Management**
 - Equipment Owners/operators may conduct power sharing and/or participate in smart charge management programs so long as each charging port continues to meet an EV's demand for power of at least 6.2 kW unless the EV charging customer consents to accepting a lower power level.
5. **Workplace and MUD Equipment Owners are required to deliver four quarterly marketing information and industry updates to their employees and tenants.** The NYSERDA contractor will prepare and develop marketing information and industry updates to be delivered to the workplace and MUD Equipment Owners within the first 15 days of each quarter (January 15; April 15; July 15; and October 15). Workplace and MUD Equipment Owners who completed charging station installations within the previous quarter will receive the marketing packet from the NYSERDA contractor to be delivered to their employees or tenants on or about the dates mentioned above. This will be recorded as their first of four required quarterly updates. The Equipment Owners must include the NYSERDA contractor as a BCC in the delivery of these quarterly updates to show proof of delivery.
6. **Parking Space Requirements:** The Applicant (Equipment Owner or Installer, as applicable) must provide all required documentation about the charging equipment and installation to NYSERDA and must install at least four (4) charging ports at each site. Large workplace and MUD locations require a minimum of ten (10) charging ports at each site (refer to section 3).
 - The Equipment Owner must provide onsite signage or pavement markings that clearly indicate that the adjacent parking space(s) is reserved for electric vehicles while charging only. Stenciled graphics on the parking pad indicating parking only for electric vehicle parking are recommended. It is required that signage clearly indicate that non-EVs parking in spaces designated as EV parking only may be towed at vehicle owner's expense. It is required that the Equipment Owner protect the Charging Equipment from vehicles by installing bollards or other protective equipment and that the parking spaces be well-lit during the hours between dusk and dawn.

7. **Networking Requirements:** The Equipment Owner must purchase at least one (1) year of network service from a pre-approved network provider at the time of installation. The Equipment Owner can change to a different pre-approved network provider at a later date but must provide NYSERDA access to charging data through a Network Services Vendor for the entire five (5) year Program reporting requirement. The Equipment Owner must add NYSERDA to its network account as an administrator with limited rights to access charging data for the duration of the five (5) years, as described in section 8: Operation of Equipment and Data Provision.
 - If the Equipment Owner changes Network Services Vendors or replaces the equipment within the required five (5) year period of operation, the Equipment Owner is responsible for notifying the Program administrator and for providing new supporting documentation as described in section 6: Required Documents, within 30 days of the change. If changing Network Services Vendors, the Equipment Owner must share the application number, site address, equipment serial number, old network service vendor, and new network service vendor with the Program administrator. If the equipment has been replaced, the Equipment Owner must share the application number, site address, network service vendor, old equipment serial number, new equipment serial number, new equipment manufacturer, new equipment model, and new number of charging ports with the Program Administrator.
8. **Charging Equipment Information:** The Equipment Owner must allow NYSERDA to share the charging equipment information, Equipment Owner contact information, and the installation address with the electric distribution utility serving that location, for the purpose of informing the utilities' system planning efforts, and with the U.S. Department of Energy, which compiles information about charging equipment to share with EV drivers through the Alternative Fuels Data Center (AFDC).
9. **Customer Service Requirements:** The Equipment Owner must provide a customer support service number 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 Equipment. 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.
10. **Pricing Requirements:** Charging Equipment must display kW pricing information through a digital display on the Charging Equipment or associated kiosk. For Charging Equipment that require payment in addition to kW fees, the Equipment Owner must make any additional pricing information (dwell time surcharges, extended EV parking fees, fees per charging session, etc.) available to drivers in advance of each charging session. The additional pricing information must be clearly indicated on the digital display screen that is legible both at night and in direct sunlight, or on parking space signage.
11. **Surveys:** The Equipment Owner must agree to participate in online surveys and other research efforts that support Program goals.
12. **Charging Equipment Repairs:** During the entire five (5) year operating period, the Equipment Owner must make any needed repairs to the Charging Equipment. The Equipment owner must begin the repair process within 24 hours of notice of a malfunction or other operational issue.

13. **Recoupment:** Funded Charging Equipment taken out-of-service, relocated, determined to be inoperable, or having network service cancelled prior to completing the minimum 5-year in-service requirement are subject to prorated reimbursement penalty of 1.667% per month. For example, Charging Equipment retired or relocated after 30 months would have 30 months remaining. The early retirement penalty would equal 50% of the Charge Ready NY 2.0 incentive. The Equipment Owner must repay this early retirement penalty to NYSERDA within 60 days of the retirement or relocation of the Charging Equipment unless it has submitted documentation that a new eligible Charging Equipment has been installed. Charging Equipment not in-service for 90 consecutive days due to a malfunction, or other operational issues, may be deemed inoperable and potentially in violation of the 5-year in-service requirement. If NYSERDA finds that there has been no usage on Charging Equipment for 60 days, it may request information from the Equipment Owner regarding the Charging Equipment's maintenance status to determine if the Equipment Owner is subject to repayment of funds.

Equipment Owners must be familiar with and 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.

6 Required Documents

Applicants must submit required documents for each incentive application.

To receive pre-installation approval for an incentive, Applicants must submit:

- **Completed application form (completed online).**
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required. Permit must be active from the pre-installation application date and cover the dates from the beginning of the construction through the Installation Activation Date.
- **Site Host Agreement:** Scan of signed Site Host Agreement. If the Equipment Owner is also the property owner of the installation site, the Equipment Owner must still complete this form.
- **Equipment Owner Agreement:** Scan of signed Equipment Owner Agreement.
- **Installer Agreement:** Scan of signed Installer Agreement, if applicable.
- **Scan of quote(s) from installers** for the installation of Charging Equipment. The quote shall be itemized and clearly break out the following:
 1. Make and model name of the specific charging equipment with per-unit costs
 2. Networking fees annually
 3. Minimum three-year warranty, items covered and cost
 4. Estimated networking fees that the Equipment Owner will be responsible for the duration of the five-year Program reporting requirement (for Equipment Owner informational purposes)
- **Site Map:** Aerial view of the site showing all parking spaces and indicating where Charging Equipment will be installed.

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

- **Completed application form** (completed online).
- **Serial numbers, network ID, and GPS coordinates** to six decimal places for all charging equipment (submitted as part of completed application).
- **Copy of Permit:** Scan of building permit to install charging equipment or note from the authority having jurisdiction (AHJ) that no building permit is required. Permit must be active from the beginning of the construction through the Installation Activation Date.
- **Site Host Agreement:** Scan of signed Site Host Agreement. If the Equipment Owner is also the property owner of the installation site, the Owner must still complete this form.
- **Equipment Owner Agreement:** Scan of signed Equipment Owner Agreement.

- **Installer Agreement:** Scan of signed Installer Agreement, if applicable.
- **Site Map:** Aerial view of the site showing all parking spaces and indicating where Charging Equipment will be installed.
- **Installed Site Photo:** Photo of the charging equipment installed so the equipment is visible at its site. Onsite signage or pavement markings and bollards/protective equipment must also be visible in the photo.
- **Serial Number Photo:** Photo of the serial number visible on the outside of each piece of charging equipment.
- **Customer Support Number Photo:** Photo of toll-free, 24-hour customer support service number posted on or near the charging equipment.
- **Charging Equipment Pricing Photo:** Photo of kW pricing on the display screen of the charging equipment or associated kiosk.
- **Charging Equipment Installer Certification:** Scan of signed Charging Equipment Installer Certification. If the Equipment Owner self-installed the Charging Equipment, the Equipment Owner must still complete this form.
- **Network Service Agreement:** Scan of proof of payment for one (1) year of network services. (EVSE must remain networked for the entire 5-year Program reporting period).
- **Proof of payment for equipment:** Scan of proof of payment for Eligible Charging Equipment. The proof of payment for the equipment should list information about the vendor (name, company, contact information), and include an itemized invoice that clearly breaks out the following:
 1. Make and model name of the specific equipment purchased with per-unit costs
 2. Networking fees annually
 3. Minimum three-year warranty duration, items covered and cost
 4. Other fees, such as provisioning fees (if applicable)
 5. Estimated networking fees that the Equipment Owner will be responsible for the duration of the five-year Program reporting requirement (for Equipment Owner informational purposes)
- **Proof of payment for installation services:** Scan of proof of payment from installer for the installation of eligible Charging Equipment. The proof of payment should include information about the installer (name, company, contact information), and include an itemized invoice that clearly breaks out the following (if applicable):
 1. If the Installer is the applicant, they must pass the entire rebate incentive through to the Equipment Owner. This must be clearly noted in the invoice from the Installer to the Equipment Owner.
 2. Utility Make-Ready funding (if applicable) must be clearly noted in the invoice.
 3. Labor associated with the installation of EVSE (hourly rates and number of hours at each rate). Labor associated with electric service upgrades listed separately.

4. Materials and hardware other than the EVSE, such as electrical conduit (linear feet), wiring, post or bollards for EVSE protection, etc. (Please list out.)
5. Electric service upgrades.
6. Directly related site work (e.g., patching pavement that had to be torn up to install conduit; concrete slabs for EVSE installation; etc.).
7. Permitting fees.
8. Other project management costs.

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

7 Bonus Incentive Application Process

Workplace and MUD locations are eligible to apply for bonus incentives (refer to section 3). Public facilities located within a DAC are ineligible for bonus incentives. Once a pre-installation application has been approved or upon receipt of a post-installation application, a NYSERDA contractor will contact the Equipment Owner with information regarding the bonus incentive application process. The Equipment Owner will have eighteen (18) months from the date that the rebate incentive is approved to complete the minimum requirements necessary to receive the bonus incentive. Upon completion of the minimum requirements, review and approval of these requirements, the bonus incentive payment will be paid to the Equipment Owner.

The NYSERDA contractor will prepare and develop marketing information and industry updates to be delivered to Equipment Owners within the first fifteen days of each quarter (January 15; April 15; July 15; and October 15). All Equipment Owners who express interest in participating in the Bonus Incentive application within the previous quarter will receive the marketing packet from the NYSERDA contractor to be delivered to their employees or tenants on or about the dates mentioned above. This will be recorded as their first of four required quarterly updates. The Equipment Owners must include the NYSERDA contractor as a BCC on the delivery of these quarterly updates to show proof of delivery.

The Equipment Owner must complete two of the following three activities in addition to distributing the four quarterly updates described above to be eligible for the bonus incentive.

1. Participate in and/or host one ride-and-drive event or host at least two presentations from car dealers.

NYSERDA contractor will coordinate and facilitate ride-and-drives across multiple employers in an area if they help promote them for employees/tenants. The NYSERDA contractor will record the number of employees or tenants from each Equipment Owner who participates in the ride-and-drive events or smaller presentations. To receive credit for this option, each Equipment Owner will need to meet the minimum number of attendees listed below:

- Small locations: 5 employee/tenant attendees
- Large locations: 10 employee/tenant attendees

2. Complete group purchase of multiple new electric vehicles for tenants, or workplace fleet.

- This does not include “company cars” provided as benefits to individual employees.
- At least two (2) purchases for small locations and four (4) purchases for large locations must be made to be eligible for the Bonus Incentive. Purchases of fewer than two (2) vehicles for small locations or four (4) vehicles for large locations will not qualify for the Bonus Incentive.

The Equipment Owners will be required to submit copies of the buyer’s orders or purchase order for these vehicles to the NYSERDA Contractor. Copies of the registrations must be submitted to show proof the vehicle was registered in New York State. The Equipment Owners must commit to

domiciling the vehicles within New York State for a period of three years (Terms and Conditions Form).

- Buyer's Orders
- Copies of registrations
- Terms and Conditions Form

Equipment Owners may be eligible for the Drive Clean Rebate of up to \$2,000 per vehicle as well as the Federal Tax Credit of up to \$7,500 per vehicle depending on the model.

3. Offer free charging to employees or tenants for at least one year.

As part of the Data Provisioning (see section 8), the NYSERDA contractor will be able to verify whether the charging stations are free to use for the one-year period. The one-year period will begin when the Equipment Owners agree to participate in the Bonus Incentive structure or from the date of installation, whichever comes latest. Bonus Incentive payments will not be made for anything less than one year of free charging.

7.1 Bonus Incentive Amounts

Upon completion of the four quarterly updates and two of the three options mentioned above, Equipment Owners will be eligible to receive the Bonus Incentive. Small locations are workplaces and MUDs with up to 100 parking spaces that have installed between four (4) and nine (9) ports. Large locations are workplaces and MUDs with over 100 parking spaces that have installed ten (10) or more ports.

- Small locations: \$4,000
- Large locations: \$10,000

8 Operation of Equipment and Data Provision

Equipment Owners must continue to own and operate the Charging Equipment at the same location listed on the application and maintain network service for a period of no less than five (5) years from the date of installation. If the Equipment Owner ceases to operate the charging equipment before the end of this term, NYSERDA may require repayment of a portion of the incentive payment proportional to the amount of time the equipment was not in operation compared to the required period of operation unless the equipment is sold to a buyer who commits to operating the equipment at the same location for the full five-year term and maintaining reporting requirements. For instance, if the equipment was in operation for only thirty months, NYSERDA may require repayment of fifty percent (50%) of the incentive payment.

As part of the operation of equipment, NYSERDA requires that all participating networks be able to provide charging session data in the required format below via an online portal. This is so the required information can be collected at any time. Equipment Owners must be able to provide this information directly to NYSERDA through their network service provider. This is obtained using password-protected access to a station management software that allows NYSERDA limited administrative access to energy use and status reports at any time of the day. All EVSE must be available through one login to one platform. Minimum requirements are listed below.

- General
 - Session data is available via online portal and required fields are exportable by a reporting entity with access to the portal.
 - Data from funded 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 and include, at a minimum:
 - EVSE serial number (symbols such as dashes should be removed)
 - 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)

- 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 must provide the ability for NYSERDA to download station status reports directly from the online portal.
 - Networks will be required to provide a glossary of status terms and their definitions.
 - EVSE status data downloads should 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)

The Equipment Owner must set up access to usage data through a Network Services Vendor for the duration of the five (5) years. All charging station data provided to NYSERDA through these charging stations can be disseminated and utilized by NYSERDA at its own discretion. NYSERDA shall have the right to use, duplicate, or disclose the charging station data, in whole or in part, for any purpose other than resale or commercialization of the data, and permit others to do so. Network Service Vendors, NYSERDA, or the Program Administrator will be able to provide instructions for establishing NYSERDA as an administrator with data access. NYSERDA may, on an annual basis, survey Equipment Owners to obtain information about operating Charging Equipment and any problems encountered including, but not limited to, parts availability, warranty service, maintenance, and repair issues.

9 Incentive Distribution Process

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

10 Termination

An Applicant/Equipment Owner may be terminated from the Program for reasons including, but not limited to, if they:

- Submit falsified documents or unauthorized signatures to the Program.
- Repeatedly invoice for uninstalled measures.
- Are in violation of Program rules, the Equipment Owner Agreement, or the Installer Agreement.
- Commit illegal actions, or has principal who commits illegal actions, while participating in the Program.

Applicants/Equipment Owners in terminated status are prohibited from participation in this or other NYSERDA programs. Applicants/Equipment Owners with incomplete projects will be notified of the termination and may be offered such remedies as NYSERDA deems appropriate. NYSERDA may, if appropriate, notify the New York State Attorney General, the New York State Department of Labor, the Better Business Bureau, or others, of the decision to terminate the Applicant/Equipment Owner from the program. Nothing in this process relieves the Applicant/Equipment Owner of the responsibility to fulfill any remaining obligation to the Program or its customers.

11 Appeals Process

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

12 Research Participation

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

13 Publicity

1. The Equipment Owner/Applicant shall collaborate with NYSERDA's Communications Department to prepare any press release and to plan for any news conference concerning any work under this Program. In addition, the Equipment Owner/Applicant shall notify NYSERDA's Communications Department regarding any media interview in which any work under this Program is referred to or discussed.
2. It is recognized that during the course of the Work under this Program, the Equipment Owner, Installer, or its employees may from time-to-time desire to publish information regarding scientific or technical developments made or conceived in the course of or under this Program. In any such information, the Equipment Owner, Installer, or its employees shall credit NYSERDA's funding participation in the Project and shall state that "NYSERDA has not reviewed the information contained herein, and the opinions expressed in this report do not necessarily reflect those of NYSERDA or the State of New York." The Equipment Owner, Installer, or its employees shall have the right to use and freely disseminate project results for educational purposes, if applicable.
3. Commercial promotional materials or advertisements produced by the Equipment Owner/Applicant shall credit NYSERDA's funding participation and shall be submitted to NYSERDA for review and recommendations to improve their effectiveness prior to use. The wording of such credit can be approved in advance by NYSERDA, and, after initial approval, such credit may be used in subsequent promotional materials or advertisements without additional approvals for the credit, provided, however, that all such promotional materials or advertisements shall be submitted to NYSERDA prior to use for review, as stated above. Such approvals shall not be unreasonably withheld, and, in the event that notice of approval or disapproval is not received by the Equipment Owner/Applicant within thirty days after receipt of request for approval, the promotional materials or advertisement shall be considered approved. In the event that NYSERDA requires additional time for considering approval, NYSERDA shall notify the Equipment Owner/Applicant within thirty days of receipt of the request for approval that additional time is required and shall specify the additional amount of time necessary up to 180 days. If NYSERDA and the Contractor do not agree on the wording of such credit in connection with such materials, the Contractor may use such materials, but agrees not to include such credit.

14 Quality Assurance and Compliance

NYSERDA maintains the integrity of its program through an independent Standards and Quality Assurance team, which manages the Quality Assurance (QA) system for the Program.

The QA program has several components, including a review of qualifications and credentials, paperwork audits, establishment of program standards, and comprehensive field inspections. Field inspections include verification of the application scope of work, accuracy of the site conditions, comparison of installation to submitted design, installation meets applicable electrical code, and the overall delivered quality of the electric vehicle charging equipment.

15 Inspection of Completed Projects

NYSERDA selects specific completed projects for QA inspections following a rational sampling protocol. The protocol utilizes a strategic sampling of completed projects with rates primarily based on field inspection scores.

The purpose of the QA inspection is to provide NYSERDA with an opportunity to evaluate the accuracy of the site analysis and design paperwork and verify the system was installed according to all program requirements. The QA inspection also includes selected health, safety, and performance items, and specific compliance items per applicable code.

NYSERDA may select any completed project at any point in the future for a field inspection based on customer complaints, warranty-related issues, or otherwise. All equipment owners and installers are encouraged to perform in-house quality control of their projects. Should NYSERDA decide to inspect an installation, NYSERDA, its technical contractor, or Data Agent may or may not contact the Installer or Equipment Owner to schedule the inspection; inspections may occur without advance notice. If the inspection reveals activities different from those represented in any of the required documentation, NYSERDA may refuse to make any payment. NYSERDA may independently communicate with any Customer, without prior notice to the Installer or Equipment Owner, with respect to any Program installation.

16 Appendix

Figure 1: Pre-Approval Application Flow

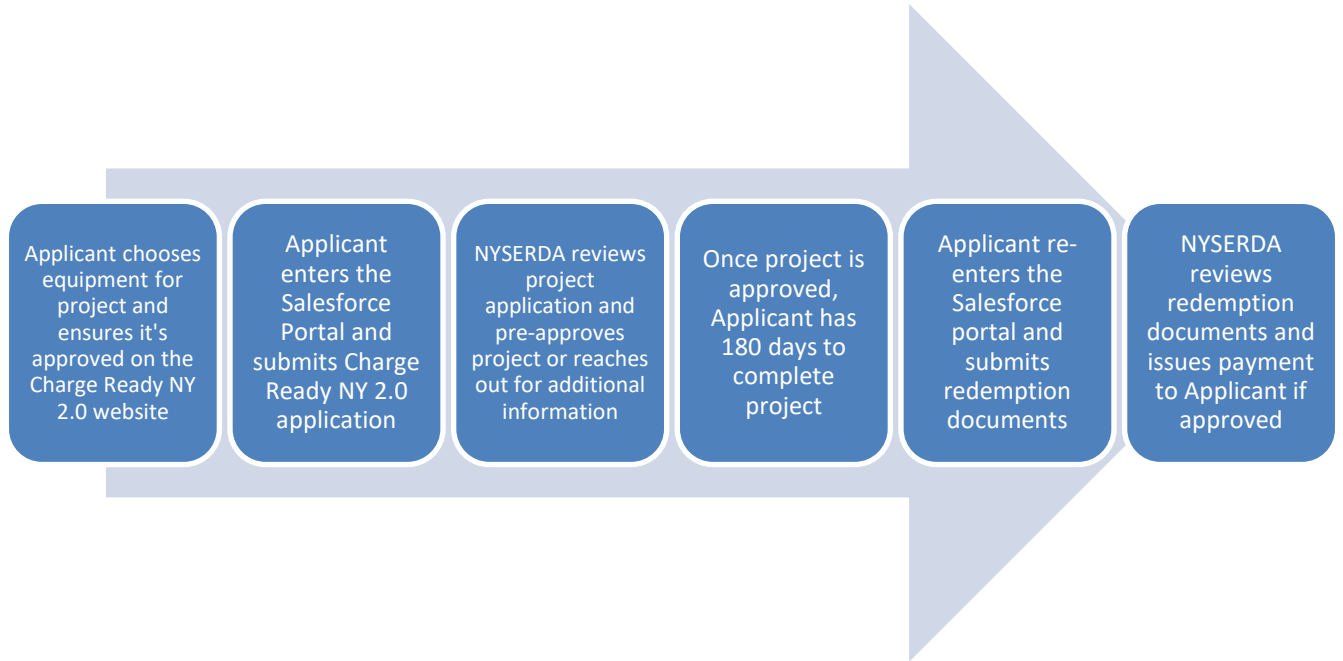
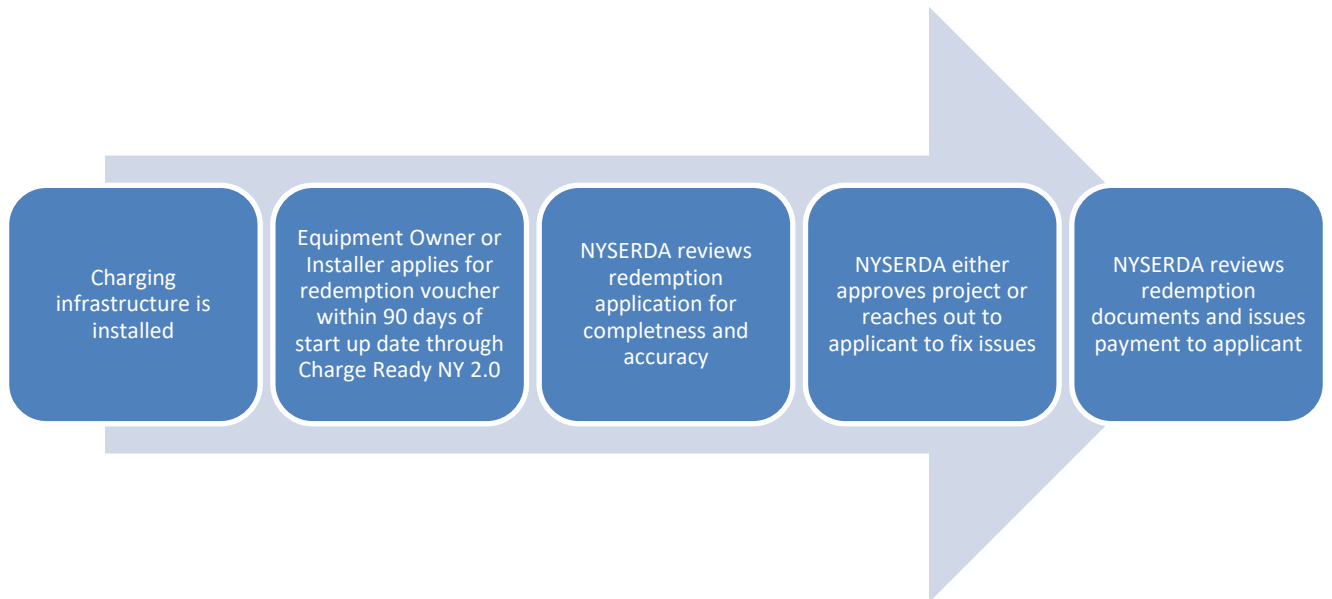


Figure 2: Post-Approval Application Flow





NYSERDA

**Catalyze Clean Energy Financing for Decarbonization in New York State Communities –
State Energy Finance Institution (SEFI) Support”**

Program Opportunity Notice (PON) 5456

\$ 20,000,000 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 Starting: 9/11/2023
and will remain open until all funds are exhausted or at NYSERDA’s discretion.

Program summary: New York State Energy Research and Development Authority (“NYSERDA”), invites financial entities actively working or planning to deploy capital into decarbonization projects in New York State (“NYS”), particularly those focused on the built environment and benefitting disadvantaged communities (“DAC”), to submit proposals for a direct investment in the form of subordinate debt and/or loan loss reserve (“LLR”) support. NYSERDA expects to deploy up to \$20 Million of concessionary capital to eligible entities applying to, and subsequently being approved by, the LPO Title 1703 Loan Guarantee Program. NYSERDA’s provision of financial support through this initiative is intended to increase access to the Title 1703 Loan Guarantee Program by entities seeking to advance decarbonization products or processes expected to advance the realization of New York greenhouse gas (“GHG”) reduction and DAC benefit goals.

Individual awards under this PON can be a maximum of \$20 million as determined by NYSERDA. However, Eligible Applicants whose project(s) require an additional SEFI support capital per LPO technical review and feedback, are encouraged to consult with NY Green Bank (“NYGB”) and consider applying for additional SEFI funding under NYGB’s RFP1 open solicitation.

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>).

No communication intended to influence this procurement is permitted except by contacting one of the Designated Contacts. If you have technical questions concerning this solicitation, contact one of the Designated Contacts: (i) SEFIfund@nyserda.ny.gov; (ii) John Joshi at (212) 971-5342, ext. 3636; (iii) Luis Aguirre-Torres at (518) 862-1090, ext. 3410. If you have contractual questions concerning this solicitation, contact James Cowman at (518) 862-1090, ext. 3652, or JamesSolicitations@nyserda.ny.gov. Please include “NYSERDA PON SEFI” in the subject line of all e-mail communications. Contacting anyone other than these Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement may result in a proposer: (1) being deemed a non-responsible offeror, and (2) not being awarded a contract.

1 Introduction

In conjunction with its efforts to reduce GHG emissions, accelerate economic growth, and improve the quality of life for all New Yorkers equitably, the New York State Energy Research and Development Authority (“NYSERDA”) may support financing solutions designed to accelerate the clean energy transition. In so doing, NYSEDA seeks opportunities to encourage and attract private capital and to leverage federal funding in an effort to maximize the value of NYS investment.

Through this PON, NYSEDA intends to provide meaningful financing support in the form of subordinate loans or credit enhancements to advance clean energy initiatives, especially those with an emphasis on decarbonizing the built environment and benefitting disadvantaged communities (“DAC”). This support is offered as a counterpart to application(s) to the U.S. Department of Energy (“DOE”) Loan Programs Office (“LPO”) for clean energy loan guarantees under the Title 1703 Program and consistent with LPO’s published State Energy Financing Institution (“SEFI”) Opportunities. Potential applicants to this PON can review the criteria for entities qualifying as a SEFI on the [LPO website](#).

NYSERDA’s provision of financial support through this initiative is intended to increase access to the Title 1703 loan guarantee program by entities seeking to support decarbonization products or processes expected to advance the realization of New York GHG reduction and DAC benefit goals. It may also lower the cost of the loan guarantee, thereby reducing a potential barrier for eligible applicants looking to scale such decarbonization services or processes, and in turn advance NYS goals more affordably.

NYSERDA invites financial companies (referred to in this document as “Applicants” or “Proposing Entities” see Section 2.1) actively working or developing plans to deploy capital into decarbonization projects in New York State (“NYS”) to submit proposals (each, a “**Proposal**”) for a direct investment in the form of subordinate debt and/or a loan loss reserve.

Under the SEFI Decarbonization Fund (“**SEFI Fund**”), NYSEDA expects to deploy up to \$20 Million of concessionary capital by making investments of subordinate debt, and/or by providing loan loss reserves to eligible Applicants (See [Section 2.1](#)), subject to structuring terms and applicable federal, state, and local regulations. Illustrative terms and conditions of loans made pursuant to this PON can be found in [Appendix 1](#).

Through this PON, NYSEDA primarily seeks to support Applicants that will provide loans or other financing for clean energy and sustainable infrastructure projects that support attainment of NYS decarbonization goals in a manner designed to reduce GHG emissions affordably while delivering benefits to DACs. Applicants will be expected to demonstrate a track record of success and ongoing capabilities, or a credible plan to develop and exhibit such capabilities, originating, underwriting, and managing the financing of projects that benefit DACs, support affordable housing, and/or decarbonize the built environment. Funding will be prioritized for programs and uses that follow a decarbonization approach expected to maintain or improve energy affordability.

This PON will remain open at NYSEDA’s discretion until all funds have been fully allocated. Responses will be evaluated on a rolling basis. See [Section 2](#) for eligibility requirements and [Section 4](#) for further detail on the proposal submission and evaluation process.

Eligible Applicants whose project(s) may require more than the \$20 million available under this PON as proposed SEFI support capital are encouraged to consider applying to NY Green Bank (“NYGB”) for additional SEFI funding under NYGB’s RFP1 open solicitation.

NYSERDA hosted a webinar for this solicitation on October 10th, 2023, at 10:00AM ET. This webinar recording is posted online for review. Please click [here](#) to view the webinar.

2 Eligibility Requirements

To be considered for an award, Applicants must meet NYSEDA minimum eligibility requirements as stated below in 2.1 and 2.2. As the intent of this PON is to leverage and complement the LPO’s Title 1703 Program, information on that topic is provided below for reference and proposers are encouraged to visit the LPO website above for further information. NYSEDA awards under this PON will be contingent on Applicants receiving approval of LPO loan guarantee and providing proof of such approval to NYSEDA. Receipt of an award or approval by LPO does not guarantee an award by NYSEDA.

A new federal authority waives the innovative technology requirement in the LPO’s Title 1703 Program for projects receiving financial support or credit enhancements from a qualifying SEFI. Previously, all projects funded under Title 1703 were required to employ technologies that were new or significantly improved compared to commercially available technologies. Now, projects that reduce greenhouse gas emissions without using an innovative technology may be eligible for loans or loan guarantees under the Title 1703 program, so long as the projects receive qualifying funding from a SEFI (e.g., state green banks, state energy offices or other qualifying state entities) and fall into one of the categories of eligible projects under the Title 1703 program. Congress enacted this change to Title 1703 in part

to provide access to debt for borrowers seeking to deploy already commercialized clean energy technologies. By providing loan guarantees to SEFI- supported projects (which can include guarantees of loans made by eligible private lenders), the LPO can now offer project financing to a wider range of borrowers under Title 1703, including small, rural, and underserved communities.

Qualifying SEFI support can take many forms. Examples of qualifying funding may include, but are not limited to:

- SEFI provides equity/subordinate portion of capital stack.
- SEFI provides loan loss reserve with respect to junior portion of capital stack.
- SEFI co-lending with LPO (Pari-passu or subordinate debt).
- SEFI provides financial backstop for specific key project elements that may be subject to regulatory or local market risk.

The Proposal must demonstrate that the Proposing Entity: a) meets the eligible applicant criteria listed in [Section 2.1](#), and b) is lending to projects that satisfy the eligible project criteria listed in [Section 2.2](#).

2.1 Eligible Applicant Criteria

Eligible Applicants must be in the process of applying to LPO for a loan guarantee supporting decarbonization work in NYS within the Target Sectors described in Section 2.2. Applicants should qualify under the LPO Title 1703 Program including financing firms and developers sponsoring decarbonization projects, as well as commercial firms and nonprofit organizations.

2.2 Eligible Project Criteria

- 1 Eligible projects must be in one or more of these target sectors: (1) Residential (1-4 unit) dwellings; (2) Commercial buildings; (3) Multifamily (5+ unit) buildings; (4) Non-profit and Municipal buildings; (5) District Thermal Energy projects; (6) Electrification of the Transportation Sector to the extent it intersects with the built environment; (7) Energy Storage; (8) Grid impact: including optimization through virtual power plants or similar technology to support decarbonization of the built environment; and (9) Other Decarbonization Projects impacting built environment and infrastructure, with an emphasis on projects benefitting DACs.
- 2 Eligible Projects must utilize an Eligible Technology (see [Appendix 2: Eligible Technologies](#))
- 3 Applicants that have projects outside NYS are eligible provided that the Eligible Projects in NYS constitute at least twenty percent (20%) of the Applicant's financing facility, or meet at least a twenty times (20x) minimum capital leverage ratio of NYSERDA's SEFI investment into the Applicant's facility.
- 4 Eligible Projects must be comprised of decarbonization interventions that are designed to maintain or reduce customer energy bills, maintain or improve building comfort, and deliver resilient, durable solutions, or otherwise contribute to GHG emissions reductions in support of NYS clean energy policies.
- 5 Eligible Applicants must demonstrate that they will have the capacity to identify and lend to Eligible Projects by having:
 - Either (i) a successful track record of delivering qualifying decarbonization Eligible Projects in communities, including DACs, and the capacity to expand on that track record through participating in Eligible Project financing; or (ii) a detailed and credible plan (consistent with the management team's experience and capabilities) to develop the capacity to participate in Eligible Project financing; and
 - Either (i) a pipeline of forward-looking opportunities for Eligible Projects in NYS, or (ii) a detailed and credible plan (consistent with the management team's experience and capabilities) to develop such a pipeline/portfolio of Eligible Projects.

3 Proposal Contents

Proposals must clearly and concisely address each of the topics of Sections 3.1 to 3.6. The failure to respond to a topic will render the Proposal incomplete and NYSERDA unable to proceed. Proposals should be thorough and provide details on the business plan and goals for deployment in NYS for decarbonization solutions. Applicants should include similar details as provided in their LPO application for business strategy.

3.1 Required Disclosures

Please provide the following information labeled "[Required Disclosures](#)":

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

3.2 Company and Management Team Credentials

Please provide the following information labeled "Company and Management Team Credentials":

- (a) A brief overview of the Proposing Entity.
- (b) The identities of all parties to the Proposal
 - If Proposal includes a partnership of one or more entities – provide a description of the purpose and objectives of the partnership, the roles and deliverables of each entity, and all Proposal Contents requested in Section 3 for each entity.
- (c) Resumes, bios and/or LinkedIn profiles for the Proposing Entity's management team.
- (d) As applicable, name(s) of agency/ies by which the Proposing Entity is regulated and/or insured.
- (e) A summary of the Proposing Entity's underwriting, origination, and servicing process and experience.
- (f) Description of the Proposing Entity's business model/strategy (or attach a Business Plan); and,
- (g) Audited financial statements.

3.3 Portfolio

Please provide the following information labeled "Portfolio":

- (a) Description of overall portfolio of loans/investments originated, including:
 - i. Portfolio loan loss rate over the past 1-, 3-, and 5-year periods and since inception; and
 - ii. Return on assets over past three years.
- (b) Description of the portfolio of projects that benefit DACs in NYS and elsewhere, including:
 - i. Volume and number of portfolio investments that benefit DACs;
 - ii. Description of DACs supported and benefits to DACs provided by portfolio investments; and
 - iii. DAC loan loss rate over the past 1-, 3-, and 5-year periods and since inception.
- (c) Description of experience investing in projects that reduce GHG emissions in NYS and elsewhere; and
- (d) Summaries of 2-5 relevant recent portfolio transactions. For each transaction, include:
 - i. Project scope;
 - ii. Technology type (if applicable);
 - iii. Transaction size;
 - iv. Borrower type; and
 - v. Estimated impact (potentially including GHG emission reductions and/or any of the benefits listed in [Section 3.6](#)).
- (e) If the Proposing Entity does not have an applicable portfolio history in NYS including the elements above, please provide a credible plan (consistent with the management team's experience and capabilities) to develop such a portfolio, including DAC strategy.
- (f) If the Proposing Entity has a portfolio that extends beyond projects in NYS, provide relevant documentation substantiating how the NYS minimum project concentration has been achieved or will be achieved within one year of NYSERDA funding being awarded.

3.4 Targeted Eligible Project Deal Flow

Please provide the following information labeled "Project Deal Flow":

- (a) Describe Eligible Project investment activity currently underway. Include:
- (b) Volume and number of Eligible Project investments currently under review for financing. Specify the percentage (by both dollar volume and transaction count) of total financeable projects that such transactions represent; If the Proposing Entity does not have any active Eligible Projects, describe plans to expand investment capacity to include Eligible Projects. Identify and describe:
 - i. Targeted origination strategy;
 - ii. Demonstrated demand for the Proposing Entity's capital; and
 - iii. Any existing relationships that are expected to support deal flow.

3.5 Capital Needs

Please provide the following information, labeled “Capital Needs”:

- (a) Amount and source(s) of the Proposing Entity’s initial capitalization and ongoing funding/income source(s);
- (b) Value of current portfolio;
- (c) Current liquidity situation and outlook;
- (d) Current debt and equity sources and uses;
- (e) Dollar amounts of the proposed Eligible Project portfolio;
- (f) Description of how quickly the Proposing Entity anticipates committing and deploying capital; and
- (g) Description of how investments / support through this PON would enable the Proposing Entity to expand its financing with consideration to energy affordability or otherwise contribute to GHG emissions reductions in support of NYS clean energy policies, including the Climate Act, specifically in or benefiting DACs.

3.6 Impact Measurement and Reporting Capability

NYSERDA carefully evaluates the outcomes of its initiatives to assess relative impact and is required to provide transparent reporting thereof. The Proposing Entity will be required to assist with initial impact estimates and report on relevant metrics such as those listed below periodically during the term of the financing. Specific data reporting requirements will be determined prior to transaction execution.

Please provide the following information labeled “Impact Measurement and Reporting Capability”:

- (a) Types of environmental or social data that the Proposing Entity collects from its borrowers.
- (b) Impact metrics that the Proposing Entity tracks for its investments, e.g.:
 - i. Bill savings or cost reductions for residents.
 - ii. Units of housing weatherized, electrified, or otherwise decarbonized, including a breakdown of market- rate and affordable housing units.
 - iii. GHG emission reductions achieved, measured by CO2-equivalent reductions.
 - iv. Volume of DAC investments.
 - v. Local air quality improvements.
 - vi. Jobs created.
 - vii. Capital commitments and mobilizations by sector/ financed counterparty or recipient of direct project financing from the facility.
 - viii. Other
- (c) Data collection process and calculation methodologies that the Proposing Entity employs to regularly evaluate and track the metrics listed above.
- (d) Acknowledgement by the Proposing Entity that the Proposing Entity will be required to deliver the agreed upon impact data to NYSERDA within 30 days after the end of every quarter in all cases for at least the term of the financing.

4 Proposal Process and Evaluation

Proposing Entities are encouraged to contact NYSERDA before the submission of a Proposal to ensure alignment with NYSERDA’s mission, mandate, and broad investment criteria, as well as this PON’s specific eligibility criteria. To this end, please email us at SEFIfund@nyserda.ny.gov and include “SEFI Fund” in the subject line. As noted in Section 4.1 below, direct communication will be limited after a Proposal is submitted and while it is under consideration.

4.1 Proposal Submission Process

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 shall 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>).

4.2 Proposal Evaluation Process

Applicants are encouraged to apply to this PON at the time they submit a Level 2 Title 1703 application. Where permitted under LPO rules and regulations, Applicants may include information from their LPO loan application in their application to this PON, to the extent the Applicant believes such inclusion would improve NYSERDA's understanding of Applicant's qualifications.

Proposals will be evaluated on a regular basis as they are received. Proposing Entities can generally expect an email response, including any next steps, if applicable, within 90 days after NYSERDA's receipt of Proposal.

Proposals will be evaluated by the Scoring Committee. Each Proposal will be reviewed to determine satisfaction of the Eligibility Requirements (Sections [2.1](#) and [2.2](#)), and the status of the Applicant's application submitted to the LPO as detailed in section 4.3.

Additional Clarification/Information may be requested if the Scoring Committee is unable to fully evaluate the Proposal with the information provided.

In consultation with NYSERDA, proposals requiring SEFI support exceeding the NYSERDA SEFI capital support under PON5456, may be able to apply for additional SEFI support from NYGB through [NYGB's RFP1](#). Such additional support will be subject to the requirements of NYGB's RFP1.

4.3 Eligible Applicant Firms Criteria¹

Applicants are expected to follow the LPO Pre-Application process for guidance regarding project eligibility, LPO application process and applicant questions. Following that review and after successfully applying to LPO's Level 1 process, the Applicant is encouraged to apply to this PON, presenting proof of having submitted an LPO Level 1 application or proof of receiving an approval to submit a Level 2 application. Additionally, Applicants that have already previously completed the Level 1 process and have submitted or will submit a Level 2 application can apply to this PON. The Applicant's final review and final approval will be subject to NYSERDA Scoring Committee review.

5 General Conditions

Costs & Expenses

Once a Proposal has been contingently awarded by NYSERDA, the proposed transaction will move into NYSERDA's Active Contingent Commitment List. Once the Applicant has received final commitment from LPO, and provided that approval to NYSERDA, then, NYSERDA and the Applicant will move to finalizing the terms and conditions of the transaction. Upon closing, Proposing Entities shall pay a closing fee and an annual administration fee as determined by NYSERDA at its discretion based on deal sector and structure. There is no Commitment Fee on any undrawn amounts available under the SEFI Fund Loan during the first 12 months following closing. However, a .50% per annum Commitment Fee shall apply to any undrawn amounts available under the SEFI Fund investment during the remainder of the Availability Period.

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 expects to deploy up to \$20 Million of concessionary capital starting in [Month], 2023, until fully allocated. 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 application should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Applicants within 90 days from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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.

Attachments:

1. Appendix 1: Summary of Indicative Terms and Conditions
2. Appendix 2: Eligible Technologies

Appendix 1: Summary of Indicative Terms and Conditions

This is merely an example and not the terms included in the final documents for NYSERDA’s SEFI Fund investment facility, which may differ substantially from the terms set forth herein based on due diligence, credit considerations, prevailing market conditions, and other factors.

*This summary of terms and conditions (the “**Term Sheet**”) summarizes the principal terms and conditions of potential SEFI Fund investments to be made available by New York State Energy Research and Development Authority (“**NYSERDA**”) to entities that meet the criteria of an eligible Applicant as defined in [Section 2.1](#) (any such entity, a “**Borrower**”). The Term Sheet does not constitute an offer, commitment, or agreement by NYSERDA to enter into any loan facility or other investment with any party. The closing of a SEFI Fund investment facility described herein shall be subject to, without limitation, the completion of satisfactory due diligence by NYSERDA, the execution of definitive documents satisfactory to NYSERDA, final credit approval by NYSERDA, and the Applicants receipt of approval of LPO financing. Receipt of an award or approval by LPO does not guarantee an award by NYSERDA.*

I. Transaction; Financing Parties	
SEFI Fund Loan	Subordinate debt facility for eligible Uses of Proceeds (as defined below) on terms that are satisfactory to the Investor. Loan Loss Reserves on terms that are satisfactory to the Investor
Investor	NYSERDA
Borrower	Eligible lenders as described in the PON
II. Principal Financing Terms	
SEFI Fund Loan Sizing	<ul style="list-style-type: none"> • Maximum: A maximum of \$20 million as determined by NYSERDA , subject to structuring terms and LPO regulations in the PON • Additional SEFI funds may be available from NYGreen Bank and applied for under its RFP 1 open solicitation.
Use of Proceeds	<p>The Borrower shall use proceeds solely to finance loans made by the Borrower to Eligible Projects (“Eligible Loans”). “Eligible Projects” are defined as projects that meet the following requirements:</p> <ol style="list-style-type: none"> 1. Support decarbonization of the built environment, including energy efficiency and/or electrification with an emphasis on energy affordability; energy storage; district thermal networks; grid impact solutions; clean transportation, including electrification and EV infrastructure; and/or other decarbonization approaches. 2. Contribute to greenhouse gas emissions reductions. 3. An acceptable percentage of projects to benefit DACs (as further described under “DAC Benefits” below), in compliance with LPO regulations and NYSERDA guidance. 4. A minimum of NYS concentration as detailed in section 2.2.2and 5. Must use an Eligible Technology (see Appendix 2: Eligible Technologies)

DAC Benefits	<p>Through this PON, NYSERDA primarily seeks to support Applicants that will provide loans or other financing for clean energy and sustainable infrastructure projects that support attainment of NYS decarbonization goals in a manner designed to reduce GHG emissions affordably while delivering benefits to DACs. Applicants will be expected to demonstrate a track record of success and ongoing capabilities, or a credible plan to develop and exhibit such capabilities, originating, underwriting, and managing the financing of projects that benefit DACs, support affordable housing, and/or decarbonize the built environment. Funding will be prioritized for programs and uses that follow a decarbonization approach expected to maintain or improve energy affordability.</p> <p>Eligible Projects are deemed to provide demonstrable DAC Benefits, verifiable by NYSERDA and/or a third-party review, if they satisfy one or more of the following requirements:</p> <ol style="list-style-type: none"> 1. Alignment with LPO DAC and NYSERDA DAC requirements as determined in consultation with NYSERDA in collaboration with NYSERDA. 2. 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"). 3. Not located in a DAC census tract but: <ol style="list-style-type: none"> a. Project involves a residential building where at least 50% of the housing units are restricted upon initial occupancy to households making 80% AMI or less via a regulatory agreement with a public agency; or b. Project involves a building that has a demonstrable impact on households making 80% AMI or less. or a vulnerable population (e.g., a facility that predominantly serves such households such as a Federally Qualified Health Center or a multi-service center operated by a non-profit organization).
Program Benefits to end users based on SEFI Investment	<ul style="list-style-type: none"> • Broadened approval criteria. • Minimum/Maximum loan terms for end-user customers, subject to NYSERDA policy and criteria as determined by the scoring committee. • Larger amounts available to finance. • Better rates; and/or • Other advantageous terms. <p>For Energy Savings Performance Insurance:</p> <ul style="list-style-type: none"> • Additional available cashflow underwritten for the same measures costs. • Shorter debt term, based on the baseline underwritten cashflow; or • Net higher savings investment ratio based vs. original U/W cashflow without a policy.
Advances	<ul style="list-style-type: none"> • Subject to portfolio ramp of Eligible Projects. • Borrower must certify that advances are for Eligible Projects and provide basic portfolio information. • After giving effect to the advance, an acceptable % of cumulative SEFI Fund advances must be allocated to Eligible Projects located in DAC census tracts as defined in item 1 of DAC Benefits, in compliance with LPO regulations and NYSERDA guidance.
Availability Period	Subject to LPO regulations and available funding, 5 years after the closing date.
Term / Maturity Date	<p>For debt investment, one month beyond the maturity of the LPO Debt</p> <p>For Loan Loss Reserves, final maturity of the underlying assets, subject to reduction based upon the then-current amortized remaining balance of the covered tranche in the capital stack</p>
Interest Rate	For the subordinate debt tranche {Projected coupon Market rate bp above the senior LPO debt} % per annum fixed interest rate on monthly average balance, payable quarterly in arrears
Amortization	There will be no scheduled amortization and no prepayment penalty for prepaying the SEFI Fund investment at any time.

Reporting Requirements	<ul style="list-style-type: none"> • Financial Reporting <ul style="list-style-type: none"> – Quarterly: <ul style="list-style-type: none"> ▪ Summary report on the performance of the Borrower’s Eligible Loan portfolio ▪ Individual non-performing loan report on any non-performing Eligible Loans or Eligible Loans on Borrower’s watch list, each prepared in accordance with the Borrower’s portfolio, credit and risk management policies and procedures including standard rating policy. ▪ Covenant compliance reports for other senior lenders. • Impact Reporting <ul style="list-style-type: none"> – Annual impact reporting on Eligible Projects funded in part with SEFI Fund advances. • Prompt delivery of notices of default, material litigation, and material adverse changes
Fees	<ul style="list-style-type: none"> • Commitment Fee: <ul style="list-style-type: none"> – None during the first 12 months of the Availability Period – 0.50% per annum on any undrawn amounts available under the SEFI Fund investment during the remainder of the Availability Period <p>NYSERDA may at its discretion charge additional fees based on deal sector and structure. Those fees may include, but are not limited to:</p> <ul style="list-style-type: none"> • Administration & Maintenance Fee: annually will be based on deal size and structure and negotiated in the contracting phase. • Advisor fees: Payable directly to NYSERDA advisors starting at due diligence based on deal size and complexity. The applicant is responsible for accrued third-party fees regardless of whether the deal reaches financial close with NYSERDA. • Closing fee to cover legal expenses.
III. Other Terms	

Conditions Precedent	Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Investor.
Representations and Warranties	Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Investor (subject to exceptions and materiality thresholds acceptable to the Investor).
Affirmative and Negative Covenants	<p>Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Investor (subject to exceptions and materiality thresholds acceptable to the Investor), including without limitation:</p> <ul style="list-style-type: none"> • Investor’s right to inspect books and records of the Borrower and meet with the Borrower’s senior management upon reasonable notice. • Maintenance of a Net Asset Ratio or similar liquidity covenant to be determined
Events of Default	Usual and customary for facilities of this type, or as deemed necessary or appropriate by the Investor (subject to exceptions and materiality thresholds acceptable to the Investor), including any cross-defaults required by LPO or other senior debt providers.
Cure Period	<ul style="list-style-type: none"> • Interest & Fees payment defaults: 3 business day cure period • All other financial covenant defaults: 15 calendar day cure period • All other covenant defaults: 30 calendar day cure period

Confidentiality	Usual and customary for facilities of this type, subject to (a) the Investor's public disclosure obligations under the New York State Freedom of Information Law, and (b) the Investor's right to publicly disclose a general transaction description and aggregated or anonymized data.
Expenses	Each party will be responsible for its own closing costs and expenses.

Appendix 2: Eligible Technologies²

1. Building Decarbonization and Supporting Measures, examples including but not limited to:
 - a. Heating and Cooling Load Reduction – also see “Qualified Energy Efficiency Improvements” below:
 - b. Weatherization
 - c. Windows/doors
 - d. Heat/energy recovery ventilation.
2. Clean Heating Technologies⁴
 - a. Air Source Heat Pumps
 - b. Water Source Heat Pumps
 - c. Ground Source Heat Pumps
 - d. District thermal interconnection
 - e. Support decarbonization of the built environment, including energy efficiency and/or electrification with an emphasis on energy affordability; energy storage; district thermal networks; grid impact solutions; clean transportation, including electrification and EV infrastructure; and/or other decarbonization approaches.
 - f. Contribute to greenhouse gas emissions reductions.
3. Electric Vehicle Infrastructure (including charging stations)
4. Thermal and Electric Energy Storage; “Energy Storage”, including thermal storage, is the capture of energy produced at one time for use at a later time to reduce imbalances between energy demand and energy production. A device that stores energy is generally called an accumulator, thermal sink, or battery.
5. On-site Solar serving customer load when combined with one or more of the above listed Eligible Technologies.
6. “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:
 - I. 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.
 - II. Testing, repairing, and replacing heating or cooling systems or components of such systems.
 - III. Thermostat upgrades.
 - IV. Water heater repair and replacement.
 - V. 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.
 - VI. Repair and replacement of storm windows, permanent windows, and exterior doors.
 - VII. Repair or replacement of major appliances.
 - VIII. Installation of thermal solar heat or hot water systems.
 - IX. Addition of insulation to exterior walls or ceilings.
 - X. Replacement of inefficient light bulbs and lighting fixtures and systems.
 - XI. Minor repairs that are necessary to ensure maximum efficiency from the provision of qualified energy efficiency services.
 - XII. Installation of carbon monoxide detectors and indoor environmental testing and mitigation deemed necessary because of the provision of other qualified energy efficiency services.
 - XIII. Conversion of an electrical resistance-heated building to a more efficient electrical heating source provided that significant energy cost-savings can be demonstrated.
 - XIV. Beneficial electrification, including heat-pumps (geothermal, ASHP, Desiccant Heating and Cooling systems, and other high-efficiency beneficial electrification solutions)

NYSERDA will consider other technologies that reduce greenhouse emissions, beyond those listed above. Eligible products and financing structures are not limited to those listed and NYSERDA encourages Applicants to present innovative financing 13

structures. The Scoring Committee will assess whether a given technology is supporting New York State climate policy goals.>50 post project completion.

² *Eligibility under LPO's Title 17 Program is subject to LPO regulations*

⁴ Multifamily buildings with 5 or more units must obtain an EPA ENERGY STAR Score >50 prior to installing heating and cooling electrification to ensure comfortable heat pump operation or be coupled with building envelope improvements (e.g., weatherization, insulation, windows, etc.) that would reasonably be expected to result in an EPA ENERGY STAR Score >50 post project completion.



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



Heat Recovery Project Development
Program Opportunity Notice (PON) 5547
\$12,000,000 Available

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

- Categories 1, 2, and 4: Applications accepted on a first-come, first-served basis dependent on funding availability until November 17, 2025 by 3:00 PM Eastern Time (ET).
- Category 3:
 - Round 1 Proposals due November 7, 2024 by 3:00 PM ET.
 - Further rounds will be announced based on available funding.

Program Summary

The NYSERDA Heat Recovery Project Development Program (the “Program”) aims to animate the New York State (NYS) marketplace for heat recovery solutions by working with consulting engineers, heat recovery solution providers, building owners and operators, and other key stakeholders to develop a robust pipeline of heat recovery retrofits. To accelerate heat recovery retrofit project development, the Program provides cost-share to Applicants for four categories of activities:

- Category 1: Heat Recovery Opportunity Assessment provides cost-share for Consultants to assess a Property’s heat recovery opportunity by quantifying the heat that is currently rejected and analyzing its potential to be repurposed. The goal of the assessment is to inform the building owner’s decision on whether to move forward with heat recovery project design. Applications will be accepted on a first come, first served basis.
- Category 2: Heat Recovery Project Design provides cost-share for Consultants to develop an implementation-ready, technically, and economically viable design of a heat recovery system for an existing Property. Applications will be accepted on a first come, first served basis.
- Category 3: Heat Recovery Demonstration provides cost-share for the implementation of innovative and effective heat recovery systems in an existing Property. Category 3 will accept three rounds of Proposals, with the first due on November 7, 2024 by 3:00 PM ET, and the following two rounds in 2025, subject to funding availability. Proposals will be evaluated based on the Proposal Evaluation Criteria outlined on page 11.
- Category 4: Manufacturer Growth Initiative provides cost-share to solution providers qualified by NYSERDA’s [RFQL 5217 - Heat Recovery Solutions](#) for business development services. Applications from eligible Applicants will be accepted on a first come, first served basis.

Eligibility: Existing multifamily, commercial, institutional, industrial, and manufacturing buildings and facilities are eligible for Categories 1-3. Solution providers qualified through NYSERDA’s RFQL 5217 are eligible for Category 4.

Funding: The funding is broken down into four categories according to the below table:

Category	NYSERDA Cost-Share	Maximum NYSERDA Funding Per Award
Category 1: Heat Recovery Opportunity Assessment	Up to 75%	\$40,000
Category 2: Heat Recovery Project Design	Up to 75%	\$80,000
Category 3: Heat Recovery Demonstration	Not specified, see Proposal Evaluation Criteria	\$2,000,000
Category 4: Manufacturer Growth Initiative	Up to 75%	\$100,000

Resources: Visit the [Heat Recovery Solicitation Page](#) for template documents and the [Heat Recovery webpage](#) for other current resources.

Application and/or Proposal Submission

Categories 1, 2 and 4

Completed applications for Categories 1, 2 and 4 will be accepted via [SeamlessDocs](#) through November 17, 2025, or until funds are fully committed. Applicants will receive a confirmation email of application receipt.

Category 3

Completed proposals for Category 3 will be accepted via the “apply online” link on the [Heat Recovery Project Development Program - Category 3 Demonstration funding opportunity](#) listed on the [Current Funding Opportunities](#) page.

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 Funding Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Informational Webinar: NYSERDA will host an informational webinar on August 27, 2024 at 11:00 AM ET. [Register for the webinar here](#). Questions may be submitted until 5 PM ET the day before the webinar by emailing questions to HeatRecovery@nyserda.ny.gov.

Questions: No communication intended to influence this procurement is permitted except by email at HeatRecovery@nyserda.ny.gov for technical questions. If you have contractual questions concerning this solicitation, contact Lori Armstrong at Lori.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 applications must be received by 3 PM ET on the dates 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.

Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The online application system closes promptly at 3 PM ET. Attempted edits or submission after 3 PM ET on the date above, will not be accepted.

For ease of identification, all electronic files should be named using the Project name in the title of the document.

Online submission is preferable. Applicants may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible.

If changes are made to this solicitation, notification will be posted on the "Current Funding Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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I. Program Definitions

Affordable Multifamily Housing – Projects in which at least 25% of the units are, or are expected to be, occupied by households earning not more than 80% of the Area or State median income, whichever is higher. Multifamily buildings are buildings with 5 or more dwelling units.

Applicant – The individual or firm applying to this solicitation. In most cases the Applicant will be the Consultant performing work on behalf of the Customer, though any member of the Project Team is eligible to act as the Applicant. NYSERDA will contract with the Applicant to manage the defined scope of work for the defined budget.

Customer – The eligible New York State building owner requesting the Program funding for their Property.

Consultant – The individual or firm providing expert advice and technical services. The Consultant will be performing the engineering analysis and feasibility of the Project and provide expert, objective, and customized technical services.

Project – The set of proposed activities and tasks to be completed as described in the Scope of Work or Proposal submitted to the Program.

Property – The building(s) and/or facility(ies) within the scope and boundary of the Project.

Project Team – The Customer, Consultant(s) providing engineering analysis and design services, and any project facilitators or subcontractors engaged to support the Project.

II. Introduction

The goal of the Heat Recovery Program is to jumpstart the nascent market for heat recovery solutions as an economical approach to decarbonization for a broad swath of existing buildings in NYS.

According to [Lawrence Livermore National Lab \(LLNL\)](#), 68% of all U.S. energy consumed in 2021 was rejected or wasted through various system inefficiencies. NYS's building infrastructure contributes to this problem by rejecting heat through a variety of processes including ventilation, cooling, and wastewater systems. Heat recovery solutions can turn this problem into an opportunity by recovering and reusing energy that would otherwise be rejected. This is an essential step in most building decarbonization pathways.

Recent projects, including the [demonstration projects advanced through NYSERDA's Empire Building Challenge](#) (EBC), have shown that heat recovery is a key component of the decarbonization strategy for many of New York's existing building stock. All the projects awarded by EBC have featured heat recovery in some form as part of [a phased decarbonization strategy](#). By increasing adoption of heat recovery solutions amongst a larger share of NYS buildings, more building owners will reduce costs by recapturing energy they have already paid for.

To accelerate the growth from 10 to 100 successful heat recovery projects in NYS, the Program will:

- Support projects demonstrating the technical and economic feasibility of heat recovery solutions that are replicable across the State’s existing building stock, reducing energy use and enabling deeper decarbonization.
- Provide cost-share for engineering analysis, design services, and implementation to support the inclusion of heat recovery energy conservation measures within a wider existing building retrofit and decarbonization plan.
- Attract best-in-class equipment manufacturers, solution providers, and other businesses to invest in innovation, product development, and technology transfer to bring forward the most beneficial heat recovery solutions for New York’s building stock.
- Engage Consultants to provide engineering expertise and experience necessary to identify and implement heat recovery projects, while developing deeper industry expertise and experience with heat recovery projects in different building typologies.
- Gather real world insights on the shift from linear to circular approaches to energy management to identify opportunities and overcome barriers to building decarbonization, and share best practices and lessons learned.

These activities aim to accelerate confidence in heat recovery as a promising approach to decarbonization and to increase the number of building retrofit projects incorporating heat recovery energy conservation measures to reduce energy use and emissions.

III. Program Requirements

Program Eligibility

To qualify for Program Categories 1, 2, and 3, a Project Team must include an eligible Consultant and a Customer representing an eligible building.

Eligible Buildings

Participating buildings must be located in New York State, served by a New York State Investor-Owned Electric Utility (such as Consolidated Edison, National Grid, NYSEG, Orange and Rockland, Central Hudson, or RG&E), and pay electric System Benefits Charges (SBC). An existing Property of any size that falls under the classification of commercial, industrial, institutional, manufacturing and/or multifamily is eligible. New construction projects and single-family buildings are not eligible for this Program.

The boundary of a Project under this Program pertains to either a single building or multiple buildings that share energy services. When the Project boundary encompasses a single building, any rejected energy should be reused within that building's boundaries. When the Project boundary spans multiple buildings, it is still necessary to reuse the rejected energy within the defined boundary but not necessarily in the same building that rejected it.

Eligible Consultants

Eligible Consultants are the engineering or sustainability Consultant working on behalf of the eligible Customer. The Consultant must demonstrate experience and expertise in clean energy services delivery to commercial, industrial, institutional, manufacturing and/or multifamily Customers in NYS and provide expert, objective, and customized technical services to inform on the capability for heat recovery in the proposed Property.

NYSERDA reserves the right to limit the number of active Projects a Consultant can have within the Program at any given time.

While it is not required for a Project to include a FlexTech Consultant, Customers in need of a Consultant may choose from NYSERDA's [FlexTech Consultant list](#).

Eligible Manufacturers

To be eligible for Category 4, the Applicant must be a qualified solution provider through [RFQL 5217 – Heat Recovery Solutions](#).

Category 1: Heat Recovery Opportunity Assessment Requirements

Please see Attachment C - Category 1 Scope of Work Template for full details on expected tasks and deliverables for the opportunity assessment.

Category 1 provides funding to document current building infrastructure, quantify and diagram rejected heat from current operations (see examples of Energy Flow Diagrams on the [Heat Recovery webpage](#)), and explore the feasibility of potential cost-effective measures to recover and reuse heat to reduce total energy consumption and emissions. Rejected heat from existing building ventilation, cooling, wastewater and internal processes should be considered in the opportunity assessment, as well as the potential to incorporate thermal storage. The goal of the opportunity assessment is to provide the Customer with actionable information to inform their decision-making to move forward with a heat recovery project design.

Applicants can receive funding for up to 75% of total Project cost, capped at \$40,000, to create and deliver opportunity assessments.

Category 2: Heat Recovery Project Design Requirements

Please see Attachment D - Category 2 Scope of Work Template for full details on expected tasks and deliverables for the project design.

Category 2 provides funding to develop an implementation-ready, technically, and economically viable design of a heat recovery system for an existing Property. Energy recovery from ventilation, cooling, wastewater systems and other internal processes are eligible, as is the inclusion of thermal storage measures to maximize the usefulness of recovered energy.

Applicants can receive funding for up to 75% of total Project cost, capped at \$80,000, to create and deliver designs for an existing Property. These designs should have the potential to significantly improve the heat recovery performance of the Property.

Participation in Category 1 is not a requirement to participate in Category 2.

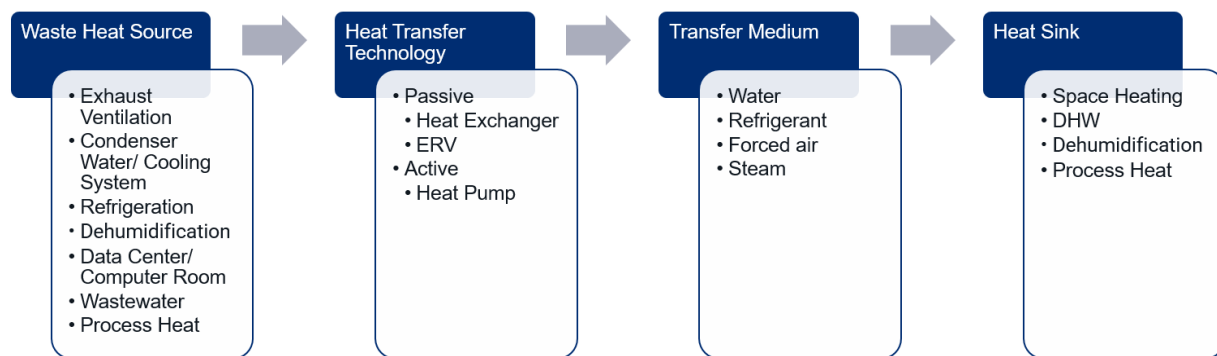
Category 2 Eligible Projects

Eligible Project designs must improve the energy performance of existing Properties by identifying and capturing rejected heat from an existing building system or process, then reusing the energy to reduce total energy consumption. The captured energy can be stored before being reused for one or more purposes, i.e., heat sinks, within the Project boundary.

To qualify for funding under Category 2, Project Teams must have identified a waste heat source and propose a heat recovery design concept consisting of the following four (4) components:

1. Waste Heat Source
2. Heat Transfer Technology
3. Transfer Medium
4. Heat Sink

Examples of these components are listed below:



Some examples of design concepts include, but are not limited to the following:

- Ventilation Exhaust Heat Recovery, including:
 - Integrating an energy recovery ventilator (ERV) into existing or modified building ventilation systems
 - Installing “run around coils” to building ventilation exhaust
- Cooling and Dehumidification Process Heat Recovery, including:
 - Condenser water heat recovery, using heat recovery chillers or water source heat pumps (WSHP) to extract heat from the condenser water loop before exhausting heat into the atmosphere with cooling towers or dry coolers
 - Distributed WSHPs on ambient/condenser water loops, enabling heat sharing across the building
 - Other refrigeration, data center, or cooling heat recovery through variable refrigerant flow (VRF) systems or hydronic system heat extraction
- Wastewater Heat Recovery, including:
 - Wastewater heat pump, recovering heat from wastewater at building scale before it exits to the municipality’s sanitary sewer main

- Drain water heat recovery coil: preheat fresh makeup water by coiling it around a primary drainpipe to recover waste heat before going into the water heater
- Steam condensate heat recovery prior to rejecting condensate into the sanitary sewer
- Process Waste Heat Recovery, including:
 - Capturing the waste heat generated by industrial or other processes to be reused within a plant's process streams or to produce electricity on-site
- Thermal Storage Technology incorporated into eligible heat recovery designs, including:
 - Ice tanks, phase change material (PCM), water tanks, condenser water storage, molten salt, geothermal, etc.

Where applicable, Consultants incorporating heat recovery products should first consider equipment qualified through NYSERDA's [RFQL 5217 - Heat Recovery Solutions](#).

NYSERDA seeks a diverse range of Project types including various building typologies, existing HVAC configurations, occupancy types, and geographies.

Category 3: Heat Recovery Demonstration Requirements

In line with the Program’s goal to jumpstart the nascent market for heat recovery solutions, Category 3 introduces funding for the implementation of heat recovery Projects (see Category 3 Eligible Projects). Category 3 emphasizes four distinct heat recovery solutions with the greatest potential for impact and replicability in existing buildings in NYS. By supporting the deployment of the four solutions locally, the Program will demonstrate the efficacy and performance of each solution in the specific context of existing buildings in NYS.

Through Category 3, NYSERDA seeks projects that demonstrate the impact, scalability and economic viability of at least one of the four heat recovery solutions. The Program will accept three rounds of proposals, with the first due on November 7, 2024, and the following two rounds in 2025, subject to funding availability. Proposals will be evaluated based on the Proposal Evaluation Criteria outlined below. Proposers should take care to address all the evaluation criteria described in the Proposal Evaluation Criteria.

Proposals may receive up to \$2,000,000 to implement eligible heat recovery Projects.

Category 3 Eligible Projects

A proposed Project must incorporate at least one of the following heat recovery solutions:

Data Center Heat Recovery	A solution that recovers and reuses waste heat from data center operations, resulting in lower utility energy demands, such as using heat exchange systems or novel waste heat-to-power conversion methods.
High Temperature Heat Pumps	A solution that leverages waste heat recovery with commercially available high-temperature heat pumps to meet process heating requirements of up to 150°C/302°F, which results in improved process energy efficiency.
Packaged Exhaust Heat Recovery	A high-efficacy packaged wastewater or ventilation heat recovery solution without the complexity and costs of onsite stick-built heat exchangers.
Thermal Storage	A solution that allows heat to be recovered at one point in time and used at another, helping to downsize heating and cooling load and provide grid services. Targeted solutions, such as phase change material (PCM) will provide a higher energy density than water and ice. Water and ice storage systems will be considered where the system is planned for small commercial buildings, hospitals, and industrial facilities or to lower overall energy costs for tenants in Affordable Multifamily Housing.

The proposal must include a Basis of Design (BOD) narrative and/or one-line concept diagrams with essential details to reasonably validate feasibility, procurement budgeting and construction timeline.

Proposers must have completed due diligence, such as an opportunity assessment or equivalent study, prior to submitting a proposal.

Projects must begin construction within 1 year of the contract execution date. Exceptions may be made on a case-by-case basis. Projects that have already begun construction prior to NYSERDA’s award announcement are ineligible.

Selected proposals will work with the NYSERDA team to qualify their proposed solutions through [RFQL 5217 - Heat Recovery Solutions](#).

Proposal Evaluation Criteria

Proposals that meet solicitation requirements, as outlined in IV. Application Requirements, will be reviewed by a Scoring Committee using the Proposal Evaluation Criteria below **listed in order of importance**.

1. Impact

Description	Metrics
<p>The proposal demonstrates impact in the form of energy savings, emissions reductions and reuse of waste heat.</p> <p>The Project Team has the capacity and expertise needed to implement the proposal.</p> <p>The Project design is well defined and comprehensive.</p>	<ul style="list-style-type: none"> • Modeled impact versus baseline year: <ul style="list-style-type: none"> • Total and percent reduction of on-site energy use for all fuel sources • Total emissions reduction • Total and percent of rejected heat utilized • The extent to which Project Team includes relevant parties with the necessary background and experience to ensure Project success and likelihood of installation of Project as proposed • The clarity and completeness of the design documents

2. Scalability

Description	Metrics
<p>The proposal demonstrates that the heat recovery solution has a strong potential for widespread adoption within the proposer’s portfolio or by the broader market.</p>	<ul style="list-style-type: none"> • Square footage or count of existing buildings within the proposer’s portfolio, or in NYS, that are similar to the proposed building and have potential to replicate the proposal’s approach • Lead time of equipment and its impact on adoption • Commercial readiness of proposed solution to be available for replication

3. Cost Effectiveness

Description	Metrics
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<p>The proposal examines the costs and benefits of the Project in terms of total investment relative to the energy and carbon intensity improvements.</p> <p>The Project Team demonstrates commitment by providing private investment.</p>	<ul style="list-style-type: none"> • Cost per MMBtu reduction • Cost per ton of CO2e reduction • Costs and hourly rates of the proposal • Total and % cost-share requested from NYSERDA • Total and % cost-share provided by the Customer • % of total project cost that requires subsidy • Well-defined funding sources or financing strategy for implementation
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Program Policy Factors

A Scoring Committee will review and rank all Category 3 proposals. NYSERDA will review this evaluation and ranking and may consider the following program policy factors in making award selections.

- Benefits of Project funding to [disadvantaged communities as defined by the Climate Justice Working Group](#), particularly Projects involving affordable housing, industrial, institutional, manufacturing facilities or P-12 schools.
- Diversity of awards by solution, geography, building typology, or market sectors – including affordable housing, commercial, industrial, institutional, manufacturing and/or multifamily.

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.

Category 4: Manufacturer Growth Initiative Requirements

Through [RFQL 5217 - Heat Recovery Solutions](#), NYSERDA promotes innovative, scalable, and cost-effective heat recovery products to make them more attractive for New York Property owners and design and consulting engineers to implement in their projects. Recognizing that many of these products may be developed and more commonly used outside of New York State, NYSERDA offers RFQL 5217 to qualify manufacturers to bring their heat recovery knowledge and products to New York State and implement them in NYS buildings and processes.

Qualified [Heat Recovery Solutions](#) manufacturers of novel and effective heat recovery products may face several risky and expensive work items when bringing their offerings to New York State. NYSERDA has identified five (5) categories of growth initiatives that qualified manufacturers can submit a proposal to seek direct funding for up to 75% of associated costs with a maximum total incentive of \$100,000. No more than \$1.5 Million of Program funds will be made available for Category 4 awards.

These focused growth initiatives will help qualified manufacturers access the New York market, receive support for knowledge, technology transfer and participate in exchanges with key market stakeholders.

Growth Initiative Tasks [1 - 5]:

1. **Market Research and Adaptation** — Reimbursement of up to 75% of the costs up to \$20,000 of conducting market research or developing a product adaptation and localization plan specific to the New York market. For instance, to develop and test heat recovery products in actual buildings and processes in New York, where manufacturers can assess their suitability for integration with existing building equipment and automation systems. This could allow manufacturers to demonstrate the effectiveness of their product during day-to-day operations and overcome any challenges that may arise.

Eligible activities include but are not limited to:

- Conducting thorough market research to understand the New York market, consumer preferences, and competitive landscape.
 - Adapting product features and installations to meet local regulations, standards, and building needs.
 - Investing in localization efforts, such as translating user interfaces, packaging, instructions, and marketing materials.
 - Converting the Product to be compatible with North American electrical systems and codes.
 - Establishing local product installation, testing, maintenance, repair, and customer support resources.
2. **Regulatory Compliance** — Reimbursement of up to 75% of the costs up to \$30,000 of hiring consultants to help manufacturers navigate the landscape in New York, obtain necessary certifications, licenses, and permits, and assist the manufacturers through the compliance process. Engaging Nationally Recognized Testing Laboratories (NRTL) to ensure that the product conforms to North American or New York State's safety, quality, and environmental standards, such as UL (Underwriters Laboratories) and CSA (Canadian Standards Association) certifications.

Eligible activities include but are not limited to:

- Navigating federal, state, and local regulations, which may differ from the company's home country.
- Obtaining necessary certifications, licenses, and permits to sell products in New York.
- Ensuring products meet North American and New York State market's safety, quality, and environmental standards.
- Registering trademarks, patents, and copyrights in the United States to protect intellectual property.

3. **Supply Chain and Logistics** — Reimbursement of up to 75% of the costs up to \$20,000 to establish or optimize the local supply chain and logistics networks to be compatible with New York deployments (e.g., operable by the U.S. electrical power grid) and to secure product warehousing, distribution, and transportation and connect with reliable New York State partners and service providers.

Eligible activities include but are not limited to:

- Establishing reliable local supply chain networks to localize products for the United States and distribute them within New York State.
- Dealing with import regulations to New York State. Securing warehousing and distribution facilities in New York.
- Securing partners in New York for product testing, assembly, or manufacturing.

4. **Sales and Marketing**— Up to 75% of the costs up to \$10,000 for targeted customer engagement and promotional activities in New York and securing New York-based sales channels, distributors, and partners. This is often a critical requirement for many New York owners and engineers before considering a foreign product that is new to the NYS market.

Eligible activities include but are not limited to:

- Building brand awareness and credibility in a new market.
- Developing effective marketing strategies tailored to New York consumers.
- Establishing sales channels, partnerships, representatives, and distribution networks.

5. **Business Development Assistance** — Reimbursement of up to 75% of the costs or \$20,000 of recruiting and hiring key New York-based employees and to support existing employee relocation to New York.

Eligible activities include but are not limited to:

- Hiring costs for local staff or relocating key personnel to manage New York operations (staff salaries are not eligible).
- Ensuring compliance with U.S. and New York labor laws and regulations.
- Adapting to cultural differences in business practices, communication styles, and consumer expectations.
- Building training opportunities in specific trades, technology, methods.
- Building relationships with local partners, suppliers, and customers.

Deliverable Submission

Project deliverables will be submitted through the [NYSERDA Partner Portal](#). For ease of identification, all electronic files should be named using the Project name in the title of the document. NYSERDA reserves the right to perform technical review on all submittals. Deliverables found by NYSERDA to not fulfill the approved Scope of Work, proposal and/or deliverable requirements may receive a reduced cost-share or may not be reimbursed by NYSERDA.

NYSERDA is interested in sharing best practices, lessons learned and showcasing final Projects and will work with Applicants to accomplish this.

Payment, Procurement, and Schedule

Program funding will be distributed to the Applicant according to milestone-based payments as defined in the Scope of Work.

The Applicant must submit a copy of all invoice(s) indicating the total billed cost of cost-shared activities or items. The invoice(s) will include labor and non-labor costs, staff titles, hourly rates, dates, and hours for each task. All required cost-share documentation must be submitted through the [NYSERDA Partner Portal](#).

Funding Caps

Categories 1, 2, and 4

The Program will fund Category 1, Category 2, and Category 4 activities at a cost-share for up to 75% of eligible costs, with funding for Category 1 capped at \$40,000, for Category 2 at \$80,000, and Category 4 at \$100,000. Projects must include cost-sharing in the form of matching cash support from the Customer.

Category 3

The Program will allocate up to \$2,000,000 in total funding for the implementation of approved Projects. Cost-share is included as a part of Proposal Evaluation Criteria.

Additional Considerations

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

- Adjust the funding award from the proposed budget based on the scope of services included 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 75% funding on a project scope if the scope includes ineligible tasks.

NYSERDA reserves the right, for any reason, to stop approving incentive applications and limit or stop making incentive payments at any time without notice.

Projects that include qualified Affordable Multifamily Housing may qualify for additional cost-share, up to 100% of Project costs, by demonstrating availability of capital and/or financing to fund Project implementation. Description of the ability to fund implementation of heat recovery measures may be included in the Scope of Work. The Property must meet affordability criteria detailed in [Affordable Multifamily Building Guidelines](#) available on the [Heat Recovery webpage](#) to be eligible for the additional cost-share.

Eligible Expenses

Projects that have received or plan to receive incentives from other programs in the [Clean Energy Fund](#) or utility administered incentives are not eligible to receive funding for the same measures and activities within the Heat Recovery Program. For example, Projects receiving installation funding to install an exhaust heat recovery solution through the [Clean Heat Program](#) will not be eligible for an award for a Category 3 Demonstration through the Heat Recovery Program. Receipt of funding from federally funded programs will not impact eligibility for Heat Recovery Program funding, but all planned incentives and grants should be documented within the Project proposal.

NYSERDA's funds may be applied toward the following categories of eligible expenses:

- The fees for both primary and subcontracted architects, consultants and engineers.
- Expenses related to data acquisition devices (capped at 40% of total Category 1 incentives).
- Expenses related to labor and services.
- Expenses related to creating data graphics for the Sankey diagrams and any other visualizations included in final deliverables.
- Expenses related to energy modeling services.
- Expenses related to implementation for Category 3, including construction labor and material costs.

Work completed prior to NYSERDA's receipt of an application is ineligible for funding.

IV. Application Requirements

NYSERDA evaluates Projects based on the below submitted information.

Categories 1 and 2

All applications will be reviewed on a first-come, first-served basis until funds are fully committed. It is at NYSERDA's discretion to accept Projects, dependent on Project applications meeting all Program requirements.

Following submission, NYSERDA will review and may suggest edits to finalize Scope of Work before approval and contract award.

Applicants may submit complete Category 1 and Category 2 application packages via [SeamlessDocs](#). A complete application package shall include the following:

- Application (via [SeamlessDocs](#))
- Budget (Attachment B) – 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.
- Scope of Work (Category 1: Attachment C; Category 2: Attachment D) – 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. If the Applicant is the Consultant, then the Scope of Work must be signed by the Customer.

Category 3

Proposals will be submitted electronically via the “apply online” link on the [Heat Recovery Project Development Program - Category 3 Demonstration funding opportunity](#) listed on the [Current Funding Opportunities](#) page. Proposals will be submitted by 3:00 PM ET on the applicable Round due date. Applicants must not have started construction on a Category 3 Project prior to contract execution.

A complete proposal consists of the following:

- Budget (Attachment B) – 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.
- Category 3 Proposal (Attachment C-1)
 - Executive Summary
 - Project Objectives
 - Proposed Measures Description
 - Project Impact and Benefits
 - Qualifications
 - Timeline for Implementation
 - Cost Share Table
- Either a Basis of Design (BOD) narrative, one-line concept diagrams and/or schematic design drawings, if available
- Completed Heat Recovery Opportunity Assessment or equivalent study

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Proposals that fail to meet all requirements and format guidelines may be rejected as non-responsive.

Category 4

All applications will be reviewed on a first-come, first-served basis until funds are fully committed. It is at NYSERDA's discretion to accept Projects, dependent on Project applications meeting all Program requirements.

Following submission, NYSERDA will review and may suggest edits to finalize Scope of Work before approval and contract award.

Applicants may submit complete Category 4 application packages via [SeamlessDocs](#). A complete application package shall include the following:

- Application (via [SeamlessDocs](#))
- Scope of Work (Attachment G) – Complete a detailed Scope of Work based on the template provided in Attachment G, specifying the Growth Initiative Tasks being pursued, along with an itemized list of eligible activities. This Scope must include an explanation of why the work performed was necessary and eligible under Category 4.
- Budget (Attachment B) - 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.

V. General Conditions

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

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

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

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

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

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

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

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

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

The Department has created a second form that must be completed by a prospective contractor prior to 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 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 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 applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Applicants in approximately 6 weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a 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 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 ([Standard Forms and Agreements](#), Executive Order No. 16 Certification), 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:

Categories 1, 2, 4:

Attachment A – Sample Agreement

Attachment B – Budget Template

Attachment C – Category 1 Scope of Work Template

Attachment D – Category 2 Scope of Work Template

Attachment E – Project Design Narrative Template

Attachment F – Data Collection Form

Attachment G – Category 4 Scope of Work Template

Category 3:

Attachment A – Sample Agreement

Attachment B – Budget Template

Attachment C-1 – Category 3 Proposal Template



**Climate Justice Fellowship Plus
Program Opportunity Notice (PON) 5566
\$2,100,000**

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
February 12, 2025, by 3:00 p.m. EST.

I. Summary

New York State is leading the charge in promoting environmental and climate justice to ensure an equitable clean energy transition for all communities — especially for those disproportionately burdened by environmental health hazards. A key element of climate justice is ensuring the green jobs of the future are available to all New Yorkers and meet their communities' needs.

NYSERDA, with support from U.S. Representative Alexandria Ocasio-Cortez, of New York's 14th congressional district, is pleased to announce the Climate Justice Fellowship Plus Program is now available and is fully funded by the U.S. Department of Labor. The Climate Justice Fellowship Plus Program (CJF Plus) is a \$3 million pilot program to advance climate justice in the Bronx and Queens. The CJF Plus Program will provide wage subsidies for eligible non-profit organizations to hire individuals for two-year climate justice Fellowships. The Program will also provide supportive services and/or professional development to Fellows throughout their employment.

In this solicitation, NYSERDA is seeking applications to fund professional development training and mentoring for two-year, full-time Fellowships, to work within non-profit organizations that advance climate justice and clean energy priorities in the New York City boroughs of the Bronx and Queens. 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 or build upon partnerships, or engage in other projects related to advancing climate justice and clean energy priorities in the Bronx and Queens.

For eligible non-profit employers, NYSERDA will offer wage subsidies capped at \$39,000 per

Fellow for the first year of employment and \$40,170 for the second year of employment. The CJF Plus Program requires that all participating non-profit employers offer Fellows a minimum of \$58,500 as an annual salary in the first year and \$60,255 as an annual salary in the second year, incorporating a mandatory minimum 3% cost of living adjustment. Fellowships must be full-time. Employers may, and are encouraged to, pay their Fellows in excess of the minimum salaries. However, the wage subsidies administered by NYSERDA remains capped at \$39,000 per Fellow in year one (1) and \$40,170 per Fellow in year two (2).

Applications from eligible non-profit employers will be accepted on a continuous first-come, first-served basis until the solicitation due date. Total available funding allocated to this program may be adjusted based on demand and availability of additional funds.

Eligible non-profit employers must first apply to confirm their eligibility for the program, then identify Fellows and request approval in a separate, second step. See “Terms and Definitions” below for a definition of an eligible non-profit employer. NYSERDA will determine eligible and approved non-profit employers who have applied to participate in the program. Eligible, approved employers will then be invited by NYSERDA to identify Fellows or be provided access to select them from NYSERDA’s Fellow directory and submit Fellowship applications. After a brief review and approval period, Fellows may begin work.

Please note that, although the Climate Justice Fellowship Plus (PON 5566) Program is similar to the Climate Justice Fellowship Program (PON 4772), there are a few exceptions. Please read carefully as program details differ.

Informational Webinar

NYSERDA will conduct an informational webinar, during which NYSERDA will review the requirements of this solicitation and answer questions. Applicants interested in learning more and attending the webinar may send an email to CJFplus@nyserda.ny.gov with the subject line “PON 5566 Climate Justice Fellowship Plus Webinar” to request webinar date and information on how to participate. Questions may be submitted via the same email address prior to the webinar, or during the webinar using the web platform. Following the conclusion of the webinar, NYSERDA will post questions and responses on the NYSERDA website. All questions will be posted anonymously, and NYSERDA’s written responses will supersede any responses given during the webinar.

Contact Information

No communication intended to influence this procurement is permitted. Allowed communications and questions should only be directed to CJFplus@nyserda.ny.gov. For contractual questions concerning this solicitation, please contact Nancy Marucci at (518) 862-1090, ext. 3335 or by email NancySolicitations@nyserda.ny.gov.

For program questions please contact Jillian Palmer at (518) 862-1090 ext. 3677 or Gwendolyn

Summers at (518) 862-1090 ext. 3584. 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.

Terms and Definitions

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.

Eligible Non-Profit Employer: To be considered an Eligible Non-Profit employer under this solicitation an entity must be a non-profit organization (Internal Revenue Service status of a 501(c)(3) at the time of application) located or serving the Bronx or Queens. Additional details are described in Section III. Non-profit Eligibility, Requirements, and Expectations.

Non-Profit Employer: A non-profit employer is an employer that has successfully complied with eligibility requirements outlined in Section III. Non-profit Eligibility, Requirements, and Expectations.

Professional Development: Professional development is the process of gaining new skills through continuing education and career training after entering the workforce.¹

Supportive Services: Supportive services are services that are necessary to enable an individual to mitigate barriers to employment. These may include access to and subsidies for transportation and childcare, immigration/legal services, mental health counseling, care coordination, and more.

II. Program Details

The CJF Plus Program has mandatory salary expectations for participating non-profit employers. Non-profit employers are required to offer Fellows a minimum of \$58,500 as a salary in the first year of the Fellowship and \$60,255 as a salary in the second year of the Fellowship, incorporating a mandatory minimum 3% cost of living adjustment.

NYSERDA will provide up to \$8,000 for professional development activities and supportive services to bridge a specified gap in social services provided by other state and federal programs. NYSERDA has partnered with BronxWorks, a community-based organization that

¹ Harvard Business Review. Why is Professional Development Important?

will support Fellows throughout the duration of the Fellowship program. BronxWorks will provide case management services to Fellows as well as supportive services or referrals to supportive services to reduce barriers to employment. Upon completion of the 24-month Fellowship, up to \$4,000 of unutilized funding for supportive services and professional development may be requested by the Non-profit Employer to administer to the Fellow as a retention bonus per the approval of the NYSERDA Project Manager.

The Non-profit employer is prohibited from reaching out to BronxWorks regarding their Fellow's supportive service activities.

Cohort Services: NYSERDA has partnered with a contractor to provide additional professional development services to the Fellows in each cohort. Cohort Services include: (1) virtual peer groups in which Fellows can discuss topics such as challenges and successes, (2) mentorship opportunities with industry leaders, (3) access to a virtual Climate Leadership Certificate Course, (4) Skills Labs to hone specific climate justice- and clean energy-related skills determined based on needs, and (5) access to a Climate Leadership Network (CLN), an online community for climate-focused organizations with a presence in New York State. All services will begin at regularly scheduled intervals (e.g., quarterly) for each new cohort of Fellows and will be provided for twelve (12) months.

Non-profit employers are required to allow Fellows to participate in meetings with BronxWorks on a quarterly basis and Cohort Services during working hours without the need to makeup time and without financial penalty. Additionally, Fellows may be asked to participate in surveys and focus groups per the request of NYSERDA. These activities shall also be completed by the Fellows during working hours without the need to makeup time and/or financial penalty.

NYSERDA will accept applications from organizations interested in Fellows on a continuous rolling basis until the deadline or until funds are expended, whichever comes first. NYSERDA may also, at its own discretion, extend, suspend or permanently close the application process for any other reason.

Alignment with Other NYSERDA Programs

Participants in [NYSERDA's Clean Energy Internship Program](#) who meet the Fellowship criteria may consider converting to the CJF Plus Fellowship following their internship, if they were not already hired as a standard employee by that organization.

Individuals who are enrolled as a Fellow and/or have completed a Climate Justice Fellowship (PON 4772) are ineligible to participate in the Climate Justice Fellowship Plus Program (PON 5566). Individuals hired through the Climate Justice Fellowship Plus Program (PON 5566) are ineligible to participate in the Climate Justice Fellowship Program (PON 4772).

III. Non-profit Eligibility, Requirements, and Expectations

Non-Profit Employer Eligibility

To qualify as an eligible Non-profit Employer, the organization must:

- Be a non-profit organization (Internal Revenue Service status of a 501(c)(3) at the time of application.
- Have at least one physical business address in New York State, serving or located in the Bronx and/or Queens, with the legal authority to hire employees and conduct business in New York State and where the Fellowship will be hosted with the space and equipment needed to support the work of the Fellow.
- Agree to the NYSERDA Terms and Conditions (Sample Agreement).
- 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 (NYSDOL) conduct a due diligence and employer eligibility search to confirm this information. The NYSDOL due diligence review process will include a review of the organization's Unemployment Insurance records; Worker Adjustment and Retraining Notification (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 Occupational Safety and Health Administration (OSHA) records; and contracts/agreements from NYSDOL received during the past three years.*

Requirements of Eligible Non-Profit Employers

By Completing the Application Steps, the Non-Profit Employer commits to:

1. Providing required cost-share totaling \$39,585 over two (2) years to align with salary requirements. Non-profit employers are encouraged to provide a higher contribution;
 - Year 1 minimum employer-contribution - \$19,500
 - Year 2 minimum employer-contribution - \$20,085
2. Offering health benefits (e.g., medical, dental, and vision) at no cost or at a reasonable cost² for Fellows and their family members.
 - While health benefits must be offered to the Fellow, the Fellow may decline health benefits if already covered under an existing policy.
 - The non-profit employer must describe the comprehensive employee health benefits offered, including costs, even if the Fellow declines the health benefits. Non-profit employers are encouraged to include additional employee benefits (e.g., life insurance, retirement plan, student loan assistance, etc.) in their cost share.
3. Offering a minimum of two (2) weeks paid vacation or sick time and federal holidays off per 12-month period.

² Reasonable cost for the purposes of the Climate Justice Fellowship Plus Program is if the Fellow's share of the monthly premium in the lowest-cost plan offered by the employer is less than 8.39% of the Fellow's household income.

- Paid time off is included in NYSERDA’s milestone payments to the non-profit employer.
 - Non-profit Employers are encouraged to provide additional paid vacation and sick time for Fellows as part of their cost share.
4. Considering offering performance bonuses, using its own funds, as merited.
 5. Committing to hiring and providing professional development training/mentoring for a two (2) year- long, full-time³ Fellow, to an individual from the 14th Congressional District, who advances climate justice and clean energy priorities in the Bronx and Queens.
 6. Having at least two (2) full-time employees or the equivalent of two (2) full-time employees, not including the Fellow. Principals of corporations and owners of a non-profit organization such as sole proprietors or partners are not considered to be employees for this eligibility requirement. If the applicant non-profit employer has no employees or if the workers are independent contractors, subcontractors or contract employees, then the organization shall not be eligible.
 7. Ensuring that no existing worker is displaced by the Fellow, including a partial displacement such as a reduction in hours, wages, or employment benefits.
 8. Guaranteeing that the Fellow does not work on other NYSERDA funded projects, with the exception of the NY Clean Transportation Prizes program. However, the non-profit employer is required to meet with the NYSERDA Project Manager to ensure NYSERDA program funds are not duplicated.
 9. Complying with New York State labor law and federal law for the protection of employees.
 10. Matching Fellows with internal senior mentor(s). In the first three (3) months of the Fellowship, the Fellow should work with supervisors to identify at least one (1) senior professional within the host organization who can provide additional internal guidance and development. Where possible, this individual should be outside of the chain of command of the Fellow.
 11. Matching Fellows with external mentor(s). Where possible, the non-profit 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 by a NYSERDA contractor.

Application Steps: Eligible Non-profit Employers

1. Review employer eligibility requirements.
2. Submit Due Diligence Application. Eligible Non-profit 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.
3. Submitted applications undergo an employer eligibility review with NYSDOL and internal NYSERDA review and approval process.
 - After 12 months, non-profit employers may be required to submit updated documentation to NYSERDA to verify continued eligibility for the program.

³ Full-time is defined as 35 - 40 hours (as per the organization’s regular commitment) per week for 24 consecutive months.

4. NYSERDA will notify applicants by email whether or not they are verified as eligible to participate.
5. If verified as eligible to participate, the non-profit employer is granted access to a directory of Fellowship candidates who have applied to the program.
 - Alternatively, the non-profit employer may select its own Fellow(s), who then complete(s) the directory application to submit the required information.
 - Fellows may use the “[Join Directory](#)” link on the program page to submit their application either before or after they connect with the non-profit employer.
6. Once a Fellow is identified, the non-profit employer submits a Fellowship application for review and approval via email to the cifplus@nyserda.ny.gov mailbox.
 - The Fellowship application should only be submitted upon verification that the non-profit employer and the Fellow have been confirmed eligible.
 - The earlier application steps help establish eligibility only and the non-profit employer and Fellow cannot officially join the program until the Fellowship application is approved.

Eligible non-profit employers seeking to hire more than one (1) Fellow must submit one (1) application per Fellow and undergo additional review by NYSERDA. Multiple Fellows per non-profit employer may be approved based on factors such as, but not limited to, the following:

- i. Funding available
- ii. Size of organization (e.g., number of employees)
- iii. Ability of non-profit employer to demonstrate adequate supervision and mentoring and meaningful work for additional Fellow(s).
- iv. Extent of non-profit employer’s financial sustainability to maintain employment for participants at or above the wage upon conclusion of the Program.

If a Fellow does not complete their 24-month employment period, Non-profit Employers may submit a new Fellow for approval any time before the final submission deadline for rolling applications, pending available funding and a case-by-case review of the application.

Additionally, NYSERDA reserves the right to accept, reject, or request additional information on prospective non-profit employers experience in serving the Bronx and/or Queens.

IV. Fellow Eligibility Requirements:

To be considered eligible for the Climate Justice Fellowship Plus program as a Fellow, an individual must at the time of program entry:

- Be a resident of New York’s 14th Congressional District, which spans parts of the Bronx and Queens.
- Be a member of a priority population (see **Priority Population List for the Program**).
- Commit to working in the Bronx and/or Queens full-time for the entire 24-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. If approved, all remote work must take place in New York State.

- *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 non-profit employer in advancing climate justice and clean energy priorities for the Bronx and Queens.
- Be a new hire defined as (1) an individual who has no previous employment (paid or unpaid) with the non-profit employer; furloughed employee; contractor and (2) may be new to the climate justice and clean energy field more broadly.
- 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.*

NYSERDA maintains a directory of individuals who meet the qualifications to participate as Fellows in this program. Fellows may use the [“Join Directory”](#) link on the program page to submit their application either before or after they connect with the non-profit employer. Non-profit employers are granted access to this directory of Fellowship candidates upon completion of their own program eligibility verification. Alternatively, eligible non-profits may propose a person for the Fellowship who is not in the directory. That person is required to join the directory as part of the fellow eligibility process.

Priority Population List for the Program

- Displaced homemakers
 - A homemaker is an individual who provides unpaid services to family members in the home while reliant on income of a family member.
- Low-income individuals (whose household’s total income is below or at 60% of the State Median 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).
- Indians, Alaska Natives, and Native Hawaiians. “Indian” is a member of a federally recognized Indian tribe.
- Individuals with disabilities (includes individuals who are in receipt of Social Security Disability Insurance).

- Older individuals (age 55 and older).
- Previously incarcerated individuals.
- Individuals experiencing homelessness.
- Individuals who have aged out of the foster care system.
- Individuals who are:
 - English language learners are individuals who have limited ability in reading, writing, speaking, or comprehending the English language.
 - Individuals who have low levels of literacy (an individual is unable to compute or solve programs, or read, write, or speak English at a level necessary to function on the job, or in the individual’s family, or in society); and
 - Individuals facing substantial cultural barriers.
- Eligible migrant and seasonal farmworkers. Individuals who have been primarily employed in agricultural or fish farming labor that is characterized by chronic unemployment or underemployment.
- Individuals within two years of exhausting lifetime TANF eligibility.
- Single parents (including single pregnant persons).
- Long-term unemployed individuals (unemployed for 27 or more consecutive weeks).
- 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. Eligibility of work preparedness programs under this category will be considered on a case-by-case basis; and
- Incumbent or unemployed fossil fuel workers.

Anticipated Timeline

Eligible Non-profit Employers should plan to apply to the program first and allow approximately [4-8] weeks to confirm eligibility. Fellows and Fellowship applications are approved in a step that takes approximately [3 – 4] additional weeks. This timeline may be extended if incomplete materials are submitted, or additional information is needed from the Non-profit Employer or the Fellow. Fellows should plan to work full-time throughout the 24-month Fellowship.

IV. Administering the Fellowship Program

Steps at a Glance

1. Following an executed Agreement with NYSERDA, the Fellow may begin work.
2. The Non-Profit Employer must ensure that the Fellow has received an overview of services by close of business of the Fellow’s first day.
3. The Non-Profit Employer must work with the Fellow to complete and submit a Fellowship Plan (see Attachment B: Fellowship Plan, Section III).
4. The Fellow will have a preliminary meeting with BronxWorks within the first 30 days of

employment. The Fellow will be required to meet with BronxWorks on a quarterly basis to support their success in the Fellowship.

5. Per the discretion of a NYSERDA contractor, Fellows will commence with professional development Cohort Services offered by a NYSERDA contractor.
 - NYSERDA cohort services will be available for a 12-month- period.
6. The Fellow completes the 24-month Fellowship.

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 activities, research to advance work on a particular issue, developing a new community-based organization or initiative, or training and reflection. All non-profit organizations must provide a brief description of the climate justice role and/or activities that the Fellow will be expected to complete. A detailed Fellowship plan will be submitted as one of the initial contract milestones using a template supplied by the NYSERDA Project Manager.

Fellowship Plan

The non-profit employer and Fellow must submit a mutually agreed upon Fellowship plan for the full employment period (See Attachment B). Fellowship Plans must:

- Advance climate justice and clean energy priorities in the Bronx or Queens and fall within the eligible project focus areas including but not limited to energy (e.g., benchmarking), retrofits, analysis (e.g., audits), policy (e.g., LEED assessment), outreach and events, inventory, social justice, etc.
- Include a general outline of the types of climate justice and clean energy activities the Fellow will undertake over the 24-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 and will require final review and approval by a NYSERDA Project Manager. Examples of a final deliverable or capstone project include but are not limited to:
 - Conducting energy benchmarking/disclosure requirements that protect and empower tenants with information about the energy use intensity and affordability of their housing stock.
 - Developing a comprehensive strategy to encourage investment by anchor institutions to equitably address climate change and local community wealth building.
 - Delivering energy efficiency education and resources to community members through a series of workshops, tabling events, and media.
 - Analyzing specific clean energy curriculum and exploring avenues to incorporate community voice in curriculum and programs.
 - 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 organizations' use of technology to address identified needs relative to the disproportionate impacts of climate change.

Payments

Payments from NYSERDA will be made to the Non-profit Employer only and will be made on a milestone basis. 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 and benefits paid, etc.

NYSERDA will not reimburse for wages covered by any federal or state loan or grant program.

On a case-by-case basis, NYSERDA will consider requests for a limited amount of funding to be provided upfront to support non-profit employers and the Fellow(s) if the gap in time before the initial milestone payment creates an economic hardship.

Reporting

A non-profit employer must agree to the following terms and conditions regarding reporting. Specifically, the non-profit employer agrees to:

- 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 resigns. This notification must be made within two weeks of the change in employment status.

NYSERDA reserves the right to terminate non-profit employers from the Program who receive valid complaints or other serious charges from Fellows, employees or new hires.

V. Application Considerations

Applications that meet solicitation requirements will be reviewed and evaluated by the NYSERDA and NYSDOL 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 factors including, but not limited to the following:

- Geographical coverage in the Bronx or Queens.
- Institutional diversity or partnership with minority serving institutions.
- Consideration of the impact on, and benefits to, a diversity of communities, including low-income 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 Fellowship directly addresses NYSERDA's mission and strategic goals.
- Past performance under prior NYSERDA agreements.

Offering employment following the Fellowship is encouraged, but not required.

Should any changes be made to this solicitation, notification will be posted on the "[Funding Opportunities](#)" section of NYSERDA's website.

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 24 months with a 3-month grace period for a total of 27 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 Fellowship Application. 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 and Employer Eligibility – 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
- Attachment B – Fellowship Application



Large-Scale Thermal
Program Opportunity Notice (PON) 5614
Up to \$10 Million Available

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

Proposal Due Dates*: 9/26/2024 (Round 1); 1/30/2025 (Round 2)

***by 3:00 PM Eastern Time**

Program Summary

The Large-Scale Thermal program (“the Program”) supports the design of large single building and multiple building projects, including thermal energy networks, that serve as replicable examples for significantly reducing greenhouse gas emissions (GHG) from heating, cooling, and hot water in buildings, using approaches that are clean and resilient, minimize energy consumption, maximize energy recovery, and offer an equitable approach to building decarbonization. The Climate Action Council Scoping Plan identified large-scale thermal solutions, such as thermal energy networks, as an important pathway to scale up zero-emission heating and cooling in buildings.

For the purposes of this solicitation, a large-scale thermal system uses heat pumps to move thermal energy from sources, such as the ground, air, surface water, wastewater, and waste heat, to provide heating and hot water to one or more buildings and to move thermal energy to sinks, such as the ground, air, and surface water, to provide cooling to one or more buildings.

Designs for multiple buildings, collocated on a single property or contiguous properties, may address the heating, cooling, and hot water of each building on a standalone basis or may use a configuration known as a thermal energy network. A thermal energy network includes distribution pipes that connect multiple buildings together and to thermal energy sources and sinks. There are many technical and economic factors that affect the optimal design of a system that serves the heating, cooling, and hot water of multiple collocated buildings. Proposals to this solicitation must demonstrate that the system configuration proposed for design funding represents the optimal technical and economic solution.

On July 5, 2022, the Utility Thermal Energy Networks and Jobs Act¹ was signed into law, that requires the seven largest utilities to submit to the Public Service Commission (PSC) for review and approval at least one and as many as five proposed thermal energy network pilot projects. Pursuant to the law, on September 15, 2022, the PSC issued an order (Case 22-M-0429) on developing utility thermal energy networks that directs the seven utilities to submit pilot projects for PSC consideration. Utilities required to comply with the PSC order are ineligible to receive funds through this solicitation. Projects approved as utility pilots by the PSC are ineligible to receive funds through this solicitation.

Under this solicitation, NYSERDA is seeking proposals for large-scale thermal design projects in New York State. See the table below for information about funding limits.

¹ Utility Thermal Energy Networks and Jobs Act, S.9422/A.10493 (2022). <https://www.nysenate.gov/legislation/bills/2021/S9422>

Single or Multiple Buildings*	Minimum Conditioned Space (SF)**	Maximum NYSERDA Funding Per Award***	Required Proposer Cost Share****
Multiple	250,000	Up to \$500,000 (Existing Buildings)	50% of total project cost
Single	150,000	Up to \$300,000 (New Construction)	

**To qualify as a Multiple Building, the project must provide heating, cooling, and hot water to at least 2 buildings collocated on a single property or contiguous properties. The buildings may be connected in any configuration and are not required to be connected to a common distribution network. Thermal energy networks are eligible in the Multiple Buildings category. The definition of a thermal energy network in this solicitation is consistent with the following definition in the Utility Thermal Energy Networks and Jobs Act: “all real estate, fixtures and personal property operated, owned, used or to be used for or in connection with or to facilitate a utility-scale distribution infrastructure project that supplies thermal energy”. As noted above, utilities required to comply with the Utility Thermal Energy Networks and Jobs Act, are ineligible to receive funds through this solicitation.*

***Projects awarded funding through PON 4614 (Community Heat Pump Systems) Category A to perform a feasibility study that are below 250,000 SF of conditioned space are eligible to apply to this solicitation. All other Multiple Buildings projects must be at least 250,000 SF of conditioned space.*

****‘Existing Buildings’ is defined as a project where the total conditioned space served by the large-scale thermal system or thermal energy network contains less than 50% new construction. The maximum award amount may not exceed 50% of the design costs. Projects will be limited to one award per round. Projects with multiple phases may only receive one award per round but may request a second award for a subsequent project phase in a subsequent round. Projects may not receive more than two awards, regardless of the number of phases. The project scope of work proposed must not be otherwise funded by NYSERDA nor funded using ratepayer funds administered by the utility. Projects receiving funding through PON 5614, may apply to other NYSERDA programs. However, NYSERDA programs providing funding for the design and construction of beneficial electrification (i.e. heat pumps, thermal energy networks, etc) as part of a retrofit or new construction project, may reduce the award based upon the amount of funding received through PON 5614.*

******Cost share is a requirement for this solicitation. NYSERDA will contribute its share of the actual project cost, not to exceed the amount awarded. The proposer shall provide the remaining amount as cost share. Such cost share may include direct labor (for which the laborer is a paid employee), purchased materials, or cash contributions from a co-funder. Contributions of unpaid labor or contributions of labor for which the laborer is a municipal official or employee do not qualify as proposer cost-share. Awarded proposers shall be responsible for providing adequate cost documentation for all project cost share and the cost share requirement in the budget shall be reasonably commensurate with the NYSERDA payment amount. NYSERDA will not pay for efforts that have already been undertaken and the proposer or proposing team cannot claim any expenses that have already been incurred as cost-share.**

Customer agrees and authorizes their utility’s sharing of the participant-customer’s information and/or project-level information with New York State Department of Public Service Staff and NYSERDA, including its agents or authorized representatives, consistent with NYSERDA’s New York State Public Service Commission and statutorily authorized responsibilities, including, but not limited to supporting market development initiatives, and other evaluation and measurement activities. (For clarity, the term project level includes the information based on the scope of the project, including, but not limited to, aggregated and anonymized whole building, building or subsets of the project.)

Participant agrees to and authorizes the sharing of the participant-customer’s information and/or project- level information with New York State Department of Public Service Staff and appropriate local utility, including its agents or authorized representatives, in carrying out its responsibilities under New York State Public Service

Commission orders. (For clarity, the term project level includes the information based on the scope of the project, including, but not limited to, whole building, building or subsets of the project.) To the extent the prime proposer is not the customer, the proposer will need to secure such authorization from the customer. Please see Exhibit A, Statement of Work of the Sample Agreement (Attachment D).

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 (for technical questions) by contacting Sue Dougherty (Designated Contact) at (518) 862-1090, ext. 3127 or by e-mail District.Thermal@nyserda.ny.gov or Donovan Gordon (Designated Contact) at (518) 862-1090, ext. 3119 or by e-mail District.Thermal@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or by e-mail Nancy.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 dates 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>).

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I. INTRODUCTION

The Climate Leadership and Community Protection Act (“Climate Act”) set a goal to reduce economywide GHG emissions 40% by 2030 and 85% by 2050 from 1990 levels while ensuring equity, system reliability, and a just transition from a fossil fuel economy to a clean energy economy. The Climate Act called for the issuance of a Scoping Plan that includes recommendations to meet the requirements and goals in the Climate Act. The Scoping Plan, issued on December 19, 2022, notes that energy efficiency and managed electrification in buildings will be critical to meet the State’s GHG emissions goal. The buildings sector is responsible for approximately a third of the emissions statewide, primarily due to combustion of fossil fuels for space and water heating. The Scoping Plan identified key strategies to decarbonize the building sector, including support for the development of thermal energy networks, which can provide efficient heating, cooling, and hot water while mitigating impact to the electric grid and providing lower energy costs to customers. In addition to thermal energy networks, other large-scale thermal systems that address one or more standalone buildings will help scale building decarbonization. Projects proposed to this solicitation must demonstrate that the proposed system configuration represents the optimal technical and economic solution.

The Climate Leadership and Community Protection Act (Climate Act) also requires that state agencies, authorities, and entities direct a minimum of 35% with a goal of 40% of the overall benefits on clean energy and energy efficiency programs, projects, or investments in the areas of housing, workforce development, pollution reduction, low-income energy assistance, energy, transportation, and economic development to disadvantaged communities² (DACs) as identified by implementing criteria finalized by the Climate Justice Working Group (CJWG)³. Cost-effective decarbonization solutions are necessary to support the millions of households statewide that are low-income (i.e. households with incomes less than 60% state median income).⁴

A large-scale thermal system uses heat pumps to move thermal energy from sources, such as the ground, air, surface water, wastewater, and waste heat, to provide heating and hot water to one or more buildings and to move thermal energy to sinks, such as the ground, air, and surface water, to provide cooling to one or more buildings. The building(s) served by a large-scale thermal system may be standalone and are not required to be connected to a network of distribution pipes, such as those in a thermal energy network.

A thermal energy network, a type of large-scale thermal system, uses distribution pipes and heat pumps to move thermal energy from sources such as those listed above to provide heat and hot water to connected buildings and moves thermal energy to sinks, such as those listed above to provide cooling to connected buildings. A thermal energy network can be arranged in a centralized configuration or distributed configuration. A centralized configuration uses heat pumps to produce heated and chilled water in a central energy plant, which is then distributed to buildings connected to the network for heating, cooling, and hot water. A distributed configuration distributes low or ambient temperature water to buildings connected to the network and heat pumps at the building-level provide heating, cooling, and hot water.

This solicitation seeks proposals for projects that demonstrate replicable approaches to scale building decarbonization through deployment of large-scale thermal systems in New York City and New York State with a preference for systems that are located in disadvantaged communities and/or serve low-income housing. NYSERDA is actively seeking to further workforce development in disadvantaged communities through large-scale thermal system projects.

This solicitation seeks proposals for designs that primarily include existing buildings. The conditioned space served by the proposed design must be less than or equal to 50% new construction to be considered an existing building project, and is eligible for up to the maximum award for existing building projects defined

² <https://www.nyserdera.ny.gov/ny/Disadvantaged-Communities>

³ <https://climate.ny.gov/Resources/Disadvantaged-Communities-Criteria/Investments-and-Benefits-Reporting-Guidance#:~:text=The%20Climate%20Leadership%20and%20Community,of%20housing%2C%20workforce%20development%2C%20pollution>

⁴ <https://www.nyserdera.ny.gov/About/Publications/Evaluation-Reports/Low--to-Moderate-Income/LMI-Census-Population-Tool>

above. If the conditioned space served by the proposed design is greater than 50% new construction, the project is considered new construction, and is eligible for up to the maximum award for new construction projects defined above. This solicitation seeks proposals for projects that minimize energy use and maximize energy recovery to the extent practical, by considering/including building thermal efficiency, waste heat recovery, and thermal energy storage. Additionally, this solicitation seeks proposals for projects that minimize impact to the electric grid by considering/including on-site renewables and battery electric storage.

This solicitation has funding to support project sites statewide, including end-use customers who pay the System Benefits Charge (SBC) and project sites with end-use customers who do not pay the System Benefits Charge. Clean Energy Fund (CEF) funding can only be awarded to projects that serve end-use customers who pay the SBC on either a portion of or on their entire electric bill at the thermal usage site (existing sites that can demonstrate they currently pay SBC, existing sites that can demonstrate they will connect to the utility grid and will pay SBC, and new construction sites that can demonstrate they will pay SBC when they begin occupancy of the new building).

To assist interested parties in fostering business-to-business connections for teaming arrangements, as well as to foster customer-to-business explorations, NYSERDA has invited solution providers to opt-in to being identified on a list (the list is not an “eligible proposer” list – customers are free to team with solution providers who are not on the list – NYSERDA has not vetted the solution providers on the list and presence on the list does not constitute endorsement by NYSERDA – interested parties are strongly cautioned to perform their own due diligence). NYSERDA has updated the list several times and will periodically further update the list as NYSERDA continues to invite solution providers to opt-in to being identified on a list. The list is available at this NYSERDA webpage www.nyserda.ny.gov/district-thermal-systems.

II. PROPOSER ELIGIBILITY

Proposers must meet the following minimum qualifications to be eligible for funding under this solicitation:

- Team consists of members who served as the lead technical designer in at least one (1) large-scale thermal system design, thermal energy network design, and/or community-style microgrid design of comparable size (i.e., not smaller size-and-scope or order-of-magnitude) as the one being proposed to this solicitation and will serve as lead (or co-lead) technical designer in this project.
- Team must include the following:
 - A NYS-licensed Professional Engineer or NYS-licensed Registered Architect who intends to stamp the final report deliverable that will result from the project.
 - For projects that include geothermal, a Certified Geothermal Designer (or equivalent) or a team member that meets one or more of the following sets of criteria:
 - Be an engineering graduate and/or Professional Engineer or Registered Architect with three years combined experience in commercial geothermal heat pump design and/or heating, ventilation, and air-conditioning.
 - Have a four-year, non-technical degree with five years combined experience in commercial geothermal heat pump design and/or heating, ventilation and air-conditioning.
 - Have a two-year technical degree with eight years of combined experience in commercial geothermal heat pump design and/or heating, ventilation and air-conditioning.
 - Have ten years or more of combined experience in commercial geothermal heat pump design and/or heating, ventilation, and air-conditioning.
- For projects that address buildings with multiple owners, the team should consider including an organization experienced in direct outreach to customers/building owners such as a community-based organization, climate justice advocacy organization, etc.

NYSERDA has a preference for projects that include the following types of team members: Minority-Owned and Women-Owned Business Enterprises (MWBEs), Service-Disabled Veteran-Owned Businesses (SDVOBs), and Benefit Corporations, as defined within Article 17 of NYS Business Corporation Law.

Utilities that are required to comply with the PSC order (Case 22-M-0429) issued on September 15, 2022, to propose thermal energy network pilot projects, are ineligible to propose to or receive funds through this solicitation.

A proposer not selected for award under a due date round may request a debriefing and may be eligible to revise their project and re-propose to a subsequent due date round.

III. PROJECT ELIGIBILITY

Prior to proposing to this solicitation for design funding, a completed feasibility study must demonstrate the technical and economic feasibility of the proposed design at the subject project site. Prior participation in Category A of PON 4614 (Community Heat Pump Systems) or FlexTech to perform a feasibility study is not a prerequisite to participate in this solicitation. However, this solicitation requires the proposer to submit a completed feasibility study that sufficiently addresses the requirements in Attachment C. Examples of previously completed feasibility studies can be found on NYSERDA's website (<https://www.nyserdera.ny.gov/All-Programs/Community-Heat-Pump-Systems/Winners>).

Design projects must meet the following minimum qualifications to be eligible for funding under this solicitation. A proposal that demonstrates that the project meets the minimum eligibility will be reviewed by a Scoring Committee and scored/ranked in accordance with the Proposal Evaluation criteria defined herein:

- The project must be focused on decarbonization of heating, cooling, and hot water of occupied spaces.
- The project must serve a single building comprising at least 150,000 square feet of conditioned space or at least 2 buildings comprising at least 250,000 square feet of conditioned space.

The project should demonstrate replicability by presenting a use case similar to many others in New York State or New York City. For example, a campus facility with sufficient land space to install geothermal boreholes that connect to a network loop or a dense urban environment that uses the network loop to share thermal energy among neighboring buildings with diverse thermal loads.

The project should demonstrate adherence to existing codes and standards, as applicable, including, but not limited to: ANSI/CSA C448 and the Uniform Mechanical Code 2024, Chapter 17.

The scope of work proposed must not have been partially or fully commenced prior to proposal submission.

The project scope of work proposed must not be otherwise funded by NYSERDA nor funded using ratepayer funds administered by the utility.

Projects receiving funding through PON 5614, may apply to other NYSERDA programs. However, NYSERDA programs providing funding for the design and construction of beneficial electrification (i.e. heat pumps, thermal energy networks, etc) as part of a retrofit or new construction project, may reduce the award based upon the amount of funding received through PON 5614

Projects approved by the PSC as utility pilots through the Utility Thermal Energy Network (UTEN) filing pursuant to the PSC order (Case 22-M-0429) issued on September 15, 2022 are ineligible to receive funds through this solicitation.

The proposer must provide evidence that the thermal resource(s) being considered will be an adequate source of thermal energy for the buildings that are being considered for the design. If a project is considering geothermal, then evidence may include results of a test borehole or previously completed geotechnical test at or near the project site. Similarly, if a project is considering wastewater heat exchange, then evidence may include a summary of flow and temperature data. If insufficient data exists at the time of the proposal, then the proposed scope of work and budget must include test borehole(s) or other data acquisition, as applicable to the system design. For awards to projects that intend to install test boreholes, borefields, or other systems that prompt a State Environmental Quality Review Act (SEQRA) Analysis, NYSERDA will require a Site Owner Agreement and Support for State Environmental Quality Review Act (SEQRA) Analysis as an initial task in the Statement of Work.

Preference will be given to projects that include adjunct systems that help with decarbonization, such as on-site solar PV and/or on-site electrical battery energy storage (thus exploring “district energy” not just “district thermal”) where inclusion of these additional district energy solutions helps improve the overall value proposition of the project without detracting from the primary focus of decarbonizing heating, cooling, and hot water.

Preference will be given to projects that support disadvantaged communities and/or low-income housing. Preference will be given where project teams include low-income tenants associations, NYS certified-MWBEs (registry found [here](#)), NYS certified-SDVOBs (registry found [here](#)), Benefit Corporations, Priority Populations (as defined here: <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Workforce-Development/Definitions>), , community-based organizations, particularly those that focus on climate justice issues. The project should consider the impact on disadvantaged communities, including but not limited to, incorporating project-based workforce development activities as needed that focus on hiring individuals in the aforementioned communities and populations.

Please see Evaluation Criteria defined herein for other project preferences.

Projects selected for award will be required to provide milestone deliverable reports and a final report that address the requirements in Attachment A.

IV. PROPOSAL REQUIREMENTS

Proposals should concisely address the following Proposal Requirements and ensure the Evaluation Criteria have been adequately addressed.

NYSERDA reserves the right to negotiate the statement of work, budget, and funding levels on all awarded projects. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not favorably influence the evaluation of the proposal.

The proposal must be in the following format and may be deemed non-responsive if it fails to comply with the requirements of this solicitation.

1. Proposal Technical Content

- i. **Executive Summary (two page maximum)**
 - State the title of the proposed project and briefly summarize the team members, the buildings to be served by the large-scale thermal system, the proof-points from a completed feasibility study that demonstrate the proposed approach is an optimal solution to decarbonize the heating and cooling of the buildings, how the project demonstrates a replicable approach, and proximity of the project site to disadvantaged communities in New York State. Describe the efforts so far to explore regulatory issues/permitting/franchising, and how the project would be financed.

ii. **Proposer Information (two page maximum)**

- Provide the *legal name(s)*, title(s), mailing address(es), phone number(s), and e-mail address(es) of the proposer (please be sure to have this company name match the “proposer” name entered into the online proposal submittal portal). Phone number(s) must be a number where the proposer can be reached during business hours. Provide the name(s), title(s), mailing address(es), phone number(s), and e-mail address(es) of the project contact only if different from the proposer. Phone number(s) must be a number where the contact can be reached during business hours.
- Identify the team member who is a NYS-licensed Professional Engineer or NYS-licensed Registered Architect who intends to stamp the final report deliverable that will result from the project.
- State the name and title of the representative who would be legally authorized to sign a contract with NYSERDA, if awarded.
- Provide evidence that the Proposer has financial resources to share the costs of conducting the project.
- Identify public interests/organizations/customers involved in the Project Team and describe their respective roles in and relationship to the project:
 - a. Local electric distribution company,
 - b. Local fuel (e.g., gas) distribution company,
 - c. Low-income tenants/associations,
 - d. Climate justice advocacy organizations,
 - e. Commercial/institutional/Multifamily building owners
 - f. Non-profit organizations,
 - g. Third party implementers/project developers,
 - h. Vendors,
 - i. Financiers/investors,
 - j. Others.

iii. **Project Description and Benefits (eight page maximum)**

- Objectives and Benefits
 - a. Describe any energy efficiency projects that have been or will be implemented to reduce the thermal demands of the buildings that will be served by the system. Explain how existing efficiency programs for residential and non-residential buildings and/or other funding sources will be leveraged for buildings that require upgrades to the envelope and/or HVAC distribution system to realize and maximize the potential energy and cost savings benefits of connecting to the system.
 - b. Discuss the basis for an expectation that the proposed design approach is the optimal solution (including assumptions that have been made). As applicable, discuss how the thermal energy network approach reduces the peak thermal load requirement and/or annual thermal energy use of the connected buildings, compared to serving each building individually with a heat pump, by exploiting waste heat recovery, sharing thermal energy through a network loop, using shared thermal infrastructure, etc.
 - c. Describe how the project can support thermal resiliency and reliability, particularly during heat waves and extreme heat events. Proposers, regardless of project site location, should refer to the NYC Climate Resiliency Design Guidelines⁵.
 - d. Describe how the project will be designed to operate within and withstand climate conditions anticipated to occur during the project’s full useful life, identify the relevant current and future climate risks to the project (for example, extreme heat, higher average temperatures, flooding), and describe adaptation strategies that will be

⁵ NYC Climate Resiliency Guidelines. https://www.nyc.gov/assets/orr/pdf/NYC_Climate_Resiliency_Design_Guidelines_v4-0.pdf

- incorporated into the project design. For guidance on managing future flood risk, refer to the State Flood Risk Management Guidance⁶ and NYC Flood Hazard Mapper⁷.
- e. Describe any other benefits/reasons why the proposing team is interested in pursuing this project, including but not limited to safety and reducing the impact to the electric grid.
 - f. Describe the proximity of the project site to a disadvantaged community and how the project will benefit the disadvantaged community, if applicable. Provide an image showing whether or not the site is located in a disadvantaged community. To complete this requirement, enter a representative site address into the map of disadvantaged communities available on NYSERDA's website (<https://www.nyserda.ny.gov/ny/Disadvantaged-Communities>) and provide a screen capture showing whether or not the site (or group of sites) is fully or partially located within a disadvantaged community.
 - g. Describe how the project will benefit low-income housing, if applicable. If applicable, ensure that income documentation is provided in the appendix as described below.
 - h. Describe the involvement and role of the following groups in the planning and decision-making on the project:
 1. Climate Justice organizations
 2. MWBEs
 3. SDVOBs
 4. Benefit Corporations
 5. Community-based organizations
 6. Low-income housing advocates
 - i. Describe how the project team will assess and document workforce needs for the project for both the installation and operations and maintenances phases. Indicate planned opportunities for including and preparing local, historically disadvantaged community members for roles related to system installation, operation, and/or maintenance and repairs.
 - j. Describe how the proposing team plans to incentivize or require education and training of residents in the local community.
 - k. Describe how likely the proposed system, if built as anticipated, will demonstrate a replicable approach for building decarbonization at scale.
 - l. Describe anticipated learning that would be of benefit to the broader marketplace.
- Project Site and Building Characteristics
 - a. Describe the project site and rationale for selecting that site and group of buildings.
 - b. Provide a brief history of project development, including how the project progressed to the feasibility and design phases.
 - c. Describe the buildings to be connected to the system including approximate ages of buildings and thermal systems, and historic preservation or other complicating status.
 1. Provide a table with the following data for each building:
 - *Building Type* (residential, commercial, industrial, mixed-used, educational, medical, other)
 - *Number of Housing Units Per Building* (each single-family home or apartment within a multi-family building is a single housing unit, this includes both market rate and low-income)
 - *Number of Low-Income Housing Units Per Building* (housing units qualify as low income by being at or below 60% of the state median income)
 - *Construction Type* (existing, new construction, gut rehab)

⁶ Community Risk and Resiliency Act. <https://dec.ny.gov/environmental-protection/climate-change/new-york-response/crra>

⁷ NYC Flood Hazard Mapper. <https://dcp.maps.arcgis.com/apps/webappviewer/index.html?id=1c37d271fba14163bbb520517153d6d5>

- *Conditioned Space* (square feet)
 - Total Annual Heating Load (MMBtu) as the sum of space heating, domestic hot water, and process heating
 - *Total Annual Cooling Load* (MMBtu) as the sum of space cooling and process cooling
 - *Peak Heating Demand* (MMBtu/h) as the sum of space heating, domestic hot water, and process heating
 - *Peak Cooling Demand* (MMBtu/h) as the sum of space cooling and process cooling
 - *Existing Primary Fuel Type* for heating (natural gas, oil, propane, electricity, other)
- d. Describe the existing thermal production and distribution systems used to serve the existing buildings (e.g., campus centralized natural gas boiler with steam distribution pipes and radiators in each building, individual natural gas furnaces in each building with forced hot air plenums, etc.).
 - e. Describe the relative proximity of buildings to each other and thermal energy density of the buildings connected to the system. Provide a plot plan or aerial image scaling the distances between buildings.
 - f. Describe the climate hazard exposure of the buildings and site. Provide a site plan or aerial image illustrating location of the buildings within riverine and/or coastal floodplains, areas of high heat vulnerability, sea level rise exposure, or other climate hazards as applicable.
- System Design
 - a. Describe the proposed system configuration, such as centralized or distributed, including types of heat pumps (e.g., ground source heat pumps, water source heat pumps, multi-source heat pumps, adjunct/supplemental/redundancy systems, etc.), types of thermal resources (ground, surface water, wastewater, waste heat), and network distribution temperatures (ambient, low, or high temperature), as applicable.
 - b. Describe the system configurations analyzed in the feasibility study (e.g., business as usual, standalone heat pumps, centralized thermal energy network, distributed thermal energy network) and the rationale for further pursuing a design and/or construction of the preferred configuration.
 - c. Describe how waste heat recovery and thermal energy storage were evaluated and/or incorporated to minimize peak electricity demand and annual energy consumption and GHG emissions.
 - d. Describe the existing infrastructure expected to remain (indicate whether it will be used routinely, or whether it will be used for peaking and/or backup heat), and existing infrastructure expected to be demolished, as applicable.
 - e. Describe how the system was designed to minimize use of fossil fuel equipment for heating to the extent practical. If applicable, provide the rationale for including/retaining fossil fuel equipment to supply thermal energy to the system.
 - f. Describe measures such as on-site renewables (e.g., solar PV), electric storage, and other technologies included in the system design that will minimize impact to the electric grid and improve the safety, reliability, and resiliency of the electric and thermal utilities that support the operation of the system.
 - g. Describe other climate resiliency considerations, including location of project site relative to flood plains, flood-proofing considerations for system interconnection points or locations of critical infrastructure, considerations for operational performance during black outs as applicable, and other approaches for addressing resiliency in the system design.
 - h. Describe how the system adheres to relevant codes, standards, and industry best practices, available at the time of the proposal, including, but not limited to CSA/ANSI

448, International Association of Plumbing and Mechanical Officials (IAPMO) Uniform Mechanical Code Chapter 17, as well as applicable ASHRAE manuals.

- **Business Model**
 - a. Describe building end-uses, occupancy patterns, ownership and tenancies (e.g., low-income residential), number of residents served, and how the proposed project would ease Climate Justice issues within the disadvantaged communities it would serve.
 - b. Describe the preliminary commercial terms/contractual relationships between project participants and roles of each party in financing, constructing, owning, operating, and maintaining the system.
 1. Describe the preliminary financing approach for construction, including federal, state, and/or local funding; tax credits; and other funding sources. Demonstrate evaluation of the Investment Tax Credit and other potential subsidies, tax abatements, depreciation schedules of equipment, etc.
 2. Describe the business plan and how the system owner/operator will measure and charge for thermal energy delivered to connected building owners. The business plan should discuss how thermal energy will be monetized and how to compensate prosumers who provide thermal energy to the network (ex: waste heat rejection into the network piping loop).
 3. Describe who is expected to own/maintain/operate thermal production, distribution piping, and other assets of the system.
 - c. Describe the anticipated regulatory/legal/environmental suitability, including permitting and franchising and indicate whether regulatory compliance appears feasible, based on the ownership structure for the system.
- **Customer Engagement and Protections**
 - a. Describe how customers and stakeholders will be engaged and educated about the potential system.
 - b. Describe how customers will be recruited to connect to the system and the customers' rights and responsibilities, including the equipment customers will be responsible for owning and maintaining.
 - c. Describe how customers will be informed about potential building upgrades needed to make their buildings' heating and cooling systems compatible with the system, as well as incentive and financing programs available to help offset the upgrade costs.
 - d. Describe how customers will be metered and billed, including customer participation/withdrawal options.
- **Challenges and Lessons Learned**
 - a. Describe hurdles to project success and plans to overcome them. What does the project team envision will be the single-biggest challenge to project implementation?
 - b. Describe regulatory hurdles expected and any preliminary approaches for resolving either on an exception-basis for this one project, or on a precedent-setting basis to be of benefit to subsequent projects.
 - c. Describe impacts by the planning, development, installation, operation, and ownership of the project on nearby disadvantaged communities.

iv. **Proposer Qualifications (three page maximum)**

- **Proposing Organization(s)**: Include a brief description of organization(s) involved in the proposing team, including prime proposer and major subcontractors. Include year founded, status (private/publicly-held), number of employees, product/services portfolio, and location of offices. Also include an explanation of why the proposed organization or team is the best qualified to perform/implement the project from a technical and business perspective. Identify any other organizational qualifications relevant to the proposed work. (Note: Subcontracts of \$50,000 or more are subject to competitive bid procedures except where the proposal identifies a specific

subcontractor as an integral participant in the proposed work; see Section 5.02 of Exhibit B in Attachment D Sample Agreement).

- **Organizational Chart:** Prepare an organizational chart listing all team members, including the project manager and any subcontractors and other sponsors involved in the project, showing their roles and responsibilities and reporting relationships.
- **Qualifications of Key Individuals:** Identify key individuals that will be involved in the project and its success. Provide one- to two-paragraph summaries of relevant technical and business expertise of these individuals, and comment on the extent to which their time is already burdened versus the amount of time they would be expected to work on the project. Submit resumes (as appendix) of all key project team members. Include in the resumes, education and experience that are relevant to the proposed work.
- **Previous Experience:** Demonstrate compliance (i.e., describe team member's role/responsibilities, summary of project scope, and project budget) with the proposer eligibility minimum qualifications requirement specified in the Proposer Eligibility section which says "Team consists of members who served as the lead technical designer in at least one (1) large-scale thermal system design, thermal energy network design, and/or community-style microgrid design of comparable size (i.e., not smaller size-and-scope or order-of-magnitude) as the one being proposed to this solicitation and will serve as lead (or co-lead) technical designer in this project.". Describe any additional experience of the proposing team that is relevant to the proposed effort. List NYSEDA contracts awarded to the proposer and/or subcontractors, if any, in the past five years.

2. Work Plan, Schedule, and Milestones

- **Work Plan:** Use the Template Statement of Work provided in Attachment A on the solicitation website and update with project specific information. Indicate how these efforts will be new work above-and-beyond information already compiled in the previous project stages. The Work Plan shall describe each step or procedure required to accomplish the project objectives, including resource characterization (e.g., drilling exploratory boreholes for ground source configuration if that would be part of the project at this stage), the use of analytical tools and/or software, and quantifying the energy/environment/economic benefits. Therefore, each action shall be identified, indicating who will perform it, how it will be performed and its intended result. Be clear and specific: concentrate on how and not why. Use active voice sentence structure to make clear who is responsible for specific actions (for example, use the following phrase to start the description of every task and subtask: "The Contractor shall ..."). Additionally, the following items shall be infused into the Work Plan:
- **Schedule:** Present a work schedule with a starting point and duration for each task and subtask contained in the Work Plan. Presentation of the schedule in a bar chart is preferred starting with "Month 1", "Month 2", etc. The schedule should include timing of major milestones such as equipment sizing, equipment placement and layout, showing progress toward project objectives and goals. Identify any seasonal constraints or specific requirements for work scheduling. For example, work times may need to be coordinated with a school year calendar, observation of environmentally sensitive seasons, or the receipt of required authorizations.
- **Milestone Payments:** Provide a list of deliverables associated with each task with proposed milestone payments assigned to major deliverables. The magnitude of the milestone payments should be based on the amount of effort required to reach the deliverable.

3. Budget

Use Attachment B to this solicitation and complete all four tabs within the spreadsheet.

- **First Tab (Budget Form):** Complete the Budget Form. Put a mark at the check-box where proposers must certify, via an attestation statement, that hourly rates included in the proposal budget are the

same or less than the hourly rates charged to other government or commercial entities for similar work performed.

- **Second Tab (Funding Source Table including Cost Sharing):** Complete the funding source table showing the total cost of project and proposer cost-share (describe sources of funding). The proposal should show any non-NYSERDA funding being contributed to the project and demonstrate whether 50% or more of the total project costs will be from non-ratepayer sources. Cost sharing for the proposed statement of work can be from the proposer, other team members, and other government or private sources. Proposals offering above the minimum required proposer cost-sharing are strongly preferred. Contributions of direct labor (for which the laborer is a paid employee) and purchased materials are considered “cash” contributions and do qualify as proposer cost-share. Contributions of labor for which the laborer is a municipal official or employee do not qualify as cost-share. Contributions of unpaid labor, indirect labor, or other general overhead are considered “in-kind” contributions and do not qualify as proposer cost-share. NYSERDA will not pay for efforts that have already been undertaken and the proposer or proposing team cannot claim any expenses that have already been incurred as cost-share.
- **Third Tab (Budget by Milestones):** Include a detailed budget cross-reference to the proposed Work Plan, showing for each task the hours and costs for labor and the costs for materials.
- **Fourth Tab (Prior/Current/Competing Proposals):** Is other public funding pending/awarded on this and/or very-similar topic, or does the proposing team (or a portion thereof) intend to seek other public funding on this and/or very-similar topic during the proposed effort? If yes, please explain.

4. Appendix

Include any supplementary documentation needed to support the proposal, including but not limited to:

- **Letters of Support or Commitment:** If the proposer is relying on any other organization to do some of the work, provide services or equipment, or share in contributing the non-NYSERDA cost, include a letter from that organization describing their planned participation. Provide evidence (signed letters of commitments) from Project team members signifying their participation in the proposed project and their commitment to providing any resources they will be responsible for. Absence of letters of support or commitment will be interpreted as the proposer not having support from the identified parties.
- **Resumes:** Provide resumes of all key project team members. Include in the resumes education and experience that are relevant to the proposed work.
- **Project Site Ownership Documentation:** Provide documentation of ownership, site control and/or permission of the property owner for proposed sites that will be the subject of design activity.
- **Housing Income Documentation:** As applicable, provide documentation that the project qualifies as low-income housing. Examples of documentation that demonstrate eligibility of housing as low-income are available here in the [Affordable Multifamily Buildings Verification Guidelines](#).
- **Thermal Resource Testing/Data:** Provide evidence that the thermal resource(s) being considered will be an adequate source of thermal energy for the buildings that are being considered for connection to the system. If a project is considering geothermal, then evidence may include results of a test borehole or previously completed geotechnical test at the project site. Similarly, if a project is considering wastewater heat exchange, then evidence may include a summary of flow and temperature data.

5. Completed Feasibility Study Report

This item must be submitted otherwise the proposal shall be deemed non-responsive. The feasibility study must address the requirements defined in Attachment C.

V. PROPOSAL SUBMISSION INSTRUCTIONS

1. Proposal Technical Content (15 page maximum)

The Proposal Technical Content should address all of the items below:

- Executive Summary (two page maximum)
- Proposer Information (two page maximum)
- Project Description and Benefits (eight page maximum)
- Proposer Qualifications (three page maximum)
 - Do not include resumes here. Include resumes in the Appendix.

Save as a Word file or as a searchable PDF file, which can be created by direct conversion from MS Word, or other conversion utility. Name the file using the following naming convention: "ProjectName_TechnicalContent".

2. Work Plan, Schedule, and Milestones

Update the Template Statement of Work that is available as Attachment A to this solicitation with the proposer and project information. Save as a Word file or PDF file. Name the file using the following naming convention: "ProjectName_WorkPlan".

3. Budget

Complete all four of the tabs of the budget spreadsheet that is available as Attachment B to this solicitation. Save as an Excel file (.xls or .xlm format). Name the file using the following naming convention: "ProjectName_Budget".

4. Appendix

Combine the supporting documentation as a Word file or PDF file. Name the file using the following naming convention: "ProjectName_Appendix".

5. Completed Feasibility Study Report

The requirements of Feasibility Study report are defined in Attachment C to this solicitation. Save as a Word file or PDF file. Name the file using the following naming convention: "ProjectName_FeasibilityStudyReport".

VI. PROPOSAL EVALUTION CRITERIA

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee. Detailed evaluation criteria are defined below.

Proposals will first undergo a pass/fail review regarding proposer eligibility minimum qualifications and project eligibility minimum qualifications as provided in the Proposer Eligibility and Project Eligibility sections. Proposals that meet these requirements will then 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. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating whether the proposal will be considered for an award. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA for the selected project. During negotiations the proposer shall assist NYSERDA with completion of duties associated with the SEQRA, as applicable, including but not limited to discerning if any other governmental agency with jurisdiction over the project seeks to fulfill Lead Agency role. The proposer may also be asked to address specific questions or recommendations of the Scoring Committee before contract award.

Marketplace Benefits/Impact

- How scalable and replicable is this project?
- How likely will the proposed system if built as anticipated help to demonstrate highly efficient low carbon heating and cooling solutions that significantly reduce energy use and GHG emissions?
- Has the proposal adequately described any energy efficiency projects that have been or will be implemented to reduce the thermal demands of the buildings that will be served by the system?

- Does the proposal describe a strong approach to adhere to relevant codes, standards, and industry best practices?
- Does the project meaningfully account for relevant climate conditions anticipated over the full useful life, and intentionally mitigate risks from and/or adapt to changing conditions? Does the project provide thermal resiliency benefits and minimize grid impacts, including during extreme heat events?
- Is the project located in a disadvantaged community? To what extent would the project lessen Climate Justice issues in disadvantaged communities (<https://www.nyserda.ny.gov/ny/Disadvantaged-Communities>) enveloping the site?
- How much low-income housing, with household incomes less than 60% state median income, will benefit from the project? Did the proposer include documentation (see [Affordable Multifamily Buildings Verification Guidelines](#)) on income eligibility?
- To what extent does the project provide considerations for low-income housing, MWBEs, SDVOBs, , and/or Priority Populations (as defined here: <https://www.nyserda.ny.gov/All-Programs/Clean-Energy-Workforce-Development/Definitions>)?
- To what extent does the project team demonstrate they have an effective approach for outlining the workforce needs associated with the construction and operation of the project? Has the project team identified opportunities to include and prepare local, historically disadvantaged community members for roles related to system installation, operation and/or maintenance and repairs?
- For thermal energy network projects, does the proposed project incorporate a diverse mix of end-use customer facilities which would have diverse space heating thermal load profiles (such that aggregating the thermal loads will achieve significant load smoothing as a mechanism to reduce costs)?

Project Economics

- Is the project cost reasonable? Is there a good match between the budget and scope? Is a detailed budget provided? Does it include a budget breakdown by project task that shows hours and dollars allocated to each task? Does the proposing team offer sufficient cost-share for the project (extra preference will be given to higher proposer contribution levels)?
- Is there compelling indication that the amount of funds being requested is the minimum amount necessary to cause the project to proceed?
- Does the proposed project intend to demonstrate techniques and methods which would help subsequent projects perform their designs faster/better/cheaper?
- Have financing mechanisms or sources for construction of this project been identified and/or secured? Does the project proposal demonstrate/incorporate how effective financing strategies and business models will be used to construct, own, operate, and maintain the system?

Organization, Participation and Commitment

- To what extent has the proposing team demonstrated applicable competencies beyond the proposer eligibility minimum qualifications specified in this solicitation?
- Do letters of commitment confirm active participation in applicable aspects of the project and commit the letter writer to providing the resources necessary to successfully carry out the duties assigned to their role as a project team member?
- Does the proposal identify a team member who is a NYS-licensed Professional Engineer or NYS-licensed Registered Architect who intends to stamp the final report deliverable or Certified Geothermal Designer (that meets the Proposer Eligibility requirements defined above) that will result from the project?
- What is the likelihood of the project to be implemented once the design is completed?
- Is this part of a larger plan/project and if so, has the larger project been adequately described?
- Has the proposer described the labor requirements plan in adequate detail to demonstrate they are prepared to comply with the requirements?

- Are any low-income tenants associations, MWBEs, SDVOBs, Community-based organizations, Benefit Corporations, and/or Climate Justice advocacy organizations participating on the project team?
- Are staff allocations and schedule reasonable and realistic? Can the project team competently handle this extra workload at this time?

Other

- Has the proposer provided other reasons for building the system? To what extent does the proposer describe other ancillary benefits (e.g., customer education and engagement processes), or demonstrate a greater degree of project planning and execution strategies (e.g., technology vendor commitments/participation, greater development of business plans and ownership options, plans to implement energy efficiency, leveraging existing incentive programs)?
- Does the proposal consider measurable benefits by the planning, development, installation, operation, and ownership of the project on nearby disadvantaged communities?
- If applicable, has the proposer described a strong plan for customer engagement and protection?
- Is the proposal well written? Are the concepts clear and complete? Does the proposal differentiate between relevant efforts that have already been accomplished, and proposed efforts that have not yet commenced?
- Can the major assumptions adequately be defended?
- Will the proposed effort utilize high-quality data (e.g., recent data, trending data of duration covering a statistically-significant time period, accurate and precise data), and how certain is it that such data will be available?

Additional Considerations (to be considered by NYSERDA regarding Program Policy Factors)

- The degree to which the project reflects the overall objectives of NYSERDA to complete projects with a variety of technologies and end-use sectors and geographic distributions and sizes so as to facilitate NYSERDA's stated interests in learning about the breadth of prime opportunities to grow the large-scale thermal market to scale.
- The degree to which pricing and hourly rates are in line with the rest of the market.
- Whether the proposed project will accelerate transformational market advances in areas that industry by itself is not likely to undertake because of technical, financial, and/or regulatory uncertainty.
- The potential for complementing similar ongoing or completed projects.
- The potential for appropriate leveraging of other sources of public/ratepayer funds (as opposed to displacing those other sources).
- Consideration of the impact on, and benefits to communities that include low-to-moderate income housing
- Project budget is commensurate with GHG reductions.

VII. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be

excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

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

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion, or negotiations pertaining to the Statement of Work. Each 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 applicable Sample Agreement to contract successful proposals. Funding for projects awarded through this solicitation is available for four years from the date of award. If the project is making progress and funding is still available, the schedule may be extended for an additional period of time at NYSERDA's discretion. 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 sixteen (16) 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 Sue Dougherty at (518) 862-1090, ext. 3127 or by e-mail at District.Thermal@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.

This is a competitive solicitation, and the credentials of the proposing team is a key evaluation criterion. If a proposal is selected for award, and if key elements of the project subsequently are changed (including but not limited to the proposing team being subsequently revised by replacement of strategic members), NYSERDA reserves the right (at NYSERDA's sole discretion) to rescind the award and advise the reconstituted project/reconstituted team to re-propose at a subsequent due date and undergo competitive review where the re-awarding of a contract will not be a foregone conclusion.

Accessibility Requirements - Every awardee from this solicitation will produce a final report that NYSERDA will post to the web. 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 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.

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.

VIII. Attachments:

- Attachment A: Template Statement of Work
- Attachment B: Detailed Budget Breakdown
- Attachment C: Feasibility Study Requirements
- Attachment D: Sample Agreement



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-served basis through September 26, 2024, 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><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 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/CLCPAClimate_Leadership_and_Community_Protection_Act_\(Climate_Act\)](https://www.nyserda.ny.gov/All-Programs/CLCPAClimate_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

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>

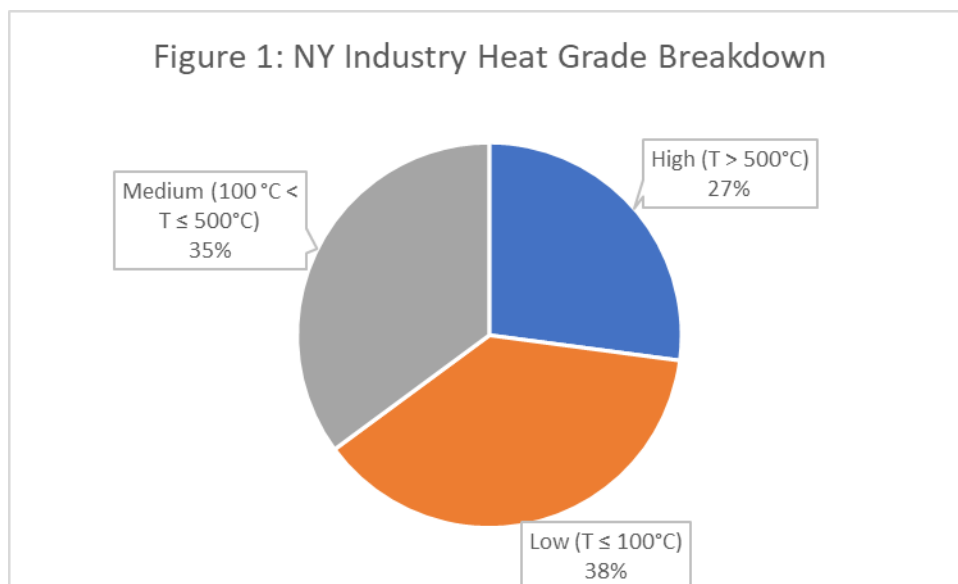
⁷ NYSERDA. The Project Emissions Factors for New York State Grid Electricity Spreadsheet. <https://www.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Publications/Energy-Analysis/22-18-Projected-Emission-Factors-for-New-York-Grid-Electricity--Annex.xlsm>

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.

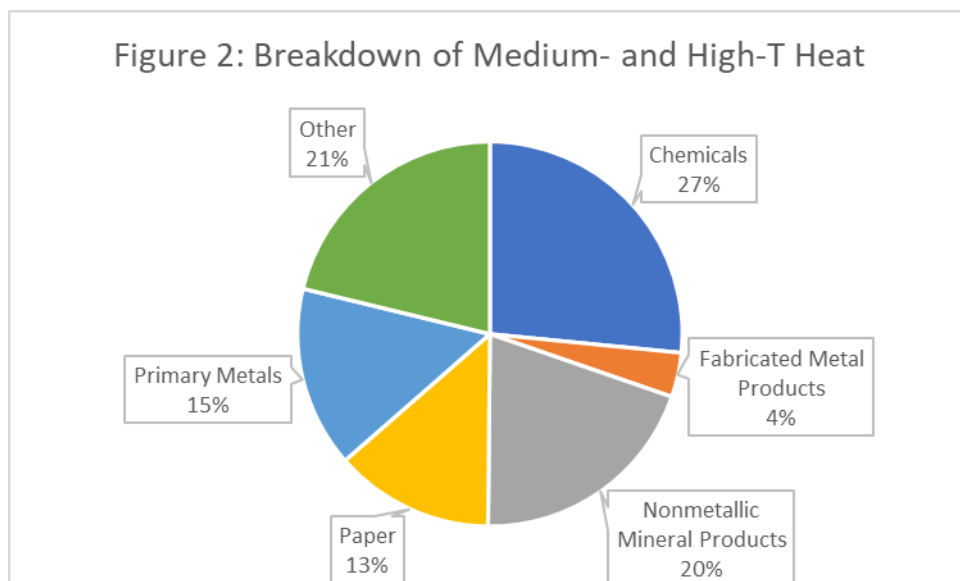
¹⁴ McKinsey and Company, Plugging In: What Electrification Can Do for Industry, 2020. <https://www.mckinsey.com/industries/electric-power-and-natural-gas/our-insights/plugging-in-what-electrification-can-do-for-industry#/>

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

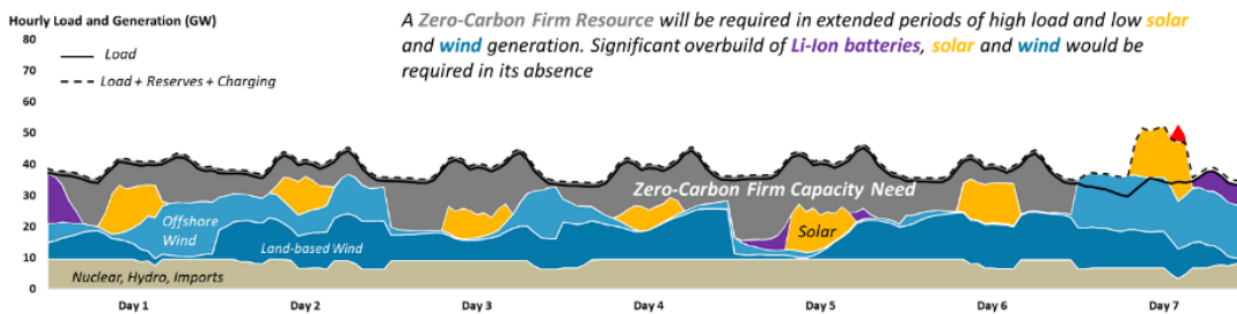


Figure 3. Zero Carbon Firm Capacity Need Over a Challenging Winter Week in 2050.³⁹

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](https://www.doe.gov/foia/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)



Technical Assistance Funding to Develop Grid Modernization Projects
Program Opportunity Notice (PON) 5737
\$3,500,000 (up to \$200,000/project) *NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Due Date: December 1, 2027.

Program Summary

The New York State Energy and Research Development Authority (NYSERDA) will release \$3.5 million in funding to municipally owned electric utilities (MUNIs), rural electric cooperatives (COOPs), and small electric providers that sell less than 4,000,000 MWh of electricity yearly. The goal of this funding is to provide funding for assistance to MUNIs, COOPs, and small electric providers who are looking to apply for DOE grant funding that was awarded to New York in the fall of 2023. This assistance can address needs such as support with technical analyses needed to evaluate potential projects, implementation needs, grant writing assistance for implementation funding, and development of a metrics reporting system to evaluate project success.

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

No communication intended to influence this procurement is permitted except by contacting Hafiz Bello at (518) 862-1090, ext.3533 or by e-mail gridfedfun@nyserda.ny.gov If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3 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 3 pm Eastern Time on the date noted above. Late, Faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading

attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 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>).

Introduction

Background

Under the Bipartisan Infrastructure Law (BIL), passed in November 2021, the Department of Energy received funding to administer more than \$62 billion for investment in energy infrastructure which includes financial assistance for States and Indian tribes to improve the resilience of their electric by strengthening and modernizing America’s power grid against wildfires, extreme weather and other natural disasters that are exacerbated by the climate crisis (*Grid Resilience State and Tribal Formula Grant*). The program will distribute implementation funding over five years based on a formula that includes factors such as population size, land area, probability and severity of disruptive events, and a locality’s historical expenditures on mitigation efforts. The states, territories, and Indian tribes will then award these funds to a diverse set of projects that support the goals of the funding.

In November 2023, the State of New York (NYS) was awarded ~\$24 million from this [Grid Resilience State and Tribal Formula Grant](#). NYSERDA, which submitted the application to the DOE on behalf of NYS is providing the required 15% (~\$3.5 million) as cost share. In response to stakeholder feedback, NYSERDA has made the decision to limit the implementation funding availability to MUNIs and COOPs and also to devote its ~\$3.5 million of cost share to providing technical assistance and/or implementation funding to entities that are eligible.

With support from the federal funding, NYSERDA will accelerate and expand the development of a resilient grid that advances the equitable deployment of clean energy generation, distribution and grid-edge assets on a timescale consistent with New York State and Federal climate goals.

Goals

There are two main goals for this funding:

1. Provide funding for MUNIs, COOPs, and small electrical providers to procure technical assistance for studies of projects in line with the eligible project categories stated below. Providing funding for technical assistance is critical to ensure that we get high quality applicants that align with the DOE and NYSERDA requirements. Eligible proposers can apply for technical assistance to perform project studies, fund grant writing assistance or other necessary activities to apply for implementation funding (to be released in Q3 of 2024), and/or for the creation metrics collection processes to help evaluate project success.
2. Provide funding for entities who are willing to go forward with smaller implementation projects that fall within the allowable maximum amount provided within this solicitation. Proposals in this category should focus on projects that align with the DOE’s eligible project category (listed below), will strengthen the capacity of New York State’s grid systems and communities to prepare for current and future climate risks, and will deliver activities that increase the resilience of disadvantaged communities.

Program Requirements

(A) Focus Areas

As part of its requirements for implementation funding the DOE has set out a list of acceptable projects (see below) to utilize its grant funding. Proposers and their chosen technical consultants or in proposing implementation projects must be aware of this when performing analyses and conceptualizing system projects as any projects outside of this will be ineligible for funding.

Approved Project Types:

- Adaptive protection technology
- Advanced modeling technology
- Hardening of power lines, facilities, substations or other systems
- Monitoring and control technologies
- Relocation of power lines or reconductoring of power lines with low sag advanced conductors
- Replacement of old overhead conductors and underground cables
- Use or construction of DERs for enhancing system adaptive capacity during disruptive events, including microgrids and battery-storage subcomponents
- Weatherization technologies and equipment

Proposers must indicate which of these project types they believe their project will fall under.

(B) Funding Categories

Two (2) categories will be considered for funding. Each proposal may choose only one funding category. Proposals must identify which category they are applying for:

1. Technical Assistance
 - i. Projects under this category may utilize some or all of the technical assistance funding to explore effects and feasibility of new technology deployment, planning methods, and other construction projects that fall under approved project types listed above through different types of quantitative analyses. Additionally, proposers may conduct studies that assess the design and effectiveness of deploying any of the eligible project types within their service area(s).
2. Project implementation
 - i. Funding intended to be used to implement a project that falls under the DOE's approved project types listed above. At this stage, potential projects have already gone through vetting and analyses by the proposer and need funding for implementation.

Proposers may also combine projects that seek technical assistance as a first stage of the funding request towards implementation projects. For example, the proposer may propose a study as an early task if it intends to implement one of the approved project types but requires technical assistance to identify the optimal project site that aligns with the eligible project categories stated above for before embarking on the full deployment.

Proposers must select only one relevant funding category per proposal, which must be indicated in the proposal. Proposals that do not identify a funding category or include multiple funding categories may not be reviewed by NYSERDA.

NYSERDA may change a proposal to a more appropriate funding category if the category the proposer selects does not match the scope of the project; if this is the case and the proposal

receives an award, it will be subject to the requirements of the funding category to which NYSERDA has assigned it.

- ii. NYSERDA reserves the right to modify a project's Statement of Work, project category, budget and funding levels and may offer to fund any of the proposal's phases therein at a lower level than that requested.

(C) Proposer Eligibility

To receive funding, entities who choose to propose must:

- Not sell more than 4,000,000 MWh of electricity per year
- Fall under the following DOE eligible entities
 - Electric grid operator
 - Electricity storage operator
 - Electricity grid generator
 - Transmission owner/operator
 - Distribution provider
 - Fuel supplier
 - Any other relevant entity as approved on case-by-case basis by DOE secretary

Proposers must indicate which eligible entity they are when applying.

Available Funds

A total of \$3.5 million in funding will be available for technical assistance and/or implementation. Proposers will be eligible to receive up to \$200,000 towards technical assistance and/or implementation of eligible actions. Funding will be available on a first come first serve basis and will be open until funding is exhausted, but eligible proposers may only receive one technical assistance and implementation grant.

Proposal Requirements

The proposer's goal should be to concisely present the information needed to fully address the Full Proposal evaluation criteria (Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, effective, and concise proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria.

Proposals determined to be compliant with proposal requirements and responsive to the solicitation will be subject to review by a scoring committee comprising internal and external technical experts in accordance with Section VI, Proposal Evaluation. Only the most technically meritorious Proposals will be awarded an invitation from NYSERDA to enter into a contract in accordance with the Attachment D – Sample Agreement. Proposals not meriting an award for contracting may be debriefed upon the proposer's request.

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

Proposers seeking funding must include, at a minimum, the following in their proposals:

- Proposal Narrative on focus area (Attachment A)
 - Executive summary
 - Background, problem statement, objectives
 - Current state of the system
 - Issues to be addressed
 - Objectives for the funding
- Statement of Work (Attachment B)
- Technical Consultant Qualifications (for those seeking technical consultancy assistance)
 - Examples that demonstrate experience working with similar projects
 - References for technical consultant that align with stated skills and experience.
- Project schedule chart
- Budget (Attachment C)

Proposers must carefully review their submission packet to ensure that all required sections are completed. Failure to do so may result in the proposal being reject as non-responsive.

For technical assistance, a payment based on the final report will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment.

Proposal Evaluation

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

- Background, problem statement, and objectives
 - How significant is the problem to the function of the system?
 - Does the problem statement clearly outline issues that they system faces?
 - How well do the proposed objectives for technical assistance align with funding goals?
- Focus area and proposed solution
 - Does the proposed solution fall under one of the DOE approved project types?
 - Is the proposed work technically feasible and superior to alternatives?
 - Does the proposed project specifically address the problem in the problem statement?
- Statement of Work
 - Are the required tasks 0-3 addressed in a complete, well thought out manner?
 - Does the SoW provide a clear description of how chosen technical consultants will provide assistance in meeting DOE metrics reporting requirements?
 - Is the Statement of Work well organized, complete, and appropriate for the technical performance identified?
 - How realistic is the schedule for achieving the goals of the proposed project?
 - Are Go/No-Go decision points incorporated between logical task/phase completion?
- Consultant relevant experience
 - Has the applicant provided evidence that its chosen technical consultant is qualified to perform the proposed work?
 - To what degree does the chosen technical assistant and team have the necessary technical and business background and experience?

- Has the chosen technical assistant previously completed any similar projects?
- Cost
 - Is the overall project cost justified and reasonable based on the level of effort proposed?
 - Are the labor rates reflective of the industry?

Program Policy Factors – In addition to considering how project Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions on the basis of other Program Policy Factors, including but not limited to:

New York State Energy Mission Alignment

- The degree to which the proposed project will advance the goals of the Climate Act / State Energy Plan / Clean Energy Fund.
 - Project continues to contribute to one or more of NYSERDA's key statutory goals.

<https://www.nyserdera.ny.gov/About>

Program Portfolio Value and Optimization

- The degree to which NYSERDA ongoing funding, (incl. cost shares), will make a difference in the technology impact, acceleration of transformational advances and project success.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas:
 - Technological diversity ○ Organizational diversity ○ Geographic diversity
 - Technical or commercialization risk ○ Stage of technology development.
 - Complimentary efforts to balance risk.

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

expects to notify applicants in approximately 6 weeks from the receipt of application whether your application 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 gridfedfun@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 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://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 – Proposal Narrative
- Attachment B – Statement of Work
- Attachment C – Budget Form & Instructions
- Attachment D – Sample Agreement



NYSERDA

Clean Mobility Program

Program Opportunity Notice (PON) 5739

\$32,000,000 Available

NYSERDA reserves the right to extend and/or add funding to the

Solicitation should other program funding sources become available.

Round 1 Proposals (Planning & Demonstration Tracks):
Due August 15, 2024 by 3:00 pm ET

Program Summary: The New York State Energy Research and Development Authority (NYSERDA) seeks to implement a Clean Mobility Program (the Program). The Program is designed to help communities launch/expand innovative zero-emission transportation options that can help reduce reliance on personal vehicles. The Program will fund projects that will help overcome persistent transportation challenges, especially in underserved communities, and improve access to affordable zero-emission transportation options. The Program will include Planning and Demonstration Tracks that will offer technical assistance and implementation funding directly to local governments, transit operators, and community-based organizations/nonprofits that propose transportation options for community members, and local employers or groups of employers with a total of at least 1,000 employees in a community that propose projects that would provide innovative zero-emission transportation services for their employees in New York State (collectively referred to as “Eligible Entities”). Note: projects could potentially span multiple municipalities. Dedicated funding is allocated to Demonstration projects in the Bronx (minimum \$3 million) and electric micromobility Demonstration projects in the areas served by Central Hudson, National Grid, New York State Electric & Gas, and Rochester Electric & Gas (minimum \$5 million).

Categories	Total Funding Available	Anticipated Number and Size of Awards
A - Planning Track	Up to \$4 million	Up to 40 at up to \$100,000 each
B - Demonstration Track	Up to \$28 million, including \$3 million dedicated to projects in the Bronx and \$5 million dedicated to electric micromobility projects upstate	Around 12 at up to \$3 million each

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 by e-mail cleanmobility@nyserda.ny.gov or Nina Haiman (Designated Contact) at (212) 971-5342, ext. 3125 or by e-mail cleanmobility@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 dates 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 June 27 at 1:00 pm Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. The link to the webinar can be found here: <https://nyserdany.webex.com/weblink/register/rd2b25ef9e75d8893c20a572530002bb7>.

I. INTRODUCTION

Transportation accounts for roughly 30 percent of New York State's greenhouse gas (GHG) emissions, more than any other sector. In order to meet the ambitious GHG reduction targets laid out in the Climate Leadership and Community Protection Act (Climate Act), NYSERDA will encourage transportation options that reduce vehicle miles traveled. The Clean Mobility Program (the Program) is designed to support this goal by: 1) improving zero-emission first mile/last mile connections to public transportation, 2) demonstrating innovative public and shared transportation options at a community scale and 3) providing viable options for those who do not own personal vehicles but live in areas with limited public transportation. The focus will be on underserved and disadvantaged communities.

Eligible planning and demonstration projects could include, but are not limited to:

- Bike share/scooter share and bike libraries
- EV rideshare and on-demand services
- EV carshare
- EV microtransit and shuttles
- Micromobility charging hubs
- Programs to support bike/scooter ownership

Note: Electric bikes or scooters funded by NYSERDA's Clean Mobility Program need to meet industry safety standards such as being UL-certified.

Program funding will be available to help Eligible Entities both plan and implement projects. Round 1 applications, due Summer 2024, will allow Eligible Entities to apply for planning or

demonstration assistance. Eligible Entities that have already completed planning studies can apply for demonstration funds, while those who need planning assistance can apply for planning assistance in Round 1 and can apply for Round 2 demonstration funds in the future. Infrastructure costs are eligible but must be directly related to the proposed mobility option. For demonstration projects, infrastructure costs are capped at 20% of the NYSERDA funding amount.

Round 2 of this solicitation, expected in Summer 2025, will allow Eligible Entities to apply for demonstration funds. Round 2 applicants may have participated in the Round 1 planning program or may have completed their planning efforts outside of the Program.

A. Planning Track: NYSERDA will support planning projects by eligible entities, local governments, transit operators, and community-based organizations/nonprofits who propose transportation options for community members, and local employers or groups of employers with a total of at least 1,000 employees in a community that propose projects that would provide innovative zero-emission transportation services for their employees in New York State (Eligible Entities), to conduct needs assessments and identify community-led transportation solutions with a focus on zero-emission mobility solutions for underserved communities. The goal of the Planning Track is to help Eligible Entities prepare in a comprehensive way for future potential demonstration of their mobility solutions, whether as a Demonstration under Round 2 of this Program or by other means. Eligible Entities also have the option to apply for a partial planning award to update an existing plan to meet NYSERDA criteria (see below). Applications should carefully consider if a partial or full Planning Track project will be beneficial since Planning funds will only be offered in this initial round.

To apply for Planning Track funding an Eligible Entity does not need to have a clear transportation solution selected. An Eligible Entity can submit a brief application which NYSERDA will assess based on whether a significant, solvable transportation problem has been identified. If selected into the Program, Eligible Entities will be expected to create a plan for the selected clean mobility option(s). NYSERDA has established criteria that all planning projects must meet to qualify for Demonstration Track funding. These include successful completion of: 1) community engagement, 2) site identification and operations, 3) project partners identification, 4) technical feasibility analysis, and 5) policy and regulatory feasibility (see Attachment B: Planning Statement of Work Template). In the case of a local employer applicant seeking to provide mobility solutions for its own staff, staff engagement should be included in the applicant's community engagement, but the broader community should also be engaged to ensure that solutions for staff are developed in coordination with local stakeholders.

Applicants will be encouraged to collaborate closely with their metropolitan planning organization (MPO), other similar regional planning organization, and/or any municipal or county planners. Through Planning Track projects, NYSERDA will cover 100% of the planning costs, up to \$100,000, with no cost share required. Awarded Applicants will either work with their own planning firm or select a Consultant from NYSERDA's approved list of planning firms awarded under RFQL 5625 (Consultants). For Awarded Applicants working with a consultant from the pool established under RFQL 5625, NYSERDA will pay the consultant directly. The list of RFQL 5625 Consultants will be established after this PON, PON 5739 Round 1, applications are due but before Round 1 awards are made. Applicants to this PON need not know which consultant they will work with to apply to this PON.

Awarded Planning Track recipients 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 before starting planning work. Pairings between Awarded Applicants and Consultants will take into account Awarded Applicant preference but will ultimately be subject to NYSERDA's discretion and based on, but not limited to, location, expertise, Awarded Applicant needs, and Consultant bandwidth. When a Consultant has been paired with an Awarded Applicant, they will work together to complete the Planning Statement of

Work Template (Attachment B), which includes customizing the scope of work and budget for each project up to \$100,000.

Planning projects should be completed within six (6) months, so that applicants have an opportunity to apply for Round 2 demonstration funds. NYSERDA anticipates providing awards of up to \$100,000 each for up to 40 planning projects, to be paid either to a planning consultant, if the Awarded Applicant elects to partner with a Consultant from the NYSERDA pre-qualified pool established under [RFQL 5625](#), or to the Eligible Entity if it chooses to work with its own planning partner(s). NYSERDA reserves the right to negotiate the amounts of such payment.

- B. Demonstration Track:** NYSERDA will support demonstration projects of innovative, zero-emission transportation solutions. All planning projects must have completed the following actions as part of the development of a plan to be considered for Demonstration Track funding: 1) community engagement, 2) site identification and operations, 3) project partner identification, 4) technical feasibility assessment, and 5) policy and regulatory feasibility assessment (see Planning Track Statement of Work). In the case of a local employer applicant seeking to provide mobility solutions for its own staff, staff engagement should be included in the applicant's community engagement, but the broader community should also be engaged to ensure that solutions for staff are developed in coordination with local stakeholders.

Eligible entities that apply for Demonstration funding should have documentation of completion of required planning tasks. Demonstration applications that are nearly complete with their planning tasks (for example, they only need design refinements) can apply for Demonstration funding and note which additional planning tasks would need to be completed before commencing Demonstration work. However, all proposals will be judged against the evaluation criteria in Section IV. If applying to the Demonstration Track without completing a Planning Track project, any remaining planning work required to meet NYSERDA's criteria for planning projects (see Attachment B: Planning Track Statement of Work) would need to be completed at the applicant's expense prior to the release of NYSERDA funds for Demonstration activities. While solution providers may be a part of a proposing team, proposals must be led by Eligible Entities as defined above. The Program is intended for mobility solutions that are technologically mature and commercially available. In addition, all applicants should demonstrate sufficient resources and organizational capacity to carry out the proposed project and to appropriately manage any award.

Demonstration projects should be able to be completed in three (3) years and may request up to \$3,000,000 per project. There will be two (2) application rounds for the Demonstration Track. In Round 1 the Demonstration Track will run in parallel to the Planning Track and allow those Eligible Entities with already completed, or nearly completed, planning studies to proceed directly to implementation. The solicitation for Round 2 of the Demonstration Track will be released in approximately summer 2025, to allow for successful completion of planning projects.

II. PROGRAM REQUIREMENTS

Applicant Eligibility:

- Applicant must be a local government entity (e.g. County, City, Town or Village), transit operator or public transportation provider, community-based organization/nonprofit, or local employer. Note: applicants may span multiple municipal jurisdictions. "Local employers" refers to employers or groups of employers with a total of at least 1,000 employees in a community that provide or would like to provide transportation services for their employees.

- Applicants that are close to completion of a plan (for example, they only need design refinements) can apply for Demonstration funding and note which additional planning tasks would need to be completed before commencing Demonstration work. Any planning work required to meet NYSERDA's criteria would need to be completed at the applicant's expense prior to the release of NYSERDA funds for Demonstration activities. Plans may be created by applicant staff or consultants and should include all of the tasks outlined in the Planning Track Statement of Work (SOW).
- Applicants may include mobility solution providers on their proposing team for Demonstration Track proposals. **If an applicant completes a Planning Track project, they are allowed to include one or more of the firms that developed the plan in a subsequent Demonstration Track proposal in a planning capacity, but they are not allowed to include any of the firms that developed the plan as mobility solution providers in a subsequent Demonstration Track proposal.** A mobility solution provider is an entity that establishes and/or operates a transportation or mobility service, such as microtransit or a bikesharing system.

Applicant Requirements and Responsibilities:

- Applicant must identify and commit a qualified staff resource to serve as the Project Liaison for the duration of the project. The Project Liaison will be responsible for providing deliverables to NYSERDA in a timely fashion.
- See Section VI for list of relevant required documents.

Funding Tracks:

Two (2) categories, or Tracks, will be considered for funding. Proposals must identify which single Track they are applying for. Eligible Entities also have the option to apply for a partial planning award to update an existing plan to meet NYSERDA criteria (see below).

- **Category A – Planning Track:** Planning Track projects include efforts that will help equip Eligible Entities with the tools to plan for mobility solutions that are best suited to their needs. As outlined in Attachment B: Planning Track SOW, planning projects will provide technical support to help Eligible Entities prepare for future implementation of their solution and a seamless transition to demonstration projects. For example, a planning project could investigate the relative benefits of different types of mobility solutions to address a community's transportation challenges, identify the optimal project site for a demonstration project or complete significant design elements before embarking on the full demonstration. These solutions will support a shift toward clean, zero-emission and shared mobility options that can help reduce transportation greenhouse gas emissions in New York State.
- **Category B – Demonstration Track:** Demonstration Track projects include efforts that will demonstrate zero-emission transportation options. This includes hardware, software, policies, and market development initiatives. This may include one or more commercially available products or the integration of multiple commercially viable products. Projects in this category should only include minor additional planning work, such as necessary design refinements prior to implementation, but should not include any tasks that were covered by the Planning SOW or technology or product development tasks. [If substantial planning work is still required, Eligible Entities should consider proposing under the Planning Track. Any planning work required to meet the requirements of a complete plan must be completed at the Applicant's expense if applying directly to the Demonstration Track]. Please note:
 - NYSERDA's share of funding for Demonstration projects will be limited to a minimum of \$500,000 and a maximum of \$3,000,000 per project.

- All Demonstration project applicants are required to provide at least 20% of total project costs in non-NYSERDA cost share.
- NYSEDA funds may be used for the purchase of zero-emission vehicles (ZEVs) and/or installation of EV charging infrastructure. NYSEDA funds may also be used for the purchase of micromobility devices and/or micromobility charging infrastructure. Electric bikes or scooters funded by NYSEDA need to meet industry safety standards such as being UL-certified. While there is no cap on the total percentage of NYSEDA funds that can be used to purchase equipment, Applicants should present a plan for how any program will be successfully staffed and operated. Project Value will be an important criterion during the proposal evaluation process.
- Other infrastructure costs related to the built environment (e.g. bike/bus lanes, street safety improvements, etc.) may be eligible but must be directly related to the proposed mobility option and are capped at 20% of the NYSEDA funding amount.

Proposers may only submit one (1) proposal per funding track (Planning and Demonstration) per Round. For example, a proposer could apply for a Planning grant in Round 1 and a Demonstration Grant in Round 1. If they were awarded the Planning grant but not the Demonstration grant, they could then apply for a Demonstration grant again in Round 2. No applicant could be awarded more than one (1) Planning grant and one (1) Demonstration grant.

Applications that do not identify a funding category or include multiple funding categories may not be reviewed by NYSEDA; NYSEDA also reserves the right to categorize these pursuant to its own discretion.

As outlined in the Planning SOW Template, Planning contracts will include pre-defined tasks and associated milestone payments upon completion of each task. Tasks 1 and 2 have pre-defined milestone payment amounts. Tasks 3 and 4 have milestone payment amounts that will be negotiated up to the stated limit.

As outlined in Attachment E: Demonstration SOW Template, Demonstration projects are required to include tasks and allocate budget in the Demonstration SOW for data collection that can be used to support data analysis work by the NYSEDA support contractor.

NYSEDA reserves the right to modify a project's Statement of Work, project category, budget and funding levels and may offer to fund any of the proposal's phases therein at a lower level than requested.

Project Requirements:

At a minimum, all proposed projects must:

- Reduce vehicle miles travelled and transportation emissions.
- Expand access to zero-emission transportation options.
- Demonstrate a clear potential to be successfully sustained after the end of the trial period.

Proposed projects may not include any of the following elements:

- A sole focus on vehicle or fleet purchase or replacement, without providing a new or expanded service.
- Projects that do not ensure long-term reductions in GHG emissions and air pollution.
- Projects that have significant technology risk.

Proposal Submission Limits:

In Round 1, a lead applicant may submit up to one (1) Planning Proposal and one (1) Demonstration proposal. In Round 2, a lead applicant may only submit one (1) Demonstration proposal. No lead applicant may be awarded more than one (1) Planning and one (1) Demonstration grant. Subcontractors may participate in multiple awarded proposals/projects provided that each has a separate, distinct solution. Different municipal agencies can be considered separate entities for the purpose of either a lead applicant or subcontractor role.

Note on Project Geography:

Upstate NY: A minimum of \$5,000,000 of Program funding is specifically available for Demonstration Track projects for electric micromobility solutions serving low-to-moderate income (LMI) individuals and disadvantaged communities (DACs) in the areas served by the upstate investor-owned utilities (Central Hudson, National Grid, New York State Electric & Gas, and Rochester Electric & Gas).

Bronx: A minimum of \$3,000,000 of Program funding is specifically available for Demonstration Track projects located in the Bronx.

III. PROPOSAL REQUIREMENTS

The proposal should concisely present the information needed to fully address the requirements stated in the PON, as enumerated below. Proposals may not exceed the page limits specified. Incomplete proposals or those that fail to meet eligibility requirements may be rejected as non-responsive. 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:

A. Planning Track application requirements

The Planning Track application must contain the following required documents:

- 1) Planning Application (Attachment A)

The Planning Application (Attachment A) should be completed and submitted in accordance with the instructions on the first page of this PON. If awarded, Eligible Entities and/or mobility planning consultants will be required to complete the Planning Statement of Work Template (Attachment B) prior to starting planning work.

B. Demonstration Track application requirements

The Demonstration Track contains the following required documents with instructions included in the Attachments unless otherwise noted:

- 1) Completed Mobility Plan (Demonstration Track – Complete Mobility Plan)
 - i. Applicants will upload a copy of their completed mobility plan, whether done independently or with an RFQL 5625 Consultant, that meets the established criteria set forth in the Planning Statement of Work Template (Attachment B). The file type should be in Word or PDF, however there is no standard format or attachment.
- 2) Demonstration Proposal Narrative (Attachment C) with the following sections (30 page limit, excluding appendices):
 - i. Cover Letter
 - ii. Executive Summary
 - iii. Team
 - iv. Problem
 - v. Solution
 - vi. Projected Impact/Benefits

- vii. Community Engagement
- viii. Sustainability, Scalability, Replicability
- ix. Budget Summary

3) Demonstration Statement of Work and Schedule (Attachment D)

4) Demonstration Budget Form (Attachment E)

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.

Cost Sharing – No cost share is required for Planning Track proposals. The Demonstration proposals should show non-NYSERDA funding of at least **20%** of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

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

A final report is required for both Planning and Demonstration projects. 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.

Annual Metrics Reports – If awarded, the proposer will be required to submit, on an annual basis, a prepared analysis and summary of metrics that are realized by the project. 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). You will be expected to provide metrics in accordance with a web-based form, which will be provided by NYSERDA. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

Measurement & Evaluation – If awarded, proposers will be required to work with a NYSERDA Support Contractor (awarded under RFP 5570) to establish data collection plans for measurement by the awardee and analysis by the Support Contractor. This ongoing coordination will help NYSERDA assess quantitative and qualitative key performance indicators and outcomes across all Program projects.

IV. PROPOSAL EVALUATION

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

Planning Track

- Projected Impact
 - How likely is the proposed project to provide needed clean transportation options to [disadvantaged](#) or underserved communities?
 - How severe is the transportation need?
 - Approximately how many people would benefit from the development of a transportation project in this area?
- Community Alignment and Engagement
 - To what degree has the community been engaged in the proposal development process? In the case of a local employer applicant seeking to provide mobility solutions for its own staff, staff engagement should be included in the applicant's community engagement, but the broader community should also be engaged to ensure that solutions for staff are developed in coordination with local stakeholders.
 - How developed is the community engagement strategy?
- Feasibility
 - To what degree does the applicant have the capacity to take on this planning effort?
 - To what degree does the applicant have sufficient prior experience managing complex projects?

Demonstration Track

- Projected Impact
 - How likely is the proposed project to provide needed clean transportation options to [disadvantaged](#) or underserved communities?
 - How severe is the transportation need?
 - Approximately how many people would benefit from the development of a transportation project in this area?
 - How transformative is the solution for the impacted communities, both in the short and long term?
- Community Alignment and Engagement

- To what degree has the community been engaged in the proposal development process? In the case of a local employer applicant seeking to provide mobility solutions for its own staff, staff engagement should be included in the applicant's community engagement, but the broader community should also be engaged to ensure that solutions for staff are developed in coordination with local stakeholders.
- How durable are the existing partnerships and plans for successfully implementing ongoing, long-term community engagement that is aligned with, responsive to, and informed by proven community needs?
- Feasibility
 - Is there a sound approach, thorough plan, sufficient resources, community buy-in, and necessary approvals (or plans for approval) to execute their solution?
 - Is there a credible team with the experience, capacity, and existing (or planned) relationships needed to mitigate risk and succeed where other solutions have not?
- Sustainability
 - Is there a vision and roadmap to sustain the project beyond NYSERDA funding?
 - Is the team positioned to adapt and meet changing community needs?
- Project Value
 - Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
 - Is the value proposition and benefits sufficient that the concept or technology will likely be successful and adopted by the market?
 - How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk and potential benefits from the work?

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.
- The degree to which the proposed project will advance the goals of the Climate Act
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits
- The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas: technological, organizational, or geographic diversity.
- Diversity of awards within multiple locations, climates, regions, or other geographically articulated criteria (for example, Regional Economic Development Regions, NYISO zones, or other geospatially described areas, etc.)
- The degree to which there is portfolio diversity, including considerations as to funding duplicative efforts stemming from the Solicitation itself or similar, previously funded efforts and considerations as to development stage of the cohort of proposed projects (for example, secured permits or financing, shovel-ready, etc.).
- The degree of ongoing leverage; ability to attract other funding sources to successfully facilitate technology transfer, leading to subsequent scaling and market adoption.

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 up to 6 months for Planning Projects and up to 3 years for Demonstration Projects, 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 (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 (cleanmobility@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. 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
<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

VI. Attachments:

Planning Track

Attachment A – Planning Application Form

Attachment B – Planning Statement of Work Template (for reference only)

Demonstration Track

Demonstration Track – Complete Mobility Plan

Attachment C – Demonstration Proposal Narrative Template

Attachment D – Demonstration Statement of Work Template

Attachment E – Demonstration Budget Form

Planning and Demonstration Tracks

Attachment F – Sample Agreement (for reference only)



Systems Strategy Advisor

Request for Proposal (RFP) 5744

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

Proposals Due: July 10, 2024 by 3:00 p.m. Eastern Time*

PROGRAM SUMMARY. The New York State Energy Research and Development Authority (NYSERDA) is seeking to procure a Systems Strategy Advisor to identify and assess solution options for replacing its existing integrated financial, procurement, and contract document management system in a manner that meets evolving business needs. The advisor must gain a functional understanding of existing internal regulatory, financial, procurement, and contract document management processes, as well as current and future state use cases, and apply it to industry standards and best practices to inform and propose solution options.

INFORMATIONAL WEBINAR: A webinar will be held on June 4th 10am EST. Please [register](#) for the webinar. In advance of the webinar, please submit questions to Benjamin Furtaw at strategic.operations@nyserda.ny.gov. Registration and questions are due by May 30th (3 business days before webinar).

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

No communication intended to influence this procurement is permitted except by contacting (Benjamin Furtaw) (Designated Contact) at (518) 862-1090, ext.4123 or by e-mail strategic.operations@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 offerer, and (2) may result in the proposer not being awarded a contract.

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

I. INTRODUCTION

NYSERDA is a public benefit corporation with a unique mission to build an inclusive clean energy economy, support clean energy jobs and New York's state's economic recovery, accelerate the transition to a low-carbon future, as well as foster healthy and resilient communities. The NYSERDA Enterprise Information System (NEIS) is an Oracle PeopleSoft solution initially launched in 2009 and is NYSERDA's current financial, procurement and document management system. NEIS integrates with program and employee management systems across NYSERDA (such as our payroll, travel, and various project management systems), to manage all contracting and financial processes, as well as provide a system of record and reporting for the responsible stewardship and disbursement of funds used to finance energy-related programs and projects.

Currently NEIS supports approximately 600 users, across more than 30 departments, in diverse roles related to its mission. As NYSERDA's analysis and reporting needs have evolved over time, and transaction volumes have increased, NYSERDA has identified a need to update the system. Recent internal process improvement evaluations have characterized NEIS as a highly manual, complex system, and concluded that NYSERDA can benefit from a more robust set of automation and validation features to increase efficiency, enhance usability, and mitigate potential user errors associated with manual processing. NYSERDA is also at an inflection point for its overall scope of work, number of funding sources, and expectations for faster turnaround on analysis of how funds are being utilized. In addition to historical funding sources, the addition of the recently passed NY Environmental Bond Act, additional Federal Funding, and potential additional sources of funding like New York's Cap and Invest initiative (NYCI) necessitate ensuring NYSERDA's core financial/accounting systems and contracting system are positioned to efficiently meet these needs.

NYSERDA seeks to procure a Systems Strategy Advisor to identify and assess solution options for replacing NEIS in a manner that meets evolving business needs. We are seeking an advisor with knowledge of available commercial-off-the-shelf systems, and familiarity with financial, contracting and document management processes. The advisor must gain an understanding of NYSERDA's existing internal financial, procurement, and contract document management processes as well as current and future state use cases, to inform their solution options recommendations. As NYSERDA is likely to grow and may oversee additional funding sources and scope, any NEIS replacement must be able to handle a sizable user base and offer features that enhance user efficiency and data accessibility.

II. PROGRAM REQUIREMENTS

A. Background

NYSERDA is seeking to engage an independent third-party Systems Strategy Advisor, as part of the first phase of a multiple phase project to assist with the evaluation and identification of solutions for replacing NEIS. Findings from the initial landscape analysis and assessment phase covered under the scope of this RFP, will inform subsequent procurement and implementation phases. NYSERDA may, at its discretion, pursue extending the contract of the System Strategy Advisor to allow for support during subsequent phases.

NEIS has been customized over time to accommodate contracting and accounting for a large scope of government programs and services, for which the current purview is outlined on our organization website subpage <https://www.nyserda.ny.gov/All-Programs>. As a public benefits corporation subject to oversight, NYSERDA maintains robust accounting practices and internal controls. NEIS is not only central to authority-wide operations but is the system of record for meeting accountability reporting and audit requirements. For additional background on NYSERDA's internal controls environment please see Attachment C, New York State Energy Research and Development Authority Internal Control Manual.

B. Services Requested

Services will include engagement with NYSERDA Stakeholders and Subject Matter Experts (SME) to facilitate and deliver:

- Current and Future State Analysis.

- Requirements Elicitation.
- System Requirements Documentation.
- A System Landscape Assessment of commercially available systems.
- IT Plan development.
- Development of system recommendations, including profile, pros, cons, limitations, and opportunities to leverage to improve processes.
- Development of a system implementation strategy.

Once the system strategy is established, pending satisfactory project delivery and business needs, NYSERDA may, at its sole discretion, elect to retain the selected System Strategy Advisor to assist in subsequent procurement, selection, and/or implementation phases of the overall NEIS replacement project.

C. Proposer Eligibility Requirements

Proposers may be a single company or team of companies 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 RFP. If a proposer includes a partnering arrangement with third parties in their proposal, the proposer will retain sole accountability for successful management and completion of the work under a resulting contract.

In order to be considered for award under this RFP, proposers must demonstrate, at a minimum, the following qualifications and expertise:

- A minimum of 5 years in business providing services related to the scope of this RFP.
- Demonstrated successful project delivery in the areas of:
 - System Evaluation, Procurement, and Implementation:
Identifying a suite of system options matched to client's needs, conducting preliminary evaluation and summarizing system features for client consideration.

Managing the procurement process for enterprise systems including needs assessment, analysis, solicitation, and operationalizing its use.
 - Business Analysis:
Guiding decision-making and organizational change using industry best practices in business analysis including needs assessment, planning, analysis, and evaluation techniques.
 - System Landscape Assessment:
Conducting a comprehensive audit of an organization's existing technology infrastructure and gap analysis between current and desired future state.
 - IT Plan Development:
Transitioning a system landscape assessment into an actionable roadmap to realize organizational goals and objectives.
 - Technical Knowledge:

Understanding/applying information Security best practices (knowledge and experience), including NYS Information Security Requirements.

Understanding/applying best practices for governmental accounting, budgeting, transaction processing, and financial reporting processes when evaluating systems for financial management functions.

- Preference will be given to proposers who demonstrate expertise in the following areas:
 - Certified team members in business analysis and project management.
 - Evaluating User Interfaces (UI) and User Experience (UX) against best practices for usability and consistency.
 - Subject matter expertise in procurement, contract management, financial management, and accounting.

D. Scope of Work

The work to be performed by the selected proposer will include, but may not be limited to, the following:

- Meet with NYSERDA representatives to understand NYSERDA's mission, vision, key business processes, goals, future direction, and define system scope and high-level desired attributes.
- Conduct requirements elicitation verification, and validation sessions with project stakeholders. Guide the process to help document current needs, as well as uncover potential future needs and solutions.
- Evaluate and assess NYSERDA's business architecture and technology ecosystem against future state needs.
- Translate NYSERDA's business needs into a System Requirements Document to guide evaluation and procurement of new system(s).
- Develop a System Landscape Assessment including a systems strategy and fit/gap recommendations of no less than 5 candidate systems.
- Facilitate informational interviews and demonstrations for NYSERDA to better understand solution options available.
- Project planning and management of work execution, monitoring, and status reporting in alignment with best practices and NYSERDA's existing project standards and decision-making framework.

E. NYSERDA Responsibilities

NYSERDA will identify a Steering Committee as well as a core team of subject matter experts to support project execution.

NYSERDA will facilitate engagement with subject matter experts beyond the core team, as needed.

NYSERDA will provide a Project Manager/Business Analyst to manage the contract, assist in facilitating project activities, and communicate with upper management and staff.

NYSERDA will grant temporary access to any project relevant systems, platforms, and resources that support project scope, those obtaining access or subject to complete the necessary appendices.

F. Contract Award and Schedule

NYSERDA anticipates making one award under this RFP using the Sample Agreement contained in Attachment B. The initial contract term is one year, with possible extensions as deemed necessary at NYSERDA's sole discretion.

The initial landscape analysis and assessment phase covered by the contract is expected to run 6-9 months after contract execution. NYSERDA reserves the right to extend the contract of the System Strategy Advisor to allow for support during the procurement and implementation phases, at its sole discretion.

III. PROPOSAL REQUIREMENTS

Proposers must submit their proposal 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. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section IV). The proposer's name, the RFP number, and page number should be recorded on every page of the proposal, including attachments.

The proposal must be in the following format:

A. Objectives

Provide a brief description of your understanding of the goals, objectives and requirements of the services described in this RFP. Proposers must indicate the year the firm was established and should briefly identify key information about their organization and any proposed subcontractors. Proposers should describe why they believe that they are qualified to perform and complete the services requested under this RFP and indicate years of delivering services related to the scope of this RFP.

B. Statement of Work

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. Proposers should refer to the Scope of Services set forth in Section II of this RFP when preparing the Statement of Work.

C. Project Schedule / Work Plan

Submit a schedule for conducting the work proposed in the SOW in a Gantt chart or similar format in terms of weeks and months. 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.

D. Staffing Plan

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. Include an organization chart showing the relationship between all personnel and subcontractors (if applicable). Indicate how each role will be allocated (i.e. full-time vs part-time). The Staffing Plan should also clearly demonstrate the project team's experience and competency in the following areas:

- System Evaluation, Procurement, and Implementation:

Identifying a suite of system options matched to client's needs, conducting preliminary evaluation and summarizing system features for client consideration.

Managing the procurement process for enterprise systems including needs assessment, analysis, solicitation, and operationalizing its use.

- Business Analysis:

Guiding decision-making and organizational change using industry best practices in business analysis including needs assessment, planning, analysis, and evaluation techniques.

- System Landscape Assessment:

Conducting a comprehensive audit of an organization's existing technology infrastructure and gap analysis between current and desired future state.

- IT Plan Development:

Transitioning a system landscape assessment into an actionable roadmap to realize organizational goals and objectives.

- Technical Knowledge:

Understanding/applying information Security best practices (knowledge and experience), including NYS Information Security Requirements.

Understanding/applying best practices for governmental accounting, budgeting, transaction processing, and financial reporting processes when evaluating systems for financial management functions.

Resumes of key personnel highlighting relevant experience should be included as appendices.

The staffing plan shall include how the proposers will handle any staff turnover. It should be noted that should they be awarded, NYSERDA expects to work with the team proposed. Any modifications to the project team prior to or after contracting must be approved by NYSERDA. Any unapproved staffing changes may result in the rescinding / termination of the contract.

E. Qualifications

Describe how the Proposer's staff and other team members meet the required experience, skills, and abilities to perform the services described in 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. If applicable, cite experience leading projects with the subcontractors included in the proposal. Describe at least three (3) specific examples of previous relevant projects. Include the name and telephone number of references from these projects.

E. Budget

Provide a total project budget, including cost elements by task, with any subcontractor costs clearly designated (if applicable), using the Cost Proposal Pricing Form attached to this RFP. 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.

F. Letters of Commitment (if applicable)

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 does not have support from the subject parties.

G. Appendices

Include resumes and ancillary information which is deemed necessary to support your proposal.

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

IV. PROPOSAL EVALUATION

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

A. Execution and Approach

- Proposal reflects understanding of the goals and objectives stated herein.
- Scope of Work is consistent with stated objectives.
- Clear evidence of the capacity to implement, coordinate, and monitor the tasks assigned.
- Indication that the project can be delivered according to the allotted time stated herein.
- Proposal reflects Project Management and Business Analysis best practices.

B. Relevant Experience

- Proposer has a minimum of 5 years in business providing services related to the scope of this RFP.
- Proposer has demonstrated proficiency in:
 - System Landscape Assessment
 - Business Systems Analysis
 - IT Project Management
 - IT Planning/ Strategy: has drafted and/or implemented a comprehensive plan that outlines how technology can be used to meet IT and business goals.
- Clear evidence of past successful project delivery of similar projects for governmental, non-profit, or similar type organization of roughly the same size and complexity as NYSERDA.
- Proposer has listed multiple commercial-off-the-shelf software products they have recommended in past initiatives.
- Proposer delivered to a timeline like the one proposed herein.
- The proposer and/or project team has demonstrated familiarity and experience with NYS Information Security requirements.
- The combined proposer and/or project team composition reflects extensive financial management, accounting, and grants management experience.
- The combined proposer and/or project team has experience implementing projects in accordance with New York state procurement law.

C. Staffing Plan

- Proposed staff have experience successfully managing stakeholder engagement with an organization of similar size to NYSERDA.
- Proposer demonstrates successful experience managing/facilitating engagement of diverse stakeholder groups, managing processes that facilitate consensus building.
- The proposed project staff have experience and credentials specific to the work to be performed, including financial management, accounting, New York State procurement law, and grants management.
- Proposer and assigned team show success in managing projects of similar scope, scale, schedule, to a successful conclusion.

- The staffing plan submitted by the proposer clearly states how any turnover will be addressed in a manner that ensures continuity of qualified staff.
- The staffing plan indicates how various roles are to be allocated.

D. Budget

- The budget proposed is reasonable for the staff allocated and scope of work defined.
- The budget provides an appropriate level of granularity/breakdown of cost and is free of errors.
- Each itemized cost identified within the budget is sensible for the type of work to be performed.

E. Examples/Case Studies/References

- At least three examples, case studies or written references provided for work that reflects the ability to accomplish the goals and objectives of this project.
- The degree to which the examples, case studies, or references confirm work performance or experience.

F. Diversity

The Proposer is MWBE/SDVOB certified or has provided a list of partners that are able to meet MWBE/SDVOB requirements as set forth by this RFP while supporting the scope of services requested.

NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, Attachment D, Diversity Practices Questionnaire.

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which the proposed project optimizes the use of available funding to achieve NYSERDA's overall objectives, as specifically set forth in this solicitation.
- The degree to which there are technical, market, and/or organizational risks associated with the proposal.

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

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

Diversity Practices - NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, Attachment D, Diversity Practices Questionnaire.

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

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

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

The Department has created a second form that must be completed by a prospective contractor prior to 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 award under this solicitation. NYSERDA anticipates a contract duration of up to one year, with the ability to extend for future phases at its sole 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 Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers approximately 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 Benjamin Furtaw at strategic.operations@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 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.

VI. ATTACHMENTS

Attachment A – Budget

Attachment B – Sample Agreement including Exhibit A (template statement of work) and MWBE SDVOB language

Attachment C – [New York State Energy Research and Development Authority Internal Control Manual](#)

Attachment D – [Diversity Practices Questionnaire](#)

Attachment E – [MWBE \(Article 15\) Provisions for Solicitation Documents](#)

Attachment F – [SDVOB \(Article 17\) SDVOB Solicitation Documents](#)



NYSERDA

**Agrivoltaics Research and Demonstration
Request for Proposals (RFP) 5752
\$5,000,000 Available**

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

Proposals Due: September 12, 2024 by 3:00 p.m. Eastern Time.

Agrivoltaics integrate solar energy generation and agricultural production on the same parcel of land. NYSERDA's Request for Proposals (RFP) 5752 aims to fund agrivoltaic demonstration projects that advance this emerging practice in New York State. Awarded projects are intended to exemplify viable model systems and collect and share data on their energy generation and agricultural production to inform best practices and future project designs. Projects must be at least 100 kW DC and may produce a wide range of agricultural commodities (for example, specialty and commodity crops, livestock grazing, and hay, forage, or silage production). Eligible projects also include, but are not limited to, retrofits of existing solar sites to allow agricultural production. NYSERDA will pay up to \$500,000 of the incremental solar capital and operational costs associated with the agrivoltaics, and up to \$250,000 for the agricultural costs associated with each awarded project. Awarded Agrivoltaic Projects should operate for at least five years to allow sufficient data collection.

Proposal Submission: Online submission is preferable. The main proposal text should be submitted as a single PDF and Attachments should be submitted as excel files or PDFs as indicated (file formats include csv, ods, pdf, txt, xls,xlsx, and zip). Individual files should be 100MB or less in 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. The bottom of each page of the proposal should indicate the name of the lead proposer, "RFP 5752" and the page 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]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/FundingOpportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Bethany Meys (Designated Contact) at (518) 862-1090, ext. 3450 or by e-mail agrivoltaicdemo@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 and responses to questions raised in writing will be prepared and posted on the RFP website.

Proposals must be received by 3 p.m. Eastern Time September 12, 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

Larger ground mounted solar projects are expected to play an important role in reaching New York’s long-term goals. Agricultural land in close proximity to transmission access is particularly suitable for the development of solar projects because it is flat, open, and relatively easy to develop. However, it is also important to promote the economic viability of agriculture in the State by minimizing land use conflicts between solar development and agriculture. One option that is gaining momentum throughout the U.S. and internationally is **“agrivoltaics”, or the co-utilization of land for agricultural production and solar energy generation.**

Agrivoltaics is a developing practice in New York State (NYS) and in other places across the country and the world. Examples of agrivoltaics include, but are not limited to, the use of livestock grazers, such as sheep and cattle, to maintain vegetation in solar panel arrays while panels provide shading and protection from the weather; and growing crops that can thrive under and around solar panels to help sustain soils and farming activity. These options allow renewable energy generation and agriculture to co-exist at a site. To be successful in NYS, agrivoltaics will need to align with current or projected demand for agricultural commodities namely dairy and livestock forage, corn, soy beans, and other types of crops, assuring NYS products can be cultivated along with solar energy.

There is a growing interest in determining how to best implement agrivoltaic projects and better understand potential agricultural productivity while also generating clean electricity. These efforts range from incentive programs (e.g., Solar Massachusetts Renewable Target Program¹), to directed research (e.g. NYPA², UMASS³, Oregon State⁴, University of Arizona⁵, Colorado State University⁶, Rutgers

¹ Massachusetts Department of Energy Resources. "Solar Massachusetts Renewable Target (SMART)." 2021, <https://www.mass.gov/solar-massachusetts-renewable-target-smart>

² New York Power Authority. "Agrivoltaics: Agriculture and Solar PV Synergy for Food-Energy-Water Nexus Solutions." 2023, <https://info.nypa.gov/Health/Agrivoltaics23.pdf>

³ University of Massachusetts Amherst. "Researching Agricultural & Economic Impacts of Dual-Use Solar Installations in Massachusetts." <https://ag.umass.edu/clean-energy/research-initiatives/dual-use-solar-agriculture/researching-agricultural-economic-impacts-of-dual-use-solar>.

⁴ Oregon State University. "Agrivoltaic Project." <https://extension.oregonstate.edu/nwrec/agrivoltaic-project>

⁵ University of Arizona. "Agrivoltaics: Food, Energy, and Water Solutions." <https://uavip.arizona.edu/teams/environment-and-resilience-teams/agrivoltaics-food-energy-and-water-solutions>

⁶ Colorado State University. "Agrivoltaics Innovation." <https://agsci.colostate.edu/agriculture-csu/agrivoltaics-innovation/>

University⁷, DOE FARMS⁸), to demonstration projects (e.g., Jack's Solar Garden⁹, UMINN's WCROC Agrivoltaics to Shade Cows¹⁰), to recent legislation (e.g., NY Senate Bill S7861A¹¹, New Jersey Senate Bill S3484 (2021)¹²), and even the creation of a clearinghouse (<https://www.agrisolarclearinghouse.org/>).

While there are a growing number of agrivoltaic projects across the country, to date there are few demonstrations at commercial scale where the costs, benefits, and the effects on farmers and communities are well documented. As a result, there is a lack of knowledge about the long-term success of these projects or how they can be replicated across NYS. This solicitation aims to support a broader understanding of the costs, benefits, opportunities, and market potential for agrivoltaics in NYS by funding agrivoltaic demonstration projects across a range of solar project designs and agricultural commodities. For reference, according to the United States Department of Agriculture's (USDA) [Northeastern States' Ranking in the Nation's Agriculture 2020](#) as shown in Table 1 below, New York ranks high nationwide for several agricultural commodities. In addition to "crops, livestock, and livestock products" as outlined in the definition section, Proposers may include other crops, such as cannabis, provided they will be grown at a duly-licensed facility. NYSEDA anticipates awarding projects that include a diverse range of important New York State agricultural commodities.

Table 1. USDA NYS Agricultural Commodity Rankings

Ranking	Agricultural Commodity
First Place	Dairy Products (including creamed cottage cheese, low-fat cottage cheese, sour cream, and yogurt)
Second Place	Maple Syrup, Apples, Cabbage, Snap Beans
Third Place	Calves, Total Italian cheese, all Squash
Fourth Place	Milk production, Ice cream, Total Cheese, Total American cheese, Corn for silage
Fifth Place	Tart cherries
Sixth Place	Christmas trees
Seventh Place	Sweet corn
Eighth Place	Sheep and lambs, Onions, dry, Pumpkins
Ninth Place	Floriculture sales
Tenth Place	Oats

⁷ Rutgers University EcoComplex. "Agrivoltaics Research." <https://ecocomplex.rutgers.edu/agrivoltaics-research.html>

⁸ U.S. Department of Energy. "Funding Notice: Foundational Agrivoltaic Research for Megawatt-Scale Farms." <https://www.energy.gov/eere/solar/articles/funding-notice-foundational-agrivoltaic-research-megawatt-scale-farms>

⁹ Jack's Solar Garden. <https://www.jackssolargarden.com/>

¹⁰ University of Minnesota West Central Research and Outreach Center. "Agrivoltaics: Dual-Use of Land for Solar Energy and Agriculture." <https://wcroc.cfans.umn.edu/research/dairy/agrivoltaics>.

¹¹ New York State Senate. "S7861 - Relates to Agrivoltaic Energy Production." <https://www.nysenate.gov/legislation/bills/2021/S7861>

¹² New Jersey Legislature. "S3484 - Establishes a Three-Year Pilot Program for Agrivoltaic Development." <https://www.njleg.state.nj.us/bill-search/2020/S3484>

II. DEFINITIONS

Agrivoltaics. A simultaneous use of land for solar photovoltaic power generation and agricultural production of "crops, livestock, and livestock products" as that phrase is defined by New York State Agriculture & Markets Law (AML) § 301(2).

Agrivoltaic Project: The total area included in demonstrating an agrivoltaic approach. If the Agrivoltaic Project is part of a larger solar project, do not include the solar project areas that are not involved in producing an agricultural product. For example, a 100MWdc solar project that proposes crop production under and/or around 1MWdc of solar panels would be considered a 1MWdc Agrivoltaic Project. For reference, ground mounted solar installations typically occupy 4-8 acres per megawatt (MW).

Crops, livestock and livestock products as defined by AML § 301(2)¹³: shall include but not be limited to the following:

- a. Field crops, including corn, wheat, oats, rye, barley, hay, potatoes and dry beans.
- b. Fruits, including apples, peaches, grapes, cherries and berries.
- c. Vegetables, including tomatoes, snap beans, cabbage, carrots, beets and onions.
- d. Horticultural specialties, including nursery stock, ornamental shrubs, ornamental trees and flowers.
- e. Livestock and livestock products, including cattle, sheep, hogs, goats, horses, poultry, ratites, such as ostriches, emus, rheas and kiwis, farmed deer, farmed buffalo, fur bearing animals, wool bearing animals, such as alpacas and llamas, milk, eggs and furs.
- f. Maple sap.
- g. Christmas trees derived from a managed Christmas tree operation whether dug for transplanting or cut from the stump.
- h. Aquaculture products, including fish, fish products, water plants and shellfish.
- i. Woody biomass, which means short rotation woody crops raised for bioenergy, and shall not include farm woodland.
- j. Apiary products, including honey, beeswax, royal jelly, bee pollen, propolis, package bees, nucs and queens. For the purposes of this paragraph, "nucs" shall mean small honeybee colonies created from larger colonies including the nuc box, which is a smaller version of a beehive, designed to hold up to five frames from an existing colony.¹⁴
- k. Actively managed log-grown woodland mushrooms.
- l. Industrial hemp as defined in section five hundred five of this chapter¹⁵.

Distributed Generation Solar Facility/Development. A solar electric generation facility with an alternating current (AC) nameplate capacity of 5 megawatts (MW) or less and subject to the Standard Interconnection Requirements¹⁶.

Project Team. The group of people who will carry out the proposed Agrivoltaic Project if it is awarded funding. These people must all submit resumes and signed letters of commitment to the project as part

¹³ "Legislation." NY State Senate, www.nysenate.gov/legislation/laws/AGM/301.

¹⁴ Note that projects solely incorporating pollinator friendly habitats or apiaries are not eligible for funding in this solicitation.

¹⁵ <https://www.nysenate.gov/legislation/laws/AGM/505>

¹⁶ <https://dps.ny.gov/distributed-generation-information>

of their proposal. **People who do not provide letters of commitment in a team's application will be assumed to have no commitment to the project for purposes of proposal scoring.**

Proposer. An applicant to this solicitation.

Solar Project. The entirety of the solar installation on site including any subsections that are the Agrivoltaic Project.

Solar Project Developer. The entity proposing to implement, develop, and construct the proposed Agrivoltaic Project identified above.

Utility Generation Solar Facility/Development A solar electric generation facility that is often greater than 5 MW AC and subject to the New York Independent System Operator's Open Access Transmission Tariff¹⁷ interconnection process.

III. PROGRAM REQUIREMENTS

This solicitation will fund Agrivoltaic Projects that are located in New York. The total amount of funding available through this solicitation is \$5 million. Project Teams eligible for funding may include, but are not limited to, landowners, farmers, and Solar Project Developers who are willing to grant site access and transfer data to a research contractor hired by NYSERDA to collect, aggregate, analyze and publicly report solar and agriculture operational data as well as physical environmental data and survey or interview data over a five-year project duration. Proposals should include a clear plan for producing a marketable agricultural product(s) or the raw inputs for a marketable product and a well-informed estimate of the combined agricultural production and solar generation expected.

Eligible agrivoltaic approaches include, but are not limited to, crop production (specialty and commodity), livestock grazing, and hay, forage, or silage production. Projects whose sole agricultural activities are creation of pollinator habitat, establishing and maintaining apiaries, grazing sheep, and growing biofuel feedstocks are not by themselves eligible to receive funding through this solicitation.

Agrivoltaic Project plans will be reviewed for proficiency and adherence to applicable technical requirements and standards. Those proposals deemed to have not demonstrated technically proficient Agrivoltaic Project designs will not be further evaluated for funding.

Awards are not intended to fund the base costs associated with constructing and operating conventional solar developments or costs associated with agricultural projects that are not integrated into solar power generation sites. Awards are intended to fund the incremental solar costs including the capital, construction, and operating costs that are necessary to accommodate agrivoltaics. Awards may also fund the costs associated with agricultural activity in the Agrivoltaic Project site. For example, the cost of installing standard ground-mounted panels is not fundable, but the additional cost of elevating panels to a height necessary to make crops or grazing possible is fundable.

The minimum Agrivoltaic Project capacity is 100 kilowatt (kW) dc (or the functional equivalent) and there is no maximum project capacity. A project's incremental solar costs may be funded up to \$0.50 per watt, with awarded funding for incremental solar costs not to exceed \$500,000 per project. Agricultural costs that may be funded are capped at \$250,000 per project. There is no limit to the number of proposals that a project team may submit for consideration under this solicitation; however, the lead Proposer may only receive funding for a maximum of two (2) project proposals that have a similar agrivoltaic

¹⁷ <https://www.nyiso.com/interconnections>

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

Receipt of an award through this solicitation, including any associated requirements, does not release the Proposer or the project from complying with any other applicable state, local, or federal requirements, including those associated with other NYSERDA funding or programs.

General Eligibility Requirements

- Proposer Eligibility
 - Eligible Proposers include solar developers, farmers, landowners, non-profit organizations, educational institutions, local governments, and others. Teams and partnerships are encouraged but one entity must be the lead Proposer who is responsible for contracting with NYSERDA, managing the project, communicating with all subcontractors and the research contractor hired by NYSERDA to collect project data.
 - Teams proposing an Agrivoltaic Project as part of a distributed-solar-sized development must include a [NY-Sun Participating Contractor](#).
 - Large-Scale Renewable projects (typically 19.99 MWac and larger) with an existing NYSERDA Renewable Energy Certificate (REC) Agreement are eligible, but this is not required for participation.
- Project Eligibility
 - The project must be physically located in New York State.
 - The Agrivoltaic Project should incorporate at least one agricultural commodity. With the exceptions identified below, eligible agricultural commodities include those identified by AML § 301(2) as “crops, livestock, and livestock products” as well as others that are not listed in this definition, such as cannabis that is grown at a duly licensed facility and bioeconomy crops that will not be used to generate biofuels.
 - The capacity of the Agrivoltaic Project must be at least 100 kWdc.
 - Project Maturity
 - Proposal/Proposer must demonstrate site control by completing Attachment B – Site Control Form and Attachment C – Site Access Form (if applicable).
 - Proposal must be in compliance with applicable local, state, and federal laws and regulations.
 - Project must be operational within 4 years of award and the proposal’s project management plan must indicate that this timeframe is feasible based on its development schedule and documentation of any key milestones. SLKJ
 - Projects may receive funding from other NYSERDA programs (e.g., NY-Sun or Large-Scale Renewables) or other applicable state, federal, or private sources in addition to funding from this solicitation, provided that the proposal makes it clear that the funding is complementary and does not double-fund the same aspects of the project.
 - Solar projects already in operation may propose an agrivoltaic approach that will cost-effectively retrofit the existing project or a portion thereof.
- Ineligible Commodities for Funding
 - Agrivoltaic Project proposals that solely include pollinator-friendly groundcover, apiary installation and maintenance, sheep grazing, or crops for biofuel generation are not eligible. For Agrivoltaic Project proposals that include a combination of eligible and

ineligible commodities, only those expenses associated with eligible commodities will be considered for funding.

IV. PROPOSAL REQUIREMENTS

The proposal should be developed to describe and address the topics identified in this RFP. 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.

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 V 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 PDF file. Attachments A through H should be uploaded as separate files. Attachments D, E, F, G and H must be submitted as excel files. The proposal should be in 8.5"x11" page format, with a readable font not below 11-point with 1-inch margins. At the bottom of each page, include the page number, the name of the lead Proposer, and "RFP 5752". The file should be 100MB or less in size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. The order and suggested length of each proposal section is as follows:

1. *Cover Letter (1 page)*: The Cover Letter should be on the Lead Proposer's entity's 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. *Project Summary (1 page)*: A summary of the Proposal that indicates the following:
 - a. If the project already has a NY-Sun award or REC Agreement or Award, provide the relevant identifying application, contract, or award number.
 - b. Indicate where the project is located (Tax ID / Assessor's Parcel Number), indicate whether it is located in an Agricultural District, and if a Notice of Intent action has been initiated.
 - c. List the Project Team members, their respective roles, and their experience that is relevant to this RFP.
 - d. Describe the current farming operation including ownership status (public or private company, LLC, LLP, S-Corp, Sole Proprietor), year founded, number of continuous years in business, current crop and/or livestock, etc.
 - e. Describe the type of agrivoltaic(s) that will be used on site (e.g., crop production, grazing, specialty crops).
 - f. List the total amount of NYSERDA funding being requested for the agrivoltaic project and any in-kind / cost sharing.
 - g. List any additional funding that is available for the project from federal, other state, local, or private sources.

4. *Project Management Plan (up to 3 pages)*: The Proposer should detail how it intends to accomplish the Agrivoltaic Project by the following:

- a. Indicate who owns the land where the proposed Agrivoltaic Project will be located and whether the owner is a solar developer or a current or retired farmer. Indicate whether the land was leased to a farmer in the 5 years prior to acquiring site control for solar development.
- b. Concisely describe how the proposed solar design, construction, and operations will differ from a conventional solar project and how it will accommodate the planned agricultural activity.
- c. Indicate how solar site development will be coordinated with participating farmers or subcontractors.
- d. Explain how the agricultural operations will be sustained at the Agrivoltaic Project site over the five-year project duration. Indicate if participating farmers will receive direct payments, price guarantees, land rental benefits, or other financial benefits through the project.
- e. Describe any communications and outreach about the proposed project to stakeholders and the local community that have been undertaken or will be undertaken prior to construction.
- f. Provide a narrative of the agrivoltaic project schedule that describes how the project will commence agricultural operations within the Agrivoltaic Project no later than four (4) years after project award. Preference will be given to proposals that sufficiently demonstrate more timely commencing of agricultural operations. The narrative should identify and include the status of any required approvals by authorities having jurisdiction, CESIR (Interconnection Review) status, and the status of any permits needed to execute the project. To the extent possible, Proposers should identify any necessary environmental or other studies required, the regulatory and permit conditions relevant to their proposals, potential conflicts between the project and existing permit conditions, and variances that might be required. Indicate the status of or potential interactions with any local moratoria on solar development at the project location. Proposers of awarded projects will be responsible for all necessary environmental testing, permitting, and compliance.

5. *Agricultural Operation Plan (up to 3 pages)*: The Proposer must detail the following:

- a. Identify how the project's design will accommodate agricultural operations at the agrivoltaic site. Describe how the agricultural operations will be phased in relation to solar installation (if applicable) and site operation.
- b. Indicate how much of the Agrivoltaic Project site has been in agricultural production within the last 5 years. If applicable, indicate the total area of land with soil in Mineral Soil Groups 1 through 4 that is included in the Agrivoltaic Project site.
- c. Identify any agricultural equipment that will be needed to produce the agricultural commodity(ies) on the Agrivoltaic Project site. Indicate whether the equipment is already owned, and if not, how the equipment will be sourced.
- d. For projects that will produce crops, indicate how crop selection, planting and harvesting schedules, other vegetation management, and water and light regimes will align with solar site conditions. Estimate the area of the agrivoltaic site that will be under crop production, excluding areas where conditions related to solar development will prevent crop growth.

- e. For projects incorporating animal husbandry, provide a prescribed grazing plan including the pasture species that will be planted, details about how water will be provided to animals, a manure management plan, modifications for access by livestock trailers, additional fencing, access roads, gates, housing, etc. Estimate the total area of the agrivoltaics site over which the animals will be able to move freely.
- f. Provide well-informed estimates of annual agricultural yields and the associated gross and net revenue and cost projections for the agricultural operation. Describe plans to distribute or bring agricultural products to market.
- g. Proposals from project teams that include the farmers operating at the project site prior to solar construction will be viewed more favorably. Their letters of commitment should be included in the Team Qualifications section.

6. *Technical Specifications, Plans and Schedule*: The Proposer shall provide detailed Agrivoltaic Project plans as described below. Please note that while system design and components are not binding at the proposal stage, this information will be used to evaluate proposals. If the Solar Project is 5 MWac or smaller, the proposal must demonstrate that the project will meet or has met the technical requirements of the NY-Sun Program as indicated in section 3 of the NY-Sun Program Manual (<https://www.nyserda.ny.gov/-/media/Project/Nyserda/Files/Programs/NY-Sun/Contractor-Resources/upstate-program-manual.pdf>). If the solar Project is larger than 5 MWac, the proposal must demonstrate that the project will meet or has met the equivalent applicable technical requirements, such as the New York System Operator Interconnection Process requirements (<https://www.nyiso.com/interconnections>), the applicable codes and standards of the governing authorities having jurisdiction, and the applicable NYGATS Operating Rule requirements (<https://www.nyserda.ny.gov/-/media/Project/Nyserda/files/Programs/NYGATS/Operating-Rules.pdf>).

- a. Please identify the technical requirements applicable to the Agrivoltaic Project.
- b. Provide a map/drawing of the proposed Agrivoltaics Project. [Note: awarded proposals will be asked to submit shapefiles (.kmz or .shp plus ancillary files such as .dbf, .idx, .prj, .shx) that map the proposed Agrivoltaic Project fencelines and array locations to the NYSERDA Project Manager.]
- c. Indicate the project's development status and proposed construction and operation schedule by completing Attachment F. Please include any additional major milestones pertaining to the project not currently listed in the table.
- d. Indicate any infrastructure design and placement accommodations that will be made for proposed agricultural activities. (irrigation, well)
- e. Design: Include Preliminary Drawings for the proposed agrivoltaic system that include (at a minimum):
 - i System size (in kWdc and kWac).
 - ii Location of modules
 - iii Location of inverters.
 - iv Scale bar(s)

- v Mounting structure type and how it will be configured and anchored to ensure that it will not interfere with farming equipment or farm production.
- vi Measurements of the row and panel spacing
 - 1 At panel edge (if tracking system, in table position); and
 - 2 Post-to-post / Foundation-to-foundation solar row spacing
- vii Agricultural infrastructure and equipment that will be introduced for the project (e.g., hail nets, high tunnels), if applicable.
- viii Existing agricultural infrastructure to remain in place (e.g. tile drains), if applicable.
- ix Any other site-specific information that will aid in overall evaluation.

7. *Research and Outreach/Engagement Contributions (up to 2 pages)*: The purpose of funding agrivoltaic demonstration projects is to better characterize the value proposition of different agrivoltaic operations in New York State and identify viable opportunities. NYSERDA will hire a research contractor to gather agricultural and solar performance data at funded project sites and communicate these results to the public. Project teams will be expected to work collaboratively with the research contractor for the duration of the project to gather these data and report lessons learned.

- a. At the end of each of five consecutive agricultural operating seasons, awarded projects must provide the year's agricultural and solar generation data to the research contractor hired by NYSERDA. These data may include but are not limited to gross expenditures, gross revenues, net revenues, planting schedules and crop yields as applicable, solar energy generation, lessons learned, and any photographs, videos and written documentation of the practices implemented. Project reports created by NYSERDA's research contractor will be made available to the project team. NYSERDA may make the information in these reports publicly available.
- b. Project teams will also be expected to host or allow the research contractor to conduct at least one educational event per year that is open to the public after the project becomes operational. Project teams will be expected to provide NYSERDA and NYSERDA's research contractor permission to photograph, record video, and develop education and outreach materials based on the project.
- c. The Proposer should describe how the proposed project will generate information that can be used to inform future agrivoltaic projects and highlight any information gaps in agrivoltaics research that will be filled by the project. If research exists that is relevant to the proposed agrivoltaic design, or if the proposers have previous experience that is relevant to the agrivoltaic design, please summarize it.¹⁸
- d. Identify a project team member(s) who will act as the project's research liaison for the annual transfer of agricultural and solar data to NYSERDA's research contractor. The project's research liaison will participate in a start-of-work meeting with the research

¹⁸ Further information about ongoing research and deployment in the state and northeast region can be found in [Growing Agrivoltaics in New York State](#). Additional information about agrivoltaics can also be found [here](#).

contractor before agricultural activities begin to coordinate any planned data collection. The project's research liaison may also facilitate access to the agrivoltaic site by NYSERDA's research contractor for in situ data collection and on-site observations throughout the year.

- e. Indicate if the project will incorporate controlled comparisons of variables that affect or are aspects of the Agrivoltaic Project's construction, design and operation (e.g., panel installation methods and site preparation techniques, panel position, crop varieties, irrigation/watering regimes, grazing or other vegetation management). This is not required, but projects will be viewed more favorably if they are designed, constructed, or operated in a way that fills important data gaps about agrivoltaics through controlled experimentation.
- f. Indicate whether the Agrivoltaic Project site has a history of agricultural production that is similar to the proposed agrivoltaic production. If it does, indicate how the pre-agrivoltaic agricultural production is expected to compare in type and anticipated yield to the proposed agrivoltaic site's agricultural production. If it does not, indicate why the site is suited to the planned agricultural production.
- g. Indicate whether farms in the vicinity of the proposed Agrivoltaic Project site engage in the same or a similar type of agricultural production.
- h. Identify any environmental data that can be collected at the project site that are pertinent to the agrivoltaic demonstration, such as water use, manure and fertilizer applications, soil organic matter, etc. Indicate whether the project team has the capacity to collect such data. This is not required, but projects will be viewed more favorably if they have a strategy for data collection and reporting to NYSERDA's research contractor.

8. *Benefits to Disadvantaged Communities (up to 1 pages)*: Proposers shall describe how the development and construction of this project will help NYSERDA meet the Climate Leadership and Community Protection Act (Climate Act) goals regarding benefits to disadvantaged communities (DAC). Applicable benefits to DACs should be quantified in the final column of Attachment G (Agrivoltaic Cost Estimator).

a. Indicate whether the project will partner with farmers or businesses from or representing socially disadvantaged or economically disadvantaged individuals or groups¹⁹ and/or how the project will benefit or support skill- and capacity-building for or within disadvantaged communities²⁰. Such partnerships are encouraged and should be documented with a letter of commitment.

9. Team Qualifications (pages as needed):

- a. Project Team - Provide information about the relevant experience of the primary team members who will carry out the project.

¹⁹ As defined by NYS Department of Agriculture and Markets at <https://agriculture.ny.gov/rfp-0288-administrator-socially-and-economically-disadvantaged-farmers-competitive-grant-program>

²⁰ Further information on disadvantaged communities can be found here: <https://www.nyserra.ny.gov/ny/Disadvantaged-Communities>

- Submit a Project Team organizational chart including the lead Proposer, the project's research liaison, and all other team members and their proposed roles. Identify a primary Project Contact for communication with NYSERDA.
 - Provide resumes and signed letters of commitment for all project team members (including the agricultural operators). People who do not provide a letter of commitment in a team's application will be assumed to have no commitment to the project for purposes of proposal scoring.
 - Provide a list of all relevant licenses held by the project team's firm(s) to do work in New York State and provide copies of licenses.
- b. References – If the proposed project already has an award from a NYSERDA Large-Scale Renewables or NY-Sun Program, provide references for any prior agrivoltaic projects, if available. If the project does not have a LSR or NY-Sun award, provide references for at least three completed and currently operating non-residential grid-connected PV systems, with preference for prior agrivoltaic projects, if available. Include the following information:
- Location and Utility Company name
 - System size (kW dc and kW ac)
 - Date completed
 - Any agricultural activities that were integrated into the project.
 - Contact information (Name, Email, Telephone Number)
- c. Project Development Experience
- Provide the total number of megawatts of solar PV that the project team's firm has constructed over the last five (5) years.
 - Provide the total number of megawatts of standard solar projects and agrivoltaic projects that the project team's firm has developed and what each team member's role was in the development.
- d. Agriculture Experience
- Provide a description of the agricultural operator's background and experience. Indicate their prior experience (e.g., number of years, commodity type, acres/yields) with the agriculture proposed at the agrivoltaic site. Indicate any other relevant agricultural background. Please indicate whether the farm(er) that owns and/or operates the property at the agrivoltaic site has a farm succession plan and if so, provide a brief narrative.
- e. Research Experience
- If any members of the project team have experience with agricultural, economic and other data collection that can be used to assist NYSERDA's research contractor in documenting the costs and benefits of the proposed project, indicate it here.
- f. Project Financing
- Provide documentation that demonstrates that the Proposer has secured or will reasonably be able to secure adequate financing for the Project.
10. *Funding Request and Project Budget (up to 2 pages):* The Proposer shall provide a detailed breakdown of the proposed project's budget, the amount of funding requested, and indicate how the requested funding would be used. Complete the attached Budget Form (Attachment E) for the entire project, including any in-kind contributions and other cost-sharing. Cost-sharing is preferred but not required. In-kind cost-sharing is acceptable. Proposers must provide sufficient detail in the

Budget Form and Agrivoltaic Cost Estimator (Attachment G), including each cost element, its description, and amount, so that the proposal budget can be evaluated.

Cost sharing can be from the proposer, other project team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

Funding will be paid according to a milestone schedule. The first milestone listed below (permission to operate from the Utility) is required and payment for this milestone is capped at \$0.50 per watt (DC) of installed Agrivoltaic Project capacity and shall not exceed \$500,000 per project. Project teams selected for funding may be required to obtain a notice to proceed from the NYSERDA Project Manager after receiving their permission to operate and before they begin work on subsequent milestones. Under this first milestone, proposers should identify the incremental solar capital, construction, and operational costs that the proposed agrivoltaic solar operation will have above a similar non-agrivoltaic solar operation. These incremental solar costs should be captured in the appropriate column of Attachment G. Proposers should propose additional agricultural project milestones and associated payments that will fund agricultural activities on the Agrivoltaic Project site.

Milestone	Eligible Costs	Funding
Required: Permission to operate from utility	Solar incremental costs	Up to \$0.50 per W (DC) and not to exceed \$500,000
Proposed: agricultural and outreach milestones (e.g. delivery of farm equipment, installation of irrigation, public site visits, etc.)	Agricultural costs generated at the agrivoltaic site (e.g., up-front capital costs and operational costs, time and labor for public outreach)	not to exceed \$250,000
Required: annual data transfer to NYSERDA research contractor	Costs associated with annually transferring data to NYSERDA research contractor	
Required: final data transfer to research contractor at the end of 5 years of agrivoltaic operation	Solar incremental, agricultural, and outreach costs	Retainage: 20% of total solar incremental costs; 10% of total agricultural and data transfer costs

11. Attachment A (General Eligibility Checklist), Attachment B (Site Control Form), Attachment C (Site Access Form), Attachment D (Project Information Form), Attachment E (Budget Form), Attachment F (Schedule), Attachment G (Agrivoltaic Cost Estimator), and Attachment H (Duplication of Benefits Form): The Proposer shall upload attachments as separate files from the proposal.

V. PROPOSAL EVALUATION

Prior to review by a scoring committee, proposals will be reviewed for completeness and to ensure they meet the General Eligibility requirements as detailed in Section III of this solicitation and as identified in Attachment A. Proposals that do not meet the minimum listed requirements will not be reviewed by the scoring committee. Note that incomplete or late proposals will not be considered.

Proposals that meet General Eligibility requirements will be reviewed by a scoring committee, led by NYSERDA, using the Technical Evaluation Criteria below. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications of statements or plans outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Proposals will be evaluated based on the following technical criteria (listed in order of importance):

1. Soundness of Agrivoltaic Design and Implementation

- a. How well does the proposed project demonstrate credible integration of solar and agricultural operations?
- b. Does the proposal include a well-conceived Agricultural Operations Plan to effectively enable the proposed agricultural activities within the project?
- c. Does the proposal include well-informed estimates of annual agricultural yields and the associated gross and net revenue for the agricultural operation? Does the proposal identify an accessible market and demand for the project's agricultural product?
- d. How clear and significant are the proposed project's potential contributions to agrivoltaic research and data collection?
- e. How will production of the agricultural commodity be sustained during the project duration? Does the proposal identify compensation or methods to transfer benefits to the farmer? Does the farm have a succession plan?

2. Value to New York as a Demonstration Project

- a. Does the project seek to demonstrate an innovative agrivoltaic approach and/or address an important agrivoltaic information gap in New York State?
- b. If successfully deployed, is the proposed project likely to increase the diversity of agrivoltaic approaches taken in New York State?
- c. Does the project incorporate a current (or potential future) economically important agricultural commodity for NY farmers?
- d. Does the project seek to demonstrate an economically viable agrivoltaic approach that has commercialization / market deployment potential?

3. Project Management Plan and Qualifications

- a. Are each team members' roles and responsibilities clearly defined? Is the primary point of contact designated?
- b. How qualified are the team members who have submitted letters of commitment to undertake the aspects of the project for which they are responsible?

- c. If applicable, is there a letter of commitment from the farmer who operated at the site prior to solar development?
- d. Does the proposal designate a research liaison to assist in annual data collection and transfer to NYSERDA's research contractor? Is annual data collection and transfer integrated into the project milestones?
- e. What is the cooperative potential of the proposed project team?
- f. How likely is timely project implementation based on the proposed construction schedule? To what degree will the project become operational sooner than the maximum four-year construction timeline? How comprehensive and realistic is the schedule?

4. Cost

- a. Does the proposal provide sufficient detail to justify how the requested funding will be used?
- b. How reasonable are the agrivoltaic project costs based on the economic benefits expected to result from successful execution of the project?
- c. Does the proposal provide sufficient detail for incremental solar costs and are those costs reasonable based on analogous estimates?
- d. Does the proposal clearly define agricultural costs and are they reasonable in relation to the type and scale of agricultural operations proposed and expected agricultural benefits?
- e. If applicable, how well does the proposed project leverage other funding sources and incorporate cost sharing?

5. Communications and Engagement

- a. How comprehensive, thoughtful, and likely to be effective are any plans to engage the community? Does this include hosting at least one educational event that is open to the public per year after the site becomes operational? Are there community engagement activities proposed beyond an annual site visit or educational event?
- b. Does the proposal give NYSERDA and NYSERDA's research contractor permission to photograph, record video, develop education and outreach materials based on the project? Does the outreach include interviewing or administering surveys to project staff?
- c. Does the proposal describe how the project will help NYSERDA meet the CLCPA goals regarding benefits to disadvantaged communities? To what degree does the proposed project identify benefits to disadvantaged communities or populations?

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- a. The balance among projects and their benefits, and whether similar proposals will or have been previously funded.
- d. The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.

- e. If applicable, the responsiveness and quality of work of the proposer in conducting other NYSERDA-funded work.

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 - 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 selecting multiple proposals under this RFP. NYSEDA anticipates a contract duration of up to eight 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 reserves the right to interview proposers, if deemed necessary by the scoring committee. NYSEDA may, at their discretion, elect to extend and/or add funds to any project funded through this RFP. NYSEDA will use the Sample Agreement (Attachment I) to contract successful proposals for access to the state supported funding. NYSEDA expects to notify proposers in approximately twelve (12) to sixteen (16) weeks from the proposal due date whether their proposals have been selected. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

Limitation - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSEDA's best interest. NYSEDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSEDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information 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 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 – General Eligibility Checklist
- Attachment B – Site Control Form
- Attachment C – Site Access Form
- Attachment D – Project Information Form
- Attachment E – Budget Form
- Attachment F – Schedule
- Attachment G – Agrivoltaic Cost Estimator
- Attachment H – Duplication of Benefits Form
- Attachment I – Sample Agreement
- Attachment J – Sample Metrics Reporting Guide



NYSERDA

Input Informing Future NYS Direct Current Fast Charger (DCFC) Solicitations
Request for Information (RFI) 5766
No Funding is Associated with this Solicitation

Response Due Date: June 25, 2024, by 3:00 PM Eastern Time*

NYSERDA is issuing this Request for Information (RFI) to solicit input from market participants across varying sectors regarding the planning, deployment, operation, and maintenance of Direct Current Fast Charging Electric Vehicle Supply Equipment (DCFC EVSE) in New York. This RFI will help NYSERDA gain information about the challenges that various market participants face and ultimately will help inform NYSERDA's drafting of forthcoming solicitations for DCFC implementation.

The programs that will be informed by this solicitation, including NYSERDA's Charging and Fueling Infrastructure (CFI) grant implementation, are intended to reduce the cost of purchasing and installing DCFC EVSE for use in New York State and ultimately accelerate EV adoption. By increasing the use of EVs and EV chargers, this program benefits New York State by reducing harmful emissions and the transportation sector's dependence on petroleum.

Response Submission:

Please develop responses to the questions detailed in the RFI. Please submit your response via email to transportation@nyserda.ny.gov. Responders may submit Word or PDF files. Individual files should be 100MB or less in file size. Response PDFs should be searchable and 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 responder's entity name in the title of the document. NYSERDA will also accept responses by mail or hand-delivery if email submission is not possible.

If you have any technical questions regarding this RFI, please contact Melissa Duchan at transportation@nyserda.ny.gov or 347-892-2161 or Adam Ruder at transportation@nyserda.ny.gov or 518-862-1090, ext. 3411. All respondents should only include information that can be made public by NYSERDA in their RFI responses. All responses to the RFI may be aggregated, will be considered non-confidential, and may be shared with others outside of NYSERDA. However, the identity of the respondent will not be publicly disclosed. If you have questions regarding the RFI response process, please contact Nancy Marucci at nancysolicitations@nyserda.ny.gov or 518-862-1090 ext. 3335.

***All responses must be received by 3 p.m. Eastern Time on the date noted above. Late or faxed responses will not be accepted.** If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx).

I. Background

New York must increase EV adoption to meet transportation decarbonization and broad GHG reduction goals. To do so, the deployment of DCFC infrastructure is critical. Increased installation of DCFC infrastructure will help meet the needs of growing EV populations, counter range anxiety concerns, and accelerate EV adoption within the state. However, deployment of DCFC infrastructure has been slow to date due to a set of inter-linked barriers such as high installation costs (e.g., equipment, labor, and other soft costs), low utilization, and uncertain future vehicle technology.

To tackle this set of barriers, NYSERDA plans to issue future solicitations funding DCFC stations in New York State, including one or more using funds awarded from the CFI program.

By greatly reducing the cost of construction, upcoming DCFC programs will contribute to the following goals:

- Expand the DCFC network within New York State
- Expeditiously increase the ratio of DCFC per registered EV in New York.
- Support the viability of EV use in areas of New York currently underserved by DCFC access.

In addition to these goals, infrastructure development achieved through this program is expected to generate the following ancillary benefits:

- Demonstrate a viable business case for DCFC at a variety of publicly accessible locations.
- Provide charging access to disadvantaged communities.

This RFI seeks to learn more about the planning, deployment, operation, and maintenance of DCFC EVSE in New York from market participants. The information NYSERDA gains will help inform the forthcoming solicitations for DCFC implementation, including the CFI solicitation, which will be required to be compliant with National Electric Vehicle Infrastructure (NEVI) program standards. Respondents are also encouraged to read through [New York's NEVI Deployment Plan](#) and [Part 680 NEVI Standards and Requirements](#) of the Federal Register Vol. 88, No. 39 (pages 29-34) before responding to this RFI.

II. Information Requested

NYSERDA is seeking information to help inform a future solicitation for DCFC EV charger installations. Please submit responses to the questions in this RFI in a PDF or Word document by email by June 24, 2024 at 3 PM Eastern Time to transportation@nyserda.ny.gov; general comments are also welcome.

All respondents should complete the first section (Respondent Information) with answers to all relevant questions. Respondents may choose to respond to any or all questions in the second section (Questions to Inform NYSERDA Programs).

Respondent Information

1. Organization Name
2. Organization Industry (select as many as applicable)
 - a. Site Host
 - b. Site Developer
 - c. EVSE Provider or Installer
 - d. Government Entity
 - e. Other: _____
3. If you selected Site Host, please specify:
 - a. Fuel Retailer
 - b. Other Retailer

- c. Restaurant
 - d. Hotel
 - e. Other: _____
4. If you selected Site Developer, please specify:
- a. Engineering Firm
 - b. Construction Contractor
 - c. Other: _____
5. If you selected EVSE Provider or Installer, please specify:
- a. EVSE Manufacturer
 - b. EVSE Network Provider
 - c. EVSE Installer
 - d. EVSE Operator/Maintenance Provider
 - e. Other: _____
6. If you selected Government Entity from the industry list, please specify:
- a. State Government
 - b. Local Government
 - c. Planning Organization
 - d. Other: _____
7. Mailing Address: _____
8. Primary Contact:
- a. Name: _____
 - b. Email: _____
 - c. Phone: _____

Questions to Inform NYSERDA Programs

1. Give a short description of your organization's involvement and experience with EVSE and DCFC infrastructure. Please describe any experience contracting with government entities for installation of and/or extended operations and maintenance of EV chargers.
2. Many different business models proliferate in the EV charging industry regarding ownership, operation, and maintenance of charging stations. For future DCFC solicitations, NYSERDA is considering having the primary proposer be the entity that will own the installed EV charging stations. What are the pros and cons of having this entity serve as the primary proposer for a solicitation (vs. site host, EVSE network provider, etc.)?
3. How could NYSERDA help EVSE developers identify potential site hosts and accelerate the process for deploying DCFC stations?
4. What amount and type of information about the electrical capacity at a potential DCFC site is it reasonable to expect to obtain within a typical time period that a solicitation is open (2-3 months)?
5. What resources would help proposers to DCFC solicitations develop a quick but reasonable schedule for deployment and stick to it?
6. How could program requirements ensure the end-users of funded DCFC stations have the most convenient and reliable charging experience?
7. New York State is committed to meeting the intent of the [Justice40 Initiative](#), which states that 40 percent of the benefits of this program should go to underserved communities. What strategies

can NYSEDA use to meet this intent? What are the ways these benefits can be realized? How may they be different in different contexts (rural vs. urban) or areas of the state?

8. How can a program be structured to ensure New York's small and disadvantaged businesses have a role in the development and ongoing operations and maintenance of DCFC stations?
9. FHWA recently released a [RFI](#) regarding EV charging connectors and the need for future regulatory updates, specifically around the expectations surrounding market availability for J3400 within EVs/EV chargers, and on considerations regarding challenges and benefits of the implementation of J3400 at charging stations. What is a reasonable timetable for implementing installations with both CCS and J3400 connectors?
10. What best practices are available to address unscheduled downtime of DCFC due to issues such as equipment or network failure?
11. What can New York State do to ensure it has the workforce required to install, operate, and maintain DCFC charging sites? Does your organization have experience providing workforce training?

III. Response Requirements

Responses should address as many of the relevant question as they can. Answers should be brief, but complete and submitted by email to transportation@nyserda.ny.gov as a PDF or Word document. Upon review, NYSEDA may request additional information or a call/meeting to discuss the respondent's submission. To be fully considered, all answers should provide required information and be submitted within the indicated timeframe.

IV. How Comments Will be Used

NYSEDA plans to review responses with an eye toward drafting upcoming solicitations for DCFC EVSE installations.

V. Informational Webinar

An informational webinar will be held via Webex on June 12 at 2PM to answer any questions you may have about this RFI. NYSEDA has scheduled this for one hour to allow ample time for questions and answers. Registration is required in advance via the link: [RFI 5766 Webinar](#)

VI. General Conditions

Proprietary Information

Careful consideration should be given before confidential information is submitted to NYSEDA as part of your response. Review should include whether it is critical for understanding responses, and whether general, non-confidential information, may be adequate. 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 responder wishes to have treated as

proprietary, and confidential trade secret information, should be identified, and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Contract Award

This solicitation for information (RFI) will not result in the award of any contract for goods or services. NYSERDA anticipates collecting and analyzing RFI responses to inform its future solicitations. Respondents are advised that all costs associated with this RFI response will be solely at their expense.

Limitation

This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response or procure or contract for services or supplies. NYSERDA reserves the right to discontinue or modify the RFI process at any time and makes no commitments, implied or otherwise, that this process will result in a business transaction or negotiation with one or more Respondents.

VII. Attachments

No additional attachments



**Implementation and Administration Support for
NYSERDA CFI Program
Request for Proposals (RFP) 5781**

\$1,000,000 Available*

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

Proposals Due: June 26, 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 NYSEDA with various aspects of the management and execution of the Federal Title 23 Alternate Fuel Grant Programs, specifically the Charging and Fueling Infrastructure (CFI) Program (Program), which totals approximately \$15 million, and the projects resulting from it. The Program will support the strategic deployment of electric vehicle (EV) charging infrastructure and establish an interconnected network to facilitate data collection, access, and reliability. This increase in access to EV infrastructure will help meet the needs of growing EV populations, counter range anxiety concerns, and accelerate EV adoption in New York State.

It is likely that NYSEDA will administer additional funding from the Federal Title 23 Alternate Fuel Grant Programs in the future. NYSEDA intends to add money to the contract of the Support Contractor as additional funding becomes available, to expand this contract to cover additional similar activities under these programs. This is likely to expand the contract to be in the \$3 million to \$4 million range.

DESCRIPTION

Program Support (up to **\$1,000,000**) for:

1. Project Management and Reporting
2. Data Compilation and Analytics
3. Monitor Electric Vehicle Supply Equipment Operations
4. Administrative Program Support

*** This RFP will be funded with federal funding as described herein. At the time of release of this RFP, an agreement allowing NYSEDA to spend such federal funding has not yet been executed. NYSEDA expects this agreement to be executed by summer 2024. Funding of any awards under this RFP is contingent upon execution of a contract or contracts encumbering such federal funding.**

Only one (1) award will be made by NYSERDA. If the prime contractor is unable to provide all 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 NYSERDA NEVI DCFC or CFI Programs, which includes implementation phases.

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>).

No communication intended to influence this procurement is permitted except by contacting Melissa Duchan by phone at 347-892-2161 or by e-mail at dcfc@nyserda.ny.gov, or Adam Ruder by phone at 518-862-1090 x3411 or by email at transportation@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. 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. ET. Files in process or attempted edits or submission after 3 p.m. ET on the date above will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx).

NYSERDA will conduct an informational webinar on June 7, 2024 at 1 pm ET during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers interested in attending can send an e-mail to dcfc@nyserda.ny.gov with the subject line "RFP 5781 Implementation and Administration Support Webinar" to request information on how to participate or register via the following link: [RFP 5781 Webinar](#). Questions may be

submitted via the same e-mail address prior to the Webinar, or during the Webinar using the web platform.

I. Introduction

In support of New York State's nation-leading GHG emissions reduction goals—targeting 40% reduction of GHG emissions by 2030 and 85% by 2050—New York State has developed an integrated, long-term policy approach to addressing emissions from the transportation sector. New York State must increase EV adoption to meet transportation decarbonization and broad GHG reduction goals. To do so, the further deployment of Direct Current Fast Charger (DCFC) and Level 2 (L2) EV charging infrastructure across the state is critical.

To help achieve these goals, NYSERDA was directly awarded \$15 million in funding via the **Charging and Fueling Infrastructure (CFI) Grant Program** to improve access to charging infrastructure and clean transportation in small- to medium-sized cities, state parks and other tourist destinations to continue expanding the availability of charging across the state. NYSERDA will administer funds for a community-focused program aimed at filling key gaps in charging infrastructure while matching sites with the most cost-effective and location-appropriate charging types (DCFC or L2 chargers, depending on the site typology and charging needs).

New York State is also implementing funding under the **NEVI Program** allocation and has received \$13 million in funding to repair and/or replace charging stations under the **Electric Vehicle Charger Reliability and Accessibility Accelerator (EVCRAA) Grant Program**. Some or all of the funding under one or both of these programs may be administered by NYSERDA in the future.

All three of these programs—the CFI, NEVI allocation, and EVCRAA—are funded by the Federal Highway Administration (FHWA) and are subject to the rules and requirements of Federal Title 23, many of which are appended to the Sample Agreement and others of which will be shared with the awarded proposer when available. This includes compliance with more general requirements such as Buy America, National Environmental Policy Act, and Davis-Bacon Act, as well as the requirements that more specifically pertain to federally funded electric vehicle supply equipment (EVSE) published in [23 CFR 680](#).

To support these efforts, NYSERDA seeks a contractor/team (the **Support Contractor**) to assist in managing and executing these programs with EVSE data analysis and charging site verifications across the state. The Support Contractor will compile and analyze online data, support report preparation, and verify operation of L2 and DCFC charging stations funded under NYSERDA's programs.

II. Program Requirements

A. Services Requested

NYSERDA is seeking a contractor/team to assist in managing and executing the Programs described above. Support services are solicited for the main areas of:

1. Project Management and Reporting
2. Data Compilation and Analytics
3. Monitor Electric Vehicle Supply Equipment (EVSE) Operations
4. Administrative Program Support

Proposers should pay careful attention to the skills, qualifications and services required for each of the specific roles listed above. Teaming arrangements are strongly encouraged as a way for proposers to address all the requirements of the services requested. The Support Contractor selected through RFP 5781 will be expected to coordinate directly with NYSERDA, the implementation awardees of the various Programs, and other subject matter experts as directed by NYSERDA.

1. Project Management and Reporting

The selected Support Contractor will manage the operational aspects of the contracts resulting from each Program and provide additional support for data and grant reporting. Proposers must have experience managing complex programs; a strong understanding of DOT/FHWA funding and program requirements, and a strong degree of technical expertise in EV infrastructure to be able to understand the projects and any questions or deliverables they may be asked to address. Project Management and Reporting services will include (but are not limited to) the following:

- a. Operational and project management support in preparation of program launch and throughout the program stages (implementation and 5 years of monitoring).
 - i. Providing general operational support to NYSERDA in the execution of the Programs: support NYSERDA in its day-to-day management of the Programs, including scheduling and taking notes at meetings, tracking project statuses, establishing a system for file and data management within NYSERDA's SharePoint site and/or other similar file sharing systems, and other related tasks.
 - ii. Assisting with the application review process for 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 recipients of implementation funding. NYSERDA anticipates funding projects to complete approximately 5-10 DCFC installations and hundreds of L2 installations.
 - iv. Serving as a day-to-day liaison between NYSERDA, proposers, and implementation 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. In particular:

- Collecting, reviewing, tracking, and collating deliverables for NYSERDA and advising on when all deliverables for project milestones have been achieved.
- Ensuring compliance and collecting all documentation required by federal funding (e.g., Davis-Bacon Act, Buy America, National Environmental Policy Act [NEPA], and other regulations as set forth by USDOT and FHWA).
- v. Connecting awardees with relevant subject matter experts to help provide guidance on aspects of their projects where further assistance is needed.

2. Data Compilation and Analytics

- a. The Support Contractor shall gather EVSE utilization data through participating charging network providers and prepare the data for analysis.
 - i. The Support Contractor shall be responsible for the collection and transformation of data from vendors and warehousing the data received for use in reporting.
 - ii. Collected data from various charging vendors will include, but is not limited to, installation dates, number of charging events, duration of charging events, total kWh provided, and operational downtime.
 - iii. The Support Contractor shall analyze and report on the data compiled through EVSE network providers and deliver insights regarding the operation of the charging stations across the State. The Support Contractor shall conduct data analytics, visualization, and interpretation of innovative insights to inform future program design.
 - iv. Prior experience handling and analyzing large transportation datasets is required, with the ability to gather data from multiple EV charging station operators and compile into a single cohesive reporting product preferred.
 - v. The Support Contractor should have an existing process for obtaining data through APIs (or demonstrate how it will quickly develop one).
 - vi. The Support Contractor should be able to prepare data about selected projects and potential future projects for public-facing materials, including through GIS-based maps.
 - vii. The Support Contractor shall confirm all federal reporting is completed on time, and in compliance with all federal standards, including submission in the [EV-ChART format](#).

3. Monitor EVSE Operations

- a. The Support Contractor shall monitor EVSE operations to determine that NYSERDA-funded charging stations are working properly, meet the minimum uptime requirements per the respective program rules, and that any persistent

- downtime issues or charging site malfunctions are identified and investigated promptly.
- b. The Contractor shall serve as the focal point for coordination, communication, and reporting from the EVSE site owners, charging networks, NYSERDA, site inspectors, and any other NYSERDA contractor supporting or participating in one of the EVSE programs. The Contractor shall respond to requests from NYSERDA, the network providers, and site owners, which will enable the program to be managed efficiently.
 - c. Tasks may include but are not limited to:
 - i. Working with NYSERDA to develop monitoring tools and technology.
 - ii. Monitoring installed EVSE operations on a regular basis through network provider dashboards and report to NYSERDA any malfunctions or downtime within an agreed upon interval.
 - iii. Summarizing downtime metrics and documenting issues that may be found in the data.
 - iv. Conduct further audits of malfunction if persistent downtime issues occur.
 - v. Create a site visit checklist and standard process for monitoring.
 - d. Deliverables may include but are not limited to:
 - i. Data collection templates, monthly summary report of daily monitoring of L2 and DCFC EVSE operations, including documentation of persistent EVSE downtime or other operational malfunctions, and the steps taken to validate and resolve the disruption in service.
 - e. As an optional task (additional to the allotted budget), proposers may describe their ability to conduct site visits and inspections at some or all charging stations installed through these NYSERDA programs.

4. Administrative Program Support

- a. The Support Contractor shall assist NYSERDA with the administration of the CFI Program funding across New York State. The Support Contractor shall support the program administration over the anticipated contract period.
- b. General project management tasks include meeting coordination with awardees and tracking of awardee contract deliverables. The Contractor shall field applicant inquiries, support application review, proposed site reviews, and compile program analytics over the program duration.
- c. Additional project management tasks include environmental review. The contractor will be responsible for preparing and submitting the required National Environmental Policy Act (NEPA) documentation for selected charging sites funded by the grant programs.
- d. The Contractor shall establish a regular meeting cadence with key NYSERDA team leads, staff, and other agencies (e.g., FHWA) to ensure that program participant materials and other tasks are addressed promptly and efficiently. It is anticipated that as a part of this project, the Contractor will have to interface with additional NYS Agencies/Authorities; as well as NYSERDA contractors, and will make themselves available by phone, webinar, or in-person meetings.

- a. Some of the tasks defined in this document may be recognized by the Support Contractor or NYSERDA as requiring supplemental activities to complete successfully, in certain situations. These activities and corresponding payments will be assigned by NYSERDA prior to occurrence and will require a written Notice to Proceed issued by NYSERDA, which shall include an agreed upon scope and not-to-exceed budget. The Contractor shall not perform work without receiving such prior written Notice to Proceed.

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 the required services as outlined in this RFP. Proposers must provide all 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 NYSERDA NEVI or CFI solicitations for implementation funding, either as a prime proposer or subcontractor to a prime proposer.

Proposers must be available to start work **no later than July 1, 2024**.

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 above-described federal funding programs.

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 overall program direction.
- Handle all contractual activities with the contractor and the awardees of the programs.

- 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 **96 months (8 years)**. To help potential proposers create budgets, NYSERDA expects the majority of work to occur during the first 3 years of the contract period as charging stations are installed, with a much reduced, steadier state of monitoring/reporting over the remaining time. The contract term may be extended, if necessary, at NYSERDA's sole discretion. NYSERDA may choose to add funding to the resulting contract if it is chosen to administer additional federal funding for EV charging stations.

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 submitted as **three (3) files**, with the items in the format and sequence indicated below:

Section 1: Introduction and Proposal Narrative (part of main narrative file, **in .PDF format**)

Section 2: Staffing Plan (part of main narrative file)

Section 3: Qualifications (part of main narrative file)

Section 4: Statement of Work (separate Attachment A – template included, **in Word format**)

Section 5: Cost Proposal (separate Attachment B – template included, in Excel format)

Section 6: Appendices (part of main narrative file)

Section 1. Introduction and Proposal Narrative (5-8 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 herein. 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, 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. 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. Specifically address the staffing plan for commencing work no later than July 1, 2024 and performing the tasks required for program launch. 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. Please include an organizational chart showing the relationship between all personnel and any subcontractors. Resumes of key personnel highlighting relevant experience should be included as appendices (resumes do not count towards the page total).

Section 3. Qualifications (3-5 pages): Describe how the Proposer's staff and other team members meet the required experience, skills, and abilities to perform the services described in 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, email, 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 4. Statement of Work (5-10 pages based on Attachment A, in Word format): Submit a proposed Statement of Work (SOW) delineating each step required to accomplish the project objectives. The Statement of Work 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. 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; 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 SOW to meet the needs of the program. The SOW 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 Support Contractor shall...”, and “The Support Contractor shall direct the [Subcontractor Name] to...”
- Include information regarding responsible staff for each task, including any subcontractors.

Section 5. Cost Proposal (1-2 pages in the main narrative, plus a completed Attachment B in Excel format): In the main narrative document, include a budget narrative that describes the approach to budgeting and includes a breakdown of cost by task, by firm (if multiple firms are part of the proposal), and by year.

Additionally, 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). Complete the budget form for the entire proposal and a separate budget form for each subcontractor that would receive more than \$50,000 under the resulting contract. Additional tabs detailing budgets by task or by year are welcome. 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.

Section 6. 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.
 - Electric vehicle charging infrastructure.
 - Working with federal, state, and local governments, as well as vehicle charging and electric utility companies.
 - Complying with federal (especially FHWA) funding rules such as Davis-Bacon, Buy America, and NEPA.
- Demonstrates experience conducting projects like the Programs described above and clearly identifies staff that will be assigned to the project and their relevant experience.
- Demonstrate experience conducting projects like the Programs described above and demonstrate the quality and relevance of previous work as evidenced by project examples, references, and staff resumes for staff that will be assigned to the project.
- Demonstrates strong past performance with NYSERDA, NYS and/or other clients, as demonstrated by their past work products and/or references.

Overall Proposal Quality and Content:

- Demonstrates appropriate ideas for the efficient execution of all tasks requested.
- Demonstrates an understanding of the range of services requested and the ability to successfully deliver these services.
- Demonstrates the ability to communicate in a clear and concise manner, as evidenced by the overall clarity and organization of the proposal.
- Demonstrates an ability to provide expertise and services in program implementation including project awardee contract management, data collection and reporting, and the management of federal grants.
- Demonstrates the ability to address program needs and deliver high-quality work with tight deadlines.
- Commits and shows a demonstrated ability to start work no later than July 1, 2024.

Data Collection, Analysis, and Reporting:

- Through references and previous work, demonstrates strong experience with data collection, analytics, and reporting, especially regarding:
 - EVSE operations and utilization rates.
 - Projects involving data analytics, visualization, and interpretation.
 - Data-based mapping projects.

- Demonstrates prior experience handling and analyzing large transportation datasets (required) and the ability to gather data from multiple EV charging station operators and compile into a single cohesive reporting product (preferred).
- Has an existing process for obtaining data through APIs or demonstrates how it will quickly develop one.
- Previous projects/contracts demonstrate coordination between private and public entities in coordinating and reporting on data and programming.

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, equipment, and administration).
- Demonstrates the level of service provided is in line with the proposal cost.

Other Program Policy Factors:

In addition to considering how project Proposals satisfy the Evaluation Criteria listed above, NYSERDA reserves the right to make funding decisions based on other Program Policy Factors, including but not limited to:

- The degree to which pricing and hourly rates are in line with the rest of the market.
- The degree to which the proposer optimizes the use of available funding to achieve programmatic objectives.
- The degree to which the proposer has the resources (human and financial) to be able to complete the project.
- The past performance of the proposer on other technical and business endeavors, including NYSERDA and other state agencies.

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 (1) award under this solicitation. NYSERDA anticipates a contract duration of 60 months (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 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. 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.

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

VI. Attachments:

Attachment A – Statement of Work Template

Attachment B – Budget Form and Instructions

Attachment C – Sample Agreement



Large-Scale Renewables Procurement and Analysis Services-on-Demand
Program Opportunity Notice/Request for Proposal RFP 5831

\$6 Million Available

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

Proposals Due: Tuesday, June 25, 2024, by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks to engage qualified contractors and consulting firms with diverse technical, energy, economic, and environmental analytical capacity to support the Large-Scale Renewables (LSR) program. Through this solicitation, NYSERDA endeavors to establish a pool of qualified Contractors that may be called upon to perform services as described in this RFP. This approach will enable the LSR team and the awarded contractors to efficiently and rapidly initiate both recurring and ad hoc projects in support of program goals on an ongoing basis.

The selected contractor(s) will provide additional expertise, capability, and bandwidth to strengthen NYSERDA's engagement in advancing clean energy projects and industry development in New York, including services related to supporting offshore wind, large distributed generation (>5 MW AC), utility-scale land-based wind and PV solar, hydroelectric generation, and bulk energy storage systems (BESS), as well as the combination of renewable energy with storage and other dispatchable "Power-to-X" complementary technologies and other renewable or emissions-free generation technologies.

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 the Designated Contacts, who for this procurement are Steven Moser, Dave Crudele, James Cowman, and Alex Stein. Questions about this RFP must be submitted to the Designated Contacts via email at RES@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact James Cowman at (518) 862-1090, ext.3652 or by e-mail at Jim.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. 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 3:00 p.m. Eastern Time. Files in process or attempted edits or submission after 3:00 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

In support of the Climate Leadership and Community Protection Act (Climate Act) 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 terrestrial wind and solar generation and offshore wind generation via long-term Renewable Energy Certificate (REC) purchases, as well as transmission to ensure clean energy delivery. In accordance with the Clean Energy Standard and Offshore Wind Standard established by the Public Service Commission, NYSERDA releases solicitations for the purchase of New York RECs and Offshore Wind RECs (ORECs) in furtherance of the Climate Act'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.

NYSERDA seeks to partner with one or more contractors to increase our capacity under the following Support Areas, described in detail later in this RFP:

- Technology, Industry, Costs, and Regulatory
- Procurement, Financial Analysis, Macroeconomic Analysis, and Modeling
- Transmission, Interconnection, and Electric System
- Energy Deliverability and Congestion Risk
- Supply Chain and Workforce

II. Program Requirements

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:

- Technology, Industry, Costs, and Regulatory: 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. Develop inputs necessary to conduct benefit-cost analysis of LSR-related programming. Support with filings to regulatory proceedings, carbon accounting and life-cycle assessment and other related workstreams.
- Procurement, Financial Analysis, Macroeconomic Analysis, and Modeling: 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, energy storage program payment structure including but not limited to Index Storage Credit (ISC) procurement support, geographic and spatial analysis and GIS support, project schedules and timelines, and other related workstreams, including assessing the impacts of energy and environmental policies on New York's employment, income, output, mobility, and other parameters. Auditing, assurance, and consulting activities for adherence to procurement process including but not limited to solicitation review, scoring, proposal review and other aspects of the procurement process as well as improvements of the procurement process. 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.

- Transmission, Interconnection, and Electric System: Support with analysis and modeling of the electric power system, transmission project and generator 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, support with filings to regulatory proceedings and other related workstreams. Analyses may include electricity system optimization, simulation/modeling (including thermal, voltage, and stability power flow, production cost, electromagnetic transient, and other relevant modeling and simulation), and other similar activities.
- Energy Deliverability and Congestion Risk: Development and maintenance of production-cost models, production-cost analysis to inform energy deliverability and congestion risk assessments, evaluate existing and potential future congestion and curtailment, test solutions to mitigate congestion and curtailment risk, review and evaluation of similar analyses from sources outside of NYSERDA, and other similar activities.
- 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 training need and opportunities, work to identify or develop recommendations for training or advanced degree programs to fill any identified gaps, and related workstreams.

NYSERDA expects to retain one or more qualified contractors to provide services in each of the specified Support Areas. Proposers receiving a subsequent award under this solicitation will be allocated an initial not-to-exceed budget over a term of 5 years with the potential to renew for a second 5-year term. As tasks are assigned, as described below, new Task Work Orders will be established and the initial budget will be drawn upon until expended. The total budget may or may not be expended based upon the work assigned. Funds may be added to the contract, at NYSERDA's sole discretion, to allow for continued engagement under this service-on-demand model. Funds can only be expended for work assigned by NYSERDA as described below. Only invoices for assigned tasks will be approved.

Assignment of Tasks

From among the successful proposers, selected contractors will be assigned specific, ad hoc projects based on NYSERDA's needs throughout the term of the engagement. Contractor expertise, workload (availability), potential or perceived conflicts of interest, and related considerations that provide for efficient and cost-effective completion of the work will be considered when assigning projects.

NYSERDA and the contractor will each designate a primary contract manager. These contract managers will be responsible for managing the overall engagement, assignment of tasks and budget burndown. It is



anticipated that the primary contacts will meet no less frequently than monthly and more frequently during periods of increased activity. Tasks will be assigned through a structured process and in writing only:

1. NYSERDA will draft a statement of objective, summary of work to be performed and deliverables for the assignment. NYSERDA may request either a milestone-based or time-and-materials-based format for each assignment.
2. NYSERDA and the contractor may elect to meet to further clarify and discuss the work to be performed, deliverables and schedule.
3. The contractor will draft a statement of work, including deliverables, schedule, required hours and cost to complete the assignment.
4. Once received, NYSERDA will review and, if in agreement, will authorize the contractor to begin work. Work authorization will be provided in writing only.
 - a. If changes are required, NYSERDA and the contractor will further collaborate until agreement is reached at which point work authorization will be provided as described.

Proposal Requirements

Proposers are invited to submit, in the format described below, 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 Area(s).

Proposals should not be excessively long or submitted in an elaborate format that includes expensive 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, RFP 5831, and the page number.

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 RFP 5831
- Specifies the Support Area(s), 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

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:

- a) Overall Experience, Capabilities, and References
- b) Personnel and Qualifications
- c) Conflicts
- d) Letters of Commitment
- e) Resumes



Proposals

Proposals will be evaluated independently for each Support Area. Salesforce allows proposers to save and restart solicitations to allow for ample time to complete before the deadline.

Each proposal must include the following subsections. For proposals to more than one Support Area, proposers may elect to repeat subsections for each Support Area and include a single appendix of resumes.

- 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 the 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.
- b) **Personnel and Qualifications Summary (2 pages):** Proposers must identify and describe the company or organization that will be the prime contractor under this RFP 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 relevant or necessary. Proposers must identify the project manager who will serve as the single point of contact under this RFP. Proposals must describe the accomplishments, experiences, and expertise of the individuals comprising the proposing team relevant to the Support Area(s) and reference one-page resumes (provided as appendices) 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 a conflict does or might exist, please describe how your company would eliminate or prevent it, and include a verifying these any such existing or potential affiliations will not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts. Non-disclosure of any affiliation or conflict can result in the termination of a contract, if awarded.
- d) **Letters of Commitment:** Letters of Commitment from subcontractors included in the proposal must be included in each proposal and include the same information included in the proposer's cover letter and describing the subcontractor's planned participation. Absence of letters of commitment may be interpreted as meaning that the proposer has not secured a firm commitment from the subcontractor(s). 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.
- e) **Resumes:** One-page resumes of all individuals (proposer and any subcontractors) who would be directly involved in providing services, highlighting their relevant experience, shall be included with the proposal as appendices. For ease of reference, organize the resumes in alphabetical order by last name of the individuals providing services, referencing in each resume header the Support Area(s) they will be directly involved with. Individual resumes shall not exceed one (1) page each.



Document 2: Attachment A: Project Personnel and Rates Form

Proposers must provide a Project Personnel and Rate form (Attachment A) and submit the name, job title, and fully-burdened hourly salary for each individual in the proposal and all subcontractors who would perform the work under an 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 RFP process becomes the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals.

III. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below. 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 of the RFP. 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.

The following criteria will be used in selecting the winning proposal:

- Contractor's experience and staffing plan.
- Bid quality (Contractor's understanding of the requirements of the Subject Area(s) as outlined in the proposa).



- Proposal quality (proposal is well written and well organized).
- Demonstrated Abilities (Contractor’s past experiences with NYSERDA; notable position within the firm’s industry, ability to deliver services needed in a timely and professional manner; demonstrated specialized unique capabilities).
- Cost (Reasonableness and relative competitiveness of Contractor’s costs labor rates through the use of appropriate staff and associated fees).

Contractors located in disadvantaged communities will be evaluated more favorably than contractors that are not.

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.
- 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).

IV. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." **Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure.** This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/-/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



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 with an option, at NYSERDA's sole discretion to renew for an additional 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 4 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 RES@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.

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



V. Attachments:

Attachment A – Budget

Attachment B – Sample Agreement



**Market Development Support for Clean and Resilient Buildings and Large-Scale Thermal
Request for Qualifications (RFQL) 5856**

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

Proposals Due: September 30, 2024 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of contractors qualified to provide technical, supply chain, project and program design support for Clean and Resilient Buildings and Large-Scale Thermal market development initiatives.

NYSERDA seeks qualified firms with expertise in the following categories:

- A. Supply Chain Support**
- B. Project Design, Development, Permitting, Operations and Commissioning**
- C. Program Design and Technical Support**
- D. Data Collection, Analysis, and Measurement & Verification Services**

Qualified firms, companies, or organizations (including teaming arrangements) must demonstrate the necessary technical and market expertise to assist NYSERDA in reaching aggressive energy and emission-reduction goals by 2030. Proposals will be evaluated and scored against each other within each of the four categories (A-D). Proposers should clearly identify which category (A-D) the proposal is intended to address (**proposals must be submitted separately under each category**). Work will be issued either directly to the top-ranked proposer in each category (up to \$250,000) or through a mini-bid process to the firms that qualify (in the respective category) under this RFQL.

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.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx)” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Scott Smith (Designated Contact) at (518) 862-1090, ext. 3344 or by e-mail district.thermal@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext.3335 or NancySolicitations@nyserdera.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 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.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

There will be a general Bidder’s Webinar to provide guidance and instructions for submitting proposals held on August 15, 2024. See Section II of the RFQL for instructions on how to register.

I. Introduction

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation with the mission of advancing innovative energy solutions in ways that improve New York’s economy and environment. The Climate Leadership and Community Protection Act (Climate Act) is the most aggressive climate and clean energy initiative in the nation, calling for an orderly and just transition to clean energy that creates jobs and continues fostering a green economy. Consistent with the Climate Act, NYSERDA’s efforts are geared to reduce greenhouse gas emissions by 85 percent from 1990 levels by 2050, while ensuring that at least 35 percent with a goal of 40 percent of the benefits of clean energy investments are directed to disadvantaged communities (DACs), and advance progress towards the state’s 2025 energy efficiency target of reducing on-site energy consumption by 185 trillion BTUs of end-use energy savings.

This solicitation will establish pools of qualified contractors to provide various strategic, technical, policy, and program support resources. NYSERDA seeks a range of experts in Clean and Resilient Buildings and Large-Scale Thermal to help design and support NYSERDA programs and market development initiatives, including, but not limited to refining strategy, determining interventions, performing analysis or modeling scenarios, interpreting customer needs and trends, and applying a test-measure-adjust approach for each market intervention. This will require a breadth of experience and expertise in objective economic, policy, technical analysis, and analytical modeling to inform and enhance the impact of NYSERDA’s efforts to achieve the Climate Act’s carbon reduction goals.

To help NYSERDA design and support innovative initiatives and programs, proposers should be intimately familiar with the strategies and objectives of the Climate Act, specifically those outlined [Climate Action Council’s Final Scoping Plan](#), with an emphasis on Chapter 12 and section B6. Proposers should also familiarize themselves with NYSERDA’s CEF Investment Plans related to the categories associated with this solicitation, i.e., “The Latest Compiled Investment Plan”. More information regarding the CEF Investment Plans can be accessed at: <https://www.nyserdera.ny.gov/About/Clean-Energy-Fund>. Proposers should familiarize themselves with [NYSERDA’s Large-Scale Thermal program](#) and the [Utility Thermal Energy Network and Jobs Act proceeding \(22-M-0429\)](#).

The contractor pool established through this solicitation will provide specialized expertise and as-needed consulting services across multiple support areas to augment NYSERDA staff capabilities to undertake distinct, time-sensitive projects. NYSERDA will continue to provide research and analytic work to inform relevant policy and program strategies, but will use these services to accelerate market, technology, and business model innovations consistent with the Climate Act. In addition to seeking research, strategies, and solutions to reduce energy use and greenhouse gas (GHG) emissions, NYSERDA is also seeking proposers with a deep understanding of clean and resilient buildings including thermal retrofits and large-scale thermal and experience in achieving carbon neutral-ready performance while integrating co-benefits for occupants in new construction, adaptive re-use, gut rehabilitation, and retrofit projects.

Contractors selected under this solicitation will be required to demonstrate high-quality analytical, technical, and regulatory/policy expertise, as well as the ability to respond promptly on short notice, assemble the needed

team, and thoroughly complete assignments within firm deadlines. NYSERDA anticipates using staff from these contractor pools to directly support and manage specific NYSERDA projects based on the qualifications and specialty expertise of contractor team members. This may require one or more team members to lead unique or specialized projects in full-time equivalent roles.

The following government entities may access the selected vendors that result from this RFQL to provide services consistent with the scopes identified in this RFQL, as long as that entity determines that this procurement met its own internal procurement requirements:

- 1) Any state agency, authority, or other state entity under the Governor’s authority;
- 2) Any other branch of government or other political subdivision of New York State not under the Executive authority of the Governor;
- 3) Any local government or other municipal government entity, such as but not limited to:
 - a. Counties,
 - b. cities,
 - c. towns,
 - d. villages
 - e. hamlets
 - f. water or electric districts
 - g. fire districts
 - h. library districts

II. Bidder’s Webinar

General Overview Webinar:

NYSERDA will conduct a general Bidder’s Webinar on August 15 at 11:00 a.m. Eastern Time to review the submission process and provide a general overview of the RFQL. Click [here](#) to register for the webinar. The webinar recording and accompanying slide deck will be posted to RFQL 5856 landing page on www.nyserda.ny.gov.

Bidders are encouraged to submit written questions for all categories prior to the webinar to district.thermal@nyserda.ny.gov and include “RFQL Bidder Webinar Question” in the subject line. Following the webinar, NYSERDA will post a listing of frequently asked questions with responses on this RFQL’s webpage. NYSERDA will post all questions anonymously and NYSERDA’s written responses will supersede any responses given during the Bidder’s Webinar.

III. Requirements and Criteria

Proposers are invited to submit, in the format described in Section VI, a proposal describing their skills, expertise, qualifications, and personnel rates in any or all of the following Categories or Subcategories. Proposers must clearly identify the Category to which the proposal responds. For respondents proposing to multiple categories under RFQL 5856, **proposals must be submitted separately under each category**. Respondents must submit their proposal and include the Project Personnel and Rates Form (Attachment A) as a separate attachment for each category. Across all areas, contractors may be asked to present and explain their project work to policymakers, market participants and other industry stakeholders.

Proposals will be evaluated based on the following criteria (see Section VII Proposal Evaluation):

- Breadth and depth of experience in each category;
- Understanding of opportunities and challenges in the category;
- Quality of expertise;
- Capabilities to meet the category needs; and
- Cost structure (low cost).

IV. Categories

NYSERDA seeks a broad range of proposers with Technical, Supply Chain, Project and Program Design experience with Clean and Resilient Buildings and Large-Scale Thermal programs and projects, including those involving district energy, geothermal, heat recovery, including from wastewater and data centers, thermal storage and climate resilience. Proposers should have a deep understanding of how the heating and cooling of New York's buildings will have to evolve to meet the Climate Act's goal to decarbonize the state's building stock by 2050.

Proposers may submit to any or all categories outlined below, and each category will be judged independently from the others. Each category is intended to create a separate pool of contractors that can meet specific needs. Each category's main objective is to execute innovative strategies to significantly curb GHG emissions, however, NYSERDA is also seeking ways to approach projects through a resiliency lens and ensure the work that results from this RFQL will help mitigate climate risk across the state. **NYSERDA anticipates most proposers will not have the expertise/experience on all criteria listed for each category, so proposers should identify the specific category criteria where they have the most experience or specialized expertise.** NYSERDA seeks contractor pools with teams of contractors that can achieve some or all the bullets in each category, but understands that few, if any, proposing teams will have expertise or experience in many or all bullets.

NYSERDA seeks qualified firms with expertise in the following categories:

Category A. Supply Chain Development

Please note that proposers that only meet one or more bullets or sub-bullets below are encouraged to submit proposals.

NYSERDA seeks proposers with experience, expertise and relationships with the supply chains that support Large-Scale Thermal, including, but not limited to:

- Large building and industrial geothermal heat pump manufacture, distribution, design and installation
- Reversible/heat recovery chillers manufacture, distribution, design and installation;
- Large bore-field installation, including drill rig manufacturing and distribution and ancillary materials manufacturing and distribution, including vaults, piping, pumping, grout and fluids;
- Thermal Energy Network or other district energy system design and installation;
- Balance of system manufacture, design and installation including, but not limited to thermal energy storage, waste heat recovery, and wastewater heat exchange systems/equipment; and
- Artificial Intelligence and/or other technologies to manage and control large-scale thermal systems including metering and consumer and prosumer billing.

Proposers must demonstrate some or all of the following:

- Understanding of, experience with and ability to engage New York State, national and international industry associations that organize and represent Large-Scale Thermal supply chain actors;
- Understanding of, experience with and ability to engage manufacturers of heat pumps, chillers, drill rigs and other equipment in the Large-Scale Thermal supply chain;
- Understanding of, experience with and ability to engage drillers in North America that have significant human and capital resources, experience with or interest in drilling boreholes for geothermal, oil and gas or equivalent;
- Identification, development and/or execution of market development strategies that can be applied to develop the Large-Scale Thermal market;
- Understanding of and ability to communicate regulations, permitting requirements, certifications and requirements specific to doing Large-Scale Thermal business in New York State;

- Experience with business consulting and development that can be translated to actors in the Large-Scale Thermal supply chain; and
- Experience with aggregation approaches that could be employed to increase availability and decrease costs of components of Large-Scale Thermal systems.

Category B. Project Design, Development, Permitting, Commissioning and Operations

NYSERDA seeks proposers with experience and expertise in activities related to the design, development, permitting, commissioning and operation of Large-Scale Thermal projects. Proposers must demonstrate some or all of the following. Please note that proposers that only meet one or more bullets or sub-bullets below are encouraged to submit proposals.

- Experience with the design of exemplary Large-Scale Thermal Systems and the ability to leverage that experience to:
 - Train and upskill other designers of Large-Scale Thermal Systems or designers of other thermal systems looking to gain experience in Large-Scale Thermal Systems;
 - Develop and share best practices for the design of Large-Scale Thermal Systems;
 - Review designs, construction documents and bid specifications for compliance with applicable codes and standards, including, but not limited to ANSI/CSA C448 and IAPMO Z-1381;
 - Provide guidance on how to design projects to maximize use, efficiency and benefits of Large-Scale Thermal Systems across a variety of existing conditions; and
 - Review and suggest improvements to construction cost estimates, including identifying elements where there are significant risks of over- or under-estimating construction costs.
- Expertise, experience and ability to support project development of Large-Scale Thermal Systems, including:
 - Identifying and prioritizing high potential sites and use cases for Large-Scale Thermal;
 - Performing outreach to building owners and developers and their architect and Mechanical Electrical and Plumbing (MEP) partners to educate them about the benefits of and business case for Large-Scale Thermal systems and funding and financing options;
 - Developing an understanding of the project pipeline of Large-Scale Thermal projects in New York State;
 - Developing and mapping case studies of Large-Scale Thermal projects; and
 - Identifying barriers to Large-Scale Thermal project development and execution that the supply chain needs to address. Identifying opportunities for NYSERDA to support the supply chain in addressing barriers.
- Expertise in and understanding of the permitting and other requirements of Large-Scale Thermal projects and the ability to leverage that experience and understanding to:
 - Develop guidance for project developers and building owners on the permitting of one or more types of Large-Scale Thermal projects;
 - Supporting State Environmental Quality Review Act analysis and determinations;
 - Review projects against forthcoming Thermal Energy Network PSC regulations issued in accordance with the Utility Thermal Energy Network and Jobs Act; and
 - Support the development of codes, standards and permitting (e.g. IAPMO Z-1381 and DEC regulations for boreholes deeper than 500 feet).
- Expertise in and understanding of commissioning and operations of large energy projects that can translate to Large-Scale Thermal systems and the ability to leverage that expertise and understanding to:
 - Develop commissioning best practices for Large-Scale Thermal systems;
 - Review and comment on commissioning plans and reports; and
 - Develop best practices and provide project specific advice on Large-Scale Thermal operations and maintenance.

- Expertise, experience with and understanding of clean energy financial structures, business models, and federal tax benefits and other funding that are specific to or can be leveraged to proliferate Large-Scale Thermal projects. Leverage that expertise, experience and understanding to:
 - Develop approaches to attracting private capital to Large-Scale Thermal;
 - Characterize, assess, and quantify capital stacks for financial structures and business models attractive to Large-Scale Thermal;
 - Advise NYSERDA and its partners on the specifics of leveraging Federal and State tax benefits; and
 - Identify and assess Federal and other non-ratepayer sources of funding (e.g. EPA Climate Pollution Reduction Grants, Infrastructure investors, etc.).

Category C. Program Design and Technical Support

NYSERDA seeks proposers with experience and expertise across the Clean and Resilient Buildings portfolio, including, but not limited to thermal retrofits and Large-Scale Thermal systems, and in working with clean energy program administrators, regulatory authorities, program evaluators and others to develop and implement market interventions that accelerate adoption of low carbon technologies in buildings. Please note that proposers that only meet one or more bullets or sub-bullets below are encouraged to submit proposals.

NYSERDA seeks general clean energy technical expertise in:

- Experience and demonstrated performance in the design and implementation of low carbon retrofits or new construction;
- Expertise in advancing novel or underutilized technologies;
- Expertise in integrating resiliency and resilient measures to mitigate climate risk;
- Experience and demonstrated performance working with clean energy program administrators, program evaluators in the design, execution or evaluation of market transformation programs;
- Familiarity with navigating the challenges of driving adoption of low carbon retrofits, including demonstrated success in the field; and
- Expertise documenting best practices, case studies, and relevant technical information and communicating with diverse audiences about the benefits of low carbon technologies.

NYSERDA seeks the following large scale thermal and related program design and technical support:

- Assessment of project and program performance, compilations of lessons from project portfolios to inform the market and future program optimization;
- Support staff of New York State agencies and authorities, including NYSERDA, in participation on advisory panels and technical working groups (e.g. IAPMO Z-1381 committees);
- As needed technical advice to staff of New York State agencies and authorities, including NYSERDA;
- Advise on improvements to program design and execution for programs that support Clean and Resilient Buildings and Large-Scale Thermal, including, but not limited to [FlexTech](#), [Clean Green Schools](#) and [Large-Scale Thermal](#);
- Technical and financial review of project deliverables; and
- Appraise staff of advancements in and ways to strengthen the incorporation of the following into Large-Scale Thermal systems and programs:
 - Thermal energy storage;
 - Waste heat recovery, including from data centers;
 - Climate resilience; and
 - Large industrial heat pumps.

Category D. Data Collection, Analysis, and Measurement & Verification Services

NYSERDA seeks proposers with the capability, expertise, and experience required to provide a range of data collection/extraction, review, and analysis services, including those with the ability to implement comprehensive savings Measurement & Verification (M&V) plans for Clean Energy projects participating in the suite of NYSERDA's Clean and Resilient Buildings (CRB) team programs.

Proposers must have the ability to deliver one or more of the following scope items, which include, but are not limited to:

- Public Dataset Discovery and Evaluation Research
 - Identify, collect, and evaluate data from multiple data types and sources, including governmental and national lab databases, renewable energy databases, and financial institutions/major market actors;
 - Propose methods for aggregation and analysis of collected datasets. This methodology must be documented, extensible, and allow for the addition of new datasets as well as changes in source format over time;
 - Evaluate existing building performance data schemas and tools, and identify/recommend existing industry standards/best practices for program adoption where necessary;
 - Create and deliver complex data visualizations to the market, with the ability to solicit, and implement revisions in response to public feedback; and
 - Research, summarize, and report on utility rate structures and metering standards, including those employed in:
 - Large-Scale Thermal and District Energy Systems;
 - Utility Demand Response Programs; and
 - Real-Time Carbon Pricing Initiatives.
- Savings Measurement & Verification Plan Design and Implementation
 - Review, comment, and implement program level, and project specific, energy data collection and analysis plans, including, but not limited to:
 - Collect and review baseline/performance period energy and utility data for all fuels at an individual project site;
 - Description of specific IPMVP method(s) most appropriate to meet the project measurement and reporting goals;
 - Design of data collection instruments to support project evaluation methodology; and
 - Deployment of necessary meters, devices, or tools required for successful M&V within individual project sites.
 - Review of vendor or customer implemented M&V plans and reports, and proposal of modifications, edits, or alternate methods to improve accuracy of results or reporting.
 - Analyze submitted measures and ECMs within vendor reporting, identifying, and tagging measures by Type and Outcome; and
 - Recommend revisions to process or reporting for the purpose of improving the quality of program reporting.
 - Investigate, summarize, and report on market M&V best practices and methods, including those required for:
 - State of the art, high accuracy thermal energy metering systems; and
 - Common Commercial BAS data schemas.
 - Collect and analyze energy bill and other data to determine equity impacts of clean energy retrofits including, but not limited to bill impacts of electrification and other clean energy retrofits on customer energy bills, including customers in DACs.
- Data Hosting, Analysis, and Statistical Review Tool Development

- Design, create, and maintain program and project related databases, hosted in either a public (Amazon AWS, Microsoft Azure, Google, etc) or private cloud, including the provision of user support and configuration services, addition of new vendor and program staff users as requested, troubleshooting, and regular GUI enhancements;
- Investigate program and project level data for completeness and sparsity concerns; and
- Recommend and develop methods of analysis and reporting for public and private program datasets.
- Program Process Review and Recommendations
 - Facilitate the collection, aggregation and analysis of data across multiple projects and programs through the recommendation of data management best practices; and
 - Review and optimize program data collection requirements with regard to ensuring the accurate calculation and reporting of project and program Key Performance Indicators (KPIs).

NYSERDA routinely seeks to incorporate the latest data collection and analysis technologies, while adhering to strict data management procedures. Proposers are encouraged to recommend novel data collection and analysis methods, including but not limited to those driven by Artificial Intelligence (AI), data mining, web scraping, data analyses platforms (by proposers or collaborators), focus groups, case studies, and relationship mapping (social network, or otherwise). Proposers with methods to streamline data collection from static sources, such as building plans, energy audit reports, and PDF/Word documents should explicitly describe these methods within their response.

V. Processes and Procedures

A. Umbrella Agreements, Funding and Schedule

Pools of contractors that demonstrate market and technical merit will be selected through this RFQL. NYSERDA envisions contracting with individual firms, including those with teaming or subcontracting arrangements; however, proposers (as the lead contractor) cannot charge overhead for work done by a subcontractor. Any necessary oversight hours for subcontractors should be included as direct labor and clearly labeled in the budget submitted as part of Task Work Order Plan(s). NYSERDA will enter into zero-dollar value Umbrella Agreements with all proposers who qualify in each category, enabling NYSERDA to retain their services. This Umbrella Agreement will not guarantee any specific amount of work. The amount of work assigned to contractors will depend on NYSERDA's needs, the particular expertise, the amount of work requested in the respective technical area, past performance, current workload, deadline requirements, and the ability of the contractor to provide high quality, cost-effective, and timely services.

Funding may be committed over an initial term of four (4) years, with one option to renew for another two (2) years for services provided through zero-dollar value Umbrella Agreements (see Attachment A—Sample Agreement) resulting from this RFQL. This Umbrella Agreement will not guarantee any specific amount of work. NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available. Agreements will be negotiated soon after the notification of selection is delivered to successful proposers.

B. Services Requested

As a result of this RFQL, NYSERDA expects to retain multiple, qualified contractors to provide a variety of services in the categories outlined above. The number and type of services requested from the selected contractors will depend on the nature and complexity of the project, the contractor's expertise, NYSERDA's need for services, and performance.

NYSERDA encourages all firms that can demonstrate the qualifications and skill sets described within this solicitation to propose, regardless of whether or not they have energy industry-specific experience. Proposers are

encouraged, but not required, to team with partners (subcontractors) they consider would offer complementary expertise in any of the above-mentioned categories or subcategories.

C. Task Work Order Requests and Plans

Projects will be assigned through a written Task Work Order Request and initiated through a Task Work Order Plan, which will become a binding agreement for all parties. NYSERDA Project Managers will pursue either of the following options: (1) issue a Task Work Order Request, up to \$250,000 to the highest ranked contractor under a specified category, or (2) issue a mini-bid request to all contractors retained under a specified category or 3) issue a Task Work Order, up to \$50,000, to any contractors qualified under this RFQL. Under Option 1, if the response from the top-ranked contractor is considered satisfactory, a written Task Work Order Plan will be completed. If considered unsatisfactory, NYSERDA retains the option of reissuing the Task Work Order Request as a mini-bid, as described in Option 2. For Option 2, NYSERDA will issue the mini-bid request to the relevant contractors. Under both a request to the top-ranked contractor and in the mini-bid process, respondents shall provide a detailed response to the request, including staffing, hours, budget, and scope of work.

Once a contractor has been selected for a project as per the above process, a Task Work Order Plan will be prepared by the contractor in cooperation with NYSERDA. Task Work Order Plans shall include:

- The goals and objectives of the project;
- The strategy and approach outlined by tasks;
- Any relevant background information;
- Defined deliverables;
- The project time frame;
- The names and titles of individuals to work on the project;
- The total not-to-exceed cost of the project, including a breakout by task and by title, hourly rate, hours, and non-labor costs; and
- The identification of measures to assess project success.

The details of any Task Work Order Plan will be consistent with the level of complexity of the proposed project or activity. Hourly rates shall be those established in the general Umbrella Agreement. The Task Work Order Plan for most projects is expected to be approximately one to five pages, depending on the complexity of each project. NYSERDA must review and approve all Task Work Order Plans and incorporate as a Task Work Order under the Umbrella Agreement, before projects are initiated.

Depending on the nature of the work product that is developed or results from any particular Task Work Order with NYSERDA, contractors may be required to execute a non-disclosure agreement prior to engaging in the specified work effort.

D. Contractor Responsibilities

If and when selected for a project, the selected contractor shall be required to:

- Prepare a Task Work Order Plan, with budget, for each project for review and approval by NYSERDA;
- Negotiate the scope and cost of the work with NYSERDA;
- Upon agreement by all parties to the final Task Work Order and receipt of a Task Work Order executed by NYSERDA, 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.

E. Compensation

Compensation will be based on the contractor's – and subcontractors', as applicable – fully-burdened hourly rates (included in the proposal) plus allowable expenses. NYSERDA will negotiate each Umbrella Agreement on the basis of demonstrated competence and qualifications, at fair and reasonable fees. Fee schedules shall be included in each proposal that identify rates for each member of the team by title. Proposers are asked to consider the length of the Agreement (four years) when proposing their fee schedules, which will be fixed for the duration of the four-year contract period. Should the Agreement be extended after the initial four-year contract period, rates may not escalate by more than 3% annually. Please note that proposers cannot charge overhead for work done by a subcontractor. Any necessary oversight hours for subcontractors should be included as direct labor and clearly labeled in the budget submitted as part of Task Work Order Plan(s).

Budgets for all work conducted will be included in the Task Work Order and approved by NYSERDA. The Task Work Order will also place a ceiling or not-to-exceed amount for each project. Contractors who accrue billable hours beyond the ceiling in the Task Work Order, without approval in writing by NYSERDA, will do so at their own risk. **Contractors will not be compensated for time spent in the preparation of any Task Work Order Plan.** Preparation of the Task Work Order Plan is considered to be covered by the contractor's overhead expense.

VI. Proposal Requirements

Proposers are invited to submit a proposal for any or all of the categories or subcategories. Proposers must submit separate proposals for each category to which they apply.

A. Submittal

To be eligible for selection under this RFQL, Proposers must submit a complete proposal and agree to the requirements of this RFQL. **Each category requires a separate proposal submission. Proposers are encouraged to allot at least 60 minutes to enter/submit each proposal into the NYSERDA portal.**

B. Length

Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, RFQL 5856, the page number, and category and subcategory letter/number to which it applies. The font size shall not be smaller than 11 points.

C. Ownership and Compensation

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

D. Proposal Format

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

1. Cover Letter(s) (1 page suggested)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 5856.
- Specifies each specific Category, 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 attached to the proposal and include the same information included in the proposer's cover letter.

2. Table of Contents (1 page)

Proposers should present a comprehensive table of contents that outlines the page number and section where each section can be found.

3. Category Proposal(s)

Proposals will be evaluated independently for each Category and will be evaluated listed below:

(a) Breadth and depth of experience performing services in the category (2-4 pages)

Proposers should describe the breadth and depth of their experience as it relates to the needs of the category, including, but not limited to strategic, analytical, technical, market, and policy/program design experience. Describe the experience as a team/firm to deliver services in the proposed Category, focusing on how identified efforts made a difference, including the extent of impact and influence achieved. This description should include the aggregate number of years working in this Category and a brief summary of at least two, and no more than three, projects related to this category. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project. For at least one of the projects mentioned, proposers must include an example of a recent solution or success related to the category with references, including customer contact name, email, and phone number.

(b) Market awareness and insights of opportunities and challenges in the category (2-4 pages)

Describe the key challenges and opportunities, both technical and market-based, facing the category in the short, medium, and long term. Focus on similarities and differences between New York and the market at large. Include potential solutions that could be deployed by NYSERDA either through individual programs or across its portfolio. Proposers should describe how their insights can help New York meet the goals of the Climate Act, as further described in the Climate Action Scoping Plan, with a focus on Chapter 12 for clean and resilient buildings, and especially starting at page 202 for Large-Scale Thermal. Please include references to recently published abstracts from articles, white papers, or presentations from the proposer (or sub-contractor) specifically addressing issues related to the respective category as an Attachment.

(c) Quality of expertise, including depth of personnel and qualifications (1 -2 pages; résumés provided as an Attachment)

Describe the expertise and abilities of the individuals comprising the proposing team relevant to the Category. Reference one-page résumés (provided as an attachment) that highlight recent experiences of all individuals who will be directly involved in providing services. Identify all staff members, teams, and subcontractors that are to be involved in providing services in the Category, with descriptions of qualifications and the role they will play in the respective category. Describe past working relationships among team members and subcontractors. Include an organizational chart, if necessary. Proposers must identify the project manager who will serve as the single point-of-contact under this RFQL.

(d) Capabilities to meet category needs (1 page)

Describe the specific capabilities and resources available to your firm in addressing the needs of this category. Include a summary of specialized technical and information solutions available for support, such as identifying of thought leaders, critical research findings, industry trends, and if applicable to the category, supply chain mapping insights and describe how these will be used to inform and support the objectives of the category. Provide any information related to access or ownership of any information resources, including databases, modeling program software, research tools, etc. Please note any tools or resources that would need to be purchased (and the total cost) to adequately meet the needs of the category. Focus on any unique market differentiators that your firm can provide working in this space.

4. **Conflicts:** The firm, its principals, subcontractors, and any personnel of the firm must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all of your product, manufacturer or service-related affiliations. If any affiliations exist, you must provide a statement verifying these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.
5. **Cost Proposal – Project Personnel and Rate Form (1 page)**
Proposers must provide a Project Personnel and Rates form (Attachment A) and submit the name, job title, and fully-burdened hourly salary range for each individual in the proposal and all subcontractors who will perform the work under an Agreement with NYSERDA.

NYSERDA is not requiring proposers to estimate travel or other direct costs as part of proposals, but reasonable costs for these may be part of TWOs on an as needed basis. NYSERDA will not reimburse the purchase or rental of measurement tools and equipment. NYSERDA envisions contracting with individual firms but will entertain teaming or sub-contracting arrangements; however, proposers cannot charge overhead for work done by a sub-contractor. Any necessary oversight hours for subcontractors should be included as direct labor and clearly labeled in the budget submitted as part of Task Work Order Plan(s).

6. **Résumés** (Provide as an Attachment)
Include one-page résumés that highlight recent experiences of all individuals (proposer and any subcontractors) who will be directly involved in providing services. For ease of reference, organize the résumés in alphabetical order by last name of the individuals providing services, referencing in each résumé header the category or subcategory they will be directly involved with. Individual résumés shall not exceed one (1) page each.

VII. Proposal Evaluation

Proposals that meet submission requirements will be reviewed by a Scoring Committee. Responses to this RFQL will be reviewed and assigned scores based on the criteria highlighted below. As part of the evaluation process, proposers may be required to have appropriate representatives participate in an interview in Albany, NY or New York, NY prior to final selection. Additionally, NYSERDA may consider the following program policy factors in making award selection decisions:

- The degree to which there is diversity in geographic location to best achieve the overall goals and objectives of the Program;
- The degree to which pricing and hourly rates are in line with the rest of the market;
- The degree to which the selected contractors in each category, as described in Section IV, provide full coverage of services to NYSERDA; and
- Past experience as a NYSERDA contractor.

A. Breadth and Depth – Experience, capabilities, and qualifications to perform services in the Category, assessed on the basis of:

- Qualifications and expertise of the personnel/team, including, but not limited to strategic, analytical, technical, market and policy/program design experience;
- Previous experience in the conduct and delivery of similar or related services;
- Extent of impact and influence achieved through previous initiatives and activities;
- Quality and relevance of previous work as evidenced by sample projects; and
- Information provided by references, including examples of recent solutions and/or successes as it relates to the category.

- B. Market Awareness and Insights – Understanding of opportunities and challenges in the category,** assessed on the basis of:
- Understanding the challenges and/or barriers related to the category;
 - Identification of any opportunities or value propositions to help NYSERDA achieve success in the category and advance the goals of the Climate Leadership and Community Protection Act (Climate Act) State Energy Plan/Clean Energy Fund/REV, such as reducing greenhouse gas emissions;
 - Insights on similarities and differences between New York and the market at large; and
 - Any market insights or research that informs and supports the objectives of the category, such as identifying thought leaders, critical research findings, industry trends, and if applicable to the category, supply chain mapping insights with a brief description of how these will inform and support the objectives of the category.
- C. Quality of Expertise – Personnel and qualifications,** assessed on the basis of:
- Adequacy/depth of corporate resources to provide requested services;
 - Demonstrated ability to complete projects on schedule; and
 - Staff and their roles are clearly identified, including the roles of any sub-contractors.
- D. Responsiveness – Capabilities to meet category needs,** assessed on the basis of:
- Demonstration of resources necessary to fully meet the category needs,
 - Access or ownership to any information resources, including databases, energy modeling software, research tools, etc.;
 - Services and support for category needs are clearly listed;
 - Content and response to category needs is well-organized and adheres to the RFQL proposal guidelines; and;
 - A complete, comprehensive, and effective response to the category needs is provided, including overall clarity and organization of the proposal.
- E. Cost Structure – Reasonableness of fully-burdened labor rates and associated fees,** assessed on the basis of:
- Overall reasonableness of fully-burdened labor rates and fees;
 - Consistency of rates compared to expertise, qualifications, etc.; and
 - Minimizing travel costs for proposers or sub-contractor staff outside New York State (e.g. proposing team members have New York-based office(s)).

VIII. GENERAL CONDITIONS

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

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Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to 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 4 years with an optional 2-year renewal, unless NYSEDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 12 weeks from the proposal due date whether your proposal has been selected to receive an award. 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 Scott Smith at district.thermal@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 \[PDF\]](#).

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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. NYSEDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

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

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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Attachments:

Attachment A – Project Personnel & Rates

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



NYSERDA

**Home Electrification and Appliance
Rebates (HEAR) Appliance Upgrade Program - Application for Retailer Enrollment**

Program Opportunity Notice (PON) 5859

Applications accepted through December 31, 2026, by 3:00 PM Eastern Time*

I. INTRODUCTION

The U.S. Department of Energy (DOE) has introduced the Home Electrification and Appliance Rebates (HEAR) program using funding from the Inflation Reduction Act (IRA). The IRA established population-based formula grant funding to be provided to State Energy Offices to develop and implement programs under administrative rules established by DOE. NYSERDA is currently seeking approval from the DOE to administer the Appliance Upgrade Program (Program) under HEAR that will provide incentives to income-eligible owners and renters (Customers) of single- and multi-family residential buildings in New York State for a pre-defined list of measures supporting energy efficiency and electrification improvements (Qualified Electrification Projects, QEP). Subject to approval of the Program by the DOE, NYSERDA intends to offer these prescriptive rebates to Customers at or below 150% State's Area Median Income (AMI). The formula grant amount to NYS is \$158.4 Million through 2031, with a portion of the total formula grant used for the Program.

Subject to final approval from the DOE, through the Program, NYSERDA intends to offer rebates for QEPs that include ENERGY STAR® certified induction cooktops/ranges/stoves/ovens, heat pump clothes dryers, and electrical wiring and service panel upgrades necessary for such appliance installations to Customers in New York State. All-in-one washer-dryers with a heat pump clothes dryer are also eligible under the scope of heat pump clothes dryers. For the October 2024 launch, the appliance measures will only include ENERGY STAR® certified heat pump clothes dryers (including the all-in-one washer-dryer with heat pump dryer). NYSERDA intends to expand the available measures to include induction stoves/cooktops/ovens/ranges and will update this PON once they are available. Program Participants include Customers as well as Participating Contractors and Regional Clean Energy Hub (Hub) representatives applying on their behalf. Through this PON, NYSERDA seeks to develop a network of Participating Retailers for the Program, which is anticipated to launch in October 2024, subject to approval by the DOE. Interested contractors will be able to apply for enrollment as a Participating Contractor through a future revision of this open solicitation. Future revisions of this solicitation will also include additional detail on the incentive offerings for Program Participants and will include an updated Program Manual version as well as a link to the Program website.

NYSERDA reserves the right to make changes to the incentive offering, including but not limited to amount, timing, recipient, structure, incentive caps and total budget available. Any changes to the incentive offerings will be done via a modification to the Program Manual with notice provided to Program Participants. NYSERDA will make reasonable efforts not to decrease incentive levels. If it becomes necessary to change the incentive offering, NYSERDA will attempt to give reasonable notice to Program Participants and Participating Retailers.

The Program, including the final terms and conditions, are contingent upon DOE's final approval of the Program.

II. PROGRAM DESCRIPTION

Program Participants will be authorized for the coupon reservation of appliance and electrical upgrades after Customer income and measure eligibility is acquired, reviewed, and approved by NYSERDA's Implementation Contractor (IC). Customers, Participating Contractors and Regional Clean Energy Hub representatives will have the ability to apply and reserve coupon(s) for Customers as Program Participants. Income-eligible New York State residents will be eligible for rebates as outlined in the Program Manual (Attachment A).

Per Section I, through this PON, NYSERDA seeks to develop a network of Participating Retailers for participation in the Program, anticipated to launch in October 2024. NYSERDA intends to roll-out the Program with a “non-connected” pathway where Participating Retailers and Contractors will perform program tasks through a NYSERDA-built system in Salesforce, known as the MyEnergy Portal.

This PON will be updated if NYSERDA establishes a “connected” Participating Retailer path (built with application programming interfaces (APIs)) with the DOE.

For Program launch, Participating Retailers will create and upload batches of coupons for Program Participants to reserve in the MyEnergy Portal (through the application process), as noted above. Please refer to the Program Manual (Attachment A) for additional details on the coupon process and criteria.

The Implementation Contractor (IC) will manage the payment process once all the necessary documentation is received from the Participating Retailer and approved; the IC will ensure a timely project review.

III. APPLICATION REQUIREMENTS

Requirements for eligible retailers include the following, and are further detailed in the Program Manual (Attachment A):

- Adhere to the non-connected pathway outlined above in Section II and the Program Manual.
- Currently sell ENERGY STAR® certified: heat pump clothes dryers and/or induction stoves/cooktops/ranges/ovens and/or all-in-one washer-dryers (with heat pump clothes dryer) at point-of-sale through brick-and-mortar stores and/or online (online only retailers are eligible) to consumers.
 - Manufacturers are eligible for enrollment if they sell direct-to-consumer (DTC) online and/or in brick-and-mortar stores.
 - Retailers must ensure available stock of the respective appliance types for Customer purchase in October 2024 (aside from induction stoves/cooktops/ranges/ovens).
 - Note: Retailers who only sell induction stoves/cooktops/ranges/ovens will be able to enroll but will be inactive in October 2024 until this measure is included in the Program.
- Must provide the option for delivery
 - Note: Only NYS Customer addresses are eligible for delivery. Customers who reside outside of NYS may not participate.
- Possess desktop or laptop or tablet computers with access to the internet and a modern browser as well as the ability to create and upload .csv files.
 - All desktop and/or laptop and/or tablet computers must be equipped with an antivirus software..
- Possess (or create if not available) active email accounts for the Participating Retailer point-of-contact (applicant) and all users intended to access the MyEnergy Portal.
 - Accounts must be created before enrollment is finalized.
- Sign a NYSERDA Appliance Upgrade Retailer Participation Agreement (Attachment B), which includes key requirements, like:
 - Submitting data to the Implementation Contractor for coupon reimbursement.
 - Submitting data to NYSERDA to be reported to the DOE.
- Participate in monthly Participating Retailer meetings for training and program updates.

IV. QUALIFICATION PROCESS

NYSERDA has procured a Retailer and Contractor Recruitment Consultant (Recruitment Consultant) who will assist NYSERDA with developing and maintaining the list of Participating Retailers as well as reviewing the retailer submissions through this PON, and add those who qualify to the public-facing list on the NYSERDA website. Participating Retailers will receive training and support from the Recruitment Consultant on the MyEnergy Portal and the overall non-connected process, with NYSERDA and/or the Recruitment Consultant providing the training materials. The Recruitment Consultant will work with NYSERDA to ensure that Participating Retailers adhere to the requirements outlined in their Participation Agreement.

Participating Retailers will be removed from the Participating Retailer list if they fail to comply with the terms outlined in the Participation Agreement such as:

- Applying appliance coupons to ineligible products (e.g., non-ENERGY STAR® certified)
- Failure to uphold a one-year parts and labor warranty in addition to any manufacturer's warranties
- Failure to apply the correct coupon amount at the point-of-sale to a Customer's appliance purchase
 - Transactions where the Participating Retailer applies incentive amounts that are in excess of the Customer's eligible amount will not be reimbursed by NYSERDA.

This PON will be updated with additional information as NYSERDA receives approvals from the DOE.

V. APPLICATION SUBMISSION:

Interested retailers must complete the SeamlessDocs Form titled HEAR Appliance Upgrade Program Participating Retailer Application (Application).

One application shall be submitted for each retail company, not one per retail location; enrollment as Participating Retailers is done on a per company, not per location, basis. Retailers that submit the Application are not bound to any terms and conditions. Enrollment for full participation requires the retailer to sign the Retailer Participation Agreement (Agreement) included herein as Attachment B. NYSERDA is working to ensure that retailers who have a signed Agreement one month prior to the Program launch date will be active Participating Retailers for the Program launch in October. Once a retailer is enrolled, they must prepare one batch of coupons no less than 2 weeks before Program launch; the specific date will be communicated by the Program team.

No communication intended to influence this procurement is permitted except by contacting Ryan Moore, Senior Project Manager at (518) 862-1090, ext. 3267, Nicole Munz, Project Manager or Chris Corcoran, Assistant Director (for technical questions). Email contact regarding technical questions is only permitted through IRARetail@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 applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offerer, and (2) may result in the applicant not being awarded a contract.

VI. * Faxed, or emailed applications will not be accepted. Incomplete or inaccurate applications (e.g., inaccurate available appliance type information) may be subject to disqualification. It is the applicant's responsibility to ensure that all pages have been completed in the application. 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>).

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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.

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Federal Funding – The Program described in this solicitation is funded, in whole or in part, with funds provided by the federal government. As such, NYSERDA is required to comply with DOE and other federal regulations and procedures governing financial awards as outlined in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200 as amended by 2 CFR Part 910 and other procedures applicable to this regulation as DOE may, from time-to-time, prescribe for the administration of financial assistance. NYSERDA reserves the right to flow down requirements to Participating Retailers to the extent necessary to meet its obligations under the federal regulations referenced herein.

V. Attachments:

Attachment A – NYSERDA Home Electrification and Appliance Rebates (HEAR) Appliance Upgrade Program Manual, Version 1.0 - For Retailers Only

Attachment B – Retailer Participation Agreement



**Upstate NEVI DCFC Program
Program Opportunity Notice (PON) 5865**

Up to \$21.5 Million Available

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

Proposals due December 4, 2024 by 3pm ET

I. Program Summary

Through this **Upstate NEVI DCFC Program** (the Program), the New York State Energy Research and Development Authority (NYSERDA) seeks proposals to develop Direct Current Fast Charging (DCFC) Electric Vehicle Supply Equipment (EVSE) along Alternative Fuel Corridors (AFCs) in New York State north of and including Interstate 84 (I-84). The Program will make up to \$21.5 million in federal National Electric Vehicle Infrastructure (NEVI) Program formula funding available for these purposes. This NYSERDA Program is overseen by the New York State Department of Transportation. This Program is intended to increase the availability of DCFC Electric Vehicle Supply Equipment (EVSE) in New York State by reducing the cost of purchasing and installing the equipment. Ultimately the Program will accelerate electric vehicle (EV) adoption by increasing the State’s EV infrastructure. By increasing the use of EVs and EV chargers, this program benefits New York State citizens by reducing harmful emissions and the transportation sector’s dependence on petroleum. The NEVI Program supports the Federal government’s Justice40 Initiative, its goal that 40 percent of the overall benefits of certain Federal climate, clean energy, affordable and sustainable housing, and other investments flow to disadvantaged communities that are marginalized by underinvestment and overburdened by pollution. Table 1 summarizes key program design components.

Table 1. Key program design components.

	Description of Program Component
Eligible Applicants	<p>The primary applicant must be the entity that will own the installed EVSE. Either the EVSE owner, the EVSE network operator, or the EVSE maintenance provider must be able to demonstrate that they have experience operating, and/or providing networking services to, and/or providing maintenance service through long-term service agreements to at least 10 DCFC for at least 2 years. All incorporated entities and local governments are eligible to apply unless a state or federal restriction would prevent the award of federal funds to the entity.</p>

Site Location	<p>All proposed sites must be along an AFC in one of the three sub-regions in upstate New York, as defined on the attached map (Attachment A) and in Section II A. below. Applicants are limited to 4 proposals per subregion and 8 proposals in total.</p> <p>The top three (3) ranked sites within each sub-region that are determined to be meritorious will receive awards. Additional awards may be made to meritorious sites in any sub-region based on rank evaluation order, subject to funding availability.</p>
Funding Limits and Cost Share	<p>NYSERDA will fund a maximum of \$1,536,000 per site (as described in Section II.C, Award Size). Proposers may submit up to four (4) proposals per sub-region (as described in Section IIA, Relevant Definitions) and no more than eight (8) proposals total. Proposers must submit a separate proposal for each site</p> <p>All proposals must include at least 20% (non-federal) proposer cost share of total eligible costs (as described in Section III C., Eligible Costs). Proposers providing more than the required cost share will be granted additional evaluation points in the evaluation process.</p>
Site Requirements	<p>Each site must accommodate simultaneous charging for at least four vehicles at a minimum of 150 kW and offer a total site delivery capacity of at least 600 kW. Sites with greater than four ports must still provide simultaneous charging of at least 150 kW to each port.</p> <p>All EVSE ports must have Combined Charging System (CCS) connectors, but proposers are strongly encouraged to also offer J3400 connectors on some or all EVSE.</p> <p>The minimum fundable ports per site is four (4) and the maximum fundable ports per site is eight (8), and the minimum fundable kW per site is 600 and the maximum fundable delivery capacity per site is 1,600 kW. Proposers may install ports and/or delivery capacity in excess of these levels, but NYSERDA will not fund any ports beyond 8 or any delivery capacity beyond 1,600 kW.</p> <p>Each site must be within one travel mile of a designated AFC in upstate New York. Sites located at least ten miles from other existing or planned NEVI-compliant DCFC sites will be favored in evaluation.</p>
Scoring of Applications	<p>Scoring will be based on the following criteria, as discussed in the Evaluation Criteria section below:</p> <ul style="list-style-type: none"> • Team Qualifications and Project Approach • Proposed Site Information and Commitment • Site Readiness and Future Proofing • Economic/Workforce Development • Project Cost Effectiveness

Proposal Submission: Online submission is required at:

https://portal.nyserderda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0r8z000000ljUZ

For detailed instructions on how to submit a proposal (online), see “[Application Instructions and Portal Training Guide \[PDF\]](#)” located in the “Current Opportunities” section of NYSERDA’s website (www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx).

Potential responders are advised that under New York State Finance Law Section 139-j, communication on solicitation can be made only to designated contact persons. The Designated Contact for this solicitation is: Melissa Duchan (Designated Contact) by phone at 212-971-5342 x3129 or Megan Quirk (Designated Contact) by phone at 518-862-1090 x4128 or either contact by e-mail at dcfc@nyserderda.ny.gov. If you have contractual questions concerning this solicitation, contact Jim Cowman (Designated Contact) at (518) 862-1090, ext. 3652 or Jim.Solicitations@nyserderda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 p.m. Eastern Time on December 4, 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 relevant information has 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 (www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx).

NYSERDA will host two optional webinars for potential proposers on Thursday, September 19th at 4pm ET as well as Monday, October 21st at 3pm ET. Proposers interested in attending can register at:

September 19: <https://nyserdany.webex.com/weblink/register/r627ee1cb01bc3095b77990f82b59b3ab>

October 21: <https://nyserdany.webex.com/weblink/register/r242d527dca444cf53593f44ce2207a71>

At the webinars, NYSERDA will discuss NEVI and proposal requirements.

II. INTRODUCTION

Transportation is responsible for approximately 28% of all greenhouse gas (GHG) emissions in New York State. In support of New York State’s nation-leading GHG emissions reduction goals—targeting 40% reduction of GHG emissions by 2030 and 85% by 2050— New York State has developed an integrated, long-term policy approach to addressing emissions from the transportation sector.

New York State must increase EV adoption to meet transportation decarbonization and broad GHG reduction goals. To do so, the deployment of DCFC infrastructure is critical. Increased installation of DCFC infrastructure will help meet the needs of growing EV populations, counter consumer range anxiety concerns, and accelerate EV adoption in New York State. However, deployment of DCFC infrastructure has been slow to date due to a set of inter-linked barriers such as high installation costs, low utilization, and uncertain future vehicle technology.

To tackle this set of barriers, NYSERDA and the New York State Department of Transportation (NYSDOT) have developed this **Upstate NEVI DCFC Program (the Program)**. The Program will cover up to 80% of the eligible costs associated with purchasing and installing new DCFC infrastructure along designated Alternative Fuel Corridors (AFCs) in New York State. By greatly reducing the cost of construction, the Program will contribute to the following goals:

- Expand the DCFC network within New York State along designated AFCs
- Add reliability and resiliency to the EV driving and charging experience in New York State
- Expediently increase the ratio of DCFC per registered EVs in New York State
- Support the viability of EV use in areas of the State currently underserved by DCFC access

The federal National Electric Vehicle Infrastructure Formula Funding Program (the NEVI Program) was established by the Infrastructure Investment and Jobs Act, signed into law on November 15, 2021. New York State will receive approximately \$175 million through the NEVI Program over five years. Initial NEVI Program funds must be spent on DCFC sites located within one travel mile of Federal Highway Administration (FHWA) designated AFCs that provide a minimum 150 kW per port.

This program uses funding from the NEVI Program and is subject to the rules of that program. This federally funded program complements other New York State funded efforts to expand EV infrastructure:

- Through the [EVolve NY](#) incentive program, the New York Power Authority (NYPA) will fund the installation of up to 200 DCFC EVSE with 150+ kW rated capacity along key interstate corridors and in select urban hubs.
- In January 2023, the New York State Public Service Commission (PSC) [approved new, beneficial utility rates](#) to reduce costs for EV charging. The rates are expected to be available in 2025, but as an interim measure many utilities are offering demand charge rebates.
- In November 2023, the New York State Public Service Commission approved revisions to its [Make Ready Program](#), a \$1.2 billion initiative directing the State's utilities to support the installation of publicly accessible EVSE. The Make Ready Program will support the installation of nearly 40,000 Level 2 EVSE and more than 6,000 DCFC EVSE. Applicants to this Program may, and are encouraged to, seek funding from the Make Ready Program to further support their EVSE site development projects. Contact information and capacity maps for all the utility companies is also included in **Attachment A**.

A. Definitions

Backup Site: Optional additional site identified in the initial proposal within a five-mile radius of the primary Site that could serve as an alternative if the primary site cannot move forward to construction. The Backup Site should have similar qualities to the original site. Backup sites must be identified in the initial proposal and may not be identified later.

Connector: Plug that delivers electricity from a charger (or EVSE) to an electric vehicle. Synonymous with plug.

Direct Current Fast Charger Electric Vehicle Supply Equipment (DCFC EVSE): a charger that delivers 480+ V and 150+ kW direct current per port to an electric vehicle.

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

Electric Vehicle Supply Equipment (EVSE): Individual unit that dispenses electricity to an electric vehicle. For the purposes of this PON, EVSE will be considered as analogous to charger or charging station.

EVSE Owner: entity that will own the EVSE funded under this Program for the required 5-year period.

Federal Rule: Part 680 of Title 23 of the Code of Federal Regulations (C.F.R.)

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

NEVI Program: The National Electric Vehicle Infrastructure program, funded by the Federal Highway Administration, allocated \$175 million in formula funding to NYS over 5 years. This solicitation uses that funding.

Period of Performance: commencing on the Notice of Acceptance, the 60 month period during which the EVSE Owner is responsible for meeting the uptime and in-service requirements of the Program.

Upstate NEVI DCFC Program (the Program): Program Opportunity Notice (PON) 5865 (this solicitation). The NYSERDA program awards federal NEVI funding for the purchase and installation of DCFC EVSE in New York State.

Notice of Acceptance: NYSERDA's written notice to a Program participant that EVSE installation is complete at a Site.

Notice to Proceed: NYSERDA's written notice to a contractor that it may begin construction activities.

Publicly Accessible Site: parking space that has been designated by a site owner or lessee to be available to, and accessible by, the public 24 hours a day and 7 days a week. It may include on-street parking spaces or parking spaces in surface lots or parking garages. A publicly available parking space cannot include a parking space that is associated with a private residence or a parking space that is reserved for the exclusive use of an individual driver or group of drivers. Examples include, but are not limited to: retail stores, shopping centers, grocery stores, restaurants, gas stations, hospitals, and airports. Sites that require customer fees in addition to charging fees (e.g., parking garages) are subject to NYSERDA approval.

Site: Geographic location proposed for installation of DCFC EVSE. All sites must be within one travel mile of a designated AFC in upstate New York.

Site Owner: Owner of the site at which the EVSE DCFC will be installed. The Site Owner may or may not be the same as the EVSE Owner.

Upstate New York: For the purposes of this solicitation, the entirety of New York State north of, and including, Interstate 84 (I-84) and any areas within one travel mile of an exit from I-84 in New York State. For the purposes of this solicitation, the upstate area has been further divided into three (3) subregions (see map in **Attachment A**):

1. **Western New York**
 - a. **Interstate 90 corridor:** PA border to Exit 42 (Geneva)
 - b. **Interstate I-190 corridor:** Buffalo to Canadian border
 - c. **Interstate 490 corridor:** I-90 to Victor
 - d. **Interstate 390 corridor:** Rochester to I-86
 - e. **Interstate 86 corridor:** PA border to Exit 48 (East Corning)
2. **Central New York**
 - a. **Interstate 90 corridor:** Exit 41 (Waterloo) to Exit 30 (Mohawk)
 - b. **Interstate 81 corridor:** Canada border to PA border
 - c. **Interstate 86/NY-17 corridor:** Exit 49 (Big Flats) to Exit 93 (Cooks Falls)
 - d. **Interstate 88 corridor:** I-81 to Exit 17 (Cooperstown)
 - e. **NY-13 corridor:** NY-17 to I-81
3. **Eastern New York**
 - a. **Interstate 87:** Canada border to Exit 17 (Newburgh/I-84)
 - b. **Interstate 90:** NY/MA border to Exit 29 (Canajoharie)
 - c. **Interstate 88:** Exit 16 (Emmons) to I-90
 - d. **Interstate 86/NY-17** Exit 94 (Roscoe) to Exit 121 (I-84)
 - e. **Interstate 84:** PA/NJ border to CT border

B. Availability of Funds, Start Dates, and Period of Performance

Contract funding obligation occurs when a selected Proposer and NYSERDA enter into a written Agreement after the selected Proposer has satisfied all applicable requirements. A more detailed anticipated timeline is provided in **Section VI – Proposal Evaluation**.

NYSERDA will obligate Program funding after Project selections have been announced and Agreements with awardees have been fully executed. Awardees can begin incurring non-construction costs upon final execution of the Agreement. Once all required preconditions are complete, the Awardee will receive a Notice to Proceed and may proceed with construction activities and begin invoicing NYSERDA for incurred costs. NYSERDA will issue a Notice of Acceptance following construction completion and the successful testing and certification of the site. The Period of Performance will start on the date stated in the Notice of Acceptance and continue for 60 months.

NYSERDA will not pay for efforts that have already been undertaken. (Note that equipment held as inventory prior to contract execution may be considered an eligible cost if it is allocated to the Project following Notice to Proceed). Seventy-five percent (75%) of project funds will be disbursed within thirty days once a final invoice is approved for payment. The remaining twenty-five percent (25%) of project funds will be paid over the 60-month Period of Performance. NYSERDA recognizes that factors outside of the Proposer's control may result in some Projects requiring an extension. NYSERDA retains the right to prioritize projects for selection that are most likely to achieve an efficient timeline.

C. Award Size

Proposers may request up to 80% of the documented purchase, installation, and certain operational costs of newly installed EVSE or NEVI-compliant upgrades to existing DCFC EVSE up to a maximum award amount of \$1,536,000 per site. Proposers may request funding to cover no fewer than four (4) and up to eight (8) ports per site, with a total maximum delivery capacity of no less than 600 kW and up to 1,600 kW per site. NYSERDA will not cover costs beyond the designated maximum delivery capacity and ports, but the Proposer may elect to install additional ports and delivery capacity beyond the maximum at their own expense. A list of eligible expenses can be found in **Section III Program Eligibility**.

A primary criterion to evaluate proposals will be the amount of money requested from NYSERDA divided by the total maximum delivery capacity, referred to as the cost per kW (\$/kW) ratio. NYSERDA will provide up to 80% of the cost per kW (\$/kW) for the total maximum delivery capacity (kW) multiplied by the total maximum delivery capacity (kW) dispensed, not in excess of the maximum delivery capacity. NYSERDA will provide up to \$1,200 per kW of delivery capacity associated with up to eight ports.

Max NYSERDA Cost Share %	Max Ports	Max kW	Max Cost/kW	Max NYSERDA funding (Max kW * Max cost/kW * cost share)
80%	8	1,600	\$ 1,200	\$1,536,000

Examples are provided below of some sample projects with different numbers of ports, delivery capacity, cost per kW, and cost share, and how much NYSERDA funding they would be able to request.

Cost Share %	Ports	Delivery Capacity	Cost/kW	NYSERDA Funding
80%	4	600 (4x150)	\$600	\$288,000
80%	4	1,400 (4x350)	\$1,000	\$1,120,000
50%	8	1,600 (6x150 and 2x350)	\$1,000	\$800,000
80%	8	1,600 (6x150 and 2x350)	\$1,200	\$1,536,000

III. PROGRAM ELIGIBILITY

A. Eligible Proposers

This Program is open to all incorporated entities and local governments, unless a state or federal restriction would prevent the award of federal funds to the entity. For all proposals, the lead applicant must be the entity that will own the installed EVSE. A member of the applicant’s team (either the EVSE owner, the EVSE network operator, or the EVSE maintenance provider) must demonstrate, in the proposal, that they have experience operating, and/or providing networking services to, and/or providing maintenance service through long-term service agreements to at least 10 DCFC for at least 2 years. NYSERDA will confirm that experience requirements are met through an evaluation of

professional references. If the entity with this experience is not the EVSE owner, the EVSE owner must demonstrate that the entity with this experience will maintain a contractual relationship to provide network and/or maintenance services to the EVSE owner's site for the full Period of Performance. For eligibility purposes, long-term maintenance service agreements must be at least five years and cover routine maintenance and repairs for the stations covered. Proposers that meet the experience requirement may partner with installers that may or may not meet the experience requirements.

NYSERDA reserves the right to cancel any award should it become clear after awards are made that the recipient is ineligible due to federal restriction.

B. Eligible End Users

All DCFC EVSE funded under the Program must be located in a Publicly Accessible Site per the definition above. Further, all DCFC EVSE funded under the Program must be intended for primary use by light duty EVs. Sites that are not publicly accessible are ineligible for funding.

C. Eligible Costs

Eligible Cost are those costs incurred by a Program applicant that are directly related to the charging of vehicles at the Site. To be considered "directly related" to charging of vehicles, items must be a necessary component in the Charging Station, be a necessary component to connect the Charging Station to the electricity source (or to supply power from the electricity source), provide eligible signage to direct EVs to the Charging Station, or provide information to EV users about use of the Charging Station. This includes costs of new public Charging Stations, as well as upgrades to existing DCFC Charging Stations for the specific purpose of increasing their delivery capacity to NEVI-compliant levels. Eligible costs include:

1. Construction costs (as defined under 23 U.S.C. 101(a)(4)), including:
 - a. DCFC EVSE hardware costs, including shipping.
 - b. Costs associated with the installation of the DCFC EVSE hardware, including wire, conduit, concrete pads, etc.
 - c. "Make-ready" investments on the customer side of the electric utility meter that are not reimbursed or covered by a utility incentive program.
 - d. Onsite signage and pavement painting. Where applicable, signage at a site must be compliant with the Manual on Uniform Traffic Control Devices and 23 CFR part 750.
 - e. Site restoration after installation, directly related to the Charging Station
2. Up to \$50,000 in costs for planning, permitting, acquisition, and installation of on-site distributed energy resource equipment (e.g., solar arrays, stationary batteries).
3. Costs to procure and set up EVSE-related hardware and software.
4. Fixed operating and maintenance costs (up to five years after the Charging Station is commissioned) including:
 - a. Charging equipment lease fees (if the Proposer chooses to lease the charging equipment rather than purchase it). The lease costs are only eligible if paid in full in advance through a contract that covers the five-year Period of Performance.
 - b. Cellular network fees, internet service fees, or similar fees.
 - c. The cost-of-service agreements with third-party contractors and charging equipment manufacturers or warrantors. Service agreements shall be fixed price

and paid up-front in advance of the Period of Performance. NYSERDA will not consider annual renewals to be eligible.

5. Costs for construction project management directly related to the Charging Station, up to 3% of total project cost.
6. Costs for additional permanently attached non-proprietary charging connectors, excluding the CHAdeMO connector, so long as each Charging Port has a CCS connector.
7. Costs for adapters to allow EVs with J3400 ports to use CCS connectors, so long as each Charging Port has a CCS connector.

D. Ineligible Costs

The following expense categories are not eligible for NYSERDA funding through the Program and are ineligible to be considered cost share for this Program.

1. Purchase or rental of real estate.
2. Capital costs including but not limited to, construction of buildings, parking facilities, and amenities.
3. Electricity consumption and demand charges.
4. General maintenance of the site on which EVSE is located.
5. "Make Ready" investments on the customer side of the utility meter that are reimbursed or covered by a utility incentive program.
6. "Make Ready" investments on the utility side of the utility meter
7. Costs incurred prior to a fully executed Agreement.
8. Costs not directly related to charging of EVs.
9. Costs for construction or general maintenance of building and parking facilities (if not directly related to the charging of EVs).
10. Administrative costs incurred by the Awardee such as project management, site selection and negotiations, travel costs for staff, and other costs unrelated to the purchase or installation of Direct Current Fast Charging equipment.

E. Cost Share

All applicants to this Program must demonstrate that at least twenty percent (20%) of project funds for eligible project costs will come **from non-Federal sources** (20% cost share). To calculate the cost share requirement of a proposed project, the applicant must calculate the total project cost. From the total project cost, subtract any ineligible expenses. The remaining total is the eligible project cost. Twenty percent of this remaining cost must be paid by the applicant using non-Federal funds. The percentage of the eligible project cost to be covered by Program funding is NYSERDA's share, and the percentage of costs not covered by the NYSERDA funding is the Proposer's cost share.

The Proposer's cost share may not come from federal sources.

For example:

Total project cost: \$1,000,000

Total ineligible costs: \$200,000

Total eligible project cost: \$800,000

Maximum NYSERDA share: \$640,000 (80% of total eligible project cost)

Minimum Proposer's cost share: \$160,000 (20% of total eligible cost)

IV. PROGRAM REQUIREMENTS

To receive funding under this PON proposers must demonstrate that they meet the requirements stated below. The Program requirements should inform proposers' approaches to identifying sites, choosing equipment, and generally developing their proposals.

A. General Requirements

1. **Number of Sites**

- Proposers may propose no more than one site per application; additionally each proposal may contain up to one Backup Site, which could serve as a substitute site if the primary site does not move forward. The Backup site must be within a five-mile radius of the original site. To be allowed to replace the Site with a Backup Site, the Backup Site MUST be identified in the initial proposal. The Backup Site should have similar qualities to the original site. Backup Sites must meet all requirements that original sites must meet. If the Backup site does not proceed to construction, no further site replacements will be allowed.
- Proposed Sites and Backup Sites must be within one travel mile of an AFC exit in upstate New York within one of the defined three sub-regions. To determine whether a site is within one travel mile of an AFC exit:
 - a. For interchanges, the distance used is the shortest driving distance from the end of an off-ramp at the AFC interchange to the location of the Charging Station on the site property. In other words, where the ramp/loop intersects or merges with the adjoining road. Whichever exit or ramp is nearest to the site may be used.
 - b. For segments, the distance used is the shortest driving distance from an intersection with the AFC to the location of the Charging Station on the site property.
 - d. Refer to the online map, [New York State NEVI - Eligibility Information](#), to view eligible corridors and existing DCFC sites.
 - e. If unsure whether the site is eligible, Proposers can email NYSERDA for verification at dcfc@nyserda.ny.gov
- Entities may propose a maximum of four sites per region and a maximum of eight sites total.
- Proposers should aim to submit sites with a high level of commitment from both the utility and Site hosts.

2. **Ports per Site**

- Each Site must accommodate simultaneous charging for at least 4 vehicles at a minimum of 150 kW per vehicle (4 ports).
- Sites with more than 4 ports must still provide 150 kW per port simultaneously to all ports.
- Proposers may request funding for a maximum of eight (8) ports per site.

3. **Total DCFC Capacity**

- Each site must have a minimum delivery capacity of 600 kW.
- Additional delivery capacity is encouraged, although NYSERDA will only cover the expenses associated with providing delivery capacity of up to 1,600 kW per site.

4. **Justice40 Community Sites**

- Proposers are encouraged to submit proposals with sites in Justice40 communities.
- Proposers may check whether their proposed site falls within a Justice40 community using the Climate and Economic Justice Screening Tool at <https://screeningtool.geoplatform.gov/en/>

5. **Ineligible Sites**

- Existing DCFC sites that are NEVI-compliant, or sites where there has been a public announcement prior to September 12, 2024 that NEVI-compliant DCFC will be installed at that location, are not eligible site locations. To be considered a NEVI-compliant site, a site must have at least 4 CCS connectors capable of dispensing 150 kW simultaneously.
- Sites within one mile of AFCs with existing DCFC that do not meet the above requirements are eligible for funding for upgrades to meet the requirements.

B. Site Requirements

1. Geographic Dispersion

- If proposers are submitting multiple sites, those sites must be at least ten (10) miles apart from each other. Each proposer is limited to a maximum of four (4) proposals per sub-region and eight (8) proposals total.
- Sites proposed at least ten (10) miles from existing and planned sites with at least four (4) non-proprietary ≥ 150 kW EVSE are favored.

2. Public Availability/Accessibility

- All DCFC EVSE funded under the Program shall be publicly accessible 24 hours a day, 7 days a week.

3. Designated Parking

- Charging station parking spaces must be clearly designated as reserved for EV charging and adequately lit from dusk to dawn.
- Parking spaces must be expeditiously cleared of snow.
- At least 25% of parking spaces at each site must meet ADA-accessible requirements.
 - Proposers are encouraged to follow the guidelines at the following link in designing the allocated accessible spaces: While the FHWA has not officially set ADA requirements for EV charging at this point in time, proposals that do not meet the 25% minimum for accessible spaces will be penalized during the scoring process.
 - The space is not required to be a dedicated handicap space; others may use it.
- NYSERDA recommends designating one parking space as accessible for medium- and heavy-duty vehicles by creating a 15' wide parking stall. Pull-through sites are favored.

C. DCFC Requirements

1. Equipment

- DCFC EVSE must be new equipment installed for the first time. Use of refurbished, resold, previously leased, or DCFC EVSE received as the result of a warranty claim are prohibited.
- All equipment must meet applicable Buy America requirements, as specified on page 33 of the NEVI standards and requirements, which can be found at <https://www.govinfo.gov/content/pkg/FR-2023-02-28/pdf/2023-03500.pdf>.

2. Construction

- Construction and site work must occur after the Notice to Proceed for installation and equipment costs to be eligible for either NYSERDA funding or to be used as cost sharing.
- NYSERDA will conduct a field inspection of the Site upon completion of the installation and before payment.

3. Software

- New DCFC EVSE shall have the most current software version available at the Installation Date and shall be factory calibrated within original manufacturer standards.

4. DCFC EVSE Certification

- New EVSE shall be certified to one of the following by a recognized laboratory:

- Underwriters Laboratories (UL) 2594 (Standard for Electric Vehicle Supply Equipment).
 - UL 2202 (Standard for Electric Vehicle (EV) Charging System Equipment).
- 5. **Physical Appearance**
 - New DCFC EVSE shall meet the following physical appearance and design requirements:
 - DCFC EVSE enclosure must be constructed for outdoor use in accordance with UL 50E (Enclosures for Electrical Equipment, Environmental Considerations) Type 3R exterior enclosure or equivalent.
 - DCFC EVSE must incorporate a cord management system or method to eliminate the potential for cable entanglement, user injury, or connector damage from lying on the ground, subject to NYSERDA approval.
- 6. **Connector Type**
 - All station ports must have permanently attached CCS (Combined Charging System) connectors.
 - A minimum of 4 permanently attached CCS ports that can provide at least 150 kW simultaneously is required. The total number of ports at a site is determined by the number of EVs that can simultaneously charge using CCS connectors.
 - Dual connectors that also offer J3400 connectors are strongly encouraged, so long as ports meet the above requirements.
 - If the Federal rules regarding connector types change before the DCFC EVSE are installed, NYSERDA may direct Awardees to adjust the connector types of the DCFC EVSE to meet new Federal guidance or pursue a different mix of connector types than was originally proposed.
- 7. **OCPP (Open Charge Point Protocol)**
 - DCFC EVSE must be certified to comply with Open Charge Point Protocol (OCPP) 2.0 or higher by Open Charge Alliance.²
 - DCFC EVSE must be designed to securely switch charging network providers without any changes to hardware.
- 8. **ISO 15118**
 - DCFC EVSE must include hardware capable of supporting the ISO 15118 standard as well as the ability to have software upgraded over-the-air (OTA).
- 9. **Warranty**
 - All DCFC EVSE must have a minimum 2-year manufacturer’s warranty. Proof of the warranty will be required alongside receipts of purchase for fund disbursement.
- 10. **Energy Star**
 - To the extent practicable, DCFC EVSE should have Energy Star v1.1¹² certification.³

D. DCFC EVSE In-Service Requirements

1. **Maintenance**
 - The Program applicant must ensure that DCFC EVSE funded under the Program are maintained in good working order and in compliance with all EVSE manufacturer requirements at the same location for a period of no less than 60 months from the installation date (the Period of Performance).
2. **Network Providers**
 - Network Providers shall provide NYSERDA, or an entity acting on NYSERDA’s behalf, with direct access to an online portal to retrieve EVSE data via an application programming interface (API). The API data will be used to collect required reporting data and determine compliance with the 5-year in-service and uptime requirements of the PON and to advance NYSERDA’s understanding of EV charging use.

- EVSE Owners may change to a different network provider after the first year of the Period of Performance. EVSE Owners must provide NYSERDA with prompt notice of any change in network provider.
- 3. Open Access & Interoperability**
- Funded DCFC EVSE must be accessible by all drivers regardless of network memberships or subscriptions. Consumers shall not be required to pay a subscription fee or otherwise obtain membership in any network, club, association, or organization as a condition of using DCFC EVSE funded under this program.
 - EVSE Owners and operators of DCFC EVSE may have separate price schedules conditioned on a subscription or membership.
- 4. EVSE Uptime**
- Other than allowable downtime for scheduled maintenance, vandalism, and natural disasters, equipment must be fully operational greater than 97 percent of the year on average, annually, as per § 680.116(b) of the Federal Rule for the duration of the Period of Performance. Uptime shall be self-monitored by the EVSE Owner and reported to NYSERDA or directly to FHWA as part of a quarterly report.
- 5. Site Uptime**
- In addition to EVSE Uptime, each site funded under this program must have at least 50 percent of the DCFC EVSE located at that site in operation simultaneously at least 99 percent of the year for the duration of the Period of Performance.
- 6. Repairs**
- EVSE Owners shall initiate the process for making any needed repairs within 24 hours following notice of a malfunction or other operational issue, including periods outside the DCFC EVSE warranty period. The loss of operational time during repair events shall be considered downtime with respect to Item 5 above.
- 7. Out of Service Penalty**
- DCFC EVSE that does not meet the EVSE and/or site uptime requirements listed in items 4 and 5 above will be subject to out of service penalties per Table 3.

Table 3. Out-of-Service Penalties

Downtime Metric	Dispenser	Site	Penalty per Day in Excess of Allowed Downtime				
			Year 1	Year 2	Year 3	Year 4	Year 5 or 6
Maximum allowed annual downtime	262.8 hours per calendar year	87.6 hours per calendar year	N/A	N/A	N/A	N/A	N/A
Downtime in excess of maximum allowed annual downtime	Days 1-90		\$250	\$225	\$175	\$125	\$75
	Days 91+		\$300	\$275	\$225	\$175	\$125

- Penalties shall be calculated annually by NYSERDA at the end of each calendar year during the Period of Performance.

- NYSERDA shall deduct the penalty amount from the next 5% annual installment payment (see Section VII B). If the penalty exceeds the value of the next 5% annual installment, NYSERDA will not issue an annual payment but instead notify the EVSE Owner of the excess penalty amount. The EVSE Owner shall pay NYSERDA the excess penalty amount within 60 days of notice that such amount is due.
- 8. Customer Support**
- For funded DCFC, the EVSE Owner is required to provide a customer support service number that is readily accessible to customers during hours of operation. The customer support number must be clearly visible and posted on or near the charging equipment. The support service must assist customers with difficulties accessing or operating the DCFC EVSE and with payment. It is recommended that the customer support service number be toll-free.
- 9. Pricing Information Display (For EVSE that require payment)**
- DCFC EVSE funded by this program shall display transparent pricing either through digital display on the EVSE or through appropriate on-site signage.
 - The EVSE Owner must make the pricing information available to drivers in advance of each charging session either through a user interface that is legible both at night and in direct sunlight, or through another form of display on the EVSE.
 - Pricing information includes:
 - pricing per kWh
 - any additional fees that may be assessed (e.g., fees associated with parking, dwell time surcharges, etc.)
 - Per-kWh pricing is required by the NEVI program
- 10. Payment Methods (For DCFC EVSE that require payment)**
- EVSEs (or Sites) must provide customers with multiple payment options including all forms of credit and debit cards without incurring excessive fees, inconvenience, or delays compared to other payment methods.
 - DCFC EVSE must be equipped with a contactless payment method. Customers must also be able to pay via credit or debit card payments over the telephone, either through a phone call or by text, 24 hours a day, 7 days a week. The telephone number and payment instructions should be clearly displayed for this payment option.
 - Payment methods should be accessible to individuals with disabilities, as well as those with limited English proficiency.
- 11. AFDC Registration**
- Following the Installation Date, each funded DCFC EVSE shall be listed by the EVSE owner on the United States Department of Energy Alternative Fuels Data Center Electric Vehicle Charging Station database at: https://afdc.energy.gov/fuels/electricity_locations.html#/find/nearest?fuel=ELEC
- 12. Mapping Tool Registration**
- Following the Installation Date, each funded DCFC EVSE shall be listed and maintained by the EVSE owner on Google Maps and Apple Maps.
- 13. Project Completion**
- A DCFC EVSE project is considered complete upon compliance with the 5-year EVSE reporting requirement and all in-service requirements above.
- 14. Completion Date**
- Developers have 18 months from Notice to Proceed to install and energize each awarded Site.
 - Developers seeking an extension must document any external delays that impact their schedule. Extensions may be granted at NYSERDA's sole discretion.

15. Data Reporting Requirements

- New York State is required to provide both quarterly and annual data submittals per § 680.112 of the Federal Rule. Awardees will be required to prepare and provide all data required in a manner proscribed by FHWA to complete the quarterly and annual reports. The Joint Office of Energy and Transportation has developed a data platform, EV-ChART, which will be used for all data submittals required by the Federal Rule.
- The submitted data will be maintained in a secure manner. Awardees will also be required to disclose, via the Data Management and Cybersecurity Plan, the location of the data and security processes and systems governing it while under the Awardee's control.

V. PROPOSAL TEMPLATE

- A. The proposal template is included as **Attachment B, Proposal Narrative**. To submit a proposal, the Proposer must answer yes to all questions under the Minimum Requirements section. Proposers who cannot answer yes to all questions in that section will be disqualified. After the Proposer confirms that minimum requirements are met, there are five sections with specific questions to complete:
1. Team Qualifications and Project Approach
 2. Proposed Site Information and Commitment
 3. Site Readiness and Future Proofing
 5. Economic/Workforce Development
 6. Project Cost Effectiveness

Proposers MUST complete and submit **Attachment B**, the Proposal Narrative, and **Attachment C**, the Budget Form. Instructions for completing each form can be found in the documents. Instructions on proposal submittal can be found in Section I, Program Summary, on page 3.

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. **Minimum Requirements** (proposer must be able to accurately answer "yes" to all questions for a proposal to be eligible):
1. Will the Charging Station be within 1 mile driving distance of the nearest eligible AFC? See Section IV A 1 for full details.
 2. Will the site's EV charging infrastructure include at least four 150 kW Direct Current Fast Chargers (DCFCs) with Combined Charging System (CCS) ports capable of simultaneously DC fast charging four EVs continuously?
 3. Will the site's EV charging infrastructure have a minimum station delivery capability at or above 600 kW and support at least 150 kW per port simultaneously across four ports for charging continuously?
 4. Will charging at the site be available 24 hours a day, 365 days a year?
 5. Will the Proposer provide the minimum 20% non-federal cost share?
 6. Will all federal EVSE requirements for the Charging Station be met?
 7. Will all EV chargers remain functional if communication with the charging network is temporarily disrupted, consistent with the Federal Rule as per § 680.114(e)?

8. Will the Proposer commit to pay for Project costs up front, provide the matching funds using eligible non-federal sources, and if costs exceed the proposed budget, take responsibility for 100% of the overage?
9. Can the Proposal team demonstrate a minimum of two (2) years relevant experience owning and/or operating at least 10 DCFC EVSE?
10. Will the program income approach be consistent with the Federal Rule as per § 680.106(m) and NEVI Funding Opportunity Section III – Program Requirements, subsection D on Project Revenue and Pricing for EV Charging?
11. Will the Proposer also comply with all other requirements in 23 CFR 680 and all additional provisions in NYSEERDA’s NEVI Funding Program Opportunity Notice?

VI. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below, listed in order of importance. Sites that are not Publicly Accessible will be excluded from consideration by the scoring committee. At NYSEERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications about their proposals. Proposers will be notified if they are requested to attend an interview.

- **Team Qualifications and Project Approach**
 - Team Qualifications and Experience
 - Experience and ability to execute of the organizations involved in the proposed project
 - EVSE and Network proposed that meet program requirements and can provide required reporting
 - Evidence of prior successful installations over past 5 years
 - Project Approach
 - Development of a realistic and executable project plan
 - Presentation of an achievable schedule and timeline that fits within program rules
 - Identification of primary risks and approaches to address them
 - Uptime and Maintenance Plan
 - Presentation of a clear strategy for meeting uptime requirements
- **Project Cost Effectiveness**
 - Project cost per kW of delivery capacity
 - Proposed cost share as a percentage of the total project cost
- **Proposed Site Information and Commitment**
 - Distance from Planned or Existing NEVI-compliant DCFC Sites
 - Site Commitment
 - Level of commitment to implementing the project, including agreements or letters of commitment from site host, proof of utility engagement, and site schematics
 - Access to Amenities
 - Public access and ADA-accessible path of travel to ADA-accessible restroom within reasonable walking distance
 - Availability of other amenities (cafes, restaurants, public transit connections, and convenience stores) on site
 - ADA Parking

- At least 25% of sites meet ADA-accessible requirements
 - Site Maintenance and On-site Assistance
 - Support for maintenance and on-site staff support for basic assistance
 - Customer Safety Enhancements
 - Customer safety amenities or features near Charging Station lighting, security cameras, emergency call system, fire extinguisher, Automated External Defibrillator (AED), etc.
- **Site Readiness and Future Proofing**
 - NEPA Coordination, Preparation, and Risks
 - Extent to which the site is well-positioned to complete the NEPA process, including status of:
 - Existing paved area/graded area
 - Site contamination/remediation
 - Site development
 - Charging station-specific access
 - Location relative to flood zones
 - CCS/NACS Connectors
 - Whether, and to what extent, the site will offer NACS as well as CCS connectors
 - Plan for Additional Charging Ports and Power
 - Ability and future intent to install additional chargers, parking stalls, and add additional power to site
 - MHDV Charging & Parking Stall
 - Current and future ability to allow for parking and charging of MHDVs
 - Availability of at least one pull through parking stall that can accommodate an MDV
- **Economic/Workforce Development**
 - Level of involvement of local workforce in Project
 - Quality of plan for workforce training

The three (3) top-ranked sites within each sub-region that are determined to be meritorious will receive awards. Additional awards may be made to meritorious sites in any sub-region based on rank order, pending funding availability.

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- The geographic proximity of the site to other higher-ranked proposed sites.
- The degree to which pricing and hourly rates are in line with the rest of the market.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The degree to which there are excessive technical, market, organizational and/or environmental risks associated with the projects.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

NYSERDA expects to notify proposers in approximately six (6) to eight (8) weeks from the PON due date whether their proposal has been selected to receive an award. NYSERDA has complete discretion in the selection of Projects and in the determination of funding levels, priorities, Project phasing, Project design, and specifications and performance criteria.

VII. Program Requirements

Proposers must follow all FHWA NEVI Formula Program requirements. This includes requirements in the following documents:

- [FHWA National Electric Vehicle Infrastructure \(NEVI\) Formula Program Guidance \(pdf\)](#)
- [FHWA NEVI Formula Program Frequently Asked Questions \(pdf\)](#)
- [Federal Register: NEVI Formula Program Final Federal Rule \(website\)](#)

Any requirements specific to this NEVI Funding Opportunity are in addition to the FHWA requirements. Proposers must agree to the full list of requirements when submitting proposals in the NYSEERDA Salesforce Portal.

A. Davis-Bacon Act Wage Determination

As provided in 23 U.S.C. 109(s)(2), Projects to install a Charging Station are treated as if the Project is located on a Federal-aid highway. As a Project located on a Federal-aid highway, 23 U.S.C. 113 applies and Davis-Bacon Act wage rates must be paid for all construction-related activities on any Project funded with NEVI Formula Program funds. Davis-Bacon Federal wage rates are included in 40 U.S.C.31(IV). These rates apply only to construction-related activities and not the operations and maintenance phase of the Project.

General Construction Rates apply to projects funded under this program. To view the prevailing wage rates for the NYS locality in which a project will take place, click the following link:

<https://apps.labor.ny.gov/wpp/publicViewPWChanges.do?method=showIt>

B. Funding distribution process

1. 75% of funds will be disbursed as reimbursements after the DFCE EVSE installation has been completed, verified and approved. Pro-rated requests for reimbursement can occur after each individual site is installed or in-full after all sites have been installed. Before reimbursement, awardees must submit the required information (see **Attachment E** for additional details on required documentation). Once documentation and installation has been verified and approved, NYSEERDA will process the request for payment.
2. 25% of funds will be disbursed in 5 annual installments. 5% of funds will be disbursed at the end of each annual reporting period, provided in-service requirements have been met, upon receipt of the annual report. A total of 5 annual reports will be submitted during the duration of the 5-year contract.

Per New York State's prompt payment policy, payments to EVSE Owners can be expected within 30 days of approval.

VIII. General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSEERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access

to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <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 - 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 Proposer prior to contacting and filed with NYSERDA. See, ST-220-CA (available at 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 7 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six (6) to eight (8) weeks from the receipt of an application 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 Melissa Duchan and Megan Quirk at dcfc@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 - NYSEDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants' prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSEDA may conduct due diligence on some or all proposals based on NYSEDA's current guidelines at the time of a review. NYSEDA staff may follow up with proposers to request additional information or clarification regarding applicant's proposal, including questions regarding applicant's business prospects and resources, whether 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://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.

IX. Attachments

- Attachment A – Map of Subregions and Utility Information
- Attachment B – Proposal Narrative
- Attachment C – Budget Form
- Attachment D – Sample Agreement
- Attachment E – Funding Distribution Documentation Requirements

New York State Energy Research and Development Authority

Albany

17 Columbia Circle, Albany, NY 12203-6399

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Buffalo

726 Exchange Street

Suite 821

Buffalo, NY

14210-1484

(P) 716-842-1522

(F) 716-842-0156

New York City

1359 Broadway

19th Floor

New York, NY

10018-7842

(P) 212-971-5342

(F) 518-862-1091

West Valley Site

Management Program

9030-B Route 219

West Valley, NY

14171-9500

(P) 716-942-9960

(F) 716-942-9961



NYSERDA

**Identify Potential Site Partners for NY/NJ
Charging and Fueling Infrastructure
Application
Request for Information (RFI) 5868
No Funding is Associated with this
Solicitation**

Response Due Date: August 1, 2024, by 3:00 PM Eastern Time*

On May 30, 2024, the Federal Highway Administration (FHWA) announced a total of \$1.3 billion in funding for the second round of the Charging and Fueling (CFI) grant program, which funds both community and corridor-based zero-emissions infrastructure. NYSERDA is issuing this Request for Information (RFI) to identify potential site hosts to include in a grant application for medium and heavy-duty (MHD) charging infrastructure on or near major corridors and ports in the New York City metro area in New York State and/or New Jersey. Responders to this RFI will help inform NYSERDA's application to the federal CFI program in partnership with the New Jersey Department of Environmental Protection (NJDEP). NYSERDA and NJDEP are seeking responses to this RFI from owners of warehouses, distribution centers, and other similar sites that are interested in installing public MHD charging stations as part of a CFI proposal. NYSERDA and NJDEP will include sites that meet the qualifications listed below in the RFI. Responses will also be used to inform additional NYSERDA and NJDEP incentive programs. If the CFI application is awarded funding, NYSERDA will select the final list of sites to fund from among the sites included in the proposal. NYSERDA will select sites based on a second solicitation among the eligible RFI respondents.

Response Submission:

Please fill out the question form at <https://forms.office.com/g/yQrcRN6LBr>.

If you have any technical questions regarding this RFI, please contact Megan Quirk at dcfc@nyserda.ny.gov or 518-862-1090, ext. 4128 or Adam Ruder at transportation@nyserda.ny.gov or 518-862-1090, ext. 3411. The information you provide will be kept confidential to the extent permitted by law including but not limited to the Freedom of Information Law (FOIL). Information submitted to NYSERDA that the responder wishes to have treated as proprietary, and confidential trade secret information, should be identified, and labeled "Confidential" or "Proprietary" at the time of disclosure. Complete responses may be shared with NJDEP. NYSERDA may share an aggregation of responses, in which the identity of the respondent is not disclosed, with the public or NYSERDA partners. If you have questions regarding the RFI response process, please contact James Cowman at Jim.Solicitations@nyserda.ny.gov or 518-862-1090 ext. 3652.

***All responses must be received by 3 p.m. Eastern Time on the date noted above. Late or faxed responses will not be accepted.** If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx).

I. Background

New York and New Jersey must increase EV adoption across all vehicle classes to meet transportation decarbonization and broad GHG reduction goals. To do so, the deployment of medium and heavy-duty charging infrastructure is critical. Increased installation of MHD charging infrastructure will help to transition commercial fleets from polluting diesel trucks to clean vehicles. However, deployment of MHD charging infrastructure has been slow to date due to a set of inter-linked barriers such as high installation costs (e.g., equipment, labor, and other soft costs), low utilization, and uncertain future vehicle technology.

Siting MHD charging infrastructure so that multiple fleets can access it can also be difficult. Warehouses, distribution centers, and other similar sites may prove very promising for this shared EV charging infrastructure, as they tend to be locations that many fleets visit every day and stay for a period appropriate for charging, have sufficient parking for many MHD vehicles, and already may have contractual agreements with many fleets to facilitate charging time allocations.

In the New York City metro area, many trucks travel between New York and New Jersey daily. Developing a robust ecosystem of charging options on both sides of the Hudson River can support further electrification that meets the needs of fleets in the largest metropolitan area in the country, which suffers from some of the worst truck-related pollution in the country.

To tackle this set of barriers, NYSERDA and NJDEP plan to apply for MHD charging infrastructure funding through the second round of the federally funded CFI program. This RFI seeks to identify potential site hosts for MHD charging infrastructure such as existing freight distribution centers and warehouses in the NYC Metro area including New Jersey. Eligible respondents from this RFI may be included in the CFI application that NYSERDA and NJDEP submit. If the CFI application is awarded funding, NYSERDA will select the final list of sites to fund from among the sites included in the proposal. NYSERDA will select sites based on a second solicitation among the eligible RFI respondents.

To be considered for inclusion in the CFI application, respondents' sites **must**:

- Be within five (5) travel miles of an exit or highway intersection along a designated Alternative Fuel Corridor for EVs or the National Highway Freight Network, although sites within one (1) travel mile are preferred.
 - See the [National Highway Freight Network Map | HEPGIS \(arcgis.com\)](#) and [Alternative Fuel Corridor map](#) for a listing of all alternative fuel corridors and freight corridors in the area (including EV – Corridor Ready and EV – Corridor Pending).
- Be located within one of the following counties in New York or New Jersey, as indicated on the map in Attachment A:
 - New York:
 - New York City (Bronx, Kings, New York [Manhattan], Queens, Richmond)
 - Nassau
 - Putnam
 - Rockland
 - Westchester
 - New Jersey:
 - Bergen
 - Essex
 - Hudson
 - Middlesex
 - Passaic
 - Union
- Be a warehouse, distribution center, or other similar type of site that is visited by at least 3 different MHD fleets per month.
- Be open to multiple MHD fleets for use as a charging station.

Additionally, respondents **must** be able to contribute at least 20% of the project costs as required cost share.

NYSERDA encourages site locations within a Justice40 community or sites that have at least 2 MW of available electrical capacity to respond. These and other criteria may be factors in future solicitations to finalize site selection.

Respondents are also encouraged to read through the [CFI program Notice of Funding Opportunity \(NOFO\)](#) before responding to this RFI.

This federal funding can help offset the costs of MHD charging projects, which will contribute to the following goals:

- Expand the MHD charging infrastructure network within New York and New Jersey on or near major freight corridors and port areas.
- Accelerate the adoption of medium and heavy-duty zero-emissions vehicles by commercial fleets.
- Support the viability of MHD EV use in areas of New York and New Jersey currently underserved by MHD infrastructure.

In addition to these goals, infrastructure development achieved through this program is expected to generate the following ancillary benefits:

- Demonstrate a viable business case for commercial fleets to transition to MHD EVs.
- Reduce air pollution in communities near major freight corridors.

II. Information Requested

NYSERDA is seeking information to identify potential sites for its CFI application for MHD infrastructure in conjunction with NJDEP. Please provide answers to the questions in this RFI. **Please submit answers using the MS Form at <https://forms.office.com/g/yQrcRN6LBr>.** All questions require responses and there is an option to submit multiple sites for consideration within the form. The questions from the form are also listed below for reference.

Respondent Information

1. Organization/Company Name
2. Organization Industry (select as many as applicable)
 - a. Trucking
 - b. Warehouse/Distribution
 - c. EVSE Provider or Installer
 - e. Other: _____
3. Primary Contact:
 - a. Name:
 - b. Business Email:
 - c. Business Phone:

Questions to Inform NYSERDA/NJDEP Program Application

1. Where is your proposed project site located? (Please include the street address, city, state, and zip code)

2. Is your site located in a federally identified Justice 40 community (see <https://screeningtool.geoplatform.gov/en/> to determine whether a particular address is in a Justice 40 community)?
3. Is this site available for use by the public?
 - a. Please describe any limitations on access to these sites (e.g., restrictions on times of access, contractual requirements, etc.)?
4. Do you own or lease the site?
5. Describe the number of parking spaces, total lot size, and site layout (ingress/egress, traffic patterns) for the site.
6. How many of the existing parking spaces do you propose be made available for dedicated EV charging stations?
7. Describe the characteristics of the site: What is it used for? Who are the users of the site?
8. How many MHDVs currently visit the site per day and how long do they typically stay there? (Provide a range or average.) How many different fleets operate those MHDVs? If fewer than three, please explain if and how additional fleets would use the site if there were EV charging available.
9. Are fleet vehicles often parked overnight at this location?
10. Who is the electric utility provider for this site?
11. Have you assessed the electrical capacity at the site? If so, how much additional load could be added before utility upgrades are needed?
12. Have you talked to your electrical utility about potentially installing EV charging?
13. Do you have any existing EV charging on site? If yes, how many stations, and how many MHDVs typically charge at these stations per week?
14. Have you received any quotes for EV charging and/or associated electrical upgrades? If so, please provide a summary of these.
15. Have you installed EV charging at any other locations you own or lease? If so, can you share information about the size (number and power level of ports) and typical cost of a charging installation at your other properties?
16. Do you have any contractual relationships to provide charging to fleets who frequently travel to your site that are currently electrifying their fleets? Have any of these fleets made public commitments to electrifying their fleets?
17. Do you own a fleet yourself? If so, how big is your fleet that frequently visits each site?
18. Are you able to provide at least 20% of the total project cost for the charging equipment and installation as a cost share?

IV. How Comments Will be Used

NYSERDA and NJDEP plan to identify potential site hosts to partner with for their upcoming CFI MHD infrastructure application using this RFI. NYSERDA may choose to follow up with respondents to ask

additional questions, clarifying details about their site and its suitability for the CFI proposal. If NYSERDA is successful in receiving funding via the CFI proposal, NYSERDA will contact the respondents when making decisions for the final list of sites at a later date. Responses may also inform additional program design and funding opportunities in New York and New Jersey.

V. Informational Webinar

An informational webinar will be held via Webex on **Tuesday July 23**, at **4PM** to answer any questions you may have about this RFI. NYSERDA has scheduled this for one hour to allow for ample time for questions and answers. Registration is required in advance via the link:

<https://nyserdany.webex.com/weblink/register/re4c371c5f4807f6849d3dfda1adf8435>

VI. General Conditions

Proprietary Information

Careful consideration should be given before confidential information is submitted to NYSERDA as part of your response. Review should include whether it is critical for understanding responses, and whether general, non-confidential information, may be adequate. 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 responder wishes to have treated as proprietary, and confidential trade secret information, should be identified, and marked as "Confidential" or "Proprietary" as the first word in that response. 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.

Contract Award

This solicitation for information (RFI) will not result in the award of any contract for goods or services. NYSERDA anticipates collecting and analyzing RFI responses to inform potential future contracts. Respondents are advised that all costs associated with this RFI response will be solely at their expense.

Limitation

This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a response or procure or contract for services or supplies. NYSERDA reserves the right to discontinue or modify the RFI process at any time and makes no commitments, implied or otherwise, that this process will result in a business transaction or negotiation with one or more Respondents.

VII. Attachments

Attachment A: Map of Eligible Counties and Highway Corridors



Energy-Related Air Quality and Health Effects Research

Program Opportunity Notice (PON) 5872

\$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: October 31, 2024 by 3:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) supports research to improve the scientific and technical foundation for addressing key energy policy-relevant questions related to air quality, health effects, and climate research. This Program Opportunity Notice (PON) focuses on 1) pollutant trends, source apportionment and health effects studies to provide accountability in energy decision making, and 2) methane (CH₄) source characterization of buildings to inform the NYS GHG Inventory and others. The following categories will be considered:

Category	Available Funds	Per Project Cap
A. Pollutant Trend Analyses, Source Apportionment and Accountability Studies	\$1,500,000	\$500,000
B. Methane Source Characterization of Buildings for Emissions Inventory Development	\$1,500,000	\$500,000

A total of \$3,000,000 is available for projects. If funds for a category are not exhausted, NYSERDA reserves the right to allocate the remaining funds to another category. NYSERDA anticipates making multiple awards addressing multiple targeted research categories that result in peer-reviewed research publications in leading scientific journals. The audience for this PON includes researchers at academic, government, or research institutions actively performing atmospheric, public health, environmental, or energy research in NYS and building scientists, energy engineers, and stack testing firms. Partnering with state, local and federal researchers or key industry partners is encouraged. Project durations are expected to be in the range of one (1) to three (3) years. Total funds available may not be sufficient to fund all proposals received. Cost-sharing of at least 25% is required for Category A and strongly encouraged for Category B. Leveraging of other research funding is strongly encouraged. In-kind cost-sharing is acceptable. NYSERDA may fund selected proposals in phases or assign a Project Advisory Committee. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding. *NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available. NYSERDA reserves the right to add additional funding to successful projects beyond the project cap.*

Proposal Submission: Online submission is preferable. Proposers may submit Word, or PDF files. However, proposals must be submitted as two (2) files, inclusive of all supporting documents. Individual files should be 100MB or less in file size. Proposal PDFs must be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide](#) [PDF]” located in the “[Current Opportunities](#)” section of NYSERDA’s website.

No communication intended to influence this procurement is permitted except by contacting Ellen Burkhard – primary designated contact at (518) 862-1090, ext. 3332 or air.quality.research@nyserda.ny.gov or Jeremy Magliaro – secondary contact (Designated Contact) at (518) 862-1090, ext. 3611. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or NancySolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

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

I. Introduction

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

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

Energy policies in NYS and elsewhere are changing how and where electricity is generated, how buildings are heated and cooled, and how people and goods are transported. Many of these transformations will result in changes in the emissions profiles of energy sources and their proximity to where people live and work. Some technologies, such as zero-emissions technologies (energy efficiency, heat pumps, solar, wind, hydroelectric power, and electric vehicles) will result in significant emissions reductions.

New York is embarking on a comprehensive energy strategy that includes initiatives presented in the State Energy Plan, Clean Energy Fund (CEF), Clean Energy Standard (CES), the Climate Leadership and Community Protection Act (CLCPA), and resulting Scoping Plan developed by the Climate Action Council.

Together they have the following goals:

- 85% reduction in greenhouse gases (GHG) by 2050;
- 70% of energy generation from renewable energy sources by 2030 and 100% carbon neutral by 2040;
- 9,000 MW of Offshore Wind by 2035;
- 3,000 MW of Energy Storage by 2030;
- 23% decrease in energy consumption in buildings;
- Prohibit fossil fuel equipment in most new construction starting in 2025;
- 100% passenger cars and truck sales to be zero emissions by 2035; and
- 100% medium- and heavy-duty truck sales to be zero emissions by 2045.

This PON will support research to improve the scientific and technical foundation for the key policy-relevant research needs described below.

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

Proposals will be considered responsive to this solicitation only if they address one of the targeted research categories described below. Preferred projects are those that (in no particular order): provide data in a form that is useable by policy analysts and policymakers; utilize research/analytical capabilities in New York State; are comprised of interdisciplinary research teams including atmospheric, climate, environmental, health, social and building scientists; energy engineers, heating, ventilation, and air-conditioning systems (HVAC) engineers; commissioning professionals, stack testing firms, key industry stakeholders, and public policy analysts; and leverage out-of-State, federal, or other resources to address critical environmental issues in New York State. Projects should support research that helps improve the scientific and technological foundation to address key policy-relevant questions related to energy, climate, air quality, emissions inventory, epidemiology, public health, and accountability research. They should build upon or coordinate with existing efforts, and not duplicate work by others. When appropriate, selected projects may be asked to work with a Project Advisory Committee assigned by NYSERDA. NYSERDA reserves the right to build teams between selected contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding. Depending on the final Statement of Work for any selected proposal, NYSERDA reserves the right to require additional contracting terms, such as additional insurance to meet industry standards, or other similar requirements.

II. Program Requirements—Targeted Research Categories

A. Pollutant Trend Analyses, Source Apportionment, and Related Accountability Studies

Problem Statement

Recent trends analyses have demonstrated that SO₂, NO, NO₂, VOCs, and PM_{2.5} concentrations have been decreasing significantly over the past two decades across NYS due to state and federal air quality regulations and energy policies as well as changes in energy markets ([Rattigan et al., 2016](#); [Squizzato et](#)

[al., 2018a](#); [Blanchard et al., 2019](#); [Masiol et al., 2019](#); [Pitiranggon et al., 2021](#); [Chen et al., 2023](#), [Chen et al., 2024](#)). Over this period, not only did the concentration of PM_{2.5} decrease Statewide but its composition changed as well, having a much smaller proportion of particle-sulfate and -nitrate and larger proportion of organic carbon ([Rattigan et al., 2016](#)). In contrast, annual ozone has not shown a significant decrease, and has been a topic of intense research over the past few years, especially in the New York City – Long Island Region ([Civerolo et al., 2017](#); [Karambelas et al., 2020](#); [Tao et al., 2022](#); [Zhang et al., 2022](#); [Wu et al., 2024](#)). Health effects due to exposure to these pollutants include pulmonary and cardiovascular effects resulting in premature mortality, increased hospitalization and emergency department visits, and missed work and school days ([Croft et al., 2019](#); [Jin et al., 2019](#); [Rich et al., 2019](#); [Shukla et al., 2022](#); [Croft et al., 2024](#)). Continued studies are needed to assess how air quality regulatory programs, energy policies, and electricity, heating and transportation market trends impact air quality, human exposure, and public health, including at the neighborhood level. Trends analyses should include the most recent data available to extend the long-term trends record, identify changes in contributing source types, and include relevant up-to-date NYS and NYC health endpoints through at least 2025. Studies with a significant focus on pandemic era air quality or wildfire smoke will not be considered in this PON.

Research Focus

- Measure and/ or analyze changes in PM_{2.5}, PM components including trace elements, precursors and co-pollutants including ultra-fine particles, criteria pollutants and air toxics to determine trends resulting from regulatory programs, energy policies, and changes in energy markets. Analysis should have sufficient temporal and spatial scope to capture the possible impacts of the regulatory or policy implementation, or market change, on ambient concentrations and exposure levels for New York City or New York State residents. A large database of measurements exists for the many sites maintained by NYSDEC across NYS, and at the neighborhood level through the New York City Community Air Survey (NYCCAS). Analysis of data through at least 2025 is needed to evaluate if trends found in recent studies have continued or changed.
- Perform source apportionment analysis to identify pollution source types and their contribution to gaseous and particulate ambient air pollution components on both an annual and seasonal basis. Due to recent anthropogenic emissions decreases in upwind source regions, projects should place an emphasis on local sources including heating fuels, power generation, transportation sources (vehicles, trucks, shipping, and rail), commercial cooking, or industrial sources. Relate changes in source contributions to energy and environmental policies and regulations or energy market changes through at least 2025.
- Perform model projections and/ or accountability analyses to evaluate how changes in regulations, policies, technology or energy use patterns affect emissions from specific source types and local or regional air quality, human exposure, and/or public health. Epidemiology accountability studies to evaluate changes in population exposures and/or health endpoints for pollutant trends and source-specific pollutants should build on the previous record where possible and are needed through at least 2025.

B. Methane Source Characterization of Buildings for Emissions Inventory Development

Problem Statement

In 2019, NYS’s Climate Leadership and Community Protection Act (CLCPA) established new requirements for Green House Gas (GHG) emission limits and goals to address climate change. In 2020, 6 NYCRR Part

496, “Statewide GHG Emissions Limits,” determined the limits on GHG emissions in 2030 and 2050 as a percentage of 1990 emissions, per the requirements of the CLCPA at 60 and 15 percent respectively (<https://dec.ny.gov/sites/default/files/2023-12/6nycrrpart496adopted2020.pdf>). The CLCPA also directs the New York State Department of Environmental Conservation (NYSDEC) to issue a Statewide GHG Emissions report annually, with the most recent report for the period 1990-2021 (<https://dec.ny.gov/environmental-protection/climate-change/greenhouse-gas-emissions-report#Requirements>). While this report finds that carbon dioxide (CO₂) due to fossil fuel combustion is the top GHG in terms of emissions, it also finds that methane (CH₄) is the second and in terms of CO₂ equivalents accounting for 36% of emissions. In 2022, the New York State Oil and Gas Sector: Methane Emissions Inventory was issued (<https://www.nyserdera.ny.gov/-/media/Project/Nyserda/Files/Publications/Energy-Analysis/22-38-New-York-State-Oil-and-Gas-Sector-Methane-Report-acc.pdf>) and includes upstream, midstream, and downstream methane emissions.

NYC has maintained an emissions inventory since 2005 and finds the majority of GHG emissions are from buildings. The NYC Climate Mobilization Act (2019) and Local Law 97, place emissions limits on large buildings that become more stringent over time with 40 percent reductions by 2030 and net-zero by 2050. Additionally, GHG reporting for large buildings (>25,000 square feet) is required starting in 2025 to the NYC Department of Buildings (<https://www.nyc.gov/site/buildings/codes/greenhouse-gas-emission-reporting.page>). The Energy and Water Disclosure Local Law 84 (2022) includes benchmarking for buildings greater than 50,000 square feet. Data is collected using the EPA Portfolio Manager website and is available through NYC Open Data (https://data.cityofnewyork.us/Environment/Energy-and-Water-Data-Disclosure-for-Local-Law-84-/7x5e-2fxh/data_preview).

The US Environmental Protection Agency also maintains an Inventory of US GHG Emissions and Sinks that is updated annually (<https://www.epa.gov/ghgemissions/inventory-us-greenhouse-gas-emissions-and-sinks>). Large sources of GHGs such as fuel and industrial gas suppliers must report using the GHG Reporting Program. However, better characterization of these and other sources is needed and in 2022, the National Academy of Sciences, Engineering and Medicine (NAS) issued a consensus study report, Greenhouse Gas Emissions Information for Decision Making: A Framework Going Forward (2022, <https://nap.nationalacademies.org/catalog/26641/greenhouse-gas-emissions-information-for-decision-making-a-framework-going>). The report identified six criteria to evaluate current and future GHG emissions information:

1. **Usability and timeliness:** information is comparable and responsive to decision-maker needs and available on time scales relevant to decision making;
2. **Information transparency:** information is both publicly available and traceable by anyone;
3. **Evaluation and validation:** review, assessment, and comparison to independent datasets;
4. **Completeness:** comprehensive spatial and temporal coverage of GHG emissions information for the relevant geographic boundary;
5. **Inclusivity:** who is involved in GHG emissions information creation and who is covered by the information; and
6. **Communication:** methodologies and assumptions are described in understandable forms, well documented, and openly accessible.

Recent studies have shown higher methane emissions than indicated in the US GHG Inventory for the New York City region ([Nesser et al., 2024](#); [Pitt et al., 2024](#)). Pitt et al., 2024, found that higher methane

was due to thermogenic emissions and identified the need for more accurate emissions estimates. They further suggested that natural gas emissions from residential and commercial buildings would be valuable.

A 2022 “Workshop on Quantifying Methane Emissions Across Natural Gas Infrastructure in Urban Environments,” was organized by the National Institute for Science and Technology (NIST), Stony Brook University, and the Environmental Defense Fund. The workshop report discusses the current state of knowledge and makes recommendations on much needed measurements before and beyond the meter in urban settings (<https://doi.org/10.6028/NIST.SP.1500-22>). Section 4, Beyond the meter (post-meter) of the report describes previous work and considerations for measuring methane and co-pollutants from residential and commercial buildings.

Research for this category should focus on improving the GHG inventory for residential, commercial, and institutional buildings in NYS identified below with consideration of the planning ideas in the NIST workshop report and should to the extent possible, follow the criteria identified in the NAS Framework. Research should be designed to inform the NYS GHG Inventory, NYC GHG Inventory, and the US GHG Inventory.

Research Focus

Perform measurements to characterize methane and co-pollutant emissions from residential and/or commercial buildings with a focus on space heating, domestic hot water (DHW) systems, and post-meter leaks within the building. Additional technologies using natural gas may also be considered. At a minimum, CH₄, ethane (C₂H₆), CO₂, oxygen (O₂), carbon monoxide (CO), and fuel use must be measured and combustion efficiency determined for energy systems requiring combustion. Natural gas fuel composition during the time of testing must also be obtained to determine the CH₄ / C₂H₆ ratio prior to combustion during testing for comparison with post-combustion ratios. Measurements should be made with high temporal resolution concurrent with boiler or furnace operational mode to fully characterize multiple phases within duty-cycles, including transient periods, steady-state periods, operations under full load, part load, and off conditions during the testing when CH₄ emissions may occur. Testing and additional operational data should be used to determine daily, weekly, monthly, seasonal, and annual GHG emissions, combustion efficiency, and frequency of cycling. Results must include methane emission rates and emission factors [relative to input energy in millions of British thermal units (MMBtu)]. The heating, ventilation and air conditioning (HVAC) system must be well documented, including system age, system description, system layout, the technology design of boiler or furnace, configuration, size (output capacity), heat distribution system, energy management and control system to obtain control sequences and operational parameters to meet the building’s peak heating demand, design load and daily operation of the system. Some documentation may be available from a recent energy audit following American Society of Heating Refrigeration and Air Conditioning Engineers (ASHRAE) Level 2 Energy Audit or may need to be documented. Teaming arrangements of energy engineers (e.g., Measurement and Verification professionals to obtain energy management and control information), HVAC engineers, commissioning professionals, scientists, engineers with stack-testing experience, and building operators are encouraged. Projects will be required to develop a safety plan by a Professional Engineer licensed in the state of NY to ensure the safety of building occupants during and following measurements. Non-intrusive testing is strongly preferred.

III. Proposal Requirements for Targeted Research Categories

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

Proposals should not be excessively long or submitted in an elaborate format that includes marketing materials. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, "PON 5872" and the page number.

Proposals should follow the format below and provide sufficient and succinct information to complete the required descriptions and answer the questions described in the Proposal Evaluation criteria listed in Section IV. The preferred length of each proposal section is shown. **Proposals are subject to return without evaluation if more than 22 pages are submitted** (not including Budget Form (Attachment A), one-page letters of commitment, and resumes), or if a font smaller than 11 point is used. **Proposers may contact Ellen Burkhard at 518-862-1090 ext. 3332 before preparing a proposal to discuss proposal requirements.**

Proposal Format & Submission: Proposals must be submitted as two files. One file shall be the budget and the other file shall be inclusive of the proposal narrative (Parts 1-3) and all other supporting documents. The proposal file should be 100MB or less in file size. A proposal may be submitted to only one targeted research category and the proposer must choose the category that most closely matches the proposal topic.

PART 1: Project Summary (Seven pages total)

- A. Project Summary and Policy Relevance: Summarize the proposed project and its policy implications. Clearly indicate how each of the main goals of the project relates to one of the targeted research categories. If field monitoring will be conducted, identify the network or specific sites (addresses) where monitoring will occur and why they were selected. Describe any energy, air quality, or public health policy issues this research would potentially inform. Identify how the project would result in improved trends analysis, source apportionment, accountability, or emissions inventories. Detail the project goals and major objectives. Explain how the project results will address, in a timely manner, a problem/ opportunity facing New York State with respect to pollutants associated with the generation, transport, use, storage or distribution of energy. Coordination with other national, state or local cooperative environmental research initiatives is desirable and should be described. Explain how the project will make use of other relevant data and coordinate with other initiatives where possible to provide maximum value to New York State. (Three pages)

- B. Summary of Project Methods: Summarize the proposed project methods and overall research design. Describe sites to be monitored. If the proposal is for Category B, describe the number of buildings and the building size, use, type of heating and ventilations system and heat distribution system, and whether an ASHRAE level-2 energy audit (or similar) has been performed recently. Explain why the equipment, models, methods, and other aspects of the work are expected to be capable of meeting proposed project objectives. Describe the extent to which these have been accepted by the scientific community and policy making organizations, or otherwise demonstrated to be valid. The methods must be outlined in detail and clearly designed to meet the project objectives including spatial and temporal resolution (Category A) and each phase of duty cycle (Category B). The methodology for statistical analysis of the data from all aspects of the project must be clearly presented. Describe how data will be made available and archived for independent researchers and policy-makers. Identify likely technical reporting, scientific manuscript topics and potential journals for submittal. Identify measures of success. (Four pages)

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

- A. Tasks: The Statement of Work is the primary contractual document that identifies the task sequence, deliverables, and provides the basis for progress payments. It is an action document, divided by the individual tasks or procedures required to accomplish the project objectives. Each task should be identified with a description of its objective, how it will be performed, and the anticipated deliverables and milestones. As appropriate, tasks should include a clear description of general operating procedures, safety plan, quality control and quality assurance measures, analytical procedures, data archiving, data analysis, evaluation, and statistical analysis to be used to optimize the quality of the data and project results. For Category B, Methane Source Characterization of Buildings for Emissions Inventory Development, a safety plan developed and overseen by a Professional Engineer licensed in NYS is required. (Nine pages)
- B. Information Transfer and Dissemination Plan: The Statement of work must include a task for reporting and information transfer. The following baseline reporting and information transfer work will be required for each project and should be considered in allocating resources for this task: presentations at meetings and completing monthly or quarterly progress reports including a substantive description of project progress and of successful data capture and quality control, quarterly status meeting with the NYSERDA project manager, a comprehensive final technical report, and a minimum of two (2) substantive articles for submission to high caliber peer-reviewed journals to be published open source (or otherwise freely available) fully covering the research project. In addition, each principal investigator will be required to prepare a short paper summarizing the usefulness of their research findings for energy-related environmental policy formulation. Principal investigators are strongly encouraged to collaborate with social scientists/policy analysts in preparing these policy-relevant papers and a technical editor for all final documents is required prior to submittal to NYSERDA. Findings-to-date shall be presented to NYSERDA's Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff. Some projects may be assigned a Project Advisory Committee by NYSERDA. NYSERDA reserves the right to build teams between selected

contractors and stakeholders and/or other supported research to maximize the value of the research effort and funding.

Additional methods of information transfer and reporting may be proposed for involving pertinent policy makers or regulators and other target audience representatives during the project and for using the anticipated project results to achieve projected public benefits. Efforts to increase access to, or use of data collected, is encouraged. Outreach or education to the scientific, regulatory, and policy communities about project findings is also encouraged. Projects selected under Category B will be required to submit an annual report with analysis of findings to date. (One Page)

- C. **Master Schedule:** Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation. Include major milestones and meetings, tests, demonstrations, reports, and other key deliverables. The Schedule should be realistic and reflect a sense of urgency to complete the project and provide timely results to decision makers. (One Page)
- D. **Budget Form:** Complete the attached Budget Form (Attachment A) for the entire project, including any in-kind contributions and other cost-sharing. The degree of cost-sharing will be considered in the evaluation of proposals. **Cost-sharing of at least 25% is required for Category A and strongly encouraged for Category B.** Leveraging of other research funding is preferable. In-kind cost-sharing is acceptable and cost-sharing of institutional overhead costs is strongly preferred. Proposers must provide sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget and allow for evaluation. Equipment purchased for use in the project costing more than \$25,000 may be required to be transferred to NYSERDA or entity selected by NYSERDA at the end of the project. Travel expenses to conferences may be requested for conferences occurring in the final year of the project if project results are to be presented. Conference travel and project presentation requires NYSERDA approval in advance or expenses may not be reimbursed. Publication costs, including open access fees should be included in the budget. (Not included in page count).

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

- A. Management Plan and Qualifications:
- Organizational Chart - Prepare an organizational chart listing all key personnel by name. The role for each of the team members must be clearly described in the proposal. Identify whether the Principal Investigator is an early career investigator (non-tenured). Include names of any subcontractors, postdoctoral or graduate students (if known), and other sponsors involved in the project, showing their roles and responsibilities. (One page)
 - Tasking Chart - Prepare a tasking chart, describing approximately in hours or days the effort contributed by each of the key personnel to each task and the total effort. (One page)
 - Related Projects – Provide a sample of related projects that have been undertaken by the proposer and/or subcontractors. For each project, provide a brief summary,



describing its title, scope, funding amount and client contact numbers. NYSERDA may contact listed clients. (One page)

- B. Resumes: Submit relevant portions of resumes of all key project personnel, including those of proposed subcontractors, and postdoctoral or graduate students (if known). Include education and experience that are relevant to the proposed work. (One page each - not included in page count)
- C. Letters of Commitment or Support: If you are relying on other organizations or businesses to do work, provide services, equipment, site access, or data, or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. If the use of unpublished data from other researchers is necessary for the project to be successful, letters of support showing the availability of these data must be included. Letters of commitment for site access must include the address and names of site operator and owner (if different). **Absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties.** (One page each - not included in page count)
- D. Cost Sharing: A cost-share of at least 25% of the total project cost is required for Category A and strongly encouraged for Category B. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts that have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. If applicable, show the cost-sharing plan in the following format (expand table as needed, maximum 1 page).

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

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

- Describe the basis for the rates proposed (*i.e.*, based on prior period actual results; based on projections; based on federal government or other independently approved rates).
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to

evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

- Provide a detailed budget for the overall project.
- Include a detailed budget for each of the subcontractors/consultants that justifies the amount proposed.

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

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

IV. Proposal Evaluation

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

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

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

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

- c. Management Plan and Qualifications** – How well has the proposer organized a management plan and a project team with the necessary educational, technical, operations, technology transfer, financing, and administrative experience for successfully completing the project? For Category A, is the Principal Investigator a researcher at an academic or research institution actively performing research in NYS? Is the Principal Investigator an early-career researcher? For Category B, does the research team include building-energy engineering professionals and at least one that is a licensed Professional Engineer in NYS? Does the research team include an early-career researcher? Are all roles and responsibilities clearly defined? Has an interdisciplinary team been assembled including environmental scientists, social scientists/public policy analysts, technologists, or building-energy engineers as appropriate? How many of the team members are located in New York State? Have letters of commitment demonstrating the availability of data, site access and agreement to participate been included?
- d. Communication of Results** – How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project (*e.g.*, improved emissions inventories) in a timely manner? Has the proposer described comprehensive annual and/ or final technical reports, and articles for submission to peer-reviewed journals? Does the proposer have a well-crafted plan and partnerships to prepare a short paper summarizing the usefulness of their research findings for environmental and/ or energy policy formulation and identified an interested audience? Has the proposer included a review of the draft final report by a technical editor? Has the proposer planned to present results to NYSERDA’s Environmental Research Program Advisory Group and invited guests at annual meetings (in Albany, NY) arranged by NYSERDA staff? Has the proposer acknowledged the project may be assigned a Project Advisory Committee by NYSERDA?
- e. Cost Criteria** – How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results and the level of effort and duration of the project? How justified and reasonable are the proposer’s cost allocations and co-funding contributions (cash, in-kind services, etc.)? To what degree does the proposal include meaningful cost-sharing from other key organizations important for the success of the project? Is there a detailed budget provided for the overall project including sufficient detail in the supporting schedule for each cost element, its description, and amount to justify the budget? Is conference travel specific to presenting results from this proposed project during the final year of the project? Does the budget include open-source publication costs for a minimum of two manuscripts in peer-reviewed scientific journals?
- B. Other Considerations:** Projects will also be reviewed to determine whether they reflect the overall mission of NYSERDA, including:
- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.



- The general distribution of projects of diverse topics related to program goals.
- The ability of the project to build scientific research capacity in NYS.
- The ways in which the proposed project fits with currently funded projects.
- The ease of measuring project success in quantifiable ways.
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

V. Program Requirements – Environmental Research Fellowship

NYSERDA PON 5872 offers a competitive fellowship program to support one or more Ph.D. students or post-doctoral fellows of academic institutions located in New York State that are doing research in support of the goals of this PON. To qualify, students must be in a Ph.D. degree program, with a dissertation research area that aligns with one of the Targeted Research areas. Post-doctoral fellows must be doing research in an area that aligns with one of the Targeted Research areas as well. Fellowships will provide support for up to two (2) years. Annual support will be in the form of up to a \$65,000 or \$90,000 stipend for graduate student or post-doctoral fellowships respectively, payable through the academic institution, and may be supplemented by the student’s/ post-doctoral fellow’s advisor or institution. See Section VI for Environmental Research Fellowship proposal requirements. NYSERDA anticipates funding up to two (2) fellowships through PON 5872. Proposals must be submitted through the student’s research advisor.

Graduate Student Fellowship (per year)	Postdoctoral Fellowship (per year)
Graduate student stipend: up to \$40,000	Post Doctoral stipend: up to \$70,000
Graduate student tuition: up to \$20,000	Training/conferences/materials: \$15,000
Health insurance: up to \$5,000	Health insurance: up to \$5,000
Total: up to \$65,000	Total: up to up to \$90,000

VI. Proposal Requirements for Environmental Research Fellowship

Proposals should be submitted following the instructions on page one of this PON. Each page of the proposal should state Environmental Research Fellowship, name of the proposer, PON 5872, and the page number. Qualified proposers (see Section V) interested in the Environmental Research Fellowship Program should submit proposals (under cover letter from their university advisors) using the format below (note maximum page lengths per section):

- Project title, goals and objectives (One page).
- Project relevance to targeted research areas identified in this PON (One page).
- Research approach and methodology (up to three pages).
- Expected products and outcomes (One page).
- Brief Budget Justification including co-funding.
- A letter of support from research advisor.
- Statement of career goals (One page).
- Copies of undergraduate and graduate transcripts (unofficial is fine at this stage), curriculum vitae.
- Contract Pricing Proposal form - Complete Attachment A, Budget Form for the entire project, including any cost-sharing. In-kind cost-sharing is acceptable.
- Disclosure of Prior Findings of Non-Responsibility form (see General Conditions, below).

Proposals submitted for the Environmental Research Fellowship that are deemed to be duplicative of a proposal submitted under the Targeted Research areas will not be funded in both instances.

VII. Proposal Evaluation Criteria for EMEP Fellowship Program Proposals

Proposals will be evaluated based on the:

- Potential usefulness and value of project results as it relates to Environmental Research Program goals;
- Soundness of research approach and methodology; and
- Qualifications of student as determined by the submitted documents.

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.nyscrda.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 multiple awards under this solicitation. NYSERDA anticipates a contract duration of one to three years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. 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 12 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 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.

VI. Attachments:

Attachment A – Budget Form

Attachment B – Sample Agreement

Attachment C – Sample Metrics Reporting Guide Metrics



Bond Counsel Services

Request for Proposal (RFP) 5874

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

Proposals Due: August 21, 2024 by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (“NYSERDA”) invites proposals from law firms interested in providing bond counsel and other trust and financial related services to NYSERDA in connection with its past and future issuance of bonds, notes, and other obligations (“bonds”).

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 (Sara LeCain– primary contact) (Designated Contact) at (518) 862-1090, ext. 3423 or by e-mail bondfinance@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. 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>).

Introduction

NYSERDA is a public benefit corporation of the State of New York created and operating under the provisions of Public Authorities Law, §1850 *et. seq.* (the "New York State Energy Research and Development Authority Act" or "Act"). NYSERDA offers objective information and analysis; innovative programs, including energy efficiency, renewable energy, and energy research and development; technical expertise; and funding to help New Yorkers increase energy efficiency, save money, use renewable energy, and reduce reliance on fossil fuels. In addition, it is responsible for managing radioactive wastes and facilities at the Western New York Nuclear Service Center in West Valley, New York; managing certain premises and facilities in Malta, New York, known as the Saratoga Technology + Energy Park; and reducing costs of public utility and other energy facilities through tax-exempt or taxable non-recourse revenue bond financing.



Currently, NYSERDA has outstanding approximately \$1.4 billion in tax-exempt bonds issued on behalf of New York State investor-owned utilities and approximately \$96 million in taxable bonds issued on behalf of NYSERDA.

During the last five fiscal years, NYSERDA's financing program has consisted of the following transactions:

Fiscal Year	Type	Mode	Amount (\$000s)
2019-2020	None	N/A	\$000
2020-2021	NYSERDA Issuance	Fixed	\$16,690
	Utility Conversion	Fixed	\$37,500
	Utility Conversion	Fixed	\$63,500
	Utility Conversion	Fixed	\$34,000
	Utility Conversion	Fixed	\$65,000
2021-2022	None	N/A	\$000
2022-2023	NYSERDA Issuance	Fixed	\$25,600
2023-2024	NYSERDA Issuance	Fixed	\$18,905
	Utility Conversion	Weekly	\$100,000

During these periods, NYSERDA periodically participated in, and also engaged the services of bond counsel for, transactions related to letter of credit substitutions, replacements of remarketing agents, the addition of credit facilities, obtaining rulings from the Internal Revenue Service, and other activities.

Additional background information on NYSERDA, including by-laws, is available on the NYSERDA website at www.nyserda.ny.gov. Official statements for recent NYSERDA financings are available from NYSERDA upon request. Please contact Sara LeCain at (518) 862-1090, ext. 3423, or bondfinance@nyserda.ny.gov for more information.

Scope of Services

NYSERDA requests proposals from law firms interested in being selected to provide bond counsel and other trust and financial related services to NYSERDA. The firm or firms selected will be expected to act as bond counsel for NYSERDA on all aspects of bond issues, as assigned, for a period of up to five years beginning on or about January 1, 2025, and ending on or about December 31, 2029. Such services would be expected to include, but need not be limited to:

- (a) Negotiating, preparing, reviewing, and delivering any documents related to financings, including but not limited to project financing agreements, participation agreements, trust indentures, bond purchase agreements, and tax regulatory agreements, and advising on appropriate covenants for inclusion in agreements between NYSERDA and the other involved parties.
- (b) Preparing and reviewing preliminary official statements, official statements, remarketing circulars, and other disclosure documents necessary or appropriate to the authorization, issuance, sale, or delivery of bonds.
- (c) Rendering an objective opinion with respect to any authorization and issuance of or conversion of the



interest rate on bonds; the delivery of new or revised letters of credit and other liquidity and credit facilities; refinancings; appointment or substitution of remarketing agents, market agents, trustees, auction agents, and other parties to a bond issue; and amendment of related documents, including required bond counsel opinions on the exclusion of interest paid on the bonds from gross income for federal income tax purposes and for state and local income tax purposes, as appropriate.

- (d) Advising on federal and state tax and securities law matters and changes thereto, the investment and expenditure of bond proceeds, and the collection, investment, and application of monies used to pay debt service on bonds.
- (e) Preparing, reviewing, or advising NYSERDA with regard to resolutions, notices, and other documents or procedures required in connection with financings.
- (f) Drafting, analyzing, advising, or commenting on federal and state legislation, regulations and rules, NYSERDA guidelines, and other matters which may have an impact on the financing program.
- (g) Participating in meetings with utilities and other potential borrowers, rating agencies, underwriters, NYSERDA's Members (board of directors) and Audit and Finance Committee, and other parties, as necessary or appropriate.
- (h) Assisting with preparation of schedules for the issuance of bonds and assignment of responsibilities of involved parties.
- (i) Providing any other legal services, advice, or opinions relating to NYSERDA's financing program, other trust-related services, and other financial matters, as requested.

The firm or firms selected as bond counsel would also be expected to provide its services on bond issues closed up to December 31, 2029.

Proposal Requirements

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

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.

The proposal must be in the following format:

Proposals must be submitted in two parts. Part I must consist of responses to the management and qualifications items [IV(A) below]. Part II must consist of complete contract cost and pricing information [IV(B) below]. Each part must be complete, so that it can be evaluated independently.

A. Management and Qualifications. In setting forth its qualifications, each interested firm should provide, in concise but adequate detail, the information sought below.

- 1. For the years 2022, 2023, and 2024 state:
 - (a) the number and dollar volume of revenue bond issuances by New York State, local governments in New York State, or State or local public authorities or public benefit corporations in New York State for which your firm acted as bond counsel, co-bond counsel, underwriters counsel, underwriters co-counsel, tax counsel, or special counsel;



- (b) the number and dollar volume of public utility or special energy project revenue bond issuances and electric power and related facilities revenue bond issuances for which your firm acted as bond counsel, co-bond counsel, underwriters counsel, underwriters co-counsel, tax counsel, or special counsel; and
- (c) the interest rate modes allowable, security, and the basis for the firm's fees (for example, hourly rate or a percentage) for each of the issues included in the answers for A (1)(a) and (b) above.

The issues should be separately categorized by the legal function performed, *i.e.*, bond counsel, co-bond counsel, underwriters counsel, underwriters co-counsel, tax counsel, or special counsel; public utility, special energy project, and appropriation-backed service contract revenue bond issuances should be separately grouped. The dollar volume of each category should be stated, with issues totaling \$100 million or more separately identified, and the nature of any special counsel function should be described. The method by which your firm was selected to provide such services (for example, sole source, request for proposals, etc.) should also be listed.

- 2. State the names of the partners and associates in the public finance group in the firm and in the tax subgroup therein.
- 3. State the names of the partners, associates, and paralegals who would be assigned to NYSERDA's account, provide their resumes, the location of their primary office, and describe their anticipated commitments to other clients during the next 12 months.
- 4. Describe the experience of the firm in obtaining rulings from the Internal Revenue Service on bond-related matters.
- 5. Describe the experience and familiarity of the firm with Internal Revenue Code provisions specific to New York State utilities.
- 6. Describe any subjects related to bond counsel services in which you feel your law firm has special expertise and the nature of that special expertise.
- 7. Provide a brief description of services you expect to provide to NYSERDA. Indicate whether your firm is prepared to render the services enumerated in this RFP using its own resources. (NYSERDA will not permit any bond counsel services to be subcontracted or assigned to third parties.) The description should emphasize particular services to be provided with respect to public finance and tax work as it relates to the issuance of federal, State, and local, or State and local, tax-exempt obligations by NYSERDA as a governmental issuer.
- 8. Describe your firm's experience and expertise with general representation of public entities, including particularly New York State public benefit corporations or public authorities.
- 9. Provide three client references, including names of contacts and telephone numbers.
- 10. Identify the nature of any potential conflict of interest your firm might have in providing bond counsel services to NYSERDA:
 - (a) State whether your firm represents any New York State energy public utility, public authority, or any independent power producer. If so, state the name of each such client and the nature of your representation.
 - (b) Discuss fully any conflicts of interest, actual or perceived, which might arise in connection with your firm's involvement with NYSERDA. If conflicts do or might exist, describe how your firm would resolve them. Please be aware that the firm selected will be expected to represent NYSERDA in all transactions within its financing program; representation of any other party to a transaction involving NYSERDA would be prohibited without the express written approval of NYSERDA, which would be unlikely.



11. Identify any litigation or administrative proceedings to which you are a party, and which would either materially impair your ability to perform the services enumerated herein and for which this RFP was issued or, if decided in an adverse manner, materially adversely affect the financial condition of your firm.
12. Furnish information on the number and percentages of minorities and women among the partners and other attorneys of the firm, as well as para-professional and support staff; a copy of the firm's affirmative action or equal opportunity plan or other commitment to affirmative action and equal employment opportunity or its status as a minority or women-owned business; and an explanation of how your firm, if selected, would help NYSERDA further its policy of promoting participation of minorities and women in the provision of services to it, including services in support of its financing program.
13. Provide the address of the office through which NYSERDA's account will be primarily serviced, and any anticipated travel or other such costs.
14. Provide any other information you believe would make your law firm's representation of NYSERDA superior to other firms' representation.

B. Cost.

1. State the rates at which the services of partners, associates, and non-attorney law clerks, paralegals, or other paraprofessionals would be provided to NYSERDA during the periods January 1, 2025 to March 31, 2025, NYSERDA fiscal years (April 1st through March 31st) 2025-2026, 2026-2027, 2027-2028, and 2028-2029, and the period April 1, 2029 - December 31, 2029, which partners and associates are expected to perform which services, to the extent reasonably projectable, and how these services would be billed. (Indicate whether the firm will commit now to rates for fiscal years 2025-2026, or 2026-2027, or 2027-2028, or 2028-2029. Increases, if any, for those years may be stated in terms of percentages above the rates for January 1 through March 31, 2025.) Include:
 - (a) For each attorney whose resume is provided in response to IV(A)(3) above, your normal hourly rate and the hourly rate you propose to charge NYSERDA.
 - (b) Projected services to be provided by each attorney whose resume is provided in response to IV(A)(3) above, to the extent available.
 - (c) For each applicable category of non-attorney law clerk, paralegal, or other paraprofessional, your normal hourly rate and the hourly rate you propose to charge NYSERDA.
 - (d) Costs of any anticipated clerical support, if billed separately.
 - (e) A schedule of all disbursements which you anticipate will result in a charge to NYSERDA and the rate for each.
 - (f) Any reduced rates or fees charged other State or local public finance issuers in New York.
 - (g) A statement whether you would be willing to agree to caps on fees on an issue-by-issue basis.

In responding to this item IV(B)(1), provide one or more of the following, in respondent's order of preference: (i) a single hourly rate for all partners and a separate single hourly rate for all associates; (ii) a blended hourly rate for all partners and associates; and (iii) the individual hourly rates for each partner and each associate.

2. State the bases on which any other firm expenses related to services provided to NYSERDA would be billed, if other than cost.
3. State the specific maximum overall dollar limit which the firm would accept on fees and expenses for



each of two hypothetical individual bond issues: one a new money issue and the other a refunding issue, each in the principal amount of \$100 million. Indicate the projected number of hours of involvement by partners, associates, etc. Indicate if either the dollar limit would differ if the principal amount of the bond issue were to be higher or lower and, if so, how. For purposes of developing these dollar limits, assume: (a) each bond issue would be sold at a fixed interest rate, with no variable rate or derivative features, (b) normal arbitrage and rebate matters would be addressed, and (c) the bond issue would not involve any unusual or complex matters. Each dollar limit must include all costs of operations the proposer would expect to recover, including secretarial, office equipment, fringe benefits, indirect cost rates, etc.

4. State any special considerations with respect to billing or payment of fees and expenses that your firm offers and that you believe would differentiate it from other proposers and make your firm's services as bond counsel or co-bond counsel more cost effective for NYSERDA.

Proposal Evaluation (Set forth evaluation criteria).

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

A. Evaluation Factors. In evaluating proposals submitted in response to this RFP, NYSERDA will consider the following factors.

1. Anticipated cost of services and willingness to work with NYSERDA to minimize costs. (Although proposed fees will be taken into account in the selection process, NYSERDA reserves the right to negotiate with any firm selected lower fees or different fee structures than proposed).
2. Quality and depth of the firm's expertise and its prior capability in providing similar services, including, but not limited to, past performances on projects and programs in New York of magnitude or complexity comparable to or greater than NYSERDA's or specific to New York utilities. For those firms who have worked as counsel in any capacity with NYSERDA, the quality of work on those transactions will be considered.
3. Experience in general and, in particular, as bond counsel on behalf of issuers like NYSERDA, especially in transactions similar to the types NYSERDA has entered into and obligations of the types NYSERDA has issued. Involvement of the proposing firm in financings with innovative legal issues, which demonstrates any unique qualifications as bond counsel. The firm selected for bond counsel must be nationally recognized bond counsel experienced in the subject areas of public finance and tax laws and regulations.
4. Commitment of time, resources, and ideas to NYSERDA and availability to and facility for working with NYSERDA attorneys and financing program staff.
5. Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.
6. The proposer is a NYS-certified minority-owned or women-owned business.
7. 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.

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.



B. Selection Process. A selection committee consisting of NYSERDA staff will review and evaluate proposals and develop a short list for further consideration. Firms so selected may be requested to submit sample financing documents that they have prepared. Firms so selected may also be invited to make oral presentations to NYSERDA staff and any members of the Audit and Finance Committee of NYSERDA who wish to participate. The staff will then make a recommendation to the Audit and Finance Committee, which will make a recommendation to the Members of NYSERDA. The Members will make the final selection, subject to the provisions of Section 1853 of the Public Authorities Law.

Winning proposers will be assigned to work on proposed transactions by NYSERDA on a case-by-case basis.

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 award(s) under this solicitation. NYSERDA anticipates a contract duration of five (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 after the approval of the Board 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 bondfinance@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.

Attachments:

- Attachment A – Sample Letter Agreement and Attachments
- Attachment B – Article 15-A (MWBE) Provisions
- Attachment C – Article 17-B (SDVOB) Solicitation Provisions (non-construction)
- Attachment D – Diversity Practices Questionnaire



Changes need to be reflected in a “Revised Solicitation” with revision date, must include a new bulleted first-page summary of the changes (include logo, full title as on Solicitation, and revision date). The notice of the “reissuance” must be published in the Contract Reporter. Revisions to a Solicitation can **only** be posted on the web at the time the Contract Reporter is **published.**)



COMMERCIAL REAL ESTATE SERVICES-
SALE of 17 COLUMBIA CIRCLE
ALBANY, NY
Request for Qualifications (RFQL) 5881

Proposals Due: August 26, 2024, by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (“NYSEDA”) is seeking a qualified commercial real estate brokerage firm to promote and assist with the sale of 17 Columbia Circle, Albany, NY. Such services include but are not limited to sales strategy and review, advice, and negotiating any resulting bids.

17 Columbia Circle is a 64,000 square foot office building that sits on 3.81 acres with 230 parking spaces. The building was built in 1995, acquired by NYSEDA in 2002, well-maintained, and EnergyStar rated. NYSEDA seeks to dispose of the property as part of a longer-term real estate strategy that includes consolidation of its Albany area office spaces.

Proposal Submission: Online submission is highly preferred. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. 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, 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 Gene Doane or Melissa Winfield (Designated Contacts) at (518) 862-1090, ext. 3230 and 3660, respectively, or by e-mail to Gene.Doane@nyserda.ny.gov or Melissa.Winfield@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Jim Cowman (Designated Contact) at (518) 862-1090, ext. 3652 or jim.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 NYSEDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. Introduction

NYSERDA is a public benefit corporation established in 1975 under Title 9 of Article 8 of New York State's Public Authorities Law. Among the statutory purposes of NYSERDA are developing and implementing new energy technologies consistent with economic, social, and environmental objectives.

17 Columbia Circle is part of an office park within the City of Albany and within one block of the Pine Bush Preserve. NYSERDA is both the owner and the sole tenant. There are no liens, nor any debt on the property. The building is approximately 64,000 square feet, of which approximately 11,000 are below grade. There are two entrances/exits into the parking lot. There are restrooms on all levels and employee shower/locker rooms. The building is served by all major utilities: National Grid, Albany Water, Casella Waste, Spectrum Internet and Verizon Phone Service. Several common areas have very recently been updated, and the building is highly energy efficient. Additional pertinent details concerning 17 Columbia Circle will be provided to the awarded broker.

Zoning

17 Columbia Circle is subject to City of Albany/Pine Bush Area zoning designation. For a list of permissible uses refer to City of Albany Code Enforcement. <https://www.albanyny.gov/2038/Code-Enforcement>

II. Program Requirements

NYSERDA aims to dispose of 17 Columbia Circle, preferably through a sale of the property though leasing to a full-building tenant may be considered. NYSERDA may also consider a sale and leaseback arrangement through mutual agreement. It is seeking a commercial real estate broker to assist in or perform the following duties:

- In consultation with NYSERDA, develop and implement a marketing strategy.
- Assist interested parties in their due diligence efforts to the greatest extent possible.
- Provide timely feedback from third parties to allow for changing/improving the marketing.
- Receive and advise on all offers received.
- Once accepted and with NYSERDA's input, assist in negotiating the transaction(s).

III. Proposal Requirements

Proposals should be kept to a maximum 10 pages of narrative, addressing your understanding of both this RFQ and the Capital Region commercial real estate market as it relates to parcels of this size and type; regional/national marketing experience and network; potential opportunities for and challenges with selling the building in a reasonable timeframe; and experience in marketing and closing commercial office building sales. 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:

A. THE PROPOSER

1. Company Information – All Proposers must, if such exists, provide the following information for each member of the proposed team:

- Name of Business Entity (including any "Doing Business As" names)
- Headquarters/Parent Company Location
- History of Firm
- Proof of Licensure to sell commercial real estate in New York State
- Commercial real estate broker experience in New York
- Internet Web Site Address
- Details of Entity's Business Structure (Corporation, Partnership, LLC)

- Date Founded
- Organizational Chart of Business Entity
- New York State and Other Pertinent Locations and Total Number of Employees at each
- Briefly explain your understanding of the project requirement
- Submit proof of insurability for workers compensation and consultant liability.

2. Qualifications –Describe why you believe your firm is best qualified to market and sell this property. What are your competitive advantages? What extent of the Proposer’s business is represented by commercial real estate? How successful has the Proposer been at selling commercial real estate of similar size, use and complexity? Provide statistics, trends, and examples.

3. Timing – Provide information on your firm’s average time-to-sell, at a reasonable market value, for comparable properties in the NYS Capital Region within the past three years. Provide statistics, trends, and examples. Describe what strategy you would use to sell the property at a fair market value on an accelerated timeline of one year.

4. Staffing - Identify all staff that will play a substantive role in the work. How many years of commercial real estate sales/services does the proposed team or lead broker have? Provide examples of “large” land transactions the team and lead broker have taken part in or been directly responsible for. Provide resumes for each professional assigned to the project, along with a copy of a current New York State real estate brokers license.

5. Marketing – Describe how you intend to market the property, and what outlets you intend to use. Does the Proposer have a local, regional or national network through which to market the property? Briefly describe the network. Also discuss your typical strategy to assess and recommend property updates that may assist in the sale process, and to assist the client in prioritizing such updates.

6. References- Submit a list of three (3) references, preferably references who retained the Proposer for a project with similar requirements.

B. COMMISSION

On corporate letterhead, indicate what your commission will be. Is it a flat percent of the selling price, is it based on a sliding scale, or determined by some other method? Is the commission based strictly upon sale(s) or do you expect recompense from NYSERDA regardless of sale(s)? If so, for what and what is the structure of such payment?

C. BROKER’S AGREEMENT

Provide a copy of your proposed broker’s agreement. NYSERDA reserves the right to negotiate certain business terms.

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k

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

VI. SELECTION EVALUATION

Proposals that meet Proposal requirements will be reviewed by an Evaluation Panel consisting of NYSERDA staff.

The following factors shall be considered when reviewing proposals.

1. Qualifications of pertinent staff and brokerage, especially with regard to sales of commercial office buildings of 40,000 square feet or larger.
2. Understanding of the Capital District real estate market as it pertains to office building sales and development.
3. Marketing and marketing network.
4. Strategy for achieving a successful transaction at market value with an accelerated timeline.
5. Commission and agreement competitiveness.
6. Current New York State real estate brokers license(s).

NYSERDA reserves the right to assign to each of the above criteria such weight as NYSERDA may in its absolute discretion determine (all criteria used by NYSERDA being collectively called the "Selection Criteria").

IV. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 . 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 C, Diversity Practices Questionnaire.

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises

(SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations, goals, and obligations of the selected Contractor are set forth in the Sample Agreement.

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

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_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 up to two years with a possible renewal for additional single years thereafter, 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 weeks from the proposal due date whether their proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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 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.

Attachment A Minority Women Owned Business Enterprise (MWBE)
Attachment B Service Disable Veteran Owned Business (SDVOB)
Attachment C Diversity Practices

Attachment A
Article 15-A (MWBE) Provisions for Solicitation Documents (non-construction)

New York State Law

Pursuant to New York State Executive Law Article 15-A, NYSERDA recognizes its obligation 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.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority-and women-owned business enterprises in state procurement contracting versus the number of minority-and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that NYSERDA establishes goals for maximum feasible participation of New York State Certified minority- and women – owned business enterprises ("MWBE") and the employment of minority groups members and women in the performance of New York State contracts.

Article 15-A EEO Policy

- (1) Contractors and subcontractors shall 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 (religion), color, national origin, sex, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status, or domestic violence victim status. For these purposes, affirmative action shall apply in the areas of recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.
- (2) Following the award of a State contract and as a precondition to entering into that contract, a winning proposer shall submit an equal employment opportunity ("EEO") policy statement to NYSERDA within seventy-two (72) hours following such proposer's receipt of NYSERDA's award letter. A proposer's failure to timely submit the EEO policy statement could result in NYSERDA's rejection of that proposer's proposal.
- (3) The proposer's EEO policy statement shall contain, but not necessarily be limited to, and the proposer, as a precondition to entering into a valid and binding State contract, shall, during the performance of the State contract, agree to the following:
 - (1) The proposer will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, and 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 its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts.

- (2) The proposer 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.
- (3) At the request of NYSERDA, the proposer 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 proposer's obligations.
- (4) Pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will 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.
- (4) Within ten (10) business days following a winning proposer's receipt of NYSERDA's award letter, such proposer shall submit to NYSERDA a staffing plan of the anticipated work force to be utilized on the State contract. The form of the staffing plan shall be supplied by NYSERDA. 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, the Contractor shall submit, in lieu of a staffing plan, information on the Contractor's and/or subcontractor's total workforce. The staffing plan or workforce information shall be broken down by ethnic background, gender and Federal occupational categories, or other appropriate categories specified by NYSERDA. A proposer's failure to submit the staffing plan or workforce data could result in NYSERDA's rejection of that proposer's proposal. If a proposer changes its utilization plan after submission, it shall notify NYSERDA in writing of such change and obtain approval from NYSERDA in accordance with the Regulations §§ 142.6 & 142.8.
- (5) A proposer's failure to submit an EEO policy statement and staffing plan or total work force data shall result in NYSERDA's rejection of proposer's proposal, unless the proposer provides NYSERDA with a reasonable justification in writing for such failure (e.g., the failure to submit a staffing plan where proposer has a work force of 10 employees or less), or makes a commitment to submit an EEO policy statement and a staffing plan or total work force data by a date to be specified by NYSERDA.
- (6) To demonstrate compliance with the stated participation goals as set forth herein, a contractor shall be required to periodically submit compliance reports to NYSERDA, on the forms attached to the contract, during the entire term of the contract.

Contract Participation Goals by MWBE on NYSERDA procurements

In accordance with Article 15-A of the N.Y. Executive Law ("Article 15-A") and pursuant to the regulations adopted thereto, NYSERDA has established certain contract participation goals for minority and women-owned business enterprises (MWBE). NYSERDA's participation goals for contracts awarded pursuant to this solicitation are 15% for minority-owned business enterprises and 15% for women-owned business enterprises. These participation goals are subject to the requirements of Article 15-A, and its implementing regulations as set forth in Title 5, Chapter XIV, Parts 140-144 of the New York Codes, Rules and Regulations (the "Regulations").

NYSERDA requires every winning proposer to undertake "good faith" efforts to actively solicit MWBE participation in connection with its potential award of the NYSERDA contract. Within ten (10) business days following the receipt of NYSERDA's award letter, a winning proposer must submit to NYSERDA an MWBE Utilization Plan Form, in a form provided by NYSERDA. Within twenty (20) days following its receipt of the Utilization Plan, NYSERDA will issue a written notice of acceptance or deficiency. If NYSERDA issues a notice of deficiency, then proposer must provide NYSERDA with a written remedy in response to said notice of deficiency within seven (7) business days of its receipt. If the proposer's remedy to the notice of deficiency is not timely provided or if it is found by NYSERDA to be inadequate, NYSERDA shall so notify proposer and request proposer to submit a waiver form within five (5) business days. Failure to file the written remedy or a waiver form in a timely manner as set forth above may be grounds for disqualification of proposer's award for non-responsibility, after NYSERDA gives proposer notice and opportunity to be heard in accordance with Article 15-A § 313(5)(c) and the Regulations § 142.9.

A winning proposer may request a total or partial waiver of the requirements of the participation goals set forth above. In such an event, NYSERDA shall provide proposer with a waiver form to be provided by proposer prior to the award of the NYSERDA contract. Prior to granting or denying a waiver, NYSERDA shall evaluate proposer's "good faith efforts" and may consider the factors set forth in the Regulations §143.7. In the event NYSERDA refuses to grant proposer a waiver, proposer may file a complaint with the NYS Empire State Development's Division of Minority and Women Business Development (the "Division") in accordance with Sections 313(8) & (9) of Article 15-A and Section 142.12 of the Regulations.

Relevant sections of the Regulations may be found at the following link, which Regulations and each party's rights and obligations set forth therein, are incorporated herein by this reference (in the event of a conflict between this solicitation and the Regulations, the Regulations shall govern):

<https://www.nysenate.gov/legislation/laws/EXC/A15-A>

A directory of certified MWBEs may be found here: <https://ny.newnycontracts.com/>

Article 15-A Disqualification and Dispute Resolution Procedures

NYSERDA, and applicable proposers and contractors shall be subject to and bound by the disqualification and dispute resolution procedures contained in Article 15-A (including, without limitation, Sections 312(5), 313(5)(c), 313(8), 313(9) and 316), and in relevant sections of the Regulations (including, without limitation, Sections 142.9, 142.12 and 143.6), as and where applicable.

NYSERDA may disqualify a proposer as being non-responsive under the following circumstances:

- a) If a proposer fails to submit a MWBE Utilization Plan;
- b) If a proposer fails to submit a written remedy to a notice of deficiency;
- c) If a proposer fails to submit a request for waiver; or
- d) If NYSERDA determines that the proposer has failed to document good faith efforts.

Penalties

In accordance with the Regulations §142.13, NYSERDA's contract shall require contractor to agree that its willful and intentional failure to comply with the MWBE requirements of Article 15-A 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.

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 (“MWBs”). 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:

(1) 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.

(2) 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.

(3) 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.

(4) 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 MWBE 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 MWBE businesses as identified in the applicable state directory maintained by the NYS Empire State Development's Division of Minority and Women Business Development (see <https://ny.newnycontracts.com/>). 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 MWBEs 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 MWBE 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 MWBE with the Division and is responsible for one hundred percent (100%) of the performance of this Agreement, the Contractor shall submit to NYSERDA an MWBE 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 MWBE 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 MWBE Utilization Plan and updated Quarterly MWBE 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 MWBE 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

**MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES AND
EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

MWBE 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:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs from AGENCY and solicit bids from them directly.
- (3) 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.
- (4) 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.
- (5) 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.
- (6) 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 _____, 2_____

Signature: _____

Print: _____

Title: _____

ATTACHMENT 2
NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY
MWBE 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 15% MINORITY OWNED BUSINESS ENTERPRISE (MBE) GOAL AND THE 15% 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

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY
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

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY
MWBE 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

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY
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

**NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY
MINORITY WOMEN BUSINESS ENTERPRISE (MWBE) 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.

Attachment B
Article 17-B Service-Disabled Veteran-Owned Business Enterprises (SDVOB)
Provisions for Contract Documents (non-construction)

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 <https://ogs.ny.gov/Veterans/default.asp>)

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: _____

Address: _____

Phone: _____

Contact Person: _____

Estimated Contract Award Date: _____

Estimated Contract Commencement Date:

Brief Description of the Scope of Work:

Name: _____

Address: _____

Phone: _____

Contact Person: _____

Estimated Contract Award Date: _____

Estimated Contract Commencement Date:

Brief Description of the Scope of Work:

Name: _____

Address: _____

Phone: _____

Contact Person: _____

Estimated Contract Award Date: _____

Estimated Contract Commencement Date:

Brief Description of the Scope of Work:

Name: _____

Address: _____

Phone: _____

Contact Person: _____

Estimated Contract Award Date: _____

Estimated Contract Commencement Date:

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 waiver.
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 wavier of the goal requirements established in the solicitation/contract upon the submission of a wavier 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 SDFOB 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.

Attachment C

Diversity Practices Questionnaire

I, _____, as _____ (title) of _____ firm or company (hereafter referred to as the company), swear and/or affirm under penalty of perjury that the answers submitted to the following questions are complete and accurate to the best of my knowledge:

1. Does your company have a Chief Diversity Officer or other individual who is tasked with supplier diversity initiatives? Yes or No

If Yes, provide the name, title, description of duties, and evidence of initiatives performed by this individual or individuals.

2. What percentage of your company's gross revenues (from your prior fiscal year) was paid to New York State certified minority and/or women-owned business enterprises as subcontractors, suppliers, joint-venturers, partners or other similar arrangement for the provision of goods or services to your company's clients or customers?

3. What percentage of your company's overhead (i.e. those expenditures that are not directly related to the provision of goods or services to your company's clients or customers) or non-contract-related expenses (from your prior fiscal year) was paid to New York State certified minority- and women-owned business enterprises as suppliers/contractors?^[1]

4. Does your company provide technical training^[2] to minority- and women-owned business enterprises? Yes or No

If Yes, provide a description of such training which should include, but not be limited to, the date the program was initiated, the names and the number of minority- and women-owned business enterprises participating in such training, the number of years such training has been offered and the number of hours per year for which such training occurs.

5. Is your company participating in a government approved minority- and women-owned business enterprise mentor-protégé program?

If Yes, identify the governmental mentoring program in which your company participates and provide evidence demonstrating the extent of your company's commitment to the governmental mentoring program.

6. Does your company include specific quantitative goals for the utilization of minority- and women-owned business enterprises in its non-government procurements? Yes or No

If Yes, provide a description of such non-government procurements (including time period, goal, scope and dollar amount) and indicate the percentage of the goals that were attained.

7. Does your company have a formal minority- and women-owned business enterprise supplier diversity program? Yes or No

If Yes, provide documentation of program activities and a copy of policy or program materials.

8. Does your company plan to enter into partnering or subcontracting agreements with New York State certified minority- and women-owned business enterprises if selected as the successful respondent? Yes or No

If Yes, complete the attached Utilization Plan

All information provided in connection with the questionnaire is subject to audit and any fraudulent statements are subject to criminal prosecution and debarment.

Signature of
Owner/Official
Printed Name of
Signatory

Title

Name of Business

Address

City, State, Zip

^[1] Do not include onsite project overhead.

^[2] Technical training is the process of teaching employees how to more accurately and thoroughly perform the technical components of their jobs. Training can include technology applications, products, sales and service tactics, and more. Technical skills are job-specific as opposed to soft skills, which are transferable.

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

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

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

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

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

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

Contract Award

NYSERDA may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work (included within Attachment B, Sample Agreement). Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to

support applications. NYSERDA will use the Sample Agreement 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)



“NextGen Buildings Innovation Challenges”
 Program Opportunity Notice (PON) 3519
Up to \$8 Million Available
Round 8

*All, some, or none, of the available funds may be awarded.
 NYSERDA reserves the right to extend, and/or add or reduce funding to this solicitation.*

Round	Challenge Areas	Announcement	Concept Paper Due Date	Full Proposal Due Date (tentative)
8	Intelligent Buildings, Thermal Storage	May 16, 2024, 3:00 p.m. EST*	July 17, 2024, 3:00 p.m. EST*	September 25, 2024, 3:00 p.m. EST*

The New York State Energy Research and Development Authority (NYSERDA) announces the availability of up to \$8 million for Round 8 of PON 3519 to support the development and demonstration of innovative technologies in the following two Innovation Challenge Areas:

- Challenge Area 1: Intelligent Buildings
- Challenge Area 2: Thermal Storage

Eligible projects must show a potential to reduce GHG emissions from the building sector in New York State (NYS) by increasing the energy efficiency and/or advancing the energy performance of new and/or existing buildings in the residential, multi-family, commercial, or institutional sector. The Program Requirements, including minimum cost share, are explained in Section III below.

I. Introduction

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

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

Buildings are a large user of energy, a major contributor to greenhouse gas emissions (GHG) and system peak demand, and an important critical infrastructure for NYS. Heating, ventilation, and air conditioning (HVAC) equipment consumes approximately 40% of the energy used by residential and commercial

buildings, making this end use responsible for approximately 25% of the total energy used and 36% of the GHG emissions in NYS. The cooling requirement for buildings is the primary contributor to the difference between statewide peak electric system demand (>32 GW) and average base-load system demand (<18 GW). An NREL study, *Innovations in Sensors and Controls for Building Energy Management*¹, shows that through advanced sensors and autonomous controls, the current energy savings potential on HVAC loads is between 15% to 20% and could be as much as up to 40% by 2030.

A study by the Urban Green Council² shows that the winter power demand from full electrification of NYC is projected to increase the NYC winter electric peak to about 23 GW, or 109% over the current NYC summer peak. However, through intelligent building control, this could be capped at about 15 GW, only a 38% increase. This difference of 8 GW would be a massive and permanent avoided cost of the grid-scale renewable energy resources that would otherwise be needed to meet this additional peak load. A recent New York Independent System Operator (NYISO) report³ states “Our models show that by 2030, New York City (Zone J) could have a reliability margin of only 200 MW to serve a peak load of more than 10,000 MW.”

The large capital investment and long asset life of existing building equipment requires new technologies to have compelling value propositions in order to achieve market adoption. Some innovations have been technically compelling but not commercially successful. Additionally, solutions on the market today do not address NYS’s diverse climate or dense urban population and are not sufficient to meet NYS’s aggressive energy and GHG reduction goals.

NYSERDA’s NextGen Buildings program seeks to accelerate the development and commercialization of innovative solutions that enable electrification and decarbonization of the building stock in NYS. By supporting building innovations, the program will enable buildings to be cleaner, more energy efficient, load flexible, and resilient. Many building innovations have the additional benefit of improved indoor air quality and quality of life for consumers, providing not only economic value, but improved occupant comfort as well.

This solicitation seeks to attract solutions that directly benefit low- to moderate-income and disadvantaged communities across NYS and it will focus resources on the successful commercialization of building innovations for these communities. In addition to articulating the technical innovation, proposers must describe their commercialization strategy, including: customer discovery and channel strategy, competitive landscape, intellectual property, fundraising needs, manufacturing and scale-up, key partners, and team qualifications and development.

All Concept Papers and Full Proposals for Round 8 must address one of the Innovation Challenge Areas listed in Section II below. For detailed discussion of each area, refer to Attachments E1 – E2 respectively.

A two-step evaluation process will be used. Proposers will be required to submit a Concept Paper by the indicated due date. All Concept Papers will be reviewed by a Scoring Committee (SC) based on the evaluation criteria listed in Section IV. NYSERDA may invite proposers whose Concept Papers have been selected for further consideration to submit a Full Proposal. The invitation will include the date by which Full Proposals must be received. Failure to submit a Concept Paper precludes submission of a Full Proposal. Submission of Full Proposals is by **invitation only**.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept Concept Papers and Full Proposals by mail or hand-delivery if

¹ <https://www.nrel.gov/docs/fy20osti/75601.pdf>

² <https://www.urbangreencouncil.org/wp-content/uploads/2022/08/2021.12.07-Grid-Ready.pdf>

³ <https://www.nyiso.com/-/grid-reliability-requires-a-careful-transition-from-fossil-fuels>

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 the list of Designated Contacts below. No communication intended to influence this procurement is permitted except by contacting the Designated Contacts named herein.

- For questions concerning the specific Innovation Challenge Areas and/or Attachment A1 – Statement of Work, see Section II: Innovation Challenge Areas below for a list of Designated Contacts.
- For contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3305 or by email NancySolicitations@NYSERDA.ny.gov.

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

*** All Concept Papers and Full Proposals must be received by 3 p.m. Eastern Time on the due dates noted above. Late, faxed, or emailed documents 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 submission. 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 documents. 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 system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

II. Innovation Challenge Areas

All submissions for Round 8 must address one of the following Innovation Challenge Areas below.

1. **Innovation Challenge Area 1: Intelligent Buildings** – See Attachment E1
Technical questions concerning Intelligent Buildings should be directed to Jerone Gagliano, consultant to NYSERDA (Designated Contact) by email (JeroneNextGen@nyserda.ny.gov).
2. **Innovation Challenge Area 2: Thermal Storage** – See Attachment E2
Technical questions concerning Thermal Storage should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email (MichaelNextGen@nyserda.ny.gov).

If the Designated Contact for a specific Challenge Area cannot be reached, please contact Joe Borowiec (Designated Contact) at (518) 862-1090 ext. 3381 or by email (JoeNextGen@nyserda.ny.gov).

III. Program Requirements

Projects selected for funding must:

1. Show potential to reduce GHG emissions from the building sector in New York State.
2. Demonstrate benefits to electric System Benefits Charge (SBC) ratepayers (<https://www.nyserda.ny.gov/About/Funding>), regardless of the initial Technology Stage.
3. Address an opportunity to increase the energy efficiency and/or advance the energy performance of new and/or existing buildings in the residential, multi-family, commercial, or institutional sector.

4. Provide direct and quantifiable energy, environmental, and economic benefits to NYS (including benefits to low- to moderate-income and disadvantaged communities), such as energy savings, demand response, emissions reductions, job creation, product manufacturing and sales, and/or reduced energy costs.
5. Satisfy the Concept Paper requirements and, if selected, Full Proposal requirements and sufficiently address the evaluation criteria (see Sections IV and V).
6. Complete all necessary attachments, including the Concept Paper Template (Attachment B) and, if selected, the Proposal Narrative (Attachment A), Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2) and Budget Form (Attachment C).
7. Agree to pay recoupment to NYSERDA for commercial sales or licensing revenues of new technologies, services, or products developed with NYSERDA funding (see Section VI).
8. Agree to Annual Metrics Reporting terms (see Section VI) and General Conditions (see Section VII).
9. Development activities should describe their commercialization strategy and include other commercialization activities; basic research is ineligible.
10. Demonstration projects must take place within New York State and include a letter of support from the site owner(s)/decision maker(s).
11. Provide a letter of support and commitment from all funding sources.

Technology Stages. Full Proposals will consist of one or more of the following stages as defined by Technology Readiness Level (TRL). Only the following three stages will be considered for funding:

Technology Stages	TRL	Proposer Cost Share
Feasibility	1-3	20%
Development	4-7	50%
Demonstration	8-9	40%

Full Proposals must articulate a plan to take the technology from its current stage through the Demonstration Stage. In other words, if the initial technology stage is Feasibility, the proposal should also include schedules and budgets for the Development Stage and Demonstration Stage. If the initial technology stage is Development, the proposal should also include a schedule and budget for the Demonstration Stage.

All activities with a **stage** budget in excess of \$350,000 may be broken down into **phases** at NYSERDA's discretion. Funding may be awarded for multiple phases with funding for each phase beyond the initial phase conditional upon meeting predefined goals of prior phases and contingent upon the availability of funds. An additional review will be required for projects to move between **stages**. For more information regarding the stage gating process, please refer to section 3 of 'Project Schedule, Staging, and Teaming' below.

Proposers should allocate 10-25% of the project budget for commercialization-related tasks, such as customer discovery, IP protection, business plan development, and design for manufacturing.

1. **Feasibility Stage** (Proposer cost share of 20% or greater)
 - a. Applied research aimed at early development of a new product or technology, policy, business, and/or regulatory model.
 - b. The Feasibility Stage of any proposed project will be limited to \$350,000 total.
 - c. Projects beginning in this stage should have a TRL of 1-3. If the TRL is of a greater value, the proposer should apply under the Development or Demonstration Stage.
 - d. After completing the Feasibility Stage, the sub-components should be validated and testing of the complete system should be underway.
 - e. After completing the Feasibility Stage, the innovation should be validated as commercially viable through discussions with potential customers and/or users.

2. **Development Stage** (Proposer cost share of 50% or greater)
 - a. Development and commercialization of products/services for improving the energy performance of new or existing buildings in NYS. Technical and commercial feasibility of the innovation should have been demonstrated prior to submitting to this stage. If feasibility has not yet been shown, the proposer may apply under the Feasibility Stage.
 - b. Development activities may include field testing to help improve the product/service or expected performance and value proposition.
 - c. Projects beginning in this stage should have a TRL of 4-7. If the TRL is less than 4, the proposer should submit under the Feasibility Stage. If the TRL is over 7, the proposer should submit under the Demonstration stage.
 - d. After completing the Development Stage, a prototype that can reliably perform all functions that would be required in an operational system should exist.
 - e. After completing the Development Stage, the team should have a strong, market-validated commercialization strategy that addresses commercialization activities.

3. **Demonstration Stage** (Proposer cost share of 40% or greater)
 - a. Demonstrations of new or under-utilized technologies or practices that advance the energy performance of either new or existing buildings in NYS.
 - b. Full Proposals beginning in the Demonstration Stage should not include technology or product development activities. If technology or product development activities are appropriate, the proposer may propose under the Feasibility Stage or Development Stage.
 - c. Demonstration proposals should clearly identify how the project will bring the product, technology, or practice closer to commercial success and how the demonstration will lead to increased use of the technology or practice in NYS.
 - d. Demonstration proposals should include a detailed plan for disseminating project results to a wide audience.
 - e. Evaluation of the demonstration should be conducted by a recognized and independent third-party evaluator (i.e., evaluator has no financial interest in the outcome of the demonstration).
 - f. The demonstration must take place at a site that pays into the Clean Energy Fund (<https://www.nyserda.ny.gov/About/Funding>) through the electric SBC unless significant statewide benefits are demonstrated.
 - g. Projects submitted under the Demonstration Stage should have a TRL of 8-9. If the TRL is less than 8, the proposer should submit under the Feasibility Stage or Development Stage.
 - h. After completing the Demonstration Stage, the product should be in its final form and ready for market.
 - i. After completing the Demonstration Stage, the team should have a strong, market-validated commercialization strategy.

Project Schedule, Staging, and Teaming: All proposers should consider the following guidelines when developing their submissions:

1. Proposers must select an initial stage and indicate it in their proposal. Unless the initial stage selected is Demonstration, the proposal will be a multi-stage proposal with commercialization as the end goal.
 - a. The proposer should describe how they will complete their initial stage and any following stage along with significant milestones, total cost, and schedule for each stage.
 - b. For example, if the initial stage is Feasibility, the proposal should also include separate tasks, schedules, and budgets for the Development Stage and Demonstration Stage. If the initial stage is Development, the proposal should also include separate tasks, schedule, and budget for the Demonstration Stage.
 - c. NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund part of the proposal or stage therein at a level lower than that requested, such as offering to fund only a single **stage** of a multi-stage proposal rather than a full development effort.



2. A project is expected to begin within nine months of the full proposal due date. No project schedule should exceed a total of 36 months, except to indicate commercialization activities beyond those of the proposed project.
3. For multi-stage proposals:
 - a. Any contract awarded to fund one or more stage(s) of a multi-stage project does not in any way obligate NYSERDA to fund the later stages.
 - i. NYSERDA anticipates awarding contracts for either a single stage of a multi-stage project, or for multiple stages. In the case of a multi-stage award, NYSERDA anticipates issuing a contract with a maximum, “not-to-exceed” amount with subsequent stages only being awarded on a contingent basis as described below.
 - ii. NYSERDA reserves the right not to move forward with subsequent stages of a multi-stage award, dependent on project success and availability of funding.
 - iii. Later stages may be funded at NYSERDA’s sole discretion, using a stage gating review process: at the completion of each stage, project outcomes will be evaluated to determine if the project will continue to be funded. The evaluation criteria will include: probability of technical and commercial success, potential market impact, leverage of resources, strategic fit within the program portfolio, and the availability of program funds.
 - iv. NYSERDA expects it may award more contingent funding than is available for this program.
 - b. The proposal must meet the minimum proposer cost share for each stage (20% feasibility, 50% development, 40% demonstration).
4. A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section IV, or the General Conditions of Section VII.
5. Prior to an award being made, proposers may be required to demonstrate confirmation of cost share, participation of key individuals and team, commitment from demonstration site, and the ability to qualify for an award under applicable laws and regulations.
6. Preference will be given to proposers that provide attractive leverage (cash co-funding, partnerships) opportunities for NYSERDA, and proposers who have a strong path to commercialization.

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment. If the project is a multi-stage project, a report should be delivered following the completion of each stage.

NYSERDA seeks teaming arrangements that increase probability of success and commercialization of technologies that yield NYS benefits. Teams may include commercial firms, manufacturers, large original equipment manufacturers (OEM), industry associations, research organizations, universities, government agencies, corporate strategic partners, strategic investors, end-users, and other stakeholders. **Include letters of commitment or interest from each identified team member in the appendix to the proposal.**

Letters of Commitment or Interest - If you are relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the

project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. However, in the instance that a proposal is beginning in the Feasibility Stage, a letter of commitment from a Host Site may be difficult to secure. In this instance, a proposer should indicate their intention to secure the commitment and that more time is necessary to do so. Letters should not be solicited from NYSERDA personnel.

IV. Concept Paper & Full Proposal Requirements

1. **Concept Paper:** Submission of a Concept Paper is required for initial consideration under this solicitation. Failure to submit a Concept Paper precludes submission of a Full Proposal. Concept Papers must conform to the following requirements:
 - The Concept Paper Template (Attachment B) must be complete. If a required question is not answered, the Concept Paper may be deemed unresponsive;
 - Concept Paper submitters are required to use the format of the Concept Paper Template. The intent of the template is to lead the proposer through the requirements in an organized manner without repeating or restating necessary information. **Concept Papers using a different format may be deemed unresponsive;**
 - Concept Papers must be submitted in Adobe PDF format, be written in English, be single spaced, use black 11-point Times New Roman font (except in Figures and Tables), and be formatted to fit on 8.5-inch by 11-inch paper with margins no less than 1 inch;
 - Concept Papers shall not exceed four (4) pages in length including graphics, figures, and/or tables; and
 - Concept Papers must prominently display on each page the Principal Investigator's last name and be completed in accordance with the Submittal Instructions.

2. **Full Proposal:** If notified by NYSERDA of a favorable Concept Paper review, the proposer will be invited to submit a Full Proposal. Full Proposals must include the following:
 - The Proposal Narrative (Attachment A) form-fillable document must be complete. The Innovation Challenge Area, the specific Subchallenge the proposal addresses, and the initial Technology Stage must be clearly indicated. The proposal must adhere to all Innovation Challenge Area/Subchallenge requirements. **The Proposal Narrative must have all the required questions/sections answered. If a required question is not answered, the proposal could be deemed non-responsive.**
 - The Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2), and Budget Form (Attachment C) must be completed.
 - Full Proposals should not be submitted in an elaborate format. Unnecessary appendices beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the PON number, and the page number.
 - **Cost Sharing:** The proposal should show non-NYSERDA funding of at least 20% of the Feasibility Stage, 50% of the Development Stage, and 40% of the Demonstration Stage. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

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

V. Proposal Evaluation

1. **Concept Papers:** Concept Papers determined compliant with application procedures and eligible and responsive to PON 3519 will be subject to NYSERDA review. Eligible Concept Papers will be reviewed and scored per the criteria and point system below. A score of 65 points is the minimum threshold of 100 possible points. No concept paper with a score of less than 65 will be considered for an invitation to submit a Full Proposal.

Evaluation Criteria in Order of Importance:

- **New York State Impact (20 points)**
 - Is the proposed approach an advancement over existing solutions which, if successful, will result in truly significant improvements in energy technology and in energy utilization, GHG emission reductions, building resiliency, and utilization in New York State?
 - Is the proposed approach likely to enable benefits at scale, that is, if developed, could supplant existing technology and/or create entirely new marketplaces in New York State, stimulating clean technology manufacturing and business growth and improving consumer choice?
 - Is the proposed concept consistent with the innovation challenge, and NYSERDA programmatic goals and mission?
 - Does the proposed concept directly benefit disadvantaged low- and moderate-income communities?
- **Innovation (20 Points)**
 - Is the proposed approach unique and innovative?
 - Is the proposed approach technically sound?
 - Is the proposed approach aimed at the development of technology or innovative business practice, as opposed to basic research aimed at discovery and fundamental knowledge generation?
 - Does the proposal have a market-based approach? Is the proposed commercialization strategy comprehensive and practical?
- **Competitive Landscape and Market Barriers (20 Points)**
 - Does the proposer demonstrate an understanding of existing and other emerging solutions?
 - Has the market been identified and characterized and are there sufficient markets or needs for the concept/technology, project, or study?
 - To what extent has the proposer engaged the market? To what extent does the proposer understand the market?
 - How significant are the barriers to market entry or adoption of the concept, product, or technology?
 - Is the value proposition sufficient that the concept or technology will likely be successful in the target market?
- **Risks and Challenges (15 Points)**
 - Does the proposal clearly identify the technical and commercial risks and challenges?
 - Have key technical and commercial challenges been identified and prioritized?
 - Is there an understanding of competitive options being developed by others?
- **Team (15 Points)**
 - Who are the key team members on the proposed effort?
 - What organizations will be involved with the proposed effort and what will each contribute?
 - Does the proposed team have the necessary expertise and resources to carry out the proposed work?
- **Project Plan (10 Points)**
 - Does the proposal clearly outline how the key risks and challenges will be addressed?
 - Do the proposed project objectives, if achieved, validate the proposed concept?

- Do the proposed project objectives, if achieved, outline a clear path to market?
- Can the proposed work be reasonably accomplished for the amount of time, effort, and resources proposed?

2. **Review and Selection Process:** Selected Concept Paper applicants will be invited to submit Full Proposals. Only those demonstrating significant and clear technical merit and market viability will result in an invitation from NYSERDA to submit a Full Proposal.

3. **Full Proposal:** Full Proposals will be reviewed by a Scoring Committee (SC) and will be scored and ranked according to the following criteria, **listed in order of importance**. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. 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. Proposers receiving favorable evaluations may be invited to enter into contract negotiations with NYSERDA. The proposer may be required to submit additional details for the Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the SC before contract award.

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

Evaluation Criteria in Order of Importance:

- **Proposed Solution/Scope.** Does the proposed project specifically address a problem or opportunity identified in an Innovation Challenge Area and Subchallenge in the PON and does it show potential to make significant progress in support of the Innovation Challenge Area? How well does the proposed project address the Innovation Challenge Area and Subchallenge Targets? Is the proposed project likely to solve the problem or exploit the opportunity? Is the proposed work technically feasible, innovative, and superior to alternatives? Is the work strategy sound? Is there a clear commercialization strategy that is market-based and likely to be successful? Can the technical and commercial strategies be tested, measured, and adjusted with ease?
- **Project Benefits.** How significant are the potential reductions in GHG emissions or energy use resulting from the project? Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation? Are there additional significant benefits, such as improvement in the building sector's resiliency to disasters? Will a significant part of the work on the project take place in New York State? Will the proposed work directly benefit disadvantaged low- and moderate-income communities?
- **Market Potential.** Does the proposed project address a current challenge or opportunity that is not being addressed by others? Is the implementation or commercialization strategy well-conceived and appropriate for the stage(s) of development? Has the proposer adequately and correctly described the target customer, defined their value proposition, and identified a real demand for the proposed solution? Does the proposed solution have the potential for wide-scale replication? Is there a process or strategy in place to measure progress and success?
- **Project Value.** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant is the potential market or deployment opportunity? How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from the work? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full commercialization?

- **Project Team and Support.** To what degree does the team have relevant and necessary technical and commercial background and experience? Has the proposer previously commercialized any products? How firm are the commitments and support from essential participants, co-funders, and other organizations? Has the proposer demonstrated support from necessary market actors and potential customers?

Other Considerations. Full Proposals and Concept Papers will be reviewed to determine if they meet all Program Requirements, fit well within the selected Innovation Challenge Area and have been submitted under the proper Stage. NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s): overall project value, accounting for both project risk and benefits versus NYSERDA investment; the general distribution of projects among both Innovation Challenge Areas and Subchallenges, industries, and other organizations and locations in New York State; and, the degree to which there is a diversity of technologies, approaches, time-to-market, geographic locations, methods, and institutions in the existing portfolio of projects funded by NYSERDA; and the degree to which pricing and hourly rates are in line with the rest of the market.

VI. Recoupment and Metrics

Recoupment - For any new projects exceeding \$100,000 in NYSERDA funding that involve product development, including business development, NYSERDA will require a royalty based on sales and/or licensing of the new product developed (Please see Attachment F – Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects as defined by this solicitation. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

1. **Product Development:** the method of bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.
2. **Demonstration:** a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

Projects where NYSERDA's share of funding is \$100,000 or less will not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar product, any funds previously received under the \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

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

VII. General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/-/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 - NYSEERDA anticipates making one or multiple awards under this solicitation. NYSEERDA anticipates a contract duration of a maximum of 3 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 proposal should be submitted using the most favorable cost and technical terms. NYSEERDA may request additional data or material to support applications. NYSEERDA will use the Sample Agreement to contract successful proposals. NYSEERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEERDA 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 proposers in approximately 7 weeks from the full 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 Michael Genovese (MichaelNextGen@nyserda.ny.gov). NYSEERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEERDA agreement.

Accessibility Requirements - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSEERDA will post to the web, the following language must be included. NYSEERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see NYSEERDA's Accessibility Requirements 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 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 NYSEERDA after the award of a contract, NYSEERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

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

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

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State 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.

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 all sales and license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

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

VIII. Attachment Checklist

- [Attachment A – Proposal Narrative](#)
- [Attachment A1 – Statement of Work Template](#)

- [Attachment A2 – TRL/CRL Calculator](#)
- [Attachment B - Concept Paper Template](#)
- [Attachment C – Budget Form and Instructions](#)
- [Attachment E1 – Intelligent Buildings](#)
- [Attachment E2 – Thermal Storage](#)
- [Attachment F – Sample Agreement](#)



New Construction Initiatives Support Services

Request for Proposals (RFP) 3771

No funding is associated with this Solicitation

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

Applications accepted continuously through June 27, 2024 by 3:00 PM Eastern Time*

New York State Energy Research and Development Authority (NYSERDA) is accepting Applications from firms to become approved Primary Energy Consultants, serving projects participating in NYSEDA's New Construction Initiatives. NYSEDA seeks firms capable of delivering support to clean and resilient buildings, energy modeling and analysis, testing and verification, third-party quality assurance, and measurement and verification services to support the design, development, and construction of carbon neutral-ready buildings that provide healthy, safe, comfortable, and resilient living spaces for their occupants. Primary Energy Consultants will deliver these services to building owners, developers, and leaseholders. Approved Consultants will execute two-year agreements with NYSEDA, with two (2) two-year options to renew at NYSEDA's discretion. All Agreements will end no later than two years following the close of the RFP or when all work assigned under the Agreement has been completed.

NYSEDA offers the following benefits to approved Primary Energy Consultants:

- Access to New Construction Initiative cost-share funding, as applicable;
- Access to technical guidance documents and other materials;
- Promotional materials, such as NYSEDA literature and messaging support;
- Publicity through NYSEDA's website at www.nyserda.ny.gov.

Primary Energy Consultants approved via this solicitation will be eligible to provide services under NYSEDA New Construction Initiatives, including standard incentive programs, competitive award programs, and portfolio support programs at NYSEDA's discretion. Primary Energy Consultants will also be added to a pool of vendors eligible to respond to mini-bid solicitations. Some programs may require specific service category approvals for a Primary Energy Consultant to serve applicants in those programs. Future Initiatives that require similar technical support services may be added to this solicitation, in alignment with NYSEDA's Clean Energy Fund Investment Plans.

Firms will be required to demonstrate relevant staff credentials, experience on at least three previous projects in which the applicant has provided energy consulting services in the service category(s) selected in their application, and evidence that the applicant has achieved above-code energy performance on at least one project since 2016. Applicants may indicate their interest in providing one or more services as a Primary Energy Consultant. Specific service categories may have additional requirements for approval.

Application Submission: Applicants may submit an online Primary Energy Consultant Vendor Application via: https://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page

Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSEDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or

paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Gwen McLaughlin (Designated Contact) at (212) 971-5342, ext. 3099 or by e-mail RFP3771@nyserda.ny.gov or Pat Fitzgerald (Designated Contact) at (518) 862-1090, ext. 3385 or by e-mail PatrickNC@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or Venicesolicitations@nyserda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*** All 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

The goal of this solicitation is to expand the market of firms that provide energy consulting services for the design and delivery of new construction, adaptive re-use, and gut rehabilitation projects in New York State, as listed and described in section II. NYSERDA seeks to accelerate the design, development, construction, and operation of carbon neutral-ready buildings that are more resilient while integrating non-energy co-benefits for occupants such as controlled and healthy indoor air quality, as well as exceptional comfort. Carbon neutral buildings meet the following criteria: highly energy efficient buildings whose design, construction, and operations do not contribute to emissions of carbon and other greenhouse gases (GHG) that contribute to climate change. Additionally, NYSERDA seeks to facilitate the development of increased proficiency among service providers in delivering clean and resilient buildings. By providing a pathway for a range of firms to participate in clean and resilient building projects, NYSERDA aims to drive market development and reduce barriers and soft costs in the production of these buildings.

Firms are invited to apply to become approved Primary Energy Consultants in one or more service categories listed and described in section II. Projects receiving support through NYSERDA's New Construction Initiatives are required to work with a Primary Energy Consultant. Selection through this RFP serves as a pre-condition for the Primary Energy Consultant's eligibility to receive NYSERDA New Construction Task Work Orders and incentive payments.

The specific activities expected of approved Primary Energy Consultants will vary depending on the Initiative and project sector, these may include but are not limited to:

- Attending or leading scoping meetings and design charrettes
- Providing integrated project delivery services
- Developing scope and budget estimates for technical support services
- Evaluating building systems
- Modeling energy performance using a variety of approved software tools
- Validating project performance through testing and verification
- Providing certification services for ENERGY STAR, Passive House, or other third party standards
- Providing quality assurance of projects following third party standards; and
- Other related areas or services as directed by NYSERDA or by the project owner.

Applicants are encouraged to familiarize themselves with the requirements and procedures of NYSERDA's current New Construction Initiatives.

NYSERDA may issue additional Initiatives in the coming years, and vendors approved under this solicitation may be eligible to support those Initiatives. Approved Consultants will be listed as participating in all New Construction Initiatives that correspond to their approved service categories and their desired market sector(s).

II. Service Categories

A. Clean and Resilient Buildings Support

Projects seeking to achieve carbon neutral-ready performance while integrating co-benefits for occupants require specialized consultants participating as team members throughout the course of the project, starting early in the design stage.

NYSERDA seeks qualified firms capable of providing consultation for new construction, adaptive reuse, and gut rehabilitation projects that will achieve carbon neutral-ready performance while providing healthy, safe, comfortable, and resilient living spaces for their occupants that will be profitable for the project's developers and owners.

These firms may have experience in the following:

- Performing early coordination among stakeholders, also known as Integrated Project Delivery;
- Energy modeling and on-site verification to achieve above-code performance resulting in the substantive reduction of energy use and/or per capita carbon emissions and certification to third party energy performance standards;
- Performing in depth research on non-energy benefits, including embodied carbon, resiliency, and health benefits, and incorporating those benefits into the design and construction of carbon neutral buildings;
- Assisting with mechanical systems design review and recommendations, façade consulting, trainings for Construction Management/ General Contractor/ Project Management staff, and field verification; and
- Developing project cost documentation.

B. Energy Modeling & Analysis

NYSERDA seeks firms capable of advising project owners on the most effective design strategies to achieve carbon neutral-ready performance to apply under this solicitation. This service category applies to entities capable of whole building energy modeling, including utilizing high-quality energy modeling via software tools approved by third party standard setting organizations and additional modeling and/or design support to meet third party standards to provide healthy, safe, comfortable, and resilient living spaces for their occupants.

C. Testing and Verification

NYSERDA seeks firms capable of providing the following testing and verification services to apply under this solicitation (other market-based testing and verification credentials may be approved under this service category at NYSERDA's sole discretion):

- National Green Building Standard (NGBS) Green Verifiers
- Phius Certified Rater (eligible to inspect and verify single-family homes, duplexes and Townhomes as defined under ENERGY STAR Certified Homes or Single Family New Homes Programs for Phius certification)
- Phius Certified Verifier (eligible to inspect and verify non-residential projects for Phius certification)
- Phius Certified Verifier with the Multifamily Designation (eligible to inspect and verify multifamily projects including townhomes for Phius certification)
- Residential Energy Services Network (RESNET) Home Energy System (HERS) Rater

- U.S. Green Building Council (USGBC) Leadership in Energy and Environmental Design Accredited Professional (LEED AP) (eligible to inspect and verify projects seeking LEED Zero certification)

D. Third Party Quality Assurance

NYSERDA seeks firms capable of providing the third party quality assurance with the following credentials to apply under this solicitation (other market-based quality assurance providers may be approved under this service category at NYSERDA's sole discretion):

- EPA-qualified ENERGY STAR Home Certification Organization (HCO), or their delegates (e.g., Approved Rating Providers)
- EPA-qualified ENERGY STAR Multifamily Review Organization (MRO)
- Passive House Institute (PHI)-accredited Certifier

E. Post-construction Measurement and Verification

NYSERDA seeks firms capable of providing Post-construction Measurement & Verification (M&V) services to apply under this solicitation.

M&V is used to:

- Validate that the building and systems are functioning consistently with the intended design
- Improve operations and maintenance (O&M)
- Accurately assess energy performance and persistence of performance for a project
- Reduce uncertainties to reasonable levels
- Aid in monitoring equipment performance
- Identify additional opportunities to achieve performance goals
- Allocate risks between the contractor and the customer (e.g., performance contracting)
- In aggregate, provide data that informs program impact evaluations

M&V is a formal, systematic process for determining the energy, carbon and cost performance of a building's systems, in part to verify if the project is generating the expected level of performance. It may also include performance validation through comparison of energy modeling and analysis with operating data, as well as operational cost reduction strategies.

Applicants should have demonstrated experience performing M&V, including use of the Federal Energy Management Program (FEMP) guidelines, the Efficiency Valuation Organization's (EVO) International Performance Measurement & Verification Protocol (IPMVP), ASHRAE's Guideline 14-2014, the US DOE's Uniform Methods Project, or other publicly verifiable methodologies.

III. Eligibility Requirements

Applicant eligibility under this solicitation will be determined by the firm's credentials and experience.

Applicants are encouraged to submit materials demonstrating their range of qualifications and achievements, and to provide comprehensive staff credentials related to the design and construction of clean and resilient buildings, above and beyond the minimum listed below. Approved Primary Energy Consultants may have their credentials and project experience displayed publicly on NYSERDA's website.

Approved Primary Energy Consultants will be subject to performance reviews by NYSERDA or a NYSERDA-designated staff, at NYSERDA's option. Performance reviews may take into consideration project owner feedback regarding the Consultant's performance. Approved Consultants whose performance is deemed unsatisfactory may be disqualified from further serving NYSERDA's New Construction Initiatives. NYSERDA may, in the future, create a mechanism whereby project owners can provide public feedback on the services received from their selected Primary Energy Consultant.

IV. Application Process

Applicants may submit an online Primary Energy Consultant Vendor Application via: https://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page (see page 1 of this solicitation for additional information about the submission process).

Applicants will select one or more of the service categories listed in this solicitation.

Applicants are permitted to team with subcontractors who offer complementary expertise.

At a minimum, applicants must submit documentation demonstrating the following:

A. Company Profile

Company profile (1 page narrative) including primary contact, services provided, and regions served.

B. Licenses and Certifications

Evidence that a current staff member has at least one of the following credentials (other credentials submitted to NYSEDA with justification will be considered on a case-by-case basis):

- AEE Certified Building Energy Simulation Analyst
- AEE Certified Energy Manager (CEM)
- AEE Certified Green Building Engineer (CGBE)
- AEE Certified Measurement & Verification Professional (CMVP)
- ASHRAE/ANSI Building Energy Modeling Professional (BEMP)
- ASHRAE High Performance Building Design Professional (HPBD)
- Building Performance Institute (BPI) Multifamily Building Analyst
- Certified Passive House Consultant (CPHC)
- CPHC with the Construction Verifier (CoVer) credential
- Certified Passive House Designer (CPHD)
- CPHD with the Construction Verifier (CoVer) credential
- EPA-qualified ENERGY STAR HCO, or their delegates (e.g., Approved Rating Providers)
- EPA-qualified ENERGY STAR MRO
- NGBS Green Verifiers
- PHI-accredited Certifier
- Phius Certified Rater
- Phius Certified Verifier
- Phius Certified Verifier with the Multifamily Designation
- RESNET HERS Rater
- USGBC LEED AP

C. Work Samples

Experience on at least three (3) previous projects in which the applicant company has provided energy consulting in the service categories selected in the application.

Applicants must submit a minimum of three project work samples (2-3 pages each, not to exceed 10 pages), including at least one project corresponding to each service category they are applying for.

Work samples submitted to demonstrate an applicant's project experience may be for new construction, adaptive re-use, or gut rehabilitation projects, and must include a narrative that describes the following in sufficient detail:

- Project background
- Scope of work (including square footage) and budget
- Service(s) provided

- Design process, including coordination with the project team
- Initial goals for the project, including the relevant energy code baseline
- Measures and alternatives presented to the customer
- Energy modeling software used (if applicable)
- Results of technical assistance provided to the customer, including the resulting energy performance of the project
- Third-party certifications or verification of above code performance
- List of personnel and roles on the project

D. Above Code Performance

Evidence that the applicant company, or a current staff member, provided energy consulting services on at least one project since 2016 that achieved above-code energy performance. Above-code performance can be demonstrated by:

- Third-party certification achievement, with appropriate documentation, including but not limited to DOE Zero Energy Ready Homes (ZERH), ENERGY STAR Certified Homes, ENERGY STAR Single Family New Homes, ENERGY STAR Multifamily New Construction, Enterprise Green Communities (EGC) 2020, Fitwel, International Living Futures Institute (ILFI) Zero Carbon, Leadership in Energy and Environmental Design (LEED), PHI, PHI's EnerPHit, Phius, US EPA Indoor airPLUS, or WELL certification **OR**
- State or federal energy efficiency program approval and certification.

Other evidence of above-code performance submitted to NYSERDA with justification will be considered on a case-by-case basis.

E. Rate Schedule

Billing rate schedule in format provided in Attachment A Project Personnel and Billing Rates Form.

F. Terms and Conditions

Review and agreement with, or proposed modifications to, solicitation Terms & Conditions

G. Disclosures

Disclosure of past bankruptcy or felony conviction and Prior Findings of Non-Responsibility, and e-signature certification

Additional Information

Applications will be reviewed in the order that they are received. NYSERDA may respond to the Applicant with review comments. Applicants will be required to respond to comments in a timely fashion. If there is a significant delay in Applicant's response to NYSERDA comments, NYSERDA reserves the right to disqualify or disapprove the application.

Applicants will be notified of acceptance or rejections within four (4) weeks after a complete application is received.

Firms whose applications are approved may indicate their interest in providing additional services as identified herein, via written communication with the Designated Contact by emailing RFP3771@nyserda.ny.gov.

Firms whose applications are rejected may request a de-briefing and may reapply. Firms whose applications are rejected twice may not reapply until 12 months after the initial application date.

V. Approved Primary Energy Consultant Responsibilities

Approved applicants will enter into a standard two-year NYSERDA contract Agreement with a Statement of Work, with two (2) two-year options to renew at NYSERDA's discretion. All Agreements will end no later than two years following the close of the RFP or when all work assigned under the Agreement has been completed. Work conducted under the Agreement will be assigned by NYSERDA via a project-specific Task Work Order (TWO).

Upon contract execution, approved applicants will be required to undergo training on how to navigate NYSERDA's project databases and successfully usher a project through the New Construction Initiatives process. NYSERDA may facilitate regular training sessions to keep approved Consultants up to date with New Construction Initiatives. Approved firms may be listed on NYSERDA's website and may be contacted by project owners assembling a team to design and construct an advanced clean and resilient building.

At the end of each contract period, each vendor will be evaluated based on the performance criteria in this solicitation, and NYSERDA will determine whether to exercise an option to extend the Agreement for an additional term.

Approved Primary Energy Consultants are responsible for:

- A. Promoting the use of effective, energy-efficient products, services and designs, as defined by this solicitation;
- B. Abiding by the Terms and Conditions in this solicitation;
- C. Keeping relevant credentials up to date. If the Consultant allows credentials to lapse or qualified staff to leave the firm, such that the firm no longer meets the minimum eligibility requirements, their approved status will be terminated;
- D. Keeping up to date with NYSERDA's New Construction Initiatives;
- E. Fully cooperating in any NYSERDA investigation of a possible violation of these rules. Failure to comply may result in the approved Consultant losing its approved status. Becoming an approved Primary Energy Consultant is completely voluntary and NYSERDA can remove a firm from the list at any time for any reason. NYSERDA may revoke a firm's status and remove them from NYSERDA's website if the firm does not meet all Initiative requirements. Firms may also request to be removed from the New Construction Qualified Primary Energy Consultant list.

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.oqs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify applicants in approximately four (4) weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

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

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

Public Officers Law – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State 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://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 FOR REFERENCE

Attachment A – Sample Agreement, Scope of Work, and Terms & Conditions

Attachment B – Project Personnel and Billing Rates Form

**Buildings of Excellence
Early Design Support
Request for Proposal (RFP) 3928- D
Up to \$1,000,000**

*NYSERDA reserves the right to extend or
add funding at its sole discretion.*

Applications accepted continuously through November 15, 2025, by 3:00 p.m. Eastern Time (ET)* or until funds are fully committed, whichever occurs first*.

The Buildings of Excellence Early Design Support Request for Proposal (the “EDS RFP”) seeks Proposals for qualified design firms that will provide early-stage design support for new construction, adaptive reuse, and gut rehabilitation multifamily projects that will be clean and resilient, beautiful, and functional, and will provide healthy, safe, comfortable, and resilient living spaces for their occupants. Funding through the EDS RFP may be made available to projects that will achieve carbon neutral performance and will also be profitable for their developers and owners and demonstrate realistic cost reductions in the design and construction phases. The EDS RFP is part of the larger Buildings of Excellence Competition (the “Competition”). Design firm Partner Proposers (the “Partner Proposers”) to the EDS RFP must demonstrate how their design firm has engaged with prior projects or will engage with future projects to substantially reduce energy use and per capita carbon emissions, while increasing building resiliency, including passive and active survivability, successfully integrating architectural design attributes, and improving health, comfort, safety, and productivity for occupants, in a manner that can be replicated at scale. Successful Partner Proposers will become design firm Partners (the “Partners”) under the EDS RFP.

Partner Proposers must prepare Partner Proposals that will demonstrate (1) competence in clean, resilient, and carbon neutral design that is coupled with architectural design quality and innovation, (2) ability to deliver high quality and functional, clean, resilient, and carbon neutral multifamily projects at competitive costs, (3) how their projects generate interest in and demand for the design, construction, and occupation of clean, resilient, and carbon neutral buildings, and (4) their commitment to share information related to the project’s design, costs, and performance to support the decision-making processes employed to achieve the desired outcomes.

The EDS RFP will consider funding the early-stage design of projects that intend to serve all portions of the multifamily market sector, while primarily focusing on mid- to high-rise (8 stories or greater in height) multifamily buildings and for projects that involve the adaptive re-use of commercial office, institutional, or retail space to provide multifamily housing. Through the EDS RFP, Partners will prepare Project Proposals for early-stage clean, resilient, and carbon neutral design support, as well as support for initiatives focused on broad marketing and public awareness. Partners are eligible to receive up to \$1.50/square foot in direct funding, up to a per project-cap of \$150,000, for the proposed projects.

Partner and Project Proposal Submissions: Electronic submission via the NYSERDA portal is preferable. Partner Proposers may submit Word, Excel, or pdf files (file formats include the following: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 50 MB or less in file size. Proposal pdfs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the Partner Proposer’s entity name in the title of the document. NYSERDA also accepts Proposals by mail or hand delivery if electronic submission is not possible. For detailed instructions on how to submit a Proposal (electronic or paper submission), follow the [Application Instructions and Portal Training Guide](#) [PDF] located on NYSERDA’s [Current Solicitations and Funding Opportunities](#) website.

Information: The program team may periodically provide updates on this opportunity. [Fill out this form](#) to be notified of updates or informational webinars that may be scheduled. Submitting your contact information will ensure you will also be notified of when funding has been depleted or when additional funds are made available.

Contact Information: For technical questions, contact Kristin Graham (designated contact) at kristinn@nyserda.ny.gov or (518) 862-1090 ext. 3069. For contractual questions concerning this solicitation, contact Thomas Rood (designated contact) at Tom.Solicitations@nyserda.ny.gov.

No communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (either directly by the Partner Proposer or indirectly through a lobbyist or other person acting on the Partner Proposer’s behalf) in an attempt to influence the procurement may disqualify the Partner Proposer from consideration.

*** All Partner and Project Proposals must be received by 3 p.m. (ET) on the date noted above. Late, faxed, or emailed Proposals will not be accepted.** Incomplete Proposals may be subject to disqualification. It is the Partner Proposer's responsibility to ensure that all submission requirements have been met. Please note the following: for electronic submissions via the portal, there are required questions that need to be answered in addition to uploading attachments. Be sure to allot at least 60 minutes to enter and submit Proposals. The electronic Proposal system closes promptly, and files in process or attempted edits or submission after 3 p.m. (ET) on the date above will not be accepted.

If changes are made to this solicitation before the due date, notification specific to this solicitation will be posted on NYSERDA's [Current Solicitations and Funding Opportunities](#) website.

I. Introduction

The use of fossil fuels, such as natural gas, propane, oil, and coal, releases carbon dioxide and other emissions into the atmosphere that contribute to climate change and other environmental impacts. Climate change will put buildings, and their systems and occupants, at greater risk in the future of hazards such as flooding, sea level rise, increased temperatures, and more frequent and more extreme storm events. Eliminating the use of fossil fuels to support building operations will decrease carbon dioxide and other emissions.

NYSERDA seeks to increase the number of design firms participating in the development of aesthetically pleasing, cost-effective, clean, resilient, and carbon neutral buildings as well as increasing the proficiency among these firms in delivering clean and resilient design. By directly funding design firms, NYSERDA aims to drive market development by:

1. Increasing the design firm's capacity and expertise to complete the analyses, design, engineering, and research needed to produce cost effective, clean, resilient, and carbon neutral buildings,
2. Supporting the design community with resources and tools that will help design firms comply with upcoming policy requirements, local laws, and advancing code cycles,
3. Funding additional research, design detailing, modeling, and cost analyses on individual projects that the design firm can then apply to other projects within the firm's portfolio in a quest to make carbon neutral attributes part of the firm's general design practice. The project knowledge acquired will ideally result in a scaling up of the number of clean, resilient, and carbon neutral buildings the design firm can implement,
4. Reducing market barriers and soft costs associated with the design of new and existing clean, resilient, and carbon neutral buildings. The EDS RFP provides funding at early design phases, when energy efficient design decisions are being made, to help buy down and reduce upfront risks associated with high performance design exploration,
5. Assisting Partners in convincing more developers to successfully build clean, resilient, and carbon neutral projects. Additional design work, research, modeling, and economic analysis can produce quality, objective data, and pertinent information that, if acted on and included in the building design, could mitigate carbon impacts, provide better living conditions for occupants, and financial benefits to building owners. This information can be used to build developer confidence in clean, resilient, and carbon neutral buildings and create a lower risk for the developer to proceed with the project design, innovation, and nascent and novelty systems.

Partner Opportunity

NYSERDA first seeks Proposals for design firms to become Partners that will provide early-stage design support on projects that will be beautiful, clean, resilient, carbon neutral, and functional spaces for their occupants. Successful Partner Proposers must demonstrate how their firm:

1. Successfully designed, through the completion of construction documents, three (3) or more carbon neutral or net zero energy multifamily buildings, or mixed-use buildings that incorporate multifamily occupancy as the primary use,
 - i. An exception to the above eligibility requirements applies to design firms interested in pursuing Provisional Partner status. For this designation, design firms may apply without having any completed project work examples. Design firms will be required to provide a Letter of Intent that outlines the firm's plan to participate in the carbon neutral design space, in lieu of project work examples.
2. Possesses expertise in clean and resilient design that achieves carbon neutral performance by reducing energy use,

3. Addresses architectural design attributes, at the unit, building, site, and community level,
4. Delivers designs that encompass non-energy co-benefits for occupants, while providing exceptional comfort, health, safety, and otherwise outstanding living environments for occupants,
5. Delivers designs that reduce total carbon impacts, including reductions to embodied carbon,
6. Increases the building's and building components' resilience,
7. Addresses design strategies that can achieve reductions in overall project costs,
8. Has active engagement in the multifamily market and would likely be able to submit high impact, scalable, and highly replicable multifamily projects to the early design program during the open period.

Eligible Services for Partners

Partners will be able to submit Project Proposals to request funding to assist in designing clean, resilient, carbon neutral projects that anticipate and meet developer needs. Early design phase services that Partners can receive funding for may include, but not be limited to:

1. Complete in-depth research necessary to deliver clean, resilient, and carbon neutral performance, including but not limited to topics such as:
 - i. Electrification,
 - ii. Densification,
 - iii. Grid Interactivity
 - iv. Renewable energy systems,
 - v. Energy storage (thermal and electric),
 - vi. Energy system selection.
2. Complete additional research in one or more of the following areas:
 - i. Ensuring building, component, community, and occupant resilience, and active and passive survivability, including but not limited to topics such as strategies that are designed to be resilient for the lifespan of the strategy or system,
 - ii. Reductions to embodied carbon in building and finish materials, processes, or other design attributes,
 - iii. Purposeful use of materials that achieve carbon sequestration,
 - iv. Reductions to the total volume of refrigerants,
 - v. The use of lower Global Warming Potential (GWP) refrigerants,
 - vi. Strategies to minimize risks associated with potential refrigerant leaks,
 - vii. Health, safety, productivity, and comfort non-energy co-benefits to occupants, including but not limited to topics such as healthy indoor air quality.

3. Complete additional modeling necessary to achieve carbon neutral performance, including but not limited to:
 - i. System selection and associated energy savings over baseline,
 - ii. System selection and associated cost savings,
 - iii. Embodied carbon and refrigerant gases,
 - iv. Certifications and design elements associated with ENERGY STAR® Multifamily New Construction (ENERGY STAR MFNC), Enterprise Green Community (EGC), International Living Future Institute (ILFI) Living Building Challenge, Leadership in Energy and Environmental Design (LEED), Passive House Institute (PHI), and Passive House Institute US (Phius) standards.
4. Complete early-stage applications for third party standards and certifications, including but not limited to:
 - i. AIA 2030, ASHRAE beQ, ENERGY STAR, Fitwel, Green Globes, ILFI, LEED, RELi, and WELL Building Standards.
5. Complete additional economic analysis that will help substantively reduce the overall cost of the project, be replicated at scale, and inform design decisions including, but not limited to topics such as:
 - i. First cost expenditures,
 - ii. Return on investments,
 - iii. Total value propositions,
 - iv. Cost benefit ratios,
 - v. Operating and maintenance costs,
 - vi. Non-compliance to Local Laws and other impending policies.
6. Complete cleaning, operational, and maintenance manuals, plans, and procedures that can be used by the building owners to assist in system longevity, refrigerant management, and operational waste reduction,
7. Participate in additional meetings to facilitate an integrated design and construction project,
8. Complete a more robust promotion and publicity plan that will disseminate information to the market that will be useful to the industry and better inform the public of clean, resilient, and carbon neutral performance and projects and be aimed at increasing replicability and scalability of these projects.

Project Proposal Opportunity

The EDS RFP intends to select Project Proposals from Partners that demonstrate the greatest potential for success and replication in the market. The Partners must demonstrate that the design strategies proposed in their Project Proposals are replicable, scalable, and have the potential to achieve broad-based adoption within their own business practices and by other design teams, developers, and consumers.

Partners are encouraged to apply for early design funding to support projects that are adaptive re-use or gut rehabilitation, especially in the conversion of commercial institutional, office, and retail space to multifamily housing, as defined in Section II - Eligibility of the EDS RFP. Partners should prioritize submitting projects for early design support that are eight (8) stories or greater in height.

Partners may be eligible for an award of 100% of early-stage design support funding to support clean, resilient, carbon neutral design of up to \$1.50/square foot, up to a per project-cap of \$150,000. Funding will not be awarded for basic architectural and design services not associated with clean, resilient, and carbon neutral design.

The project funding is available to contracted projects for three years from the date of the contract. If the project is making progress and funding is still available, the project team may request an extension to the project period. The funding may be extended at NYSERDA's sole discretion.

II. Eligibility

NYSERDA, at its sole discretion, determines the eligibility of a Partner Proposer to become a Partner and for the eligibility of a Project Proposal to receive funding under the EDS RFP.

Market Sector

1. Partner Proposals

Partner Proposals will be considered based on the demonstrated experience and skills of the Partner Proposer in serving the multifamily market sector. The project work samples included as part of Partner Proposals should be for multifamily buildings located anywhere in the United States of America. Project work samples do not need to be located within New York State.

2. Project Proposals

Partners may submit Project Proposals under the EDS RFP for early-stage funding and support to achieve carbon neutral performance for new construction, adaptive reuse, or gut rehabilitation multifamily projects located anywhere in New York State, as funding allows. The proposed project site will need to be selected and identified in Project Proposals.

Project Status

1. Partner Proposals

The project work samples included as part of Partner Proposals will need to have the design completed through construction documents, at a minimum.

2. Project Proposals

Projects being proposed for the EDS RFP by a Partner must be in the programming, concept, or early schematic design phase (prior to 50% schematic design), as of the date the Proposal is submitted to NYSERDA. Mechanical, electrical, and plumbing drawings cannot be restarted to receive funding if the rest of the project is further along in the design or construction phases.

General Eligibility

1. Partner Eligibility

Partner Proposer eligibility under this solicitation will be determined by the design firm's credentials, experience, past projects, and marketing efforts. Partner Proposers must demonstrate that they can provide clean, resilient, carbon neutral design services as required by NYSERDA. Carbon neutral design

services under the EDS RFP are defined in Section III, Project Proposal description. Design firm capabilities will need to be validated by NYSERDA.

For a Partner Proposal to be deemed eligible, the design firm must provide credentials of currently employed staff members and evidence that those staff members have successfully designed carbon neutral multifamily or mixed-use projects while employed at the Partner Proposer's firm. Joint venture entities created for the sole purpose of responding to the EDS RFP will not be considered. Applicants do not need to have offices located in New York State to respond to the EDS RFP. Partner Proposers must also submit evidence of design work on a minimum of three (3) carbon neutral or net zero energy multifamily buildings, or mixed-use buildings that incorporate multifamily occupancy as the primary use. Project examples and experience may be for new construction, adaptive re-use, or gut rehabilitation projects in which design has been completed through the completion of construction documents, while construction may or may not have been completed.

Design firms interested in pursuing Provisional Partner status may be eligible for an exception to the above project work sample eligibility requirements. For this designation, design firms may apply without having any completed project work examples but must submit a Letter of Intent as outlined in the Introduction section of the EDS RFP. While Provisional Partners are limited to receiving early design support funding for one (1) project per calendar year, they can, and are encouraged to, work on additional carbon neutral multifamily design projects concurrently to the project funded through the EDS RFP. A Provisional Partner may progress to full status upon the submission of three (3) carbon neutral or net zero energy designs for multifamily buildings, or mixed-use buildings that incorporate multifamily occupancy as the primary use, as outlined within the EDS RFP.

Partners that were approved under earlier versions for the EDS RFP and continue to be in good status will remain in an active status under the current version of the EDS RFP.

2. Project Proposal Eligibility

To be eligible for early design support funding, the Partner must be a member of the project's design team and have the authority, or have been given the authority by the owner, to modify the building design. The Partner must also demonstrate that their internal and external project team, including sub-consultants, have the capabilities to perform and successfully complete the design process of the proposed project through the production of construction documents as a multidisciplinary and integrated project delivery team.

Partners under the EDS RFP may elect to submit more than one (1), but not more than four (4) clean, resilient, and carbon neutral Project Proposals, for different projects in different locations, within one (1) calendar year, to receive early design support funding. Of those four (4) Project Proposals, a maximum of two (2) Project Proposals with the same developer or owner will be eligible. Multiple, alternative Project Proposals submitted for a single project will result in the disqualification of all Project Proposals.

For a Project Proposal to be eligible for consideration to receive early design support funding, the proposed site must be identified in the Proposal, the land must be acquired for use for the project, and the project must incorporate multifamily occupancy as the primary use. This includes buildings that incorporate dwelling units, sleeping units, congregate living, or residence halls. Proposed projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project. Proposed Projects are limited to buildings of at least 25,000 square feet of conditioned space. Buildings that provide student housing, including residence halls, that are owned or operated by a municipality or by New York State are not eligible to participate. Hotels, motels, or other hospitality-related buildings are not eligible to participate.

The EDS RFP is available for projects located anywhere in New York State, regardless of whether the project will be located in an investor-owned electricity distribution company service territory. Partners are encouraged to submit projects for early design support funding that are located within Downtown Revitalization Initiative (DRI) districts or [disadvantaged communities](#) (DAC) as defined by New York State.

A Project Proposal can encompass one multifamily building, or a portfolio of similar and related multifamily buildings located on the same site or on adjacent and associated sites. One- and two-family homes or townhouses as defined within Chapter 2, the Definitions Section of the International Building Code and International Residential Code, are not eligible as a standalone project or as part of a multi-building Project Proposal. Project Proposals for multiple buildings that do not meet that criterion should be submitted by the Partner as separate and unique Project Proposals.

Eligible multifamily projects are as follows:

1. New Construction: A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building design documents.
2. Adaptive Re-use or Gut Rehabilitation: Substantial renovation for one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building design documents:
 - i. Change of use and reconstruction of an existing building, buildings, or space(s) within a building,
 - ii. Construction work of a nature requiring that the building, buildings, or space(s) within a building to be out of service and unoccupied for a minimum of thirty (30) days,
 - iii. Reconstruction of a vacant structure, or structures, or space(s) within a building,
 - iv. The addition to or expansion of a building, in combination with any of the above.
3. Adaptive Re-use of Commercial Office, Institutional, or Retail Buildings to Multifamily Use: The existing building must have been previously occupied and used as commercial office, institutional, or retail space.
 - i. Substantially new mechanical systems required to support occupancy as housing must be necessary, including the installation of kitchen and bathroom waste and supply piping, balanced ventilation that meets requirements for residential occupancy, and other attributes required to support conversion of existing commercial office, institutional, or retail to multifamily use.

The proposed project must demonstrate clean, resilient, and carbon neutral attributes, and meet the definition of *Carbon Neutral* as defined below.

Projects receiving early design support funding may also be eligible for and separately propose to receive project funding through forthcoming demonstration RFPs associated with the Competition, as well as some other funding opportunities offered by NYSERDA and utility service providers. Projects that have been awarded or are seeking funding for design support services from NYSERDA's PON 4614 or PON 5614 will need to clearly indicate duplicative funding is not being provided for the same scope of design work. Partners must review the rules and eligibility of all other programs, including utility programs, to determine if those funds are accessible in combination with funds offered by the EDS RFP.

Project Proposals to the EDS RFP are not eligible for award if they have already been awarded funding under previous rounds of the demonstration project Competition, and intend to seek or have already been awarded Clean Energy Initiative (CEI) funding distributed by the New York State Homes and Community Renewal (HCR), or funding distributed through the New York City Housing Preservation and Development (HPD) Future Housing Initiative or any of their sub-agencies that is provided by NYSERDA through the Clean Energy Fund and intended to support goals similar to those promoted through the EDS RFP. Project Proposals that appear to be for designs of similar building sizes, floor plan layouts, or system selections as existing projects, or for subsequent phases of existing projects using similar building sizes, floor plan layouts, and system selections are not eligible.

Carbon Neutrality and Energy Performance

The Partner must confirm that the projects submitted in both the Partner and early design support Project Proposals will be *Carbon Neutral* based on the following criteria: A project that excludes all fossil fuels from the building systems and equipment qualifies to be *Carbon Neutral*. Building systems and equipment refers to at a minimum: building heating, ventilating, and air conditioning (HVAC), domestic hot water (DHW), kitchen, laundry, and other appliances. Projects that rely on a fossil fuel-fired generator for emergency use only, or projects which are served by an off-site fossil fuel-fired central heating plant, may at NYSERDA's sole discretion qualify as carbon neutral if fossil fuel use is excluded from all other building systems and equipment. NYSERDA, at its sole discretion, will consider exemptions to the *Carbon Neutral* rule for process and other unregulated loads on the site on a case-by-case basis.

Additionally, the Partner must rely on one (1) of the following Standards to establish the minimum projected energy efficiency and building performance selected for the Proposed project's residential-associated space¹ will be met and that the firm's previous work sample project's residential-associated space¹ has been met. One (1) of the following Standards will need to be clearly indicated in the Partner Proposals and Project Proposals to show the building performance was met in each of the work sample projects included and to show the intended building performance for all the proposed projects. The Partner must provide documentation associated with any selected Standard as a deliverable for early design support funding.

1. Appendix G of ASHRAE Standard 90.1: Partners intending to rely on this standard to model and predict energy performance must commit to designing a project that will achieve a minimum modeled source (primary) energy savings¹ of 20% when compared with a project design that complies with the relevant Energy Conservation Construction Code of New York State (ECCC of NYS), currently the 2020 version; excluding the impacts of any proposed renewable energy generation. Energy performance must be established without the inclusion of any renewable or distributed energy generation, to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the Partner to support evaluation of the energy efficiency of the design. Partners will apply a 2.55 source-to-site conversion factor to support the calculation of efficiency in comparison with the natural gas baseline relied on by this standard to confirm the minimum energy performance threshold will be met. Partners must commit to use of the "90.1 Section 11 and Appendix G Compliance Form" to establish simulation inputs and complete internal quality control.
 - i. Partner Proposers that have relied on this standard for previous projects included as work samples in the Partner Proposal must show documentation that this process was followed for the project, including indicating the version of the ECCC of NYS that was in place at the time of the design.
2. Projects intending to meet certification requirements as published by Phius (Passive House Institute U.S.) must identify the building(s)' modeled source (primary) energy use¹ in terms of kWh/person/year; and projects intending to meet certification requirements published by the Passive House Institute (PHI) must identify the building(s)' modeled source (primary) energy use in terms of kBtu/treated-floor-area/year. Partners committing to achieving certification to either

¹ For projects that include mixed use space, only the energy use associated with the project's residential square footage should be included when determining the modeled energy performance of the residential portion of the project. The modeled energy performance shall incorporate the square footage used for residential occupancy, inclusive of all residential-associated space such as hallways, stairwells, elevators, trash, utility and exercise rooms, entrance lobbies, as well as shared laundry facilities exclusively available to the building's residential occupants. A commitment to achieving certification to Phius Core REVIVE or EnerPHit will be accepted for adaptive re-use or gut rehabilitation projects.

passive house standard are deemed as meeting the minimum modeled source energy savings¹ requirements. Energy modeling must be completed and submitted both with and without the use of renewable or distributed energy generation to support evaluation of the efficiency of the design. Alternative energy modeling will not be expected of the Partner committing to achieving certification to either passive house standard to support their predicted energy performance.

- i. Partner Proposers that have relied on this standard for previous projects included as work samples in the Partner Proposal must show documentation that this process was followed for the project.
3. The average Energy Rating Index (ERI) for all residential dwelling units, calculated in accordance with the relevant version of the ANSI / RESNET / ICC 301 standard, entitled “Standard for the Calculation and Labeling of the Energy Performance of Dwelling and Sleeping Units Using an Energy Rating Index”, currently the 2019 version. To demonstrate the minimum energy performance¹ threshold will be met, the Partner must commit that the project will meet the relevant EPA ENERGY STAR® Multifamily New Construction Program requirements; and that the average ERI will, at minimum, achieve the U.S. Department of Energy Zero Energy Ready Home Multifamily v2 or an $ERI \leq 0.75 \times MFNC\ v1.1$ ERI Target without inclusion of renewable energy generation. The Partner must also submit any external calculations supporting the site energy (kBtu/yr) indicated in the Project Proposal, including calculations of energy use in residential-associated spaces¹, as well as the average ERI calculated with the inclusion of renewable energy generation, as applicable.
 - i. Partner Proposers that have relied on this standard for previous projects included as work samples in the Partner Proposal must show documentation that this process was followed for the project.

III. Partner Proposal and Project Proposal Requirements and Format

The EDS RFP is a two-step Proposal process. The Partner Proposer’s firm will first submit a Proposal to become a Partner. Partners approved through the EDS RFP will receive an Agreement (consistent with the Attachment A – Sample Agreement) that will remain in effect for two (2) years after the date the Partner Proposal was received by NYSERDA. The Agreement does not guarantee work or funding from NYSERDA. At the end of each contract period, each design firm Partner will be evaluated based on the performance criteria in the EDS RFP, and NYSERDA will reserve the right to extend the Agreement for an additional term. Upon qualification under the EDS RFP, Partners will then be able to submit Project Proposals for which they will perform early design support. Both the Partner Proposals and Project Proposals will be reviewed on a continuous basis, until either the EDS RFP closes or until funding has been exhausted.

Partner Proposals must be submitted by the Partner Proposer’s firm, which must be a singular entity. Once approved, Partners must submit Project Proposals.

The quality, rigor, and organization of the Partner and Project Proposals will impact their evaluation, in part as a reflection of the likelihood that a selected Partner will be successful in reaching their stated goals. Inconsistencies within proposals (e.g., descriptions, drawings, or data across all documents) may also impact evaluation.

1. Partner Proposal

The Partner Proposal structure should follow the outline listed below, and sequentially address the review criteria listed in the “Partner Review Criteria” table in Section III - Proposal Format of the EDS RFP. The Partner Proposer must identify the project work sample’s status as of the date of submission, as defined and detailed in Section II - Eligibility of the EDS RFP. The firm name, RFP number, and page number should be recorded on every page of the Partner Proposal, including attachments.

The Partner Proposer must submit the following for the Partner Proposal:

1. Executive Summary

Partner Proposers must submit a brief description (~400 words) summarizing how the proposing firm's experience, services, and skills demonstrate the design and delivery of successful clean, resilient, and carbon neutral projects. In addition, the Partner Proposal must include an abbreviated description (~100 words) for use in the presentation and promotion of selected Partners. The Executive Summary should not exceed one (1) page and include, but not be limited to:

1. Firm Information – including the company name, primary contact, location, size, overall mission, diversity equity and inclusion action policies, and market sector, specialized populations, and regions served,
2. Firm Experience and Skills – including years in practice, the number of carbon neutral, net zero energy, and Passive House projects completed across all building sectors, awards received, specialized employee skills, indication that one team member is a Licensed Professional Architect (RA) or Professional Engineer (PE), and resumes and certification copies of relevant credentials that demonstrate experience in clean energy design held by current employed staff such as Certified Passive House Designer (CPHD), LEED Accredited Professional (LEED AP) or PHIUS+ Verifier,
3. Firm Services Performed – including architectural and integrated design, planning, energy modeling, advanced clean energy consultation, carbon neutral research, designing to third party standards, and economic analysis.

2. Market Transformation Capability Summary

Partner Proposers must submit a brief description (~500 words) summarizing how the proposing firm's experience, services, and skills demonstrate how they create high impact influence through successful project marketing and promotion to educate and influence the market, disseminate information out to the market, and create market scalability and replicability. The Market Transformation Capability Summary should not exceed one (1) page and include, but not be limited to:

1. Firm Information – including the name and role of current employed staff who act in a primarily marketing or promotion capacity, position in the market and amongst peers, number of social media followers and email distribution list subscribers, and engagement and relationship with special interest stakeholder entities, other New York State Agencies, and other governmental entities at the local and state level,
2. Firm Experience and Skills – including the number of average annual presentations, speaking engagements, events and tours participated in, established relationships with media and press, and specialized outreach techniques employed based on targeted audience of other design professionals, developers, stakeholders, or tenants,
3. Firm Services Performed – including general marketing and project promotion activities such as case studies, technical articles, blog posts, website updates, social media posts, email blasts, e-newsletters, and any other way to demonstrate successful project marketing and promotion to educate and influence the market and create market replicability.

3. Carbon Neutral Project Work Samples

Partner Proposers must submit a minimum of three (3) project work samples (except for those firms interested in pursuing Provisional Partner status) for new construction or substantial renovation of multifamily or mixed-use projects in which the Partner Proposer's firm has provided design services through construction documents resulting in carbon neutral or net zero energy buildings. The Partner Proposer should provide a clear and concise description of each project work sample that should not

exceed a three (3) page format, not including project imagery. This section of the Partner Proposal should not exceed nine (9) pages of text. Supplemental documents are not included in the nine (9) page limit. Each project work sample should include:

1. Project background – including design and construction schedule, year completed, square footage, number of buildings, stories, and units, construction type and methodology, building function, and populations served,
2. Project location – including the building address and if located within a Downtown Revitalization Initiative (DRI) district, disadvantaged community (DAC) as defined by NYS, NYS Department of Environmental Conservation (DEC) Potential Environmental Justice area, Clean Energy Community (CEC), or a jurisdiction that has committed to adopting the NYS Energy Stretch Code 2020,
3. Project team – including a list of current staff member personnel, names, and roles of those who worked on the project,
4. Detailed scope of work completed – including design processes employed and a complete listing of design services provided,
5. Key architectural design attributes implemented as they relate to the aesthetics, amenities, articulation, materiality, fenestration, natural light, acoustics, functionality of the units and building, development of the project site, outdoor space, microclimate, site context, and ground level connectivity, and the project's relationship to the surrounding community such as existing character and proximity to public transit,
6. Clean, carbon neutral, and energy efficiency attributes – including carbon neutral or net zero status, documentation associated with the modeled or projected energy use, overall building performance, energy goals, energy savings measures and systems, solutions implemented, project compliance path followed and third-party certifications, renewables, fuel types, and the anticipated affects to the electrical grid,
7. Building, component, occupant, and community resiliency, and passive and active survivability attributes implemented,
8. Non-energy co-benefits implemented associated with health, comfort, safety, productivity, community connectivity, economic development, and other aspects to improve the living environments for occupants, and non-energy third-party certification, standards, or verification pursued,
9. Features related to reducing the project's embodied carbon, greenhouse gas emissions, and global warming potential,
10. Innovations including industrialization of construction, reduction in construction waste, efficient mechanical systems, and how the innovations can be scaled and interact with the electrical grid,
11. Direct and indirect replicability or scalability potential of the project to support market transformation, including any awards won, and how the project affects, benefits, and fits into the firm's business model and mission,
12. Budget, project, operation, and maintenance costs, cost effectiveness, and cost reduction strategies implemented,
13. Project renderings, photographs, and relevant architectural project drawings or design diagrams.

For design firms seeking the Provisional Partner status, a Letter of Intent prepared by the design firm will be required in lieu of project work samples. The Letter of Intent should include information on why the design firm would like to engage in clean, resilient, and carbon neutral projects and should identify barriers that have prevented the design firm from participating in this space before.

4. Supplementary Documents

The Partner Proposer must submit all supplementary documents listed here, as available, to support the Partner Proposal evaluation:

1. Billable Rate Schedule for Partners,
 - i. The Partner shall use the Project Personnel and Billing Rates form (found within Attachment A) to clearly indicate hourly salary rate range for each title classification proposed under the agreement with NYSERDA and other overhead multipliers you propose to use for the duration of the agreement with NYSERDA,
 - ii. Provide rate and multiplier for services to be provided from date of the Project Proposal submission. These rates shall be independent of annual rates. The multiplier rate shall include all overhead, profit, and other costs. NYSERDA reserves the right to conduct a rate comparison amongst consultants and request changes to the rate schedule as applicable,
 - iii. Please do not provide fully burdened rates in the chart.

2. Project Proposal

Upon receiving an executed agreement, Partners will be able to submit Project Proposals to receive funding for projects in the early design stages. The project must meet the eligibility requirements as indicated in Section II - Eligibility and the proposing Partner must be providing design services resulting in a carbon neutral or net zero energy building.

The Project Proposal structure should follow the outline listed below, and sequentially address the review criteria listed in the "Early Design Support Project Review Criteria" table in Section III – Proposal Evaluation of the EDS RFP. The Partner must identify the proposed project's status as of the date of submission, as defined and detailed in Section II - Eligibility of the EDS RFP. The Partner's firm name, project name, RFP number, and page number should be recorded on every page of the Project Proposal, including attachments.

Project Proposals should include a clear and concise description of the project, proposed early design stage services to be performed, and proposed project promotion, addressing each category detailed below and in the review criteria table. In order to receive funding, the proposed project must plan to be engaged in at least four (4) of the eight (8) listed Early Design Support Services options. Project Proposals should not exceed ten (10) pages, not including supplemental project documents. Project Proposals must be submitted by the Partner, who must submit the following for each Project Proposal:

1. Proposed Project Description

1. Project description - including project status, design and construction schedule, square footage, number of buildings, stories, and units, construction type and methodology, building function, populations served, and third-party standards designed to,
2. Project location - including the building address and if the project is located within a Downtown Revitalization Initiative (DRI) district, disadvantaged community (DAC) as defined by NYS, NYS Department of Environmental Conservation (DEC) Potential Environmental Justice area, Clean Energy Community (CEC), or a jurisdiction that has committed to adopting the NYS Energy Stretch Code 2020,

3. Project team – including a list of specific individual names and roles, the developer or owner of the project, firms acting in either a sub consultant capacity or as another partner on the project for additional design, engineering, certification, quality control, construction manager, general contracting, and an indication of whether integrated design or construction will be employed on the project,
4. Key architectural design attributes - including descriptions on aesthetics, building and unit design and functionality, amenities, articulation of public and common spaces, use of natural light, project site design, relationship to site context, acoustical quality, and innovation. Other design attributes can include, but not be limited to:
 - i. Building articulation, use of durable and high-quality materials, fenestration patterns and types, and use of efficient interior and exterior lighting,
 - ii. Specific site context considerations can include, but not be limited to, building scale, shape, massing and density, ground level connectivity, use of outdoor space, incorporating natural light and access to views in building and unit design, and controlling the associated microclimate including shadowing, wind, and snow, and incorporating native plantings,
 - iii. Relationship to the larger community can include, but not be limited to, location in a DAC, DRI, or CEC, overall community connectivity, respect of the existing community character, and site and infill development,
 - iv. Transit oriented considerations can include but are not limited to, proximity to public transportation like bus, subway, commuter and light rail lines, and rapid transit stations or commuter ferry terminals, and the inclusion of bicycle storage and vehicle charging stations,
 - v. Innovations in design can include, but not be limited to, the industrialization of construction through modular or prefabricated methodologies, reduction in construction waste, use of efficient mechanical systems, and storm water strategies,
 - vi. Consideration on how the project's overall design will be impacted by, accommodate, and integrate the energy performance, resilience, non-energy co-benefits, reductions to embodied carbon, and other strategies proposed for the project.
5. Clean building attributes and design - including carbon neutral or net zero status, how the project meets the definition of the *Carbon Neutral* definition as noted in Section II - Eligibility, project compliance path followed, overall building performance, energy goals, energy savings measures and systems, solutions implemented, renewables, fuel types, and the anticipated effects to the electrical grid,
 - i. Indication of the expected, predicted, or modeled energy use and operational energy costs of the project. Predicted impacts of the project as proposed can include CO₂/person and CO₂/SF. A description of how the energy use and operational energy cost were calculated should be provided, along with documentation associated with the modeled or projected energy use and standard selected,
 - ii. Projects proposing the use of larger commercial Variable Refrigerant Flow (VRF) air-source heat pump (ASHP) systems that require long lengths of piping and multiple in-field connections will not be eligible for funding,
6. Design strategies that increase the resilience of the building, its components, occupants, and the surrounding community. These strategies should increase the active and passive resilience of the building,
 - i. Indication and assessment of each project-specific resilience risk, both current and anticipated throughout the project's useful life (e.g., more intense heat waves and increased frequency

and severity of flooding), and detailed description of how the proposed strategy (or combination of strategies) will increase resilience of the building and its occupants by addressing that risk.

7. Strategies and attributes of any non-energy co-benefits incorporated into the proposed project's design, that increase occupant comfort, health, productivity, and safety, community connectivity, economic development, and other aspects to improve the living environments for occupants, and the associated non-energy third party certifications, standards, or verifications being pursued,
8. Strategies and features to reduce the proposed project's embodied and operational carbon in materials, construction or operational processes, or other attributes, overall reduction in the total volume refrigerants and Global Warming Potential (GWP) refrigerants and greenhouse gas emissions, increased use of systems that require few or no refrigerant piping joints to be made on the construction site, and the use of materials that achieve carbon sequestration,
9. Indication of the proposed project's innovations including industrialization of construction, reduction in construction waste, efficient mechanical systems, how the innovations can be scaled, and how the innovations interact with the electrical grid,
10. Project budget, proposed operation and maintenance costs, cost effectiveness, and cost reduction strategies implemented, including listing of any additional anticipated incentive programs,
11. Indication of the proposed project's replicability, as demonstrated by expected ease or efficiency of construction, economic viability for the market served, unique financing solutions, or other factors that would make the proposed project a model for future projects,
12. Indication of the project's direct and indirect replicability or scalability potential to support market transformation, including how this project affects, benefits, and fits into the firm's business model and mission.

2. Description of Proposed Early Design Support Services to be Performed for the Project

In order to receive funding, the proposed project must plan to be engaged in at least four (4) of the eight (8) listed Early Design Support Services options. Each project must include a Resilience, Passive and Active Survivability and Market and Promotion Plan Scope of Work Service.

1. Clean and Carbon Neutral Attributes and Energy Efficiency Scope of Services: Engage in practices associated with integrated design and construction to achieve clean, resilient, carbon neutral, and energy efficiency attributes in the proposed project. Strategies to achieve carbon neutral and net zero operational performance can include, but not be limited to:
 - i. Engage in a comprehensive study for the proposed project's strategies associated with operational energy efficiency, densification, electrification, demand flexibility, peak load reduction, and transit-oriented development,
 - ii. Engage in detailed analysis of the proposed project's energy systems, including but not limited to high performance building envelope, geothermal (ground-source or water-source) heat pump systems, energy storage (thermal and electric), on-site renewable energy systems, electrical grid interactivity and controls, on-site electric vehicle charging, battery storage, heating, cooling, domestic hot water, and ventilation components, appliances, renewable generation district, smart building controls and monitors, and other technologies,
 - iii. Engage in an exploration of integrating different building standards and the associated design strategies, including but not limited to Passive House design into the proposed project,

- iv. Engage in practices associated with integrated design and construction to define and achieve the proposed project's goals, involve key stakeholders, and establish a comprehensive and collaborative design approach,
 - v. Explore how energy efficient strategies, components, and systems will be designed to be resilient for the lifespan of the strategy or system,
 - vi. Complete modeling that is necessary to achieve carbon neutral performance, optimize energy efficiency and thermal performance, and identify opportunities for energy savings.
2. Resilience, Passive and Active Survivability Scope of Services: Conduct research to expand on strategies to increase the resilience of the building, its components, occupants, and the surrounding community. These strategies should address forward-looking climate conditions, including a wider range of operating temperatures, increased incidences of flooding on site, extended power outages, and other extreme events. Strategies to achieve resilience, passive and active survivability can include, but are not limited to:
- i. Exploration of locating the building outside of the 100- or 500- year flood plain and raising living spaces and critical system components above 500- year flood level, at a minimum,
 - ii. Exploration of creating areas of refuge within the building for occupants to shelter in place during extreme heat and cold events, power outages, or flooding, that incorporate HVAC systems that remain operable during power outages,
 - iii. Research into ensuring adequate passive survivability during extended power outages by identifying the duration the building could remain safely occupied, while maintaining safe thermal conditions, natural light, natural ventilation, and other conditions,
 - iv. Research into active resiliency strategies, such as satisfying critical loads for an extended duration using backup power or the use of energy storage solutions, potentially in combination with renewable energy generation,
 - v. Exploring community resilience-enhancing strategies, such as providing community services, connecting to district systems to ensure diversity of energy resources, and reduction of vulnerability of the area surrounding the site to extreme heat,
 - vi. Exploring strategies e that enable the building or community to adapt to, absorb or recover from events, such as mechanical systems that can accommodate future climate conditions.

For any buildings in New York City that are expected to be subject to tidal inundation by 2080 or in the 2080 future floodplain and for buildings outside of New York City that are in the 500-year flood zone or that are otherwise at risk of current or future flooding, storm water management and flood-mitigation measures should be incorporated into the design. At a minimum, critical system components must be raised above the future tidal inundation or flood elevation, depending on location, unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the proposed project's review process, at NYSERDA's sole discretion.

Partners, regardless of the proposed project site location, may find the [NYC Climate Resiliency Design Guidelines](#) useful for resilience strategies and resources.

For guidance on managing future flood risk, Partners may refer to the [State Flood Risk Management Guidance and NYC Flood Hazard Mapper](#).

For guidance on climate change and building resilience, Partners may refer to the [ClimAID climate projections for New York State](#), the New York [Adapting Buildings for a Changing](#)

[Climate](#) website, and the [New York State Climate Impacts Assessment: Understanding and Preparing for Our Changing Climate](#).

3. Quality of Non-Energy Co-Benefits Scope of Services: Investigate additional non-energy co-benefits to be incorporated into the proposed project's design, including strategies that increase occupant comfort, health, productivity, and safety. Strategies to achieve successful integration of non-energy co-benefits include, but are not limited to:
 - i. Research into attributes related to community connectivity, economic development, sustainability, durability, and other aspects to improve the living environments for occupants,
 - ii. Research into actions to optimize indoor air quality, reduce indoor pollutants, and to safeguard against transmission of air-borne contaminants that cause allergies, asthma, and illness, such as use of Minimum Efficiency Performance Value (MERV) 13 air filters or better, and use of durable materials that limit moisture intrusion,
 - iii. Research into integrating design attributes found in non-energy third party standards and feasibility of certification, validation or verification of non-energy co-benefits through third party standard(s) that incorporate health-related co-benefits.
4. Reduction in Embodied Carbon Scope of Services: Conduct research to reduce embodied and operation carbon in the proposed project's design. Strategies to reduce the proposed project's overall carbon impact may include, but not be limited to:
 - i. Research into strategies that reduce embodied and operational carbon in materials and the use of materials that achieve carbon sequestration,
 - ii. Exploration into construction, operational, and waste reduction processes, or other design attributes,
 - iii. Research into overall reduction to the total volume of refrigerants and greenhouse gas emissions, the use of lower Global Warming Potential (GWP) refrigerants, and increased use of systems that require few or no refrigerant piping joints to be made on the construction site,
 - iv. Research into available modeling tools and financing options.

Partners must conform to the [NY Office of General Services GreenNY Specification: Lower Carbon Concrete](#) and [NYS Office of General Services Buy Clean Concrete Guidelines](#) when specifying concrete.

5. Innovation and Innovative Attributes Scope of Services: Investigate innovations that could be incorporated into the proposed project including industrialization of construction, reduction in construction waste, efficient mechanical systems, how the innovations can be scaled and replicated, and how the innovations interact with the electrical grid,
6. Cost Reduction Strategies Scope of Services: Complete economic analyses of cost reduction strategies that have the capacity to substantively reduce the overall cost of the proposed project, and that will likely be replicated by other projects or design teams. Strategies to reduce the proposed project's overall cost may include, but not be limited to:
 - i. Analysis of energy efficiency solutions, resiliency strategies, and other characteristics of the project that are expected to impact the total, construction, operation, and maintenance costs, including strategies that will reduce total costs, the trade-offs and avoidance of cost increases, and how the overall costs of the proposed project compare with similar projects (e.g., Low- to Moderate-Income, mixed-income, market-rate, or luxury homes) in the same basic locale,

- ii. Exploring costs associated with improvements that can be recouped in terms of shortening the timeframe of on-site construction, increasing tenant retention rates, and higher rent or sales prices,
 - iii. Completing first costs, return on investments, total value propositions, cost benefit ratios, or non-compliance with Local Laws and other impending policies,
 - iv. Analysis into why and how high-performance features of the proposed project provide both enhanced financial benefits to the owner/developer and attributes that lead to an improved or optimal living environment for the tenants (e.g., thermal comfort, indoor air and environmental qualities, improved acoustics, building resilience).
7. Third Party Certification Scope of Services: Complete additional modeling and early-stage applications for third party certifications, standards, and verifications, and ensure that the associated standard criteria are incorporated into the design of the project,
8. Market and Promotion Plan Scope of Services: Create a marketing and promotion plan that outlines the proposed methods mechanisms to generate public interest and demand for advanced clean, resilient, and carbon neutral buildings beyond and in addition to NYSERDA’s promotional activities as described in the “Collaboration with NYSERDA, Transparency, and Promotion of Projects” section of the EDS RFP. Strategies to market and promote the project may include, but not be limited to:
- i. Producing website content, magazine and technical articles, books, blogs, case studies, social media, videos, Podcasts, presentations, and engaging in speaking engagements.

3. Collaboration with NYSERDA, Transparency, and Promotion of Projects

The Partner should describe in the Project Proposal how they intend to create high impact influence through successful marketing and promotion of the proposed project, including disseminating information to the market that could be useful to the industry and better inform the public about clean, resilient, carbon neutral building performance that supports the elimination or reduction in use of fossil fuels, and be aimed at increasing market replicability and scalability. Marketing information the Partners may share includes but is not limited to information about the architectural design; clean, carbon neutral, and energy efficient attributes; resilient, active, and passive survivability attributes; non-energy co-benefits; cost reduction strategies; anticipated building performance; how this project will comply with upcoming local laws, policies, and advancing code cycles; and overall lessons learned. In accordance with the Proprietary provisions located in Section VIII “General Provisions”, the Partner should indicate which aspects of the proposed project information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA’s internal use and/or for anonymized analysis, and not publicly shared as project-specific information. The extent to which the Partner commits to sharing proposed project data, as well as the quality of the Partner’s marketing plan intended to showcase the proposed project’s design and carbon neutral strategies, are considered during evaluation of the project Proposal. After a Project Proposal has received funding under the EDS RFP, NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, social media, in publications, in presentations, or other venues. In addition, the Partner should outline their proposed methods or mechanisms for sharing this information through their marketing plan.

Partners are expected to cooperate with NYSERDA in the development and review of marketing materials. NYSERDA credits the project name and Partner in all promotional material. Partners are expected to participate in presentations and other promotional events.

4. Supplementary Documents

The Partner must submit all supplementary documents listed here, as available, to support Project Proposal evaluation:

1. Scope of work budget associated with the proposed early design support services to be performed for the project.
 - i. Each scope of work item should have an associated funding amount,
 - ii. Embodied carbon investigation will be capped at 15% of the total requested funding,
 - iii. Scope of work budgets should include line items for both the partner and any design team subconsultants performing early design support services. Project developers are not eligible to receive early design support funding.
2. Personnel Resumes – one (1) page resumes that highlight recent, relevant experience of the proposed design team personnel who will be directly involved in the early design support services.
 - i. The RA or PE resume must be included. Submission of a company-wide resume representing general services to be provided by various personnel does not meet the submission requirement.
3. Architectural drawings as available, including but not limited to:
 - i. Floor and unit plans,
 - ii. Site plans,
 - iii. At least one (1) building section and elevation,
 - iv. Wall sections.
4. Project rendering(s) - at least one (1) high-quality rendering,
5. Design details as available, including but not limited to:
 - i. Addressing energy efficient design,
 - ii. Building envelope conditions,
 - iii. Building resilience strategies.
6. Project diagrams as available, including but not limited to:
 - i. Building diagram(s) showing or explaining high performance/zero emissions features, including how they will remain resilient for their lifespan,
 - ii. Building diagram(s) of quality of building characteristics and design features,
 - iii. Building and site diagrams that show the project's sustainability features,
 - iv. Site diagrams that show how the project integrates with urban features.
7. Energy modeling files and report(s) summarizing energy performance-related design strategies, if available,
8. Scorecard(s) or checklist(s) for proposed, submitted, or achieved certifications, if available.

Notes:

- 1) Submitted materials may be used for the presentation of funded projects in various forums.

- 2) Photographs and other images may be submitted as .pdf at the time of the Project Proposal but must be provided as high-resolution image files at 24 inches wide and 300 dpi for projects funded and upon request.
- 3) Updates to the initially submitted materials may be requested for projects funded under the EDS RFP.

IV. Partner Proposal and Project Proposal Evaluation

1. Partner Proposal

Partner Proposals will first be reviewed for completeness and to ensure they meet “General Eligibility” requirements as detailed in the Section II - Eligibility of the EDS RFP. Partner Proposals that do not meet the listed requirements will not be further reviewed.

The General Eligibility requirements for the Design Partner submission to be considered prior to content review include the following:

1. The project work samples identified in the design firm Partner Proposal must meet the market sectors, *Carbon Neutral-Ready* definition, and meet and provide documentation to show the minimum achieved or projected energy efficiency and building performance criteria as detailed in the Eligibility Section II of this RFP.

Following the initial completeness review, Partner Proposals will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the “Partner Review Criteria” table.

PARTNER REVIEW CRITERIA

Category	Category Description
Design Firm Experience	This category will consider how successfully Partner Proposers have addressed summarizing how the proposing firm’s experience, services, and skills demonstrate the design and delivery of successful clean, resilient, and carbon neutral projects and meet the stated goals of the Competition.
Market Transformation Capability	This category will consider how successfully Partner Proposers have addressed summarizing how the proposing firm’s experience, services, and skills demonstrate how they create high impact influence through successful project marketing and promotion to educate and influence the market, disseminate information out to the market, and create market scalability and replicability.
Project Work Samples	This category will consider how successfully Partner Proposers have addressed summarizing three (3)* new construction or substantial renovation multifamily, and mixed-use projects, in which the Partner Proposer’s firm has provided design services resulting in carbon neutral or net zero energy buildings.

*An exception to the above project work samples’ eligibility requirements applies to design firms interested in pursuing Provisional Partner status. For this designation, design firms may apply with a Letter of Intent prepared by the design firm in lieu of project work samples.

2. Project Proposal

Project Proposals submitted by Partners will first be reviewed for completeness and to ensure they meet “General Eligibility” requirements as detailed in the Section II - Eligibility of the EDS RFP. Project Proposals that do not meet the listed requirements will not be further reviewed.

The General Eligibility requirements for the early design support Project Proposal submission to be considered prior to content review, include the following:

1. The Proposed early design support Project is located in New York State, reflects multifamily occupancy as the primary use, meets the *Carbon Neutral-Ready* definition, meets the Project

Status, and meets and will provide documentation to show the minimum projected energy efficiency and building performance criteria as detailed in the Eligibility Section II of this RFP.

Following the initial completeness review, Proposals for proposed early design support projects will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the “Project Proposal Review Criteria” table.

PROJECT PROPOSAL REVIEW CRITERIA

Category	Category Description
<i>Project Design Category</i>	
Quality of Architectural Design	This category will consider how successfully Partners have addressed key architectural design attributes of the proposed project and how the project’s overall design will be impacted by, accommodate, and integrate the energy performance, resilience, non-energy co-benefits, reductions to embodied carbon, and other strategies into the proposed project.
Clean, Carbon Neutral, and Energy Efficiency Attributes	This category will consider how successfully Partners have addressed clean, carbon neutral, and energy efficient attributes of the proposed project.
Resilience, Passive and Active Survivability	This category will consider how successfully Partners have addressed strategies that increase the resilience and passive and active resilience of the proposed building, components, and its occupants.
Quality of Non-Energy Co-Benefits	This category will consider how successfully Partners have addressed incorporating non-energy co-benefits into the proposed project design to ensure occupant comfort, health, productivity, and safety, community connectivity, economic development, sustainability, durability, and other aspects to improve the living environments for occupants.
Reduction in Embodied Carbon	This category will consider how successfully Partners have addressed incorporating features related to reducing the proposed project’s embodied and operational carbon, greenhouse gas emissions, and global warming potential of refrigerants.
Innovation	This category will consider how successfully Partners have addressed incorporating innovative features and electrical grid interactivity into the proposed project.
Cost Reduction	This category will consider how successfully Partners have implemented cost reduction strategies into the proposed project.
Market Transformation Capability	This category will consider how successfully Partners have addressed the proposed project’s direct and indirect replicability or scalability potential to support market transformation, including how this project affects, benefits, and fits into the firm’s business model and mission.
<i>Early Design Support Scope of Services Category</i>	
Clean and Carbon Neutral Attributes, and Energy Efficiency	This category will consider how successfully Partners have addressed how they plan to engage in practices associated with integrated design and construction to achieve clean, carbon neutral, and energy efficient attributes in the proposed project.
Resilience, Passive and Active Survivability Attributes	This category will consider how successfully Partners have addressed how they plan to expand on strategies to increase the resilience of the building, its components, occupants and surround community, and increase the active and passive resilience of the building.
Quality of Non-Energy Co-Benefits	This category will consider how successfully Partners have addressed how they plan to investigate additional non-energy co-benefits to be incorporated into the proposed project to ensure occupant comfort, health, productivity, and safety, community connectivity, economic development, sustainability, durability, and other aspects to improve the living environments for occupants.

Reduction in Embodied Carbon	This category will consider how successfully Partners have addressed how they plan to investigate additional features related to reducing the proposed project's embodied and operational carbon, greenhouse gas emissions, and global warming potential impacts of refrigerants.
Innovation and Innovative Attributes	This category will consider how successfully Partners have addressed how they plan to investigate innovations and electrical grid interactivity that could be incorporated into the proposed project.
Cost Reduction Strategies	This category will consider how successfully Partners have addressed how they plan to complete additional economic analyses for the proposed project.
Third Party Certifications	This category will consider how the Partners have completed additional modeling and early-stage applications for third party certifications, standards, and verifications.
Marketing and Promotion Plan	This category will consider how successfully Partners have addressed how they plan to create high impact influence through successful marketing and promotion of the proposed project, including the sharing of information that could be useful to the industry and better inform the public of carbon neutral performance.

To receive funding, the proposed project must plan to be engaged in at least four (4) of the eight (8) listed Early Design Support Services options, inclusive of the Resilience, Passive and Active Survivability and Marketing and Promotion Plan Scopes of Work.

Program Policy Factors

NYSERDA reserves the right to accept or reject Project Proposals based on the following program policy factors:

1. The degree to which the proposed project, including proposed cost share(s), optimizes the use of available funding to achieve NYSERDA's overall programmatic and portfolio objectives, as specifically set forth in the EDS RFP.
2. Diversity of awards within multiple locations, climates, regions, or other geographically articulated criteria (for example, disadvantaged communities or Regional Economic Development Regions).
3. The degree to which there is portfolio diversity, including considerations as to funding duplicative efforts stemming from the EDS RFP itself or similar, previously funded efforts and considerations as to development stage of the cohort of proposed projects (for example, secured permits or financing, shovel-ready).

V. Funded Projects, Subsequent Submissions, and Required Updates

Partners are required to execute an agreement (see Attachment A – Sample Umbrella Agreement) with NYSERDA and deliver completed projects that meet the requirements detailed in the EDS RFP. The project deliverables and associated time and material or milestone payments will be as detailed in the EDS RFP and the agreement executed between the selected Partner and NYSERDA.

At any point during the design process, NYSERDA must be notified and provided associated details if significant deviation from the original Project Proposal is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original Project Proposal, including the Partner's commitment to achieving the source energy savings in their original Project Proposal to NYSERDA. Projects funded through the EDS RFP must ensure that the cumulative changes during design will not increase the predicted source energy use or carbon emissions in comparison to the project as originally submitted. Continuation of any project that deviates from the original Project Proposal will be subject to NYSERDA's discretion. NYSERDA reserves the right to reduce the award amount or terminate any project should it fall below the originally committed energy performance.

Additionally, the following submissions and updates are required:

At 50% completion of schematic design:

1. Documentation associated with each of the proposed early design support services that have been performed for the project. Topics can include, but not be limited to:
 - i. Which attributes have been investigated,
 - ii. Why and how the attribute was investigated,
 - iii. Results of the investigation and how the results relate to whether the attribute will be incorporated into the proposed project,
 - iv. How the investigation affects, benefits, and fits into the Partner's business model and mission.
2. Updated project documentation, if applicable:
 - i. One-page summary of major changes from the initial Project Proposal.
 - ii. Documentation of submission to the certification(s) and standard(s) committed to by the Partner,
 - iii. Marketing and Promotion Plan,
 - iv. Drawings, renderings, or diagrams,
 - v. Energy modeling files and carbon neutral design standard documentation,
 - vi. Schedule of design and construction,
 - vii. Project cost-related documentation.

At 100% completion of schematic design:

1. Updated documentation associated with each of the proposed early design support services that have been performed for the project. Topics can include, but not be limited to:
 - i. Which attributes have been investigated,
 - ii. Why and how the attribute was investigated,
 - iii. Results of the investigation and how the results relate to whether the attribute will be incorporated into the proposed project,
 - iv. How the investigation affects, benefits, and fits into the Partner's business model and mission.
2. Updated project documentation, if applicable:
 - i. One-page summary of major changes from the 50% schematic design submission,
 - ii. Documentation of submission or updates to the submission to the certification(s) and standard(s) committed to by the Partner,
 - iii. Marketing and Promotion Plan,
 - iv. Drawings, renderings, or diagrams,

- v. Energy modeling files and carbon neutral design standard documentation,
- vi. Schedule of design and construction,
- vii. Project cost-related documentation.

At the completion of design phase (construction documents):

1. One-page summary of major changes from 100% schematic design submission,
2. Final documentation associated with each of the proposed early design support services that have been performed for the project. Topics can include, but not be limited to:
 - i. Which attributes have been investigated,
 - ii. Why and how the attribute was investigated,
 - iii. Results of the investigation and how the results relate to whether the attribute will be incorporated into the proposed project,
 - iv. How the investigation affects, benefits, and fits into the Partner’s business model and mission.
3. Final, updated project documentation, if applicable:
 - i. Marketing and Promotion Plan,
 - ii. Design drawings, renderings, or diagrams (suitable for presentations),
 - iii. Energy modeling files and carbon neutral design standard documentation,
 - iv. Schedule of construction,
 - v. Project cost-related documentation,
 - vi. One-page summary of lessons learned.

VI. Schedule of Payments

	Milestone	% Of Total Award
1	50% completion of schematic design	60%
2	100% completion of schematic design	30%
3	Completion of design, construction documents	10%

NYSERDA reserves the right to negotiate type (time and materials or milestone) as well as the amount or schedule of payments for a funded project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation’s minimum submission requirements.

VII. NYSERDA Responsibilities

NYSERDA provides funding and support to projects in accordance with the EDS RFP of the Competition, as detailed in the EDS RFP.

VIII. Partner Responsibilities

1. Partners are responsible for completing and promoting the use of effective, energy efficient products, services, and designs, as defined by the EDS RFP. The credibility of Partners and the quality of the design services they deliver are essential to NYSERDA's success.
2. Partners must update the project information that was initially provided in the Project Proposal, assist NYSERDA in promoting the project, and share information that will help the industry accelerate the design, construction, and operation of clean, resilient, high-performance buildings. All of which may be shared publicly unless otherwise noted.
3. Partners must provide updated information related to the proposed project's expected and evolving performance and cost data, throughout the course of the project design, in data collection formats requested by NYSERDA.
4. Partners must allow the proposed project to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to articles, books, case studies, exhibitions, lectures, presentations, tours, social media, and other electronic marketing promotions including a Competition website. NYSERDA reserves the right to brand and market the funded projects as NYS Buildings of Excellence projects or a similar reference.
5. Partners are responsible for abiding by the Terms and Conditions in the EDS RFP.
6. If the Partner does not meet the minimum project responsibilities, their Partner status will be suspended until the project responsibilities have been met.
7. If NYSERDA identifies an instance where these rules have not been followed, the Partner is responsible for fully cooperating in any investigation of a possible violation. Failure to comply may result in the Partner losing its active status.
8. Partners are responsible for ensuring the customer agrees and authorizes their utility's sharing of the participant-customer's information and/or project-level information with New York State Department of Public Service Staff and NYSERDA, including its agents or authorized representatives, consistent with NYSERDA's New York State Public Service Commission and statutorily authorized responsibilities, including, but not limited to supporting market development initiatives, and other evaluation and measurement activities. (For clarity, the term project level includes the information based on the scope of the project, including, but not limited to, aggregated and anonymized whole building, building or subsets of the project.)
9. Partners are responsible for ensuring the participant agrees and authorizes the sharing of the participant-customer's information and/or project-level information with New York State Department of Public Service Staff and appropriate local utility, including its agents or authorized representatives, in carrying out its responsibilities under New York State Public Service Commission orders. (For clarity, the term project level includes the information based on the scope of the project, including, but not limited to, whole building, building or subsets of the project.)

Becoming a Partner is completely voluntary and NYSERDA can remove a Partner from the list at any time for any reason. NYSERDA may revoke the active status of the Partner and remove them from the website if the Partner does not meet all the Program requirements. Partners may also request to be removed from the active Partner list.

I. GENERAL CONDITIONS

Proprietary Information: Careful consideration should be given before confidential information is submitted to NYSERDA as part of the proposal. Review should include whether the information is critical for evaluation and whether general, non-confidential information, would suffice for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers

Law, Section 87(2)(d) provides for exceptions to disclosure of records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which, if disclosed, would cause substantial injury to the competitive position of the subject enterprise." Information submitted to 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 excluding it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in [21 NYCRR Part 501](#). However, NYSEDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

State Finance Law sections 139-j and 139-k: 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 on the [Office of General Services' website](#). Proposers are required to answer questions during proposal submission, make required certification under the State Finance Law, and disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

Tax Law Section 5-a: NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor with a monetary value in excess of \$100,000, prior to entering an agreement with NYSEDA, to certify to the Department of Taxation and Finance (DTF) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the DTF to collect New York State and local sales and compensating use taxes. The DTF has created [ST-220-TD](#) to allow a prospective contractor to readily make such certification. Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA that such certification with the DTF has been filed. The DTF has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor and filed with NYSEDA, prior to contracting. [Guidance for contractors](#) can found on the [DTF's website](#).

Contract Award: NYSEDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion, or following negotiations pertaining to the statement of work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA uses 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 Attachment A–Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions generally results in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 12 weeks from the proposal due date whether the proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

Accessibility Requirements: 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 the award.

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

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. 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. 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.

II. Attachments:

Attachment A–Sample Umbrella Agreement



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**Energy Efficiency and Clean Technology Training
Program Opportunity Notice PON 3981
\$10,000,000 Available**

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

Concept Papers are required as the first step in the application process. Concept Papers may be submitted until November 18, 2025. Concept Papers will be evaluated within four (4) to six (6) weeks.

Full Proposals (by invitation only): accepted in funding rounds with the following due dates:

Round 19 – July 13, 2023; Round 20 – September 14, 2023; Round 21 – November 16, 2023; Round 22 – January 17, 2024; Round 23 – March 18, 2024; Round 24 – May 17, 2024; Round 25 – July 17, 2024; Round 26 – September 18, 2024; Round 27 – November 18, 2024; Round 28 – January 17, 2025; Round 29 – March 19, 2025; Round 30 – May 16, 2025; Round 31 – July 16, 2025; Round 32 – September 17, 2025; Round 33 – November 18, 2025.

Due dates beyond are subject to funding availability.

PROGRAM SUMMARY

Overview

The New York State Research and Development Authority (NYSERDA) is seeking proposals for technical training and education, hands-on experience and job placement services that enable New York State to meet the objectives of the Clean Energy Fund and advance the climate equity and just transition goals of New York’s Climate Leadership and Community Protection Act (Climate Act). The purpose of this solicitation is to build or expand New York State training infrastructure and capacity to strengthen the skills of existing workers and students and build a pipeline of skilled talent for the Energy Efficiency and Clean Technology (EE&CT) labor market. Projects funded through this solicitation are intended to develop and/or deliver technical clean energy and/or energy efficiency 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.

Total funding for this solicitation is \$10 million, with up to \$1 million per project to fund training at scale. It is anticipated that approximately \$3 million of total funding will be reserved for training activities that support building electrification. Additional funds may be added at NYSERDA's discretion, if available.

Funding is available for training that advances skills in the following EE&CT areas: High-efficiency heating, ventilation, and air conditioning (HVAC) and water heating; building electrification/heat pump technologies; insulation and air sealing; high-efficiency lighting and controls; building automation and controls; smart grid and energy storage; electric vehicle charging station installation and maintenance; as well as large-scale, land-based renewable energy generation that is actively supported through NY's Clean Energy Standard.

Individuals and entities that apply for funding must be either technical high schools; community colleges; universities; trade associations; manufacturers; equipment suppliers; renewable energy project developers and owners; firms and subcontractors that support engineering, procurement, construction, operations and maintenance; renewable energy development service providers; distributors; unions; training and job placement intermediaries; community-based organizations; or non-for-profit organizations with a demonstrated track record in energy-related training, job preparedness and/or placement. Primary applicants must be registered to do business in New York State and must have a New York State office or training location. 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).

Funds may be used for initiatives that focus on training for skills in targeted EE&CT areas and that meet business needs. It is anticipated that these initiatives will include activities such as curriculum development or modification; delivery of training (online, classroom, on-site, etc.); training labs and equipment purchases for hands-on training; hiring and training of trainers; test and certification fees; pre-apprenticeships, and apprenticeships; services to place individuals into paid internships, apprenticeships, full-time jobs, or advanced formal training, and training in languages other than English. All initiatives must include the delivery of technical training.

All training funded by NYSERDA must take place in New York State and be designed to serve New York State residents.

This solicitation will provide funding to projects that fall into one or both of the following categories:

Category 1: Training for Existing Workers and Individuals in Formal Training Programs.

Category 2: Career Pathways for New Workers/New Entrants in Clean Energy.

Proposal Submission

This solicitation employs a two-step application process consisting of a Concept Paper (required) followed by a Full Proposal (by invitation only based on favorable review of a Concept Paper).

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 Proposal Requirements and Evaluation Criteria outlined below.

Both Concept Papers and Full Proposals must be submitted online. For detailed instructions on how to submit a proposal 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 “[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 or Adele Ferranti at WFinfo@nyserda.ny.gov or at (518) 862-1090 x3584 and 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.

Informational Webinar

NYSERDA will conduct an informational webinar, during which NYSERDA will review the requirements of this solicitation and answer questions. Applicants interested in attending may send an email to wfinfo@nyserda.ny.gov with the subject line “PON 3981 Informational Webinar” to request the webinar date along with information on how to participate. Questions may be submitted via the same email address prior to the webinar, or during the webinar using the web platform. Following the conclusion of the webinar, NYSERDA will post questions and responses on the NYSERDA website. All questions will be posted anonymously, and NYSERDA’s written responses will supersede any responses given during the webinar.

I. INTRODUCTION

a. Background

The New York State Energy Research and Development Authority (NYSERDA) is the leading authority responsible for advancing New York’s clean energy and climate goals. NYSEDA develops markets for clean energy, supports technology development, and provides financing to enable economic growth and reduce emissions, to the benefit of communities across the state. As part of its mission, NYSEDA 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 NYSEDA’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 New York’s Climate Act.

b. Objective

Through this funding opportunity, and in working with training providers across the State, NYSEDA seeks to create a diverse, equitable, and inclusive pipeline of skilled talent for the clean energy labor market. Projects funded through this solicitation are intended to build or expand New York State training infrastructure and capacity to develop and deliver clean energy technical training, hands-on experience, and job placement assistance to both new and existing workers, as applicable, ensuring they have the skills, experience, and qualifications required to meet industry demand. Preference will be given to projects that proactively address the equity gap in the clean energy industry by increasing access to workforce training and skills development opportunities, as well as providing experiential learning, career pathways and supportive or wrap-around services for members of Disadvantaged Communities and/or Priority Populations.

For the purposes of this solicitation, “Disadvantaged Communities” and “Priority Populations” shall meet the definitions outlined on NYSEDA’s Clean Energy Workforce Development [“Definitions”](#) webpage.

This solicitation uses a two-step application process consisting of a Concept Paper (required) followed by a Full Application (by invitation only). See **Section III – Application Process** for more information.

II. PROGRAM REQUIREMENTS

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

a. Applicant and Project Eligibility Criteria

i) SBC/CEF Territories

All training initiatives funded by NYSEDA must be conducted in New York State and serve New York State residents. If training is conducted in a location outside of System Benefits Charge/Clean Energy Fund (SBC/CEF) service territory, applicants training existing workers (see Category 1 below) must prove that more than 60 percent of trainees either

reside, or serve customers, in SBC/CEF service territory. Alternatively, applicants must prove that at least 50 percent of trainees are residents of Disadvantaged Communities or Priority Populations.

Such evidence may consist of the following:

- Proof that attendees participate in a related NYSERDA or SBC utility program (e.g., via program website as a participating provider or letter from a utility).
- Written attestation that the 60 percent requirement for participants has been or will be met.
- Training rosters or other forms of documentation proving that at least 50 percent of trainees are residents of Disadvantaged Communities or Priority Populations.

The evidence must be provided at the time of application or over the course of the project period.

To learn more about the CEF and to confirm whether a training provider pays into the Fund, please consult the NYSERDA [“Funding”](#) website for more information.

ii) Training Providers

Individuals and entities (“Training Providers”) that apply for funding must be either technical high schools; community colleges; universities; trade associations; manufacturers; equipment suppliers; renewable energy project developers and owners; firms and subcontractors that support engineering, procurement, construction, operations and maintenance; renewable energy development service providers; distributors; unions; training and job placement intermediaries; community-based organizations; or non-for-profit organizations. All Training Providers must have a demonstrated track record in energy-related training, job preparedness and/or placement and hold appropriate Training Provider qualifications. The lead applicant must be registered to do business in New York State and must have a New York State office or training location.

For purposes of this solicitation, “community-based organizations” must meet the definition outlined on NYSERDA’s Clean Energy Workforce Development [“Definitions”](#) webpage.

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). Applicants may consist of individual entities or a team of Training Providers. Category 2 applicants are required to partner with and/or demonstrate support from energy-related industry partners or companies. Applicants interested in exploring new partnership opportunities are invited to register on NYSERDA’s [Partner Connector website](#).

iii) Technology Areas

Funding is available for training that advances skills in the following Energy Efficiency and Clean Technology (EE&CT) areas:

- High-efficiency heating, ventilation, and air conditioning (HVAC) and water heating.
- Building electrification/heat pump technologies.

- Insulation and air sealing.
- High-efficiency lighting and controls.
- Building automation and controls.
- Smart grid and energy storage.
- Electric vehicle charging station installation and maintenance.
- Large-scale, land-based renewable energy generation that is actively supported through New York’s Clean Energy Standard.

All technology areas should have measurable impacts on improving energy efficiency and reducing greenhouse gas emissions in New York State. Additional target areas related to EE&CT may be considered in the future or addressed in other solicitations if a compelling business case is presented. Skills training (i.e., welding, electrical, engineering) to ready workers for expansion into clean energy technologies with a demonstrated connection to clean energy jobs now or in the near future is also eligible for funding. Proposals that do not meet the eligible technology areas listed above may be rejected.

Offshore wind training projects are not eligible for funding under this PON. See NYSERDA’s [“Current Funding Opportunities”](#) webpage for other relevant solicitations.

iv) Categories

This solicitation will provide funding to projects that fall into **one or both** of the following categories:

Category 1: Training for Existing Workers and Individuals in Formal Training Programs. Projects include those that expand training and skills for existing workers (e.g., journey workers, contractors, technicians, sales staff) and students in formal training programs (e.g., technical high schools, higher education institutions, or union training programs).

Category 2: Career Pathways for New Workers/New Entrants in Clean Energy. Projects include those that prepare new workers for entry into New York State’s clean energy economy.

All proposed training projects, in both Category 1 and Category 2, must:

- Take place in and benefit residents of New York State.
- Be carried out by experienced and qualified Training Providers.
- Have a demonstrable connection to employer or industry needs. These connections must be documented through letters of support from relevant employers or industry players, labor market data, or other forms of credible knowledge of the sector or workforce needs. Evidence of industry demand must be provided specifically for the training under consideration.
- Include the delivery of technical training in technology areas that have measurable impacts on improving energy efficiency and reducing greenhouse gas emissions and/or prepare workers for expansion or entry into clean energy jobs in New York. Training

must further serve eligible individuals (e.g., incumbent workers, individuals in formal training programs, or new workers/new entrants to clean energy). For example, proposals to simply purchase training equipment or develop new curriculum will not be eligible for funding unless they also include the deployment of training.

- Have a thorough recruitment and screening plan to attract candidates to their program if applicable.
- Clearly describe the proposed training, including training format, dates, and locations, as well as targeted audience, industry, occupations, wages, and skills.
- Demonstrate a solid and comprehensive sustainability plan to ensure continuation of training after NYSERDA funding has been completed.
- Be completed within approximately 2 years, excluding any applicable 12-month outcome monitoring period for Category 2 projects.

Training projects under Category 2 must meet the following, additional requirements:

- Technical Training, Workforce Preparation Activities, and Wrap-around Services: A successful career pathways project will include a combination of:
 - Rigorous and high-quality clean energy education.
 - Workforce preparation activities (e.g., job readiness, coaching/mentoring, financial literacy); and
 - Wrap-around services (e.g., case management, transportation, child support services, homelessness prevention, mental health counseling, legal assistance, immigrant resources) and/or stipends to support individuals with barriers to employment. Proposals that leverage existing wrap-around services will be given preference.
- Representation: At least 50 percent of trainees must be individuals who fall within eligible categories of Priority Populations and/or individuals residing in Disadvantaged Communities.
- Industry Partnerships: The project must include partnerships, demonstrated in letters of commitment or through subcontracts or formal project commitments, with businesses to provide job interviews, hands-on training and work experience through paid internships, on-the-job training, pre-apprenticeships, apprenticeships, etc., and have clear job placement goals for all trainees. Such letters are not initially required as part of a Concept Paper but will be required as part of a Full Proposal.
- Outcome Monitoring: The project must include a plan to track and monitor the career-related achievements of program graduates for at least 12 months after training completion (“Outcome Monitoring Period”), resulting in a total project duration of approximately three (3) 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.
- Placement: 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. Trainees are considered individuals who complete the program. Therefore strategic recruiting and comprehensive screening are critical in Category 2 projects. If the 80 percent threshold is not met by the time this monitoring period has ended, NYSERDA payments may be prorated.

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

v) Training Initiatives and Activities

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

- Curriculum or certification development, modification when there is a demonstrated market gap and need.
- 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. (Applicants should consider [PON 4000: Clean Energy Internship Program](#) for additional incentives for internship).
- Development of pre-apprenticeship and apprenticeship programs.
- Services to place individuals into paid internships, apprenticeships, full-time jobs, or advanced formal training.
- Training development and delivery in languages other than English.
- Marketing and outreach (up to 10% of total NYSERDA funding); and
- Reasonable in-state, necessary travel.

On a case-by-case basis, NYSERDA will also evaluate reasonable funding requests, as justified, for the following **services and activities** provided they directly support technical training and job placement goals:

- Wrap-around services such as transportation, tutoring, childcare assistance, case management, or other related services for Category 2 career pathway projects serving members of Disadvantaged Communities and/or Priority Populations.
- Development of a Learning Management Systems (LMS) to host virtual (or virtual reality) training.

b. Funding and Cost Share Requirements

NYSERDA will accept proposals requesting up to \$1 million in funding with the intent to facilitate training at scale. Additional funding may be awarded to successful projects after the original contract award up to a maximum of \$1 million if funding is available.

Based on historical data and depending on project scale and depth, the average cost per person trained on a Category 1 project has ranged from \$200-400 for webinars up to \$3,000 for multi-day, in-person training sessions. The average cost per person trained on a comprehensive

Category 2 career pathways project has been between \$5,000 and \$10,000, including wraparound services. Training projects that are selected for funding must be cost competitive with market rates and serve a commensurate number of individuals. Additionally, the costs must be reasonable and appropriate for the proposed scope of the project.

In addition to the eligible training initiatives outlined in **Section II.a.v – Training Initiatives and Activities**, NYSERDA will evaluate reasonable funding requests for the following, as justified on a case-by-case basis:

- Work site equipment (e.g., work boots or tool belts) and materials purchased for training, particularly for Category 2 career pathway projects.
- Modest training stipends, typically \$1,000-2,500 per person, depending on the length of the proposed career pathway training effort for trainees from Disadvantaged Communities and Priority Populations. Funding for stipends is based on a fixed fee as opposed to an hourly wage and is intended to offset the cost of attending training (in lieu of or in addition to wrap-around services, as justified) after all other sources for such support have been exhausted.
- 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.

Costs NOT eligible for funding include:

- Costs for training efforts which have already been undertaken.
- Costs for training initiatives that take place outside of New York State and/or do not benefit New York State residents.
- Costs for the development of a training proposal, training needs assessment, skills gap analysis or sustainability plan.
- Trainee labor costs (i.e., hourly wage reimbursements or subsidies) to participate in training.
- Costs funded by other state, city, or federal programs.

NYSERDA may retain up to 10 percent of project costs until project completion, as necessary, to ensure that all applicable project requirements (e.g., 80 percent placement requirement for **Category 2** projects) have been met. Any remaining payments may be prorated, as appropriate, based on the level of project completion.

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 Priority Populations is 10 percent.

The minimum cost share for qualifying union-led projects and qualifying pre-apprenticeship

programs as described below is also 10 percent. Qualifying union-led and pre-apprenticeship projects include projects that:

- Integrate clean energy training into existing New York State registered apprenticeship program(s) or journey worker training,
- Develop a new clean energy 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 clean energy content.

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/businesses for hands-on training.
- Indirect labor or general overhead.

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

- Food and refreshments during training hours. Food and refreshments outside training hours are not eligible for NYSERDA funding or cost share.
- Computers (as well as related equipment such as servers, software, etc.) and cell phones.
- Motor vehicles and trailers.
- Costs for out-of-state travel, provided they are justified to transport subject matter experts to New York to address a specific market gap.

The project budget, including proposed cost share, must be provided **in Attachment F – Budget**.

Pay for Success Clean Energy Training

Category 2 career pathway projects that exclusively serve qualifying low-income individuals may be eligible for participation in [NYSERDA's Pay for Success Clean Energy Training Project](#) ("Pay for Success"). Funded by the U.S. Departments of Labor and the Treasury under the Social Impact Partnerships to Pay for Results Act (SIPRA), the Project aims to prepare 660+ low-income individuals for clean energy careers. Applicants whose proposals are selected for this initiative may be offered additional funding and will have the opportunity to adjust their scope, budget, and schedule accordingly. Successful Category 2 career pathway projects that were previously awarded funding but did not initially participate in Pay for Success may also be considered and allocated additional funding to participate. In such cases, the latest PON 3981 program requirements will apply.

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 may 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 over the course of that time frame. Applicants whose proposals are selected for Pay for Success will be asked to provide more detailed metrics as part of their quarterly reports. 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. Additional information will be made available as part of the contracting process.

Required reporting metrics and deliverables as well as invoicing requirements are outlined in **Attachment C – Sample Statement of Work.**

II. APPLICATION PROCESS

This solicitation employs a two-step application process consisting of a Concept Paper 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 from industry and training partners. NYSERDA uses Concept Papers as a first step in evaluating the viability of prospective workforce development and training projects (see further details in **Section IV. Proposal Evaluation** below.)

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 (see details below). To submit a Concept Paper, applicants are required to complete **Attachment A – Proposal Cover Sheet** and **Attachment B – Concept Narrative** and follow the instructions for online submission. Applicants not selected to advance to the Full Proposal stage may submit a revised or separate Concept Paper in a later application round.

B. Full Proposal

Applicants invited 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:

- A. Proposal Cover Page
- B. Concept Narrative (Updated/Revised, if necessary).
- C. Scope.
- D. Metrics.
- E. Schedule.
- F. Budget.
- G. Industry Letters of Commitment/Support.

- H. Resumes of Key Personnel.
- I. Other Documentation (optional) – e.g., course outlines and syllabi for new courses, and other supporting material as deemed necessary by the applicant.

A. Proposal Cover Page

Applicants must submit an updated Proposal Cover Page with their Full Proposal.

B. Concept Narrative (Updated/Revised)

At this stage of the application process, applicants are given the opportunity to address any feedback on their Concept Paper provided by NYSERDA. Applicants are encouraged to review the checklist outlined in **Attachment A – Proposal Cover Page**, to ensure they meet all relevant proposal criteria for the respective category under which they are applying.

Preference will be given to applicants who can demonstrate the following:

- **Existing Materials/Resources:** Ability to leverage existing resources, including previous training developed by an applicant/team or training resources and tools available on the market, wrap-around services, job/internship/apprenticeship placement services, training facilities, and opportunities for hands-on application of skills on the part of learners.
- **Education/Career Pathway:** Integration into a degree, certificate, continuing education, career pathway, apprenticeship, pre-apprenticeship, or job preparedness program. Training on professional/soft skills may be combined with technical skills training to meet specific employer needs.
- **Disadvantaged Workers:** Proposals that exclusively serve to advance, place, and integrate individuals from Disadvantaged Communities and/or Priority Populations in the clean energy labor market.
- **Applicants:** Projects that include or are led by MWBEs and/or SDVOBs.
- **Training Program Scalability:** Projects that have the capacity to provide training at scale, at multiple training locations across the state, and/or to a substantial trainee audience.

C. Scope of Work (Scope)

Applicants must include a detailed Scope with their application. The Scope will describe the work to be completed in the project. Should the proposal be selected for funding, the activities outlined in this Scope will be incorporated into a Statement of Work which is the primary contractual document that identifies the project tasks and deliverables and serves as the basis for payment. A sample Statement of Work is provided for reference in **Attachment C – Sample Statement of Work**.

The Scope is an action document that delineates each step or activity in the project to

accomplish the outlined tasks. In the Scope, applicants must identify and describe each task that would be funded in whole or in part under this solicitation. Each task must include 1) the specific activities that will be completed for that task, 2) the individual or organization (e.g., Contractor or Subcontractor) that will complete each activity in a task, and 3) milestones, expected outcomes or deliverables, and reports that will be submitted to NYSERDA. NYSERDA funding awarded under this solicitation may be paid based on milestones that will be negotiated prior to contracting.

Each Scope must include tasks for the following required project components. For these tasks, language from the example Statement of Work may serve as a reference.

- Partnership / Subcontracts (if applicable to the project).
- Training Delivery (customized description of training as appropriate).
- Evaluation.
- Reporting.

All other tasks should be specific to the proposed project and clearly outline activities associated with NYSERDA funding. For example, the Scope may include tasks such as developing or modifying curriculum, purchasing training equipment, identifying and providing wrap-around services for trainees, etc. depending on the nature of the project. Applicants are encouraged to reference the sample Statement of Work for suggested deliverables and level of detail for tasks frequently included in projects funded through this solicitation. **Category 2** projects must include tasks related to job placement to demonstrate the project's approach to meeting that requirement and include activities related to outcome monitoring as required by the PON.

D. Project Metrics

Applicants are required to provide a list of training metrics. These may include “How do you define success?” “Which metrics will you use to track progress and measure project outcomes?” **Attachment D - Metrics** provides a list of sample metrics. Additional metrics may be included, as relevant, to demonstrate the anticipated impact of the proposed project. Metrics will be reported at the individual (training participant) level.

E. Training Schedule

Applicants must provide a schedule for completing tasks based on the tasks and deliverables outlined in their Scope (Attachment C). This schedule may be listed in weeks or months starting from contract execution through contract completion and should include an additional 12-month period for projects in Category 2. The schedule should consist of 12 to 24 months followed by an additional 12-month tracking period for Category 2 career pathway projects. A template is provided in **Attachment E - Schedule**.

F. Budget

Applicants must complete and submit **Attachment F – Budget** with their application, including information requested on the Budget Form and the Cost Breakdown Form.

i) Budget Form

The Budget Form outlines the budget for the proposal, including costs related to labor, direct materials (supplies, equipment, and other costs), travel, and subcontractors. The budget must be reasonable and state the portion requested from NYSERDA as well as the portion that is the applicant's responsibility (cost share).

ii) Cost Breakdown

Based on the costs calculated on the Budget Form, applicants are asked to provide a **cost breakdown by task**. The cost breakdown by task should be based on the initial budget provided in the Concept Paper and align with the tasks in the applicant's Scope.

Cost share may include cash and in-kind funds, as outlined in **Section II.b ("Funding and Cost Share Requirement")** above. Cost sharing by task may vary between the applicant and NYSERDA; however, the total cost share must meet the requirements outlined in **Section II.b ("Funding and Cost Share Requirement")**.

Proposals must provide sufficient detail in the "Supplemental Information" section of the Budget Form to justify anticipated costs. Subcontractors whose share of the project budget is \$50,000 or greater in value must complete a separate Budget Form outlining their anticipated labor costs, time, and materials.

G. Industry Letters of Commitment/Support

Depending on the project, applicants are required to submit either letters of commitment or letters of support from relevant business or industry partners.

Letters of Support serve to attest that the proposed training relates directly to businesses' future hiring needs. These letters further support the industry need/market demand outlined in the Concept Paper.

Letters of Commitment serve to reinforce industry partners' commitment to and outline their role in training projects – a requirement specifically for **Category 2**. Successful proposals should include an array of letters from employers ready to interview, hire, commit to paid internships, pre-apprenticeships, curriculum development, on-site, hands-on training, and/or other similar experiences. Letters must be custom-tailored and unique to each industry partner. Form letters that include the same language and are signed by multiple partners may be disregarded.

H. Resumes of Key Personnel

All proposals must include the resumes of key personnel expected to be involved in the project. Applicants should note any relevant credentials or certifications for instructors.

I. Other Documentation (Optional)

In addition to the above required attachments, applicants are encouraged to submit course outlines or syllabi for any courses proposed and/or any other supporting material as necessary. For large project teams an organizational chart may be helpful. Any attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence evaluation of the proposal.

b. 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 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.

Concept Papers are accepted on a rolling basis. 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.

Only one attachment may be uploaded 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 \[PDF\]](#)" 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.

c. 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 or Adele Ferranti at WFinfo@nyscrda.ny.gov or at (518) 862-1090 x3584 and 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.

III. PROPOSAL EVALUATION

a. Process & Timing

Concept Papers that meet solicitation requirements will be reviewed by a Scoring Committee consisting of NYSCRDA staff using the Evaluation Criteria below. NYSCRDA 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 PON 3981 funding deadlines. Upon receipt, a Scoring Committee will meet again to review and evaluate the Full Proposal based on the Evaluation Criteria below. Within approximately eight (8) weeks, NYSCRDA will inform each applicant of its decision for an award.

NYSCRDA 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. NYSCRDA 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 Scope, budget, or schedule before being awarded funding. Upon successful negotiation, an award under this PON will result in a contract. NYSCRDA may award a contract based on applications with or without discussion. See NYSCRDA'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.

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? 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? Does it address all applicable requirements as outlined in the Concept Paper checklist, including for the category/categories under which the Concept Paper was submitted? 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 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?

4. Budget

- Is the budget reasonable/competitive based on the number of trainees proposed? Does it include the required cost share percentage? More?

5. Preferred Criteria

- Does the proposal leverage existing materials or resources? Does the project integrate into a career pathway with clear goals and outcomes? Does the training exclusively serve members of Disadvantaged Communities / Priority Populations? Is the project led by or does it include MWBEs or SDVOBs? Does it enable training program scalability?

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? If the applicant or subcontractor(s) are a current or past NYSERDA contractor, how did the applicant/subcontractor(s) perform?
- **Rate of Success:** What is the applicant's track record of / approach to ensuring job placements and relationships with clean energy 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. Comprehensiveness of Training Proposal: Approach & Management Plan

- **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? Does the proposal serve a commensurate number of individuals based on the amount of funding requested? If Category 2, are at least 50 percent (or 100 percent for reduced cost share-eligible projects) of 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? If Category 2, does the proposal include unique and custom-tailored letters of commitment from partnering organizations? If so, do the letters clearly demonstrate partners' commitment to interview, hire, offer paid internships, (pre-) apprenticeships, curriculum development, on-site or hands-on training and/or other similar experiences?
- **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 Category 2, 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., wrap-around services or workforce preparation activities)?
- **Recruitment, Screening & Tracking**: Does the proposal outline a robust strategy to recruit and screen participants (including marketing, outreach, interviewing, and placement)? If Category 2, 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 to justify demand 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?
- **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?

4. Scope of Work (Scope)

- Objective: Does the Scope include a detailed training objective and adequately prepare participants to enter or shift to the stated clean energy workforce?
- Content: Is the Scope 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 Scope include tasks and deliverables that address all of the requirements of the solicitation and as outlined in the Concept Paper? Is enough detail provided for each task in the Scope? Are appropriate metrics built into each deliverable? Does the Scope include separate, relevant tasks for Category 1 and Category 2 training, if applicable?
- Evaluation & Reporting: Does the Scope include all applicable evaluation and reporting requirements?

5. Budget/Cost

- 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? Does it include a separate budget form for subcontractors (whose share of the budget is \$50K or greater), if applicable? 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, the anticipated number of trainees, 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?
- 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 clean energy labor market?
- Applicants: Does the project include or is it led by certified MWBEs and/or SDVOBs?
- Training Program Scalability: Does the project have the capacity to provide training at scale, at multiple training locations across the state (if applicable), and/or to a substantial trainee audience?

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.

IV. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See [Public Officers Law, Section 89\(5\)](#) and the procedures set forth in 21 NYCRR Part 501. 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.

V. ATTACHMENTS

- Attachment A – Proposal Cover Page
- Attachment B – Concept Narrative
- Attachment C – Sample Statement of Work
- Attachment D – Metrics
- Attachment E – Schedule
- Attachment F – Budget



**Electric Power Transmission and Distribution (EPTD)
Future Grid Challenges
Program Opportunity Notice (PON) 4393
Round 5
\$8 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 5 Proposals Due: **October 17, 2024** by 3:00 PM EST

The New York State Energy Research and Development Authority (NYSERDA) will issue a series of challenges through 2024 that have been defined in collaboration with the Joint Utilities of New York and NYSERDA internal teams. Each round presents an opportunity to improve the performance and validate value propositions for the electric power delivery system as it evolves with increasing renewable penetration. The projects also help establish a pathway for products and services to gain market entry by addressing existing technical and economic barriers. This PON will focus on product development and demonstration projects defined by National Grid and Con Edison that improve the resiliency, reliability and overall performance of the power grid in support of achieving New York States goals from the Climate Act.

Each round of this solicitation may have one or more challenges with available funding caps set per challenge. Program updates can be found on NYSERDA’s Smart Grid website:

<https://www.nyserderda.ny.gov/All-Programs/Programs/Smart-Grid-Program>

Submissions must demonstrate significant improvements over the current state in the challenge areas. The primary objective of the program is to accelerate the stakeholder’s operational goals that promote a high performing smart grid with a diverse supply of clean energy generation resources, enhanced overall electric grid performance, and enable customers to reduce their energy costs, energy consumption, and environmental impacts. Additional objectives include the development of smart grid technologies and their commercialization and deployment in New York State.

Round	Future Grid Challenge	Proposal Due Date ¹
5	Con Edison	October 17, 2024
	National Grid	
1 - Dates are subject change. Proposers should check NYSERDA’s website for the latest updates		

Proposal Submission – Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be



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

No communication intended to influence this procurement is permitted except by contacting Christopher Cheng (Designated Contact), (518) 862-1090 ext. 3436 or Mike Razanousky (Designated Contact), (518) 862-1090 ext. 3245 or by e-mail smartgrid@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci, (518) 862-1090 ext 3335 or by email nancysolicitations@nyserdera.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

Proposal teams are NOT permitted to contact National Grid or Con Edison regarding this solicitation. All solicitation questions are required to be directed to the Designated Contacts.

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

I. INTRODUCTION

The future transmission and distribution system will be dramatically different from that which is in place today. Systematic improvements to grid investments and operations are possible at all levels of the grid and are an essential element of the transformation of the grid and enable market development envisioned by the Climate Leadership and Community Protection Act. In 2016, the Joint Utilities of New York filed their first Distributed System Implementation Plan (DSIP) that describes current capabilities and future goals. Each utility has since filed DSIP updates that include their unique system challenges. This solicitation seeks to make investments that accelerate the realization of an advanced, digitally enhanced and dynamically managed high-performing electric grid for New York State. This solicitation will enable innovative solutions that directly address the areas of technology development that are required for the reliable performance of the power grid.

Projects that promote high performing smart grid technologies, components and/or systems within the New York regulated electric service territories (Consolidated Edison, Orange and Rockland, New York State Electric and Gas (Avangrid), Rochester Gas and Electric (Avangrid), Central Hudson Gas and Electric, and National Grid) and meet the Program Requirements are eligible for funding under this solicitation. The



program strives to coordinate its activities with the Climate Leadership and Community Protection Act. **All projects must demonstrate broad public benefits to New York State.**

Proposals will be evaluated in two distinct project categories listed below in Section III and scored on the evaluation criteria listed in Section VI of this solicitation. All the submissions will be reviewed by a scoring committee comprised of both internal NYSERDA staff and outside experts. All Proposals will be evaluated according to the quality and level of detail provided within page limits. Proposals must include substantive documentation addressing all scoring criteria items. NYSERDA, at its sole discretion, may ask for an in-person presentation of a Proposal before making a funding decision.

II. CHALLENGE AREAS

This program had multiple rounds. Each round had or has a challenge area or areas from one or more utility, other stakeholder segment, and/or open to specific technologies of interest. Proposers should check each round for the specific challenge area or areas. NYSERDA reserves the right to add, delete, or modify any of the challenges over the course of the solicitation. Proposals in Round 5 should address one of the following utility challenges.

Round 5

1. Con Edison – Dynamic Control of DC-Tied Interconnections for Enhanced Resiliency and Hosting Capacity
 - a. See Attachments F1, F2 and F3 for further details and responses required for a proposal.
2. National Grid – Grid Interactive Efficient Building Demonstration
 - a. See Attachments G1 and G2 for further details and responses required for a proposal.

Questions regarding this round should be directed to the Designated Contacts, Christopher Cheng, 518-862-1090 ext. 3436, Mike Razanousky, 518-862-1090 ext. 3245, or email smartgrid@nyserda.ny.gov

III. PROJECT CATEGORIES

This solicitation includes two project categories. **Proposers must indicate under which category they are proposing.** Proposers should give careful consideration under which category to propose, as Proposal requirements differ, so inappropriate choices could negatively affect project selection results. Proposers are encouraged to contact NYSERDA (see cover page for instructions) with technical questions to promote complete understanding of the project categories as described below. One or all project categories may be utilized in a single proposal.

Cost Sharing - The proposal should show non-NYSERDA funding that meets the minimum requirement of the total project cost. 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.

Category	Maximum NYSERDA Funding Per Category	Total Project Cost Share (Minimum Required)
Category A: Product Development	\$ 3,000,000	25%



Category B: Demonstration	\$ 3,000,000	25%
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Category A: Product Development

- Includes any work focused on bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects under this category include the development and commercialization of technologies and products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category A projects. Product Development projects may lead to a project proposal under Category B: Demonstration Projects to prove out the potential product or technology at a New York State site. **Note: Product Development projects are subject to NYSERDA’s recoupment terms described in Section VIII.**

Category B: Demonstration

- A project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category A. Projects in Category B should demonstrate innovative new or under-utilized products or technologies in pioneering applications. Proposers must clearly identify whether the demonstration project will support either transmission or local distribution operations.

NYSERDA reserves the right to negotiate the project category, scope of work, budget and funding levels on all awarded projects. Funding requests exceeding \$250,000 from NYSERDA shall be funded in phases separated by Go/No-Go decision points that will be evaluated by NYSERDA staff and the host utility.

Projects using multiple categories must also incorporate phases with Go/No-Go decision points. For example, a proposer may request consideration of a project that involves a Phase I, Category A Product Development, for developing a new technology, then a Go/No-Go Decision into Phase II Category B, Demonstration, to validate outcomes.

- a. Projects with multiple categories shall briefly describe how it will complete the initial phase(s) and the following phase(s) along with significant milestones and provide an estimate of the total cost and schedule for each phase.
- b. Any contract awarded to fund projects with multiple categories does not in any way obligate NYSERDA to fund any more than the first phase. NYSERDA reserves the right to negotiate project Categories if it determines the project’s efforts are a better fit for a different project Category.
 - i. NYSERDA anticipates issuing a contract with a maximum, “not-to-exceed” amount with subsequent phases only being awarded on a contingent basis as described below.
 - ii. NYSERDA reserves the right to not move forward with subsequent phases dependent on project success and availability of funding. Later phases may be funded if, in NYSERDA’s



sole discretion, milestones from the previous phase have been satisfied, there is still significant potential market impact, and sufficient program funds remain.

- iii. NYSERDA expects it may, based on anticipated project attrition, award more contingent funding than is available for this program.
 - iv. At the end of each phase, project outcomes will be evaluated to determine if the project will continue to be funded.
- c. Projects utilizing multiple categories are allowed to combine the maximum NYSERDA funding for each of the respective categories.

Winning proposers will be expected to conduct review meetings for all Go/No-Go Decisions and completion of phases.

NYSERDA encourages teaming arrangements that complement core competencies to increase probability of success and commercialization of technologies that yield New York State benefits. Teams may include commercial firms, manufacturers, large original equipment manufacturers (OEM), industry associations, research organizations, universities, government agencies, corporate strategic partners, strategic investors, end-users, and other stakeholders. Include letters of commitment from each identified team member in the appendix to the proposal. To the extent possible, the team member responsible for commercializing the technology should be the proposer.

If teaming arrangements cannot be accommodated to fulfill the entire scope of a challenge, NYSERDA will accept proposals that address the area of expertise of the proposer.

IV. PROGRAM REQUIREMENTS

Projects proposed for funding must:

1. Address an innovative technology that improves resiliency, reliability, performance, efficiency and provide new services for the electric power grid while meeting or exceeding the requirement for the challenge area.
2. Provide direct and quantifiable energy, environmental, and/or economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), job creation, product manufacturing and sales, increased resiliency and reliability, higher efficiency, and reduced electric costs.
3. Include a project budget using the Attachment D, Budget Form, showing total project cost and proposer cost share. Include a cost-sharing breakdown by project task in the Statement of Work (Sample Statement of Work included as Attachment B).
4. Satisfy recoupment obligations to NYSERDA for any new technology or product development effort requesting cumulative NYSERDA funding over \$100,000 upon product commercialization (see terms and conditions in Attachment E, Sample Agreement).
5. Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
6. Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
7. For projects that develop technologies or products, emphasize development and/or applications of marketable products for near-term commercialization, rather than basic research, and provide



an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.

8. For demonstration projects, clearly identify how this project will increase sales or usage of a commercialized product already in the marketplace, generate objective performance information for customers or policymakers, and lead to increased use of the product in New York State. **Demonstration projects must be installed within New York State. See additional requirements for Demonstration Projects below.**
9. Provide a letter of commitment from all funding sources and partners.
10. Demonstrate that the project and funding request addresses the challenge with technology advancements that are not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.
11. Conduct technology transfer meetings with the stakeholders in the state including the Joint Utilities of New York and the Department of Public Service Staff, industry and other utilities without disclosing utility-specific trade-secrets and/or intellectual property.

Other Considerations

- A proposal may be considered non-responsive if it fails to comply with the requirements of this solicitation.
- Prior to an award being made, potential contractors may be required to demonstrate access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.
- External funding partnerships are encouraged to leverage limited New York State resources. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.
- Proposers may be required to make an in-person presentation, at any time during the open solicitation period, to NYSERDA and/or host utility prior to a final decision being made.

ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY

Projects selected for funding **must**:

1. Be installed within an appropriate timeframe that aligns with the challenge's schedule, but no longer than 24 months after contract execution unless a longer period is approved by the NYSERDA Project Manager.
2. Address safety issues, including public safety, that are applicable to the demonstration project.
3. Comply with all applicable building, fire, electrical, and interconnection codes, standards, and requirements.
4. Provide equipment sensors, instrumentation, and a complete data acquisition system for remote monitoring and reporting as specified below.
5. Demonstrate the technology viability and monitor the performance, characteristics, and benefits for a period adequate to meet project goals. If the period is under 18 months, the proposer must discuss why the proposed time is adequate. Unless the proposer demonstrates a compelling reason otherwise, at least 365 operating days of data will be required after commissioning.



6. Present an economic analysis of the proposed technology demonstration including an estimated benefit/cost analysis (BCA), and a plan to measure the actual BCA during the demonstration based on the host utility's BCA handbook. The proposer must be able to translate the results to other utilities' BCA handbooks. Commercially available proof of technology and its warranty is required.

Data Acquisition Requirements

NYSERDA intends to provide system level operation and performance information, including economic performance information, to all interested stakeholders (ex. New York electric utilities) and the general public on each of the demonstration projects funded under this solicitation. In order to meet this objective, each demonstration project must provide sufficient instrumentation and data transmittal, and analytical capabilities to allow the collection and analysis of technical and economic performance data.

The demonstration project proposal should include system operating data to be used for evaluation and generation of reports on the overall performance of the technology being demonstrated. Data acquisition sampling rates must be adequate to characterize the benefits and the value proposition of the proposed application. For example, sampling rates for applications designed to enhance power quality or system stability would be much higher than sampling rates for peak shaving or arbitrage applications. In the event that the demonstration system performs multiple activities, the system must provide for the collection of data for all activities. All raw and summary data collected at the project sites must be archived and protected from loss on permanent media.

Benefits Data Tracking and Reporting

Data sufficient to demonstrate the energy, environmental, and/or economic benefits defined in the proposal must be measured, collected, analyzed, and recorded. For applications that claim multiple benefits, the proposed data and analysis methods must adequately support the claimed benefit for each of the benefits specified in the proposal.

Reporting Requirements

The proposal must identify the project team member who will be responsible for the preparation and delivery of periodic written project reports. System operational summary information must be generated regularly and be included in progress reports. At a minimum, the system operational summary information must include the following:

- Raw data.
- System performance summary.
- Summary of system reliability and failure rates.
- A written summary of the economic benefit derived for the time period.
- A written summary of all operations and maintenance activities for the time period.
- System dispatch information and use patterns associated with the project, as appropriate.
- Energy consumption breakdown of parasitic loads introduced by the demonstration system, as appropriate.
- System performance under typical utility fault conditions, e.g., lightning strikes, primary phase to ground faults, voltage sags/spikes, electric outages, etc., as appropriate.
- System performance under user fault conditions, e.g., fault in customer plant, as appropriate.

Reports must be generated that consolidate all the information from the reports and summarize demonstration system performance for the preceding year.



Historical Performance Data Reporting

Where appropriate to document project benefits, historical utility system operational data prior to the installation of the demonstration system is required in order to provide credible baseline data on electrical system performance before and after the installation of the demonstration system. Information concerning load profiles, peaks, overloads, faults, power quality events, and any other information required to fully characterize the operation of the electrical utility at the demonstration site prior to installation of the demonstration system must be collected by the proposer for a reasonable period of time. Comparison information must be made part of the progress reports.

V. PROPOSAL REQUIREMENTS

Prior to Submission

Prior to submitting a Proposal to this solicitation, any proposers may communicate with NYSERDA's Designated Contact to discuss a concept and its potential responsiveness to this solicitation. Communication with NYSERDA staff prior to submission is entirely optional and is not required prior to submission.

Submissions and Review

Proposals determined to be compliant with application procedures and responsive to the solicitation will be subject to review by a scoring committee comprising NYSERDA, the host utility (for utility challenges) and external technical experts in accordance with Section VI, Proposal Scoring Criteria. Only the most technically meritorious Proposals will be awarded an invitation from NYSERDA to enter into a contract. Proposals not meriting an award for contracting may be debriefed.

To submit a Proposal, complete the Proposal Narrative form-fillable document as part of the PON (Attachment A). The Funding Category must be clearly indicated. The Proposal Narrative contains the following sections:

- Executive Summary
- Problem Statement and Proposed Solution
- State of Research and Technology Targets
 - Attachment C: Technology Readiness Level/Commercial Readiness Level Calculator
- Commercialization Potential of Proposed Product
- Demonstration Project Information (Category B)
- Statement of Work (Attachment B) and Schedule
- Project Benefits
- Budget Form (Attachment D)
- Proposer Qualifications
- Letters of Support
- Utility Challenge Questionnaire

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



Note: The proposer’s goal should be to concisely present the information needed to fully address the scoring criteria (see Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. Proposals deemed non-responsive will not be eligible for awards. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VIII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective proposal may reduce, rather than increase, a proposal’s standing per the scoring criteria. Each page of the proposal should state the name of the proposer, the PON number (PON 4393), and the page number.

VI. PROPOSAL SCORING CRITERIA

Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria. After the submissions are reviewed, NYSERDA will issue a letter to each proposer indicating its Proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. After initial review of the Proposal, the Proposer, at NYSERDA’s sole discretion, may be asked to address specific questions or provide additional information, either in writing or through an interview, as part of the Proposal scoring process. The Proposer will be required to submit a detailed Statement of Work, Budget, and Schedule, and may also be asked to address specific recommendations of the Scoring Committee before contract award.

PROPOSAL SCORING CRITERIA:

Proposed Solution –

- Does the proposed project specifically address the problem or opportunity identified in the challenge and does it show potential to make significant progress towards the goals?
- Is the proposed work technically feasible, innovative, and superior to alternatives?
- Is the solution likely to be effective in advancing the technology to market?
- How appropriate are the cost, technical, performance and commercialization goals for the proposed technology or product?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs?
- Does the proposed solution have a high potential for commercialization, addressing demonstrated customer needs and significant markets?
- Is an appropriate performance monitoring and data analysis effort included in the proposal?
- How much of a commitment has been made for the field demonstration, if applicable?
- Is this the first application of the proposer’s solution or is it expanding upon previous experience?

Proposer / Team Qualifications –

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- To what degree does the proposer and team have the necessary technical and business background and experience?
- Has the proposer’s team previously commercialized any products?
- How firm are the commitments and support from essential participants: hardware/software vendors, end users/customers, developers etc.?
- Has the proposer provided evidence of good past performance on other relevant projects and quantified benefits to end-users?

- Are the team member's roles and responsibilities defined and reasonable?

Statement of Work and Schedule –

- Are the proposed tasks reasonable and complete in details to fully understand the execution plan and how they will achieve the goals of the challenge?
- Does the proposer demonstrate a clear understanding of the steps required to overcome the barriers the challenge addresses?
- Does the Statement of Work address all the deliverables identified in the challenge?
- Does the Statement of Work include a benefit cost analysis (BCA) of the technology based on the sponsor utility(ies)'s approved handbook?
- Is the Statement of Work well organized, complete, and appropriate for the technical performance identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Are Go/No-Go decision points incorporated at between logical task/phase completion and funding requests.

The following criteria apply to Category B projects only:

- Are the data acquisition, monitoring, and reporting plans reasonable and do they meet the requirements in Section IV, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY?
- Is the benefits tracking plan reasonable and does it meet the requirements in Section V, ADDITIONAL PROGRAM REQUIREMENTS FOR CATEGORY B DEMONSTRATION PROJECTS ONLY?
- If monitoring baseline utility system operation is necessary to document system benefits, does the Statement of Work include a provision to adequately gather baseline utility operational data and economics?

New York State Impact and Project Benefits –

- To what extent does the project support Climate Leadership and Community Protection Act and grid modernization in general for New York State?
- Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation?
- How well are the potential benefits to New York State quantified?
- How likely is it that the projected benefits will be realized?
- Will the benefits be realized by disadvantaged communities in New York State?
- How significant are the potential reductions in GHG emissions or energy use resulting from the project?
- Are the technical risks identified, appropriately addressed, and balanced by project benefits?
- Does the proposal address an innovative technology that improves performance, quality or reliability / resiliency of the electric power system?

Project Cost and Value –

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- How significant is the potential market opportunity relative to the project cost?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential to benefit from the work, and financial status of the organization?



- How firm are the commitments and support from essential participants, co-funders, and related businesses and other organizations?
- Are the overhead rates reasonable and supported with appropriate documentation?
- Are equipment, facility, material, and travel costs based on reasonable estimates?
- Are the labor rates reflective of the industry?

Other Program Policy Factors – In addition to considering how project Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions on the basis of other Program Policy Factors, including but not limited to:

New York State Energy Mission Alignment

- The degree to which the proposed project will advance the goals of the State Energy Plan / Clean Energy Fund / REV.
 - The State Energy Plan / Clean Energy Fund / REV goals include improving resilience and reducing greenhouse gas emissions. <https://rev.ny.gov/>
 - Project continues to contribute to one or more of NYSERDA's key statutory goals. <https://www.nyserdera.ny.gov/About>

Program Portfolio Value and Optimization

- The degree to which NYSERDA ongoing funding, (incl. cost shares), will make a difference in the technology impact, acceleration of transformational advances and project success.
- The degree of overlap with other state and federal programs.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- The past performance of the proposer on other technical and business endeavors, including NYSERDA and DOE, ARPA-E, NSF, (if the performance history is available).
- The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas:
 - Technological diversity
 - Organizational diversity
 - Geographic diversity
 - Technical or commercialization risk
 - Stage of technology development
 - Complimentary efforts to balance risk.

Project Diversity, Leverage and Collaboration

- The consideration of the impact on, and benefits to, a diversity of communities/locations, including low-income and rural communities, partnerships with minority serving and/or owned businesses.
- The degree of ongoing leverage; attracting other funding sources: building on the NYS capabilities: linking technologies and/or companies.
- The degree to which the applicant has enabled the resources (human, financial and physical) to be able to complete the project.
- The degree to which the project enables collaboration with nongovernmental and industry entities for demonstration of technologies and research applications to successfully facilitate



technology transfer, leading to robust technology development and subsequent scaling and market adoption.

- The degree to which a proposer could attract investor funding as the project progresses, including seed, Series A, high net worth individuals and beyond.

VII. RECOUPMENT AND METRICS

Recoupment - For any new projects exceeding \$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 E, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

- **Product Development:** Includes any work focused on bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement. Projects under this category include the development and commercialization of technologies and products for improving the resiliency, reliability, quality and efficiency of the electrical power delivery system. Note that bench-scale testing and field verification or testing may be included in Category A projects. Product Development projects may lead to a project proposal under Category B: Demonstration Projects to prove out the potential product or technology at a New York State site.
- **Demonstration:** a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete. Note: pilot deployments or other field demonstrations that will inform additional product development will be considered as a Product Development project and therefore subject to recoupment.

Projects where NYSERDA's share of funding is \$75,000 or less will generally not require recoupment. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

Annual Metrics Reports – If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years' activities (i.e., reporting period). NYSERDA



may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

VIII. GENERAL CONDITIONS

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

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

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

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

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

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

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



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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of up to three (3) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment E) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six (6) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Recoupment - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1% of sales/ten percent (10%) of all license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

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

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



proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

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

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

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

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State



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

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

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.



NYSERDA

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 – Proposal Narrative Format

Attachment B – Statement of Work Template

Attachment C – TRL-CRL Calculator Workbook

Attachment D – Budget Form & Instructions

Attachment E – Sample Agreement

Attachment F1 – Con Ed Challenge

Attachment F2 – Con Ed Challenge Questionnaire

Attachment F3 – Con Ed Challenge Controller Requirements

Attachment G1 – National Grid Challenge

Attachment G2 – National Grid Challenge Questionnaire



New York State Energy Research and Development Authority (NYSERDA)
Empire Building Challenge (Phase II: Low Carbon Retrofits Implementation)

Program Opportunity Notice (PON) 4809

Up to \$24,800,000 available

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

**PROPOSAL DUE DATE FOR ROUND 3:
October 21, 2024 by 3:00pm ET***

The Empire Building Challenge (EBC) is a multi-phase initiative designed to support **replicable and scalable low carbon retrofit approaches to achieving decarbonization** in existing tall buildings. Announced in the 2020 State of the State, EBC is a public-private partnership between New York State Energy Research and Development Authority (NYSERDA) and leading commercial and multifamily real estate portfolio owners. EBC will demonstrate innovative low carbon retrofit solutions that reduce buildings' energy consumption and greenhouse gas emissions that are scalable and replicable across New York State.

Through this solicitation – EBC Phase II: Low Carbon Retrofits Implementation (PON 4809) – NYSERDA is only accepting proposals from eligible Empire Building Challenge Partners (“EBC Partners” or “Partners”). Partners from Cohort 1 (those selected through Program Opportunity Notice (PON) 4498 in 2020) and Cohort 2 (those selected through PON 4987 in 2022) who have not yet received implementation funding from the Program, and all Cohort 3 members (those selected through PON 5459 in 2023) are eligible to apply. EBC Partners can request up to \$3 million for the design and implementation of replicable and scalable low carbon retrofit projects at their participating EBC buildings. Demonstrating the feasibility of such large-scale retrofits with an exclusive focus on multifamily buildings and thermal system solutions is crucial to addressing the unique set of technical barriers to decarbonization these buildings face: their height and density make it significantly more challenging to find technical pathways to decarbonization.

This funding is available for four years from the date of award. If the project is making progress and funding is still available, the grant may be extended for an additional period of time at NYSERDA's discretion.

Informational Webinar: NYSERDA will host an informational webinar on **Thursday, September 19, 2024**, starting at 11:00 am ET. More details about the webinar will be sent directly to EBC Partners. Questions may be submitted ahead of the webinar by emailing questions to EBC@nyserdera.ny.gov until 5pm on Wednesday, September 18, 2024.

Proposal Submission: Online submission is strongly encouraged. Complete and submit your proposal at the portal link. 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 \[PDF\]](#)" located in the "[Current Opportunities](#)" section of NYSERDA's website.

Questions: For technical questions, contact only the following designated contacts: Sophie Cardona (212-971-5342, ext. 3590) or Saul Brown (212-971-5342, ext. 3028) at EBC@nyserdera.ny.gov. For contractual questions, contact Nancy.Solicitations@nyserdera.ny.gov. No communication with NYSERDA staff intended to influence this

procurement is permitted. Contacting anyone other than the designated personnel (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement may disqualify the proposer from consideration.

*** All applications must be received by 3pm Eastern Time on the date noted above. Late or faxed applications will not be accepted.** Incomplete applications may be subject to disqualification. It is the Proposer’s responsibility to ensure that all submission requirements have been met. *Please note the following: for electronic submissions, there are required fields that need to be filled in, in addition to uploading attachments. Be sure to allot ample time to submit applications. The electronic application system closes **promptly** at 3pm (ET) on the date above, and files that are in the process of being edited or submitted at that time will not be accepted.*

NYSERDA reserves the right to close or extend the solicitation at any time and/or add funding to the solicitation should other program funding sources become available. If changes are made to this solicitation, notification will be posted on NYSERDA’s website at <https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>.

Abbreviations

- BAU – business as usual
- CAPEX – capital expense
- EBC – Empire Building Challenge
- ECM – energy conservation measure
- EUI – Energy Use Intensity (measures in kBtu/sf/year)
- NEB – non-energy benefit
- NPV – net present value
- OPEX – operational expense
- USGBC – United States Green Building Council

Terminology

Term	Definition
Affordable Housing	Residential buildings in which at least 25% of the units are, or are expected to be, occupied by households earning not more than 80% of the Area or State Median Income, whichever is higher. All other properties are considered Market Rate.
Building	The Multifamily building(s) that are committed to decarbonization by the EBC Partner through the EBC program.
Business Case	A compilation of inputs and outputs summarizing the financial analysis that quantifies a Partner’s decarbonization investments, and compares the decarbonization plan against a baseline, or business-as-usual approach.
Decarbonization Commitment, or Public Commitment	Proposer’s public commitment to decarbonization. All EBC Partner decarbonization commitments can be found here .

Decarbonization Roadmap, or Roadmap	A plan that defines all energy conservation and carbon reduction measures (along with their cost, timeframe for implementation, performance target and the business case and financial plan for doing so), that the Proposer shall follow to achieve their Decarbonization Commitment and which is inclusive of the Project Proposed Measures though may not be limited to them.
Disadvantaged Community	A community so designated by NYSERDA at the following link: https://www.nyserderda.ny.gov/ny/Disadvantaged-Communities
Empire Building Challenge Partner, EBC Partner, or Partner	A real estate owner that was competitively selected under PON 4498, 4987 or 5459 – and who is eligible to submit proposals to this solicitation.
Market Rate Building	Any Multifamily building that does not meet the definition of Affordable Housing and which may include rental apartments, condominiums or cooperatives.
Multifamily Building	A residential or mixed-use building with no fewer than five (5) residential dwelling units.
Project, or EBC Project	The set of energy conservation and carbon reduction measures the Proposer shall implement within four years of the Proposer executing a contract with NYSERDA to implement these, and which may include all or part of the energy conservation and carbon reduction measures defined in the Proposer’s Roadmap.
Proposed Measure, or Measures	The energy and carbon reduction measures for which the Proposer is requesting funding under this solicitation and which will form the scope of the Project.
Proposer	The Proposer is the Empire Building Challenge Partner submitting a proposal to this solicitation in conjunction with the Technical Team that developed the Proposer’s Decarbonization Roadmap.
Technical Team	Any or all members of the group of technical and financing experts that developed the Proposer’s Decarbonization Roadmap

Table of Contents

This solicitation is divided into eight (8) sections:

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| I. Introduction | V. Funding |
| II. Eligibility | VI. Proposal Requirements and Submission |
| III. Evaluation Criteria | VII. General Conditions |
| IV. Emissions Factors | VIII. Attachments |

Section I: Introduction

The Empire Building Challenge is an initiative that supports **replicable and scalable low carbon retrofit approaches to achieving decarbonization** in existing buildings. Announced by New York State in early 2020, EBC is a public-private partnership between NYSERDA and leading commercial and multifamily real estate portfolio owners to:

- Develop and demonstrate low carbon retrofit approaches that can be replicated across the State’s commercial office and multifamily buildings.

- Recruit best-in-class equipment manufacturers, solution providers and other businesses to invest in business development, innovation and product development, to overcome the barriers preventing buildings in NYS from achieving decarbonization.
- Establish New York State as a global hub for low carbon retrofits, through public-private partnerships that maximize private sector investments in building retrofits, create good jobs and promote local economic development, while reducing greenhouse gas emissions.

The first phase of this initiative was a competitive solicitation process to establish partnerships between NYSERDA and leading real estate owners with the ability to publicly commit to decarbonization for one or more of their buildings in their portfolios by 2035. The eleven selected real estate Partners can be found on the [NYSERDA Empire Building Challenge webpage](#). The second phase of the initiative consists of funding demonstration projects that showcase different pathways to decarbonization for multifamily buildings. Those Partners that have not already received EBC funding to implement their proposed low carbon retrofit projects are now eligible to submit a proposal for funding through this solicitation.

By funding replicable and scalable retrofit approaches that can put multifamily buildings on a path towards decarbonization, NYSERDA and its EBC Partners will demonstrate what is feasible, both economically and technically, with respect to the decarbonization of multifamily buildings, with a particular interest in retrofit projects that support decarbonization of thermal systems. Through this solicitation, NYSERDA seeks projects that emphasize transformative decarbonization technologies, achieve meaningful energy use intensity (EUI) reductions at the whole building and/or end-use levels, and open the path for replication and scale. NYSERDA is also emphasizing portfolio-scale replication opportunities.

Section II: Eligibility

Minimum eligibility criteria

- All current Empire Building Challenge Partners selected under PON 4498, PON 4987 and PON 5459, that have not received implementation funding from the Empire Building Challenge, are eligible to submit proposals.
- All buildings that are included in the proposal must be multifamily buildings located in New York State and contribute to the System Benefit Charge on a common area electric utility bill.

Project Eligibility Criteria

Only Projects that meet the following criteria are eligible for funding:

1. Projects that focus on decarbonizing thermal loads.
2. Projects that enable the achievement of the Partner's Decarbonization Roadmap.
3. Projects that will be ready to commence implementation in 2025.
4. Projects that plan to be completed by the end of 2027 and that shall be completed in full absolutely no later than the end of 2028

Projects that are to be implemented in a Building that meets NYSERDA’s definition of Affordable Housing, must meet the following additional criteria to be eligible for funding:

1. Project must not result in rent increases to residents unless permitted by the Affordable Housing agency also providing funds to the Project and meeting that agency’s guidelines for such increases.
2. Project must not result in utility cost increase to residents beyond what the resident would have paid should the Roadmap have not been implemented.

What types of Projects is NYSERDA interested in supporting?

The Empire Building Challenge seeks Projects that focus on deploying innovative thermal solutions, including but not limited to: heat recovery, thermal storage, heat pump technology, low temperature hydronics and other innovative thermal distribution, and advanced system integrations.

Eligible Projects will encompass approaches that shift thermal loads away from fossil fuels and/or constitute enabling work for deep decarbonization, such as Projects that reduce thermal loads, and thermal and electric peaks. Of particular interest are Projects that:

1. Decarbonize heating and domestic hot water (DHW) loads through the **phased deployment, as appropriate, of a thermal network that integrates and connects low carbon technology**, and facilitates the efficient delivery of thermal energy throughout – or to and from – a building.
2. Transition major loads away from current high-temperature thermal distribution systems for building heating, and include a plan for linking disaggregated heating and cooling loads and all building incoming and outgoing thermal flows.

NOTE: The current focus of the EBC program is exclusively on building **thermal systems**; integrating heating, air-conditioning and domestic hot water (DHW) systems; and enhancing building envelope thermal performance through innovative means. Integrated design solutions are highly desirable. For a Project to be competitive, EBC Partners should propose major changes to heating systems and/or DHW plants or distribution systems. No other measures will be considered for funding, including building controls, lighting, and other fossil fuel reduction measures.

Section III: Evaluation Criteria

Proposals will be evaluated on a competitive basis. Proposers should take care to address all the evaluation criteria described in Table 1. NYSERDA reserves the right to accept or reject a proposal at its sole discretion.

Table 1. Evaluation Criteria

Evaluation Criteria	Description	Metric
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<p>1. Roadmap Timeline</p>	<p>Proposals must include a Project timeline for all Proposed Measures and a Roadmap timeline for all remaining energy conservation and carbon reduction measures to be completed after the EBC Project is implemented.</p> <p>Special consideration will be given to Projects, and/or entire Roadmaps able to complete implementation prior to the end of 2027.</p>	<ul style="list-style-type: none"> • What is the EBC Project schedule and its timeline of Proposed Measures? • What is the Roadmap schedule and its timeline of remaining energy conservation and carbon reduction measures following the completion of the EBC Project scope? • What would be the schedule for implementing the Roadmap throughout the Proposer’s entire portfolio and its timeline of additional energy conservation and carbon reduction measures?
<p>2. Optimization of sequence of implementing Roadmap</p>	<p>Proposed Measures should enable additional, future phase decarbonization measures found in the Roadmap and building off of the Resource Efficient Decarbonization model. Enabling measures include retrofits that interconnect systems to facilitate thermal energy transfer, recovery, storage, or moderate supply temperatures to support efficiency and/or heat pump integration.</p>	<ul style="list-style-type: none"> • The contribution of the Proposed Measure to overall EUI reduction at this phase. • Other qualitative benefits stemming from the implementation of the Proposed Measure (e.g. noise reduction, comfort, etc.)
<p>3. Level of innovation</p>	<p>Proposers should describe the extent to which the Project and the entire Roadmap demonstrate a catalytic approach to decarbonization that can pave the way for others to follow suit.</p>	<ul style="list-style-type: none"> • To what extent do the Project and the entire Roadmap overcome technical and other barriers to building decarbonization? • To what extent are the Project and the entire Roadmap novel and/or catalytic for buildings in the New York retrofit market? • Does the Roadmap deploy an innovative combination of existing technologies, a thermal energy network opportunity beyond a single building, significant or novel use of heat recovery, use of prototype or early stage technology, or another example of innovation
<p>4. Total reduction of on-site fossil fuels, and/or district steam</p>	<p>Proposals must clearly state how Proposer will reduce on-site fossil fuel usage and/or reduce district steam consumption</p>	<ul style="list-style-type: none"> • Total and percent reduction of on-site fossil fuels (or district steam) for all fuel sources: <ul style="list-style-type: none"> ○ Baseline year (2021) ○ After completion of Project ○ After completion of Roadmap implementation

5. Site energy use intensity (EUI) reduction for all energy sources	Proposals must demonstrate significant reductions in site EUI (all fuels, including electricity)	<ul style="list-style-type: none"> • Site EUI and percent reduction at the whole Building level: <ul style="list-style-type: none"> ○ Baseline year (2021) ○ After completion of Project ○ After completion of Roadmap implementation
6. Level of Building owner cost-share for the Project	Proposals should clearly indicate the cost of implementing the Project, the level of funding that is being requested from NYSERDA and the level of investment made by the Proposer. The same should be provided for implementing the entire Roadmap.	<ul style="list-style-type: none"> • Total cost of the Project • Amount of EBC funding requested for the Project • All non-EBC funding sources for the Project • Total cost for implementing the Roadmap along with all funding sources itemized
7. Replicability within portfolio and broader market	<p>Proposals must demonstrate that the Roadmapping process, one or more of the Proposed Measures, or the entire Roadmap scope is widely repeatable within the Proposer’s portfolio and/or by the broader market.</p> <p>Proposals that commit to implementing the Roadmap solution across the Proposer’s entire portfolio following the successful completion of the Project, the achievement of its decarbonization goals and performance targets, and demonstrate the ability to do so without future EBC subsidy, will receive special consideration.</p>	<ul style="list-style-type: none"> • Total Addressable Market in NYS and beyond NYS to which the Proposer’s Roadmap or Project is applicable (as measured in number of dwelling units) • Total number of dwelling units in Proposer’s portfolio impacted, capex cost per du and NPV of all opex savings per du: <ul style="list-style-type: none"> ○ For BAU baseline (no Measures performed) ○ After completion of the Project ○ After completion of the Roadmap ○ If implemented throughout the Proposer’s entire portfolio
8. Capital Plan and Business Case viability	Proposer must demonstrate a viable capitalization plan for implementing the Roadmap and a viable business case for adopting it once business-as-usual costs, avoiding penalties and operational savings are factored in.	<ul style="list-style-type: none"> • Roadmap gross capex cost and net capex cost once BAU costs and incentives are subtracted • NPV of avoided penalties and utility savings • Viability of capital sources for implementation of Roadmap or Project on future buildings • Opportunity for capex cost reductions at scale

PROGRAM POLICY FACTORS

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- Whether the Proposal will accelerate innovative, transformational building decarbonization technology advances in areas that industry by itself is not likely to undertake, because of risk, and technical and financial uncertainty.

- The potential impact of a Proposed Measure contained in the Proposal, taking into consideration the level of replication, and how applicable it is to other buildings in the New York market.
- Diversity of awards by building typology, geography or market sectors – including Market Rate and Affordable Housing – and of proposed solutions.

Section IV: Emissions Factors

Provided below are the greenhouse gas emissions factors that Proposers should use in calculating carbon reduction of Proposed Measures. The natural gas and Con Ed Steam emissions factors come from Local Law 97; the electric emissions coefficients are estimated based on the New York Power Grid Study and are interpolated from analyses of 2025, 2030, and the 2040 clean grid target in the Climate Act. More information can be found on the Story of our Grid webpage: <https://www.nyserda.ny.gov/About/Publications/New-York-Power-Grid-Study/Story-of-Our-Grid> .

NOTE: Proposers should hold natural gas and Con Ed steam emissions factors constant in their carbon reduction analysis through 2050, per Table 2. The electric emissions coefficients will drop over time per Table 3.

Table 2. Natural gas and Con Ed steam emissions coefficients, 2022-2050

Energy Source	Years: 2022 - 2050
Natural Gas	.05311 (kg of CO ₂ /kBtu)
Con Ed Steam	.04493 (kg of CO ₂ /kBtu)

Table 3. Electric emissions coefficients, 2022 – 2050.

Electric Emissions Coefficient (kg of CO ₂ /kWh)																		
'22	'23	'24	'25	'26	'27	'28	'29	'30	'31	'32	'33	'34	'35	'36	'37	'38	'39	'40 – '50
0.3	0.27	0.23	0.2	0.18	0.16	0.14	0.12	0.1	0.09	0.08	0.07	0.06	0.05	0.04	0.03	0.02	0.01	0

Section V: Funding

- A Proposer may receive up to \$3 million in total for the implementation of an approved Project.
- A Proposer who submitted a proposal for funding in the first or second round and was rejected may submit a proposal for consideration in the third round.

- EBC Partners who have already received an EBC implementation award are not eligible to receive funding.

Ineligible EBC Project Capital Sources

The following capital sources cannot be layered at the measure level with Proposed Measures that comprise the EBC-funded Project scope. There is no restriction on applying any of these capital sources to the remaining energy conservation measures needed to complete the Roadmap after the EBC Project portion of the Roadmap is complete.

- NYSERDA Low Carbon Pathways
- NYSERDA-HPD Retrofit Electrification Pilot Program
- NYSERDA-HCR Clean Energy Initiative
- Affordable Multifamily Energy Efficiency Program (AMEEP) administered by the NYS Utilities
- New York State Clean Heat Program administered by the NYS Utilities

For all buildings that can prove they meet the IRA income qualification rules, proposers can layer EBC with IRA incentives, when those funds become available.

Section VI: Proposal Requirements and Submission

REQUIRED DOCUMENTATION

The quality and rigor of a proposal will impact its evaluation, as a reflection of the likelihood the Proposer will be successful in reaching their commitment to achieve decarbonization in the Building(s) they committed through the Empire Building Challenge. To ensure minimum requirements are met, NYSERDA has developed a Decarbonization Roadmap Template, a Data Collection Form and the Project Workbook for all Proposers to use. The Proposer must submit the following documentation as part of their proposal:

1. Decarbonization Roadmap Template (Attachment A):

- a. This provides the Proposer an opportunity to furnish a detailed narrative description of the EBC Project scope, the entire Roadmap scope, the rationale for the ECMs selected or rejected, the sequence with which the ECMs will be implemented and the benefits for this, the capital sources planned for the EBC Project and the entire Roadmap and the business case for deploying the Roadmap with respect to avoided BAU costs and penalties and added savings, both on the Building(s) targeted for the Roadmap implementation and on future buildings within the Proposer's portfolio
- b. Proposer must answer all questions provided and follow instructions included in the Roadmap Template

If a proposal includes any Measures that are not eligible, NYSERDA reserves the right not to fund those specific Measures and adjust the amount of the funding award accordingly.

2. Data Collection Form (Attachment B):

- a. This provides the Proposer the opportunity to furnish all relevant data about the Roadmap performance projections, cost-share levels, opportunities for replicating and scaling the Roadmap solution across a portfolio, about the Business Case for doing so, including capital sources and uses, avoided costs and savings and opportunities for solution cost-compression at scale, and about other considerations that should be factored in to evaluating the proposal
- b. Proposer must complete this form in full and submit it with their proposals.

3. USGBC Strategic Decarbonization Workbook (Attachment C):

- a. This provides the Proposer an opportunity to furnish all relevant backup information pertaining to the Roadmap economics, including initial capex costs, utility consumption reductions, opex savings, avoided BAU replacement/upgrade costs and NYC Local Law 97 penalties (if applicable) as well as scenario analyses to determine how possible fluctuations in utility costs may impact the business case developed. In addition to listing the cost for replacing/upgrading BAU systems over time as indicated in the workbook, Proposer must indicate which of these costs will be avoided if the Roadmap is implemented.
- b. Proposer must complete this workbook in full and submit it with their proposals.

4. Supporting Documentation (optional): Proposer may submit any supporting documentation felt to support the overall proposal. This may include schematic design drawings, product cut sheets, system diagrams, performance or financial charts or graphs. Providing supporting documentation is entirely at the Proposer's discretion and not required.

NYSDERDA reserves the right to request additional information to support a Proposer's submission, in accordance with the due diligence provisions included in this solicitation.

PROPOSAL SUBMISSION PROCESS

Proposals must be submitted electronically **by 3pm**, on October 21, 2024. A complete proposal includes the following documentation:

- 1. Decarbonization Roadmap Template (Attachment A)
- 2. Data Collection Form (Attachment B)
- 3. USGBC Strategic Decarbonization Workbook (Attachment C)
- 4. Supporting documentation, if needed

NOTE: The electronic application system closes promptly at 3pm on the solicitation due date. Files being edited, or in the process of being submitted after 3pm ET on the solicitation due date will not be accepted. Proposers should allot sufficient time to upload and submit proposals.

Section VII: General Conditions

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

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

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

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

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

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

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

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

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

http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

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

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of up to five (5) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial proposal 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 Attachment B, Sample Agreement, to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify customers in approximately four (4) weeks from the receipt of a complete project package whether the submission has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

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

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.

EO16 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.

VIII. Attachments

- **Attachment A** – Decarbonization Roadmap Template
- **Attachment B** – Data Collection Form
- **Attachment C** – USGBC Strategic Decarbonization Workbook
- **Attachment D** – Sample Agreement



NYSERDA

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

No communication intended to influence this procurement is permitted except by contacting Natalie Tauro (Designated RFQL 5312 Proposal Contact) at (518) 862-1090, ext. 3519 or by e-mail cleantrans@nyserdera.ny.gov or David McCabe (Designated Project Application Contact) at (518) 862-1090, ext. 3281 or by e-mail cleantrans@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Solicitation Contact) at (518) 862-1090, ext. 3335 or nancysolicitations@nyserdera.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

***All applications must be received by 3pm Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been completed/included in the application. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The online application system closes promptly at 3pm, files in process or attempted edits or submission after 3pm Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserdera.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. Vendors may submit new applications or update information about existing equipment throughout the time that the Program is active, no more than once every month.

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.
- Each charger must have a minimum dedicated circuit of 30A or higher.
- The equipment must be intended for installation following the National Electric Code (ANSI/NFPA 70) and be indoor/outdoor rated.
- The equipment must be new and designed to pass inspection according to the National Electrical Code, Article 625. The equipment must be certified by a National Recognized Testing Laboratory (for example, UL category FFWA).
- Both single and dual charging stations are eligible. Single charging stations are stations that have a single charging port originating from a single pedestal, pole-mount, or wall-mount; dual charging stations are stations that have two charging ports originating from a single pedestal, pole-mount or wall-mount. For program purposes, single charging stations will be eligible for an incentive payment for one charging port and dual charging stations will be eligible for an incentive payment for two charging ports.
- 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 Part 3 Hardware Ready. Charging stations 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 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.
 - NYSERDA 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 across all ports.
- Conditions for Charging Management
 - Equipment Owners/operators may conduct power sharing and/or participate in smart charge management programs so long as each charging port continues to meet an EV's demand for power of at least 6.2 kW unless the EV charging customer consents to accepting a lower power level.
- 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.
- 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 compatible with a credit card, and EVSPs 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.
 - Examples of acceptable payment methods include a QR code, a physical credit card reader, or payment via a website.
- Charging equipment must have a display screen that can clearly display customer pricing per kW. 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.
- White-labeled models that have not been previously approved through RFQL-5312 are ineligible for Program funding.
- 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 in the program to be able to receive a rebate for an installation.
- 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 compatible with a credit card, and EVSPs 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 [Core Registration and Session Data Collection Reference](https://github.com/AtlasPublicPolicy/charging-use-spec/blob/main/core-specification/registration-and-session-data-reference.md) data collection and access standards. These standards for the process, structure, and format for data and access for EVSEs and charging networks. These standards can be found at <https://github.com/AtlasPublicPolicy/charging-use-spec/blob/main/core-specification/registration-and-session-data-reference.md> 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 at any time of the day. 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 funded 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:
 - EVSE Serial Number (symbols such as dashes should be removed)
 - 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)
 - 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)
 - Port Identifier, if applicable (dual port chargers)
- **Status reports**
 - Ability to view EVSE status via online portal.
 - Charging networks must provide the ability for NYSERDA to download station status reports directly from the online portal.
 - Networks will be required to provide a glossary of status terms and their definitions.
 - 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.
- Each port of eligible charging equipment must be able to simultaneously charge vehicles at a minimum of 6.2 kW across all ports. Equipment Owners/operators may conduct power sharing and/or participate in smart charge management programs so long as each charging port continues to meet an EV's demand for power up to 6.2 kW, unless the EV charging customer consents to accepting a lower power level,
- 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 can be disseminated and utilized by NYSERDA at its own discretion. NYSERDA shall have the right to use, duplicate, or disclose the charging station data, in whole or in part, for any purpose other than resale or commercialization of the data, 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
 - **Attachment D**
- Charging Network Applications:
 - Charging Network Qualification Worksheet (**Attachment B**)
 - **Attachment D**
- **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 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).

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



NYSERDA

KATHY HOCHUL
Governor

RICHARD L. KAUFFMAN
Chair

DOREEN M. HARRIS
President and CEO

**Vehicle Grid Integration Program
Program Opportunity Notice (PON) 5354
Up to \$12,000,000 Available**

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

Due Dates:

Round 1 Concept Papers: September 12, 2023, by 3:00 p.m. Eastern Time*

Round 1 Proposals: December 5, 2023, by 3:00 p.m. Eastern Time*

Round 2 Concept Papers: June 18, 2024, by 3:00 p.m. Eastern Time*

Round 2 Proposals: September 17, 2024, by 3:00 p.m. Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) seeks research proposals to develop or demonstrate new technologies and strategies that help overcome barriers to electric vehicle (EV) grid integration (VGI) and broader EV use in battery electric medium- and heavy-duty (MHD) vehicles. The goal of this program is to develop and demonstrate innovative technologies and operational approaches to make EV adoption more economically viable while reducing their impact on the electric grid in New York State. VGI is used broadly to refer to the technological, market, and regulatory opportunities to achieve greater grid flexibility while accommodating a variety of EVs and charging patterns. VGI is also used as a general term to capture a range of innovative charging scenarios and solutions. This could include new approaches or technologies to improve standard grid-to-vehicle managed charging or facilitate vehicle-to-grid (V2G) or other types of similar use cases¹ that improve VGI.

Proposals should demonstrate a feasible path to economic viability and be replicable and transferrable throughout the State and beyond by different size vendors, utilities, fleet managers, etc. Private, non-profit, and public entities are eligible to propose. This solicitation is not intended to pay for projects that are primarily for electric vehicle supply equipment (EVSE) deployment or feasibility studies that should fall under normal due diligence practices. Two solicitation rounds are anticipated, and all, some, or none of the available funding may be allocated in total and in any one round.

Proposal Submission: 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

¹ Vehicle-to-everything, or V2X, is also used in addition to V2G to be inclusive of projects that utilize bi-directional charging for other means, like vehicle-to-vehicle or vehicle-to-building.

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>).

NYSERDA will also accept concept papers and proposals by mail or hand-delivery if electronic submission is not possible. If mailing or hand-delivering, proposers must submit (2) paper copies of their Proposals, along with either a PDF or MS Word digital copy of the Proposals, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:
**Jillina Baxter, Proposals, PON 5354 NYS Energy Research and Development Authority 17
Columbia Circle Albany, NY 12203-6399**

No communication intended to influence this procurement is permitted except by contacting Robert Mack at (212) 971-5342, ext. 3118 or Richard Mai at (212) 971-5342, ext. 3476 or by e-mail VehicleGridIntegration@nyserda.ny.gov (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci 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>).

I. Introduction

Background

The State of New York ("the State") has committed, through legislation, to reduce greenhouse gas emissions 85% below 1990 levels by 2050. The transportation sector is one of the two largest contributors to greenhouse gas emissions in the State and reducing emissions from this sector is critical to meeting the State's broader goals set forth in the Climate Leadership and Community Protection Act (Climate Act). One of the major barriers to achieving the Climate Act goals is the potential capacity limitations for the existing power transmission and distribution network to accommodate a diversity of EV types and charging patterns at scale. Investments in grid flexibility will help support VGI by also addressing other barriers such as: a lack of real-time intelligence on system conditions; limited availability of integrated system controls; a lack of validation and standardization for advanced grid technologies; potentially conflicting incentives to achieving grid flexibility benefits with customer participation in EV charging programs; and a limited understanding of shifts in load profiles with increasing renewables, vehicle, and building electrification.

To help the EV market become broadly viable, the economics and impacts of EV charging infrastructure must also improve. There is a need for new policies and technologies to reduce the strain on the electric grid from electric vehicle supply equipment (EVSE) and keep the cost of charging EVs down. Existing technologies like distributed generation, on-site energy storage, and software to integrate charging loads can all help reduce electric grid strains and demand charges. Emerging technologies like vehicle-to-building and vehicle-to-grid services could allow EVs to generate additional revenue or provide extra value as a backup electric generator.

Additionally, vehicle electrification is already underway in many transportation sector segments, such as light-duty vehicles, transit buses, and school buses, but New York State must push forward with the electrification of harder-to-decarbonize market segments as well. Demonstrating new approaches in more challenging use cases can help accelerate electrification in a wider variety of market segments. New York State will need to rapidly electrify medium- and heavy-duty vehicles (MHDVs) to meet its Climate Act goals, and new solutions for non-road equipment, such as construction equipment and farm equipment, are urgently needed to reduce emissions from these significant sources of GHG emissions.

There is a consistent need for projects that develop novel solutions and demonstrate innovative approaches to vehicle electrification and grid flexibility related to EVs. With the pace of transportation electrification set to accelerate dramatically, New York State needs the tools in place to manage the charging demands for EVs and help introduce managed charging concepts to EV owners while proving the viability of electrification in additional use cases.

Goals

The goal of this solicitation is to help develop and demonstrate solutions that address technical barriers to increasing EV adoption, grid flexibility and vehicle grid integration. Projects will focus on solutions that help achieve widespread adoption of EVs to enable a decarbonized transportation sector, while lowering their impact on the electric grid and maximizing their environmental benefits.

Of particular interest are technologies and strategies that can better integrate EVs into the electric grid, improve the charging experience for EV drivers and fleet owners, reduce the cost of deploying EV charging infrastructure and associated utility upgrades, and increase the likelihood EVs become an asset to grid flexibility. This includes projects that seek to deliver innovative technologies that advance the state of technology in the MHD and non-road EV markets, improve grid flexibility and reliability, and advance grid interaction with vehicles.

Proposals should focus on new concepts that can have a broad market impact, as well as research, empirical results, and replicable strategies that can be transferred and implemented throughout the State and beyond to increase future vehicle grid integration. Projects should address near-term challenges and show how they will be relevant to issues around electrification expected as EVs are adopted more extensively. Because the EV market and clean transportation sector is evolving rapidly, projects with shorter timeframes that will produce results that can be easily and rapidly incorporated into the existing EV market and utility planning processes are preferred; however, shorter project timeframes should not come at the cost of key tasks like measurement and verification of performance. Proposers are expected to be able to explain why their project helps support vehicle grid integration and grid flexibility. New products and product demonstrations should show a clear path to economic viability and replicability at a larger scale. Third-party, independent data collection and verification is required for demonstration projects.

II. Program Requirements

A. Focus Areas.

Projects **MUST** address one or more of the following Focus Areas, which should be identified in the proposal. Proposals that do not address one or more of the Focus Areas may be considered unresponsive.

1) Novel EVSE Installation and Interconnection Cost Reductions through mechanisms such as flexible interconnection agreements, technological improvements, siting or design strategies, or active managed charging. Solutions focused on installation and interconnection cost reductions will investigate one or more of the following concepts:

- a. Technologies that enable new siting, design, or interconnection configurations.
- b. Testing innovative and untested ways to demonstrate significant cost reductions in electric passenger vehicle fleet charging installation, interconnection and operation that further drive down costs compared to diesel equivalents.
- c. Demonstrate novel approaches to charging at multi-family buildings or on-street parking (especially in designated disadvantaged communities) while minimizing installation and operation costs and principal/agent issues.

Solutions proposed to this focus area must describe their ability to: demonstrate a level of certainty required for solutions to verifiably reduce or obviate the need for utility upgrades; achieve estimated cost-savings associated with reduced or avoided interconnection costs; and/or achieve estimated increases in total EV deployments based on hosting capacity improvements as a result of the project.

2) Utilizing EVs to Improve Grid Flexibility

- a. Projects that develop, demonstrate, and/or evaluate the performance of software, hardware and/or communications with utility systems for V2X or other charging schemes that achieve a measurable increase in grid flexibility and enable grid edge demand response or enable other tools for utilities to address one or more potential power system criteria violations or concerns (e.g. voltage, thermal, protection, cybersecurity) associated with VGI.
- b. Projects that demonstrate and assess potential additional benefits to combining EVs with other DER or smart building consumption activities. This includes how DER could increase EV hosting capacity in grid constrained areas², as well as investigating whether EVs further stress the grid or compete with existing DER for the same market incentives or flexible hosting capacity when added in combination for site owners.

Solutions proposed to this focus area must describe their ability to: offset coincident peak demand charging, ideally, by a target of 80% of the total charging load; and/or increase total available flexible load (in kilowatts and/or kilowatt-hours).

3) Medium- and Heavy-Duty and Off-Road Vehicle Electrification

- a. **Demonstrations of innovative EV technologies for on-road medium and heavy-duty vehicles (trucks and buses) (MHDVs)**, including incorporating advanced or lightweight

² Note: simply co-locating EVSE and DER is not considered novel, but should be combined with business models, advanced load-balancing approaches, or other more innovative elements.

vehicle components, charging standards, auxiliary systems, and innovative charging technologies to accelerate the adoption of electrified MHDVs and improve the total cost of ownership.

- b. **Demonstrations of EV technologies for off-road vehicles (such as construction, port, and farm equipment)** including ways to utilize innovative charging technologies to improve the economics to deploy these vehicle types at scale.
- c. **Development and demonstration of EV technologies for harder-to-electrify transportation markets**, including advancements in electric trailer refrigeration units (eTRUs). Solutions should advance the state of knowledge regarding a) key strategies needed to overcome critical barriers facing emerging transportation segments, b) GHG, environmental, and economic impacts compared to existing diesel applications, and c) potential opportunities for VGI in these market segments.

Solutions proposed to this focus area must describe their ability to: reduce total cost of ownership of EVs to reach parity with comparable diesel vehicles once a technology reaches scale; collect and disseminate in-use data on first-of-its-kind demonstrations in NYS; achieve 30% lower operating costs than current vehicles of the same type; and/or reduce the all-in cost of charging infrastructure and grid upgrades by at least 40%.

B. Funding Categories.

Two (2) categories will be considered for funding. Proposals must identify which single category they are applying for:

Category 1 - New Product Development: Category 1 includes efforts that are crucial to the development of a marketable product, system, or service and any demonstration, testing, or validation of an innovation that is not already commercially available in an application with high impact on the transportation sector. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$1,000,000. All Category 1 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds. **Note: Product Development projects are subject to NYSERDA's recoupment terms described in Section V.**

Category 2 - Demonstration of Technologies and Business Models: Category 2 is aimed at demonstrating emerging technologies, services, or strategies that are commercially available but have not yet been significantly deployed in New York State. This includes hardware, software, policies, and market development initiatives. This may include demonstration of the integration of multiple commercially available products. Projects in this category **should not** include technology or product development tasks. If technology or product development tasks are necessary, consider proposing in Category 1. Proposers are required to allocate a portion of the budget to data collection by an independent source. NYSERDA's share of funding for any project of this type will be limited to a maximum of \$3,000,000. All Category 2 projects are required to provide at least 50% of total project costs in non-NYSERDA matching funds. **Category 2 projects receiving up to \$1,000,000 of NYSERDA funding are required to provide 50% cost-share; Category 2 projects receiving more than \$1,000,000 of NYSERDA funding are required to provide 65% cost-share. For all Category 2 projects, no more than 25% of requested NYSERDA funds may be used for the purchase and/or installation of DER.**

Proposers may include technical feasibility studies as a first stage of product or service development and demonstration projects. For example, the proposer may propose a feasibility study as an early task if it intends to demonstrate its technology but requires a feasibility study to identify the optimal project site for

demonstration or to finalize specific design elements before embarking on the full demonstration. Technical feasibility studies under this PON are not intended to focus on conceptual designs, technology and market assessments, or similar early-stage studies. Technical feasibility studies under this PON must be necessary precursors to ultimate product development or demonstration activities under Category 1 or 2.

Proposers must select **only one (1) funding category per proposal**, which must be indicated in the proposal. Proposals that do not identify a funding category or include multiple funding categories may not be reviewed by NYSERDA.

Proposers applying under Category 1 should allocate 10-25% of the project budget for commercialization related tasks, such as customer discovery and market research, Intellectual Property protection, business plan development, and design for manufacturing tasks. Category 1 proposals are subject to NYSERDA's recoupment requirements, as outlined in Section V. Proposers applying under Category 2 are required to allocate project budget for measurement and evaluations tasks, such as data collection and analysis performed by an independent third party for measurement and evaluation tasks. NYSERDA may change a proposal to a more appropriate funding category if the category the proposer selects does not match the scope of the project; if this is the case and the proposal receives an award, it will be subject to the requirements of the funding category to which NYSERDA has assigned it.

NYSERDA reserves the right to modify a project's Statement of Work, project category, budget and funding levels and may offer to fund any of the proposal's phases therein at a lower level than that requested. Funding requests exceeding \$250,000 from NYSERDA shall be funded in phases separated by Go/No-Go decision points that will be evaluated by NYSERDA staff.

C. Project Requirements

Project Scope. To qualify for funding, proposals must:

- Address an innovative technology that improves vehicle grid integration, electric grid reliability, EV or fleet performance and economics, or expanded EV use.
- Provide direct and quantifiable energy, environmental, and/or economic benefits to New York State such as emissions reductions (such as greenhouse gases and criteria air pollutants), job creation, product manufacturing and sales, increased EV adoption and integration costs, grid reliability and EV market impacts.
- Include a project budget using the Attachment E, Budget Form, showing total project cost and proposer cost share. Include a cost-sharing breakdown by project task in the Statement of Work (Sample Statement of Work included as Attachment C).
- Satisfy recoupment obligations to NYSERDA for any new technology or product development effort requesting cumulative NYSERDA funding over \$75,000 upon product commercialization (see terms and conditions in Attachment F, Sample Agreement).
- Demonstrate that the proposer and/or team of proposers are qualified to carry out the submitted project proposal.
- Provide a strong rationale as to how the project will overcome barriers impeding the implementation or adoption of any new or under-utilized technology.
- Provide products or strategies that minimize excessive customization tailored to a single host entity.
- Identify a clear value chain and provide products or strategies that can be easily inserted into a range of EV owner/operators value chains or operating/capital processes.
- For projects that develop technologies or products, emphasize development and/or applications of marketable products for near-term commercialization, rather than basic research, and provide an assessment of the addressable market, and discuss an appropriate commercialization path and potential for manufacturing in New York State. Note that even in early-stage projects, initial

activities focusing on commercialization (or technology deployment) paths and challenges are essential to assessing benefits, risks, and future resource requirements.

- For demonstration projects, clearly identify how this project will increase sales or usage of a commercialized product already in the marketplace, generate objective performance information for customers or policymakers, and how such demonstration will lead to increased use of the product in New York State. Demonstration projects must be installed within New York State.
- Provide a letter of commitment from all funding sources and partners.
- Demonstrate that the project and funding request addresses the challenge with technology advancements that are not being addressed adequately by current industry practices and/or federal and/or other state research priorities and funding. Include a cost and New York statewide public benefit analysis to justify allocation of funds.
- Conduct technology transfer meetings to the stakeholders in the state including the Joint Utilities of New York and the Department of Public Service Staff, industry, and other stakeholders without disclosing trade-secrets and/or intellectual property.

Other considerations. The following guidelines should be considered when developing proposals:

- Projects are expected to begin within six months of the proposal due date. Given the pace of change in the EV industry, shorter projects are strongly preferred. Generally, the project schedule should not exceed 24 months, however, this should not come at the expense of key tasks like measurement and performance verification. Projects longer than 24 months are acceptable but must include the supporting justification for their timeframe.
- Teaming Agreements are strongly encouraged, where appropriate, to enhance the likelihood of project success. Teams may include commercial firms, industry associations, research organizations, universities, government agencies, end-users, or other stakeholders. Proposers are encouraged to develop projects that leverage funding with external resources partners such as other research and development organizations.
- Prior to an award being made, potential contractors may be required to demonstrate access to financial resources sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.

Letters of Commitment or Interest. If relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, you must include a letter from that organization describing its planned participation and financial commitment if there is one. The lack of such letters is viewed as a very serious proposal deficiency and will be judged accordingly in the evaluation process. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. **This is especially critical when working with a utility.** Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters should not be solicited from NYSERDA personnel.

III. Concept Paper and Full Proposal Requirements

Incomplete concept papers or proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal.

NYSERDA is employing a **two-step** application process in this solicitation.

1) Concept Paper. All proposers will be required to initially submit a four-page Concept Paper by the indicated due date using the Concept Paper Template provided in Attachment A. The Concept Paper should provide a concise overview of the proposer's concept, innovation, why this is desirable and scalable in New York State, and desired outcomes of the project. The Concept Paper will be reviewed and scored by a scoring committee based on the Evaluation Criteria in Section VI. NYSERDA will invite proposers whose Concept Papers have been selected for further consideration to submit a Full Proposal. The invitation will include the date by which Full Proposals must be received. Failure to submit a Concept Paper precludes submission of a Full Proposal. **Submission of Full Proposals is by invitation only.**

Concept Papers submitted in the first round for which full proposals are not invited may be resubmitted for the second round, with changes after a debriefing of the strengths and weaknesses. Full Proposals not meriting an award for contracting may be debriefed and resubmitted in the second round, ideally addressing NYSERDA's assessment of strengths and weaknesses.

Concept Papers: Submissions, Review and Re-submittals

Proposers of Concept Papers must use the format of the Concept Paper Template provided as Attachment A. The intent of the template is to present the concept in an orderly, organized manner, without repeating or restating information. Proposers are asked to submit only thoroughly considered Concept Papers. Proposers may submit Concept Papers to NYSERDA under this solicitation at any time during the open period of the Concept Paper submission. Concept Papers determined compliant with application procedures and responsive to the solicitation will be subject to NYSERDA Review by internal and/or external technical experts in accordance with Section VI Concept Paper and Full Proposal Scoring Criteria. Only the most technically meritorious Concept Papers will receive an invitation from NYSERDA to submit a Full Proposal.

2) Full Proposal. If notified by NYSERDA of a favorable Concept Paper review, the proposer will be invited to submit a Full Proposal using the instructions and attachments listed below.

The proposer's goal should be to concisely present the information needed to fully address the Full Proposal evaluation criteria (Section VI). Proposals that grossly exceed the word limits or fail to follow the format guidelines may be rejected as non-responsive. If you believe proprietary information must be submitted to provide an adequate proposal, you must comply with the Section VII instructions for submitting proprietary material. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, effective, and concise proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria.

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 VI, Proposal Evaluation. Only the most technically meritorious Proposals will be awarded an invitation from NYSERDA to enter into a contract. Proposals not meriting an award for contracting may be debriefed upon the proposer' request.

Each page of the proposal should state the name of the proposer, the PON number, and the page number. All proposers are required to submit, at a minimum, the following documents:

1. Proposal Narrative (with required attachments) as a PDF
2. Statement of Work (instructions are in the Proposal Narrative files) as a Word file
3. Budget Form (instructions are in the Proposal Narrative files) as an Excel file

To submit an invited Full Proposal, complete the Proposal Narrative form-fillable document as part of the PON (Attachment B). Proposer must follow the instructions provided during the Proposal Submission process to ensure that all required documents for the selected Funding Category are submitted. The Proposal Narrative contains the following sections:

Proposal Narrative - (Attachment B)

- I.Executive Summary
- II.Focus Area and Proposed Solution
- III.State of Research and Technology Targets (Category 1)
- IV.TRL/CRL Calculator (Attachment D) (Category 1)
- V.Commercialization Potential of Proposed Solution (Category 1)
- VI.Demonstration Site and Product Validation (Category 2)
- VII.Replication Potential of Proposed Demonstration (Category 2)
- VIII.Statement of Work (Attachment C) and Schedule
- IX.Project Benefits
- X.Budget
- XI.Proposer Qualifications
- XII.Letters of Commitment
- XIII.Attachments

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

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

Cost Sharing - The proposal should show non-NYSERDA funding of at least 50% of the total cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

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

IV. Submission Process and Requirements

NYSERDA strongly prefers online submission for all solicitations. NYSERDA does not accept faxed or emailed submissions.

Prior to Submission

Prior to submitting a Proposal to this solicitation, any proposers may communicate with NYSERDA's Designated Contact to discuss a concept and its potential responsiveness to this solicitation. Communication with NYSERDA staff prior to submission is entirely optional and is not required prior to submission.

Submissions and Review

Proposers may submit Concept Papers at any time during the open period of this solicitation. However, all Concept Papers are due at the time and date noted above. Proposers are limited to having **one pending Concept Paper** before NYSERDA during either Round 1 or Round 2 and will be allowed to submit a **maximum of two (2), unique Concept Papers to this solicitation**. If not selected as part of the first round, Proposers will have **one** opportunity to resubmit their Concept Paper (with any modifications) to Round 2, or to submit a separate unique concept paper, assuming funding remains available. Universities and similar research institutions may consider individual research teams to be unique proposers; each research team will be subject to the Concept Paper submission limitations outlined above, but there is no organization-wide cap on Concept Paper submissions for these proposers.

Proposers can expect a preliminary response in approximately 4-6 weeks from NYSERDA indicating whether a Concept Paper has been selected to submit a Full Proposal. Proposers submitting Concept Papers not selected for Full Proposal submission will receive a short, written summary of the results of the review, and, subject to the limitations stated above, may be permitted to resubmit one Concept Paper. Additional submittals will be deemed ineligible. **Proposers may only submit a Full Proposal if the Concept Paper has been favorably reviewed and the Full Proposal has been requested. Proposers who are invited to submit a Full Proposal will have until the Round 2 Proposals due date to submit their Full Proposal.**

When completing your application, submit documents only in the following formats:

- *.doc, .docx*
- *.pdf*
- *.xls, xlsx*
- *.ppt, .pptx, pps, ppsx*
- *Compressed versions of the above files types in .zip format*

File names must include the proposer's entity name.

Proposal files should be searchable. Do not convert hardcopies into PDFs or any other type of file using a scanner or by taking a photo of the hardcopy. Individual files should be 100MB or less in file size. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

For detailed instructions on how to submit a proposal, read the "[Application Instructions and Portal Training Guide](https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible.

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment. This payment typically is 7 to 10 percent of the total NYSERDA funding.

V. Recoupment and Metrics

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 F, Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration-only 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 D 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.

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

VI. Proposal Evaluation

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

After the submissions are reviewed, NYSERDA will issue a letter to each proposer indicating its Proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. After initial review of the Proposal, the Proposer, at NYSERDA's sole discretion, may be asked to address specific questions or provide additional information, either in writing or through an interview, as part of the Proposal scoring process. The Proposer will be required to submit a detailed Statement of Work, Budget, and Schedule, and may also be asked to address specific recommendations of the Scoring Committee before contract award.

CONCEPT PAPER SCORING CRITERIA:

Proposed Solution

- How well does the proposed solution address the stated focus area? Is the problem being addressed a significant challenge for transportation electrification and vehicle grid integration?
- How does the proposed project anticipate and address future market needs for transportation electrification and vehicle grid interaction as the technology reaches broader adoption?
- Has the proposal identified the main obstacles to developing the proposed solution in both the short-term and long-term and has it addressed how it will attempt to overcome these obstacles?
- Is the proposed solution technically feasible and superior to alternatives?
- Does the proposer have a reasonable understanding of and plan to complete the work required to achieve the proposed solution?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs and clearly show why the solution is superior to, price competitive with, or provides value compared to alternative solutions or the current status quo?
- Does the proposed solution have a high potential for commercialization and replicability, addressing demonstrated customer needs and significant markets?

New York State Impact and Project Benefits

- To what extent does the project support Climate Leadership and Community Protection Act, grid modernization and clean transportation goals for New York State?
- Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation?
- Does the proposed project scope show a clear path to widescale adoption in New York State?

Project Cost and Value

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- Is the value proposition and benefits sufficient that the concept or technology will likely be successful and adopted by the market?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential benefits from the work?

Proposer Team Qualifications

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- Has the proposer described how the proposed team is appropriately organized and whether it has the resources necessary to carry out the work plan?

Other Considerations – Concept Papers will be reviewed to determine if they reflect NYSERDA's overall objectives, including risk/reward relationships, similar ongoing or completed projects, and the general distribution of projects among categories, technologies, industries and other organizations, and geographically within New York State.

FULL PROPOSAL SCORING CRITERIA:

Proposed Solution –

- How well does the proposed solution address the stated focus area? Is the problem being addressed a significant challenge for transportation electrification and vehicle grid integration?
- How does the proposed project anticipate and address future market needs for transportation electrification and vehicle grid interaction as the technology reaches broader adoption?
- How well does the proposed project address the main obstacles to developing or implementing the proposed solution in both the short-term and long-term?
- Is the proposed solution technically feasible and superior to alternatives?
- Does the proposer exhibit an understanding of the state-of-the-art, competing products and alternative designs and clearly show why the solution is superior to, price competitive with, or provides value compared to alternative solutions or the current status quo?
- Does the proposed solution have a high potential for commercialization and replicability, addressing demonstrated customer needs and significant markets?

New York State Impact and Project Benefits –

- To what extent does the project support Climate Leadership and Community Protection Act, grid modernization and clean transportation goals for New York State?
- Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation?
- Does the proposed project scope show a clear path to widescale adoption in New York State?
- How well are the potential benefits of the project and to New York State quantified?
- Will the benefits be realized by disadvantaged communities in New York State?
- How significant are the potential reductions in GHG emissions or energy use resulting from the project?
- Are the technical, market and/or regulatory risks identified, appropriately addressed, to successfully achieve the project benefits?

Project Cost and Value –

- Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?
- Is the value proposition and benefits sufficient that the concept or technology will likely be successful and adopted by the market?
- How appropriate are the proposer's co-funding contributions (sources and amounts) with respect to the degree of risk, potential benefits from the work?
- Are the direct labor, subcontractor, direct materials, and travel rates reasonable based on market conditions and supported with appropriate documentation?

Proposer / Team Qualifications –

- Has the proposer provided evidence of being qualified to perform the proposed work based on the qualifications of the organization(s) and the involved individual(s)?
- How firm are the commitments and support from essential participants: hardware/software vendors, end users/customers, developers, site hosts, etc.?
- Has the proposer provided evidence of good past performance on other relevant projects and quantified benefits to end-users?

- Has the proposer described how the proposed team is appropriately organized and whether it has the resources necessary to carry out the work plan?

Statement of Work and Schedule –

- Are the proposed tasks reasonable and complete in details to fully understand the execution plan and how they will achieve the goals of the challenge?
- Is the Statement of Work well organized, complete, and appropriate for the technical performance identified?
- How realistic is the schedule for achieving the goals of the proposed project?
- Is an appropriate performance monitoring, data analysis effort and reporting plan included in the proposal?
- If applicable, does the proposer identify the need for and detail how baseline data collection activities with key stakeholders will be completed?

Other Program Policy Factors – In addition to considering how project Proposals satisfy the Scoring Criteria listed above, NYSERDA reserves the right to make funding decisions on the basis of other Program Policy Factors, including but not limited to:

New York State Energy Mission Alignment

- The degree to which the proposed project will advance the goals of the Climate Act / State Energy Plan / Clean Energy Fund.
 - Project continues to contribute to one or more of NYSERDA's key statutory goals.
 - <https://www.nyserd.ny.gov/About>

Program Portfolio Value and Optimization

- The degree to which NYSERDA ongoing funding, (incl. cost shares), will make a difference in the technology impact, acceleration of transformational advances and project success.
- The degree to which there are technical, market, organizational and/or environmental risks associated with the projects that outweigh the potential benefits.
- The degree of NYSERDA portfolio balance/optimization. The project(s) balance(s) and enhances the NYSERDA portfolio in one or more of the following areas:
 - Technological diversity
 - Organizational diversity
 - Geographic diversity
 - Technical or commercialization risk
 - Stage of technology development
 - Complimentary efforts to balance risk.

Project Diversity, Leverage and Collaboration

- The degree of ongoing leverage; attracting other funding sources: building on the NYS capabilities: linking technologies and/or companies.
- The degree to which the applicant has enabled the resources (human, financial and physical) to be able to complete the project.
- The degree to which the project enables collaboration with nongovernmental and industry entities for demonstration of technologies and research applications to successfully facilitate technology transfer, leading to robust technology development and subsequent scaling and market adoption.
- The degree to which a proposer could attract investor funding as the project progresses, including seed, Series A, high net worth individuals and beyond.

VII. 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 making multiple awards under this solicitation. NYSERDA anticipates a contract duration of up to three (3) years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six (6) weeks from the proposal due date whether your proposal has been selected to receive an award. 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.

Recoupment - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1% of sales/ten percent (10%) of all license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

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

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

VIII. Attachments:

- Attachment A – Concept Paper Template
- Attachment B – Proposal Narrative Template
- Attachment C – Sample Statement of Work
- Attachment D – TRL/CRL Calculator (Category 1 only)
- Attachment E – Budget Form & Instructions
- Attachment F – Sample Agreement
- Attachment G1 – Sample Metrics Reporting Guides
- Attachment G2 – Sample Metrics Reporting Guides
- Attachment H – Three-Year Financial Projections (Category 1 only)

New York State Energy Research and Development Authority

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Heat Recovery Project Development
Program Opportunity Notice (PON) 5547
\$12,000,000 Available

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

- Categories 1, 2, and 4: Applications accepted on a first-come, first-served basis dependent on funding availability until November 17, 2025 by 3:00 PM Eastern Time (ET).
- Category 3:
 - Round 1 Proposals due November 7, 2024 by 3:00 PM ET.
 - Further rounds will be announced based on available funding.

Program Summary

The NYSERDA Heat Recovery Project Development Program (the “Program”) aims to animate the New York State (NYS) marketplace for heat recovery solutions by working with consulting engineers, heat recovery solution providers, building owners and operators, and other key stakeholders to develop a robust pipeline of heat recovery retrofits. To accelerate heat recovery retrofit project development, the Program provides cost-share to Applicants for four categories of activities:

- Category 1: Heat Recovery Opportunity Assessment provides cost-share for Consultants to assess a Property’s heat recovery opportunity by quantifying the heat that is currently rejected and analyzing its potential to be repurposed. The goal of the assessment is to inform the building owner’s decision on whether to move forward with heat recovery project design. Applications will be accepted on a first come, first served basis.
- Category 2: Heat Recovery Project Design provides cost-share for Consultants to develop an implementation-ready, technically, and economically viable design of a heat recovery system for an existing Property. Applications will be accepted on a first come, first served basis.
- Category 3: Heat Recovery Demonstration provides cost-share for the implementation of innovative and effective heat recovery systems in an existing Property. Category 3 will accept three rounds of Proposals, with the first due on November 7, 2024 by 3:00 PM ET, and the following two rounds in 2025, subject to funding availability. Proposals will be evaluated based on the Proposal Evaluation Criteria outlined on page 11.
- Category 4: Manufacturer Growth Initiative provides cost-share to solution providers qualified by NYSERDA’s [RFQL 5217 - Heat Recovery Solutions](#) for business development services. Applications from eligible Applicants will be accepted on a first come, first served basis.

Eligibility: Existing multifamily, commercial, institutional, industrial, and manufacturing buildings and facilities are eligible for Categories 1-3. Solution providers qualified through NYSERDA’s RFQL 5217 are eligible for Category 4.

Funding: The funding is broken down into four categories according to the below table:

Category	NYSERDA Cost-Share	Maximum NYSERDA Funding Per Award
Category 1: Heat Recovery Opportunity Assessment	Up to 75%	\$40,000
Category 2: Heat Recovery Project Design	Up to 75%	\$80,000
Category 3: Heat Recovery Demonstration	Not specified, see Proposal Evaluation Criteria	\$2,000,000
Category 4: Manufacturer Growth Initiative	Up to 75%	\$100,000

Resources: Visit the [Heat Recovery Solicitation Page](#) for template documents and the [Heat Recovery webpage](#) for other current resources.

Application and/or Proposal Submission

Categories 1, 2 and 4

Completed applications for Categories 1, 2 and 4 will be accepted via [SeamlessDocs](#) through November 17, 2025, or until funds are fully committed. Applicants will receive a confirmation email of application receipt.

Category 3

Completed proposals for Category 3 will be accepted via the “apply online” link on the [Heat Recovery Project Development Program - Category 3 Demonstration funding opportunity](#) listed on the [Current Funding Opportunities](#) page.

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 Funding Opportunities” section of NYSERDA’s website (<https://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

Informational Webinar: NYSERDA will host an informational webinar on August 27, 2024 at 11:00 AM ET. [Register for the webinar here](#). Questions may be submitted until 5 PM ET the day before the webinar by emailing questions to HeatRecovery@nysesda.ny.gov.

Questions: No communication intended to influence this procurement is permitted except by email at HeatRecovery@nysesda.ny.gov for technical questions. If you have contractual questions concerning this solicitation, contact Lori Armstrong at Lori.Solicitations@nysesda.ny.gov. Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

*** All applications must be received by 3 PM ET on the dates 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.

Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit applications. The online application system closes promptly at 3 PM ET. Attempted edits or submission after 3 PM ET on the date above, will not be accepted.

For ease of identification, all electronic files should be named using the Project name in the title of the document.

Online submission is preferable. Applicants may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible.

If changes are made to this solicitation, notification will be posted on the "Current Funding Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

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I. Program Definitions

Affordable Multifamily Housing – Projects in which at least 25% of the units are, or are expected to be, occupied by households earning not more than 80% of the Area or State median income, whichever is higher. Multifamily buildings are buildings with 5 or more dwelling units.

Applicant – The individual or firm applying to this solicitation. In most cases the Applicant will be the Consultant performing work on behalf of the Customer, though any member of the Project Team is eligible to act as the Applicant. NYSERDA will contract with the Applicant to manage the defined scope of work for the defined budget.

Customer – The eligible New York State building owner requesting the Program funding for their Property.

Consultant – The individual or firm providing expert advice and technical services. The Consultant will be performing the engineering analysis and feasibility of the Project and provide expert, objective, and customized technical services.

Project – The set of proposed activities and tasks to be completed as described in the Scope of Work or Proposal submitted to the Program.

Property – The building(s) and/or facility(ies) within the scope and boundary of the Project.

Project Team – The Customer, Consultant(s) providing engineering analysis and design services, and any project facilitators or subcontractors engaged to support the Project.

II. Introduction

The goal of the Heat Recovery Program is to jumpstart the nascent market for heat recovery solutions as an economical approach to decarbonization for a broad swath of existing buildings in NYS.

According to [Lawrence Livermore National Lab \(LLNL\)](#), 68% of all U.S. energy consumed in 2021 was rejected or wasted through various system inefficiencies. NYS's building infrastructure contributes to this problem by rejecting heat through a variety of processes including ventilation, cooling, and wastewater systems. Heat recovery solutions can turn this problem into an opportunity by recovering and reusing energy that would otherwise be rejected. This is an essential step in most building decarbonization pathways.

Recent projects, including the [demonstration projects advanced through NYSERDA's Empire Building Challenge](#) (EBC), have shown that heat recovery is a key component of the decarbonization strategy for many of New York's existing building stock. All the projects awarded by EBC have featured heat recovery in some form as part of [a phased decarbonization strategy](#). By increasing adoption of heat recovery solutions amongst a larger share of NYS buildings, more building owners will reduce costs by recapturing energy they have already paid for.

To accelerate the growth from 10 to 100 successful heat recovery projects in NYS, the Program will:

- Support projects demonstrating the technical and economic feasibility of heat recovery solutions that are replicable across the State’s existing building stock, reducing energy use and enabling deeper decarbonization.
- Provide cost-share for engineering analysis, design services, and implementation to support the inclusion of heat recovery energy conservation measures within a wider existing building retrofit and decarbonization plan.
- Attract best-in-class equipment manufacturers, solution providers, and other businesses to invest in innovation, product development, and technology transfer to bring forward the most beneficial heat recovery solutions for New York’s building stock.
- Engage Consultants to provide engineering expertise and experience necessary to identify and implement heat recovery projects, while developing deeper industry expertise and experience with heat recovery projects in different building typologies.
- Gather real world insights on the shift from linear to circular approaches to energy management to identify opportunities and overcome barriers to building decarbonization, and share best practices and lessons learned.

These activities aim to accelerate confidence in heat recovery as a promising approach to decarbonization and to increase the number of building retrofit projects incorporating heat recovery energy conservation measures to reduce energy use and emissions.

III. Program Requirements

Program Eligibility

To qualify for Program Categories 1, 2, and 3, a Project Team must include an eligible Consultant and a Customer representing an eligible building.

Eligible Buildings

Participating buildings must be located in New York State, served by a New York State Investor-Owned Electric Utility (such as Consolidated Edison, National Grid, NYSEG, Orange and Rockland, Central Hudson, or RG&E), and pay electric System Benefits Charges (SBC). An existing Property of any size that falls under the classification of commercial, industrial, institutional, manufacturing and/or multifamily is eligible. New construction projects and single-family buildings are not eligible for this Program.

The boundary of a Project under this Program pertains to either a single building or multiple buildings that share energy services. When the Project boundary encompasses a single building, any rejected energy should be reused within that building's boundaries. When the Project boundary spans multiple buildings, it is still necessary to reuse the rejected energy within the defined boundary but not necessarily in the same building that rejected it.

Eligible Consultants

Eligible Consultants are the engineering or sustainability Consultant working on behalf of the eligible Customer. The Consultant must demonstrate experience and expertise in clean energy services delivery to commercial, industrial, institutional, manufacturing and/or multifamily Customers in NYS and provide expert, objective, and customized technical services to inform on the capability for heat recovery in the proposed Property.

NYSERDA reserves the right to limit the number of active Projects a Consultant can have within the Program at any given time.

While it is not required for a Project to include a FlexTech Consultant, Customers in need of a Consultant may choose from NYSERDA's [FlexTech Consultant list](#).

Eligible Manufacturers

To be eligible for Category 4, the Applicant must be a qualified solution provider through [RFQL 5217 – Heat Recovery Solutions](#).

Category 1: Heat Recovery Opportunity Assessment Requirements

Please see Attachment C - Category 1 Scope of Work Template for full details on expected tasks and deliverables for the opportunity assessment.

Category 1 provides funding to document current building infrastructure, quantify and diagram rejected heat from current operations (see examples of Energy Flow Diagrams on the [Heat Recovery webpage](#)), and explore the feasibility of potential cost-effective measures to recover and reuse heat to reduce total energy consumption and emissions. Rejected heat from existing building ventilation, cooling, wastewater and internal processes should be considered in the opportunity assessment, as well as the potential to incorporate thermal storage. The goal of the opportunity assessment is to provide the Customer with actionable information to inform their decision-making to move forward with a heat recovery project design.

Applicants can receive funding for up to 75% of total Project cost, capped at \$40,000, to create and deliver opportunity assessments.

Category 2: Heat Recovery Project Design Requirements

Please see Attachment D - Category 2 Scope of Work Template for full details on expected tasks and deliverables for the project design.

Category 2 provides funding to develop an implementation-ready, technically, and economically viable design of a heat recovery system for an existing Property. Energy recovery from ventilation, cooling, wastewater systems and other internal processes are eligible, as is the inclusion of thermal storage measures to maximize the usefulness of recovered energy.

Applicants can receive funding for up to 75% of total Project cost, capped at \$80,000, to create and deliver designs for an existing Property. These designs should have the potential to significantly improve the heat recovery performance of the Property.

Participation in Category 1 is not a requirement to participate in Category 2.

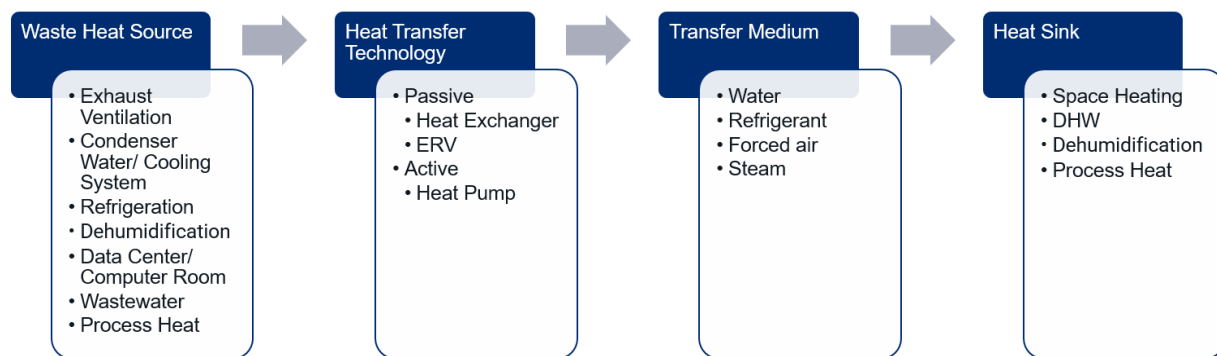
Category 2 Eligible Projects

Eligible Project designs must improve the energy performance of existing Properties by identifying and capturing rejected heat from an existing building system or process, then reusing the energy to reduce total energy consumption. The captured energy can be stored before being reused for one or more purposes, i.e., heat sinks, within the Project boundary.

To qualify for funding under Category 2, Project Teams must have identified a waste heat source and propose a heat recovery design concept consisting of the following four (4) components:

1. Waste Heat Source
2. Heat Transfer Technology
3. Transfer Medium
4. Heat Sink

Examples of these components are listed below:



Some examples of design concepts include, but are not limited to the following:

- Ventilation Exhaust Heat Recovery, including:
 - Integrating an energy recovery ventilator (ERV) into existing or modified building ventilation systems
 - Installing “run around coils” to building ventilation exhaust
- Cooling and Dehumidification Process Heat Recovery, including:
 - Condenser water heat recovery, using heat recovery chillers or water source heat pumps (WSHP) to extract heat from the condenser water loop before exhausting heat into the atmosphere with cooling towers or dry coolers
 - Distributed WSHPs on ambient/condenser water loops, enabling heat sharing across the building
 - Other refrigeration, data center, or cooling heat recovery through variable refrigerant flow (VRF) systems or hydronic system heat extraction
- Wastewater Heat Recovery, including:
 - Wastewater heat pump, recovering heat from wastewater at building scale before it exits to the municipality’s sanitary sewer main

- Drain water heat recovery coil: preheat fresh makeup water by coiling it around a primary drainpipe to recover waste heat before going into the water heater
- Steam condensate heat recovery prior to rejecting condensate into the sanitary sewer
- Process Waste Heat Recovery, including:
 - Capturing the waste heat generated by industrial or other processes to be reused within a plant's process streams or to produce electricity on-site
- Thermal Storage Technology incorporated into eligible heat recovery designs, including:
 - Ice tanks, phase change material (PCM), water tanks, condenser water storage, molten salt, geothermal, etc.

Where applicable, Consultants incorporating heat recovery products should first consider equipment qualified through NYSERDA's [RFQL 5217 - Heat Recovery Solutions](#).

NYSERDA seeks a diverse range of Project types including various building typologies, existing HVAC configurations, occupancy types, and geographies.

Category 3: Heat Recovery Demonstration Requirements

In line with the Program’s goal to jumpstart the nascent market for heat recovery solutions, Category 3 introduces funding for the implementation of heat recovery Projects (see Category 3 Eligible Projects). Category 3 emphasizes four distinct heat recovery solutions with the greatest potential for impact and replicability in existing buildings in NYS. By supporting the deployment of the four solutions locally, the Program will demonstrate the efficacy and performance of each solution in the specific context of existing buildings in NYS.

Through Category 3, NYSERDA seeks projects that demonstrate the impact, scalability and economic viability of at least one of the four heat recovery solutions. The Program will accept three rounds of proposals, with the first due on November 7, 2024, and the following two rounds in 2025, subject to funding availability. Proposals will be evaluated based on the Proposal Evaluation Criteria outlined below. Proposers should take care to address all the evaluation criteria described in the Proposal Evaluation Criteria.

Proposals may receive up to \$2,000,000 to implement eligible heat recovery Projects.

Category 3 Eligible Projects

A proposed Project must incorporate at least one of the following heat recovery solutions:

Data Center Heat Recovery	A solution that recovers and reuses waste heat from data center operations, resulting in lower utility energy demands, such as using heat exchange systems or novel waste heat-to-power conversion methods.
High Temperature Heat Pumps	A solution that leverages waste heat recovery with commercially available high-temperature heat pumps to meet process heating requirements of up to 150°C/302°F, which results in improved process energy efficiency.
Packaged Exhaust Heat Recovery	A high-efficacy packaged wastewater or ventilation heat recovery solution without the complexity and costs of onsite stick-built heat exchangers.
Thermal Storage	A solution that allows heat to be recovered at one point in time and used at another, helping to downsize heating and cooling load and provide grid services. Targeted solutions, such as phase change material (PCM) will provide a higher energy density than water and ice. Water and ice storage systems will be considered where the system is planned for small commercial buildings, hospitals, and industrial facilities or to lower overall energy costs for tenants in Affordable Multifamily Housing.

The proposal must include a Basis of Design (BOD) narrative and/or one-line concept diagrams with essential details to reasonably validate feasibility, procurement budgeting and construction timeline.

Proposers must have completed due diligence, such as an opportunity assessment or equivalent study, prior to submitting a proposal.

Projects must begin construction within 1 year of the contract execution date. Exceptions may be made on a case-by-case basis. Projects that have already begun construction prior to NYSERDA’s award announcement are ineligible.

Selected proposals will work with the NYSERDA team to qualify their proposed solutions through [RFQL 5217 - Heat Recovery Solutions](#).

Proposal Evaluation Criteria

Proposals that meet solicitation requirements, as outlined in IV. Application Requirements, will be reviewed by a Scoring Committee using the Proposal Evaluation Criteria below **listed in order of importance**.

1. Impact

Description	Metrics
<p>The proposal demonstrates impact in the form of energy savings, emissions reductions and reuse of waste heat.</p> <p>The Project Team has the capacity and expertise needed to implement the proposal.</p> <p>The Project design is well defined and comprehensive.</p>	<ul style="list-style-type: none"> • Modeled impact versus baseline year: <ul style="list-style-type: none"> • Total and percent reduction of on-site energy use for all fuel sources • Total emissions reduction • Total and percent of rejected heat utilized • The extent to which Project Team includes relevant parties with the necessary background and experience to ensure Project success and likelihood of installation of Project as proposed • The clarity and completeness of the design documents

2. Scalability

Description	Metrics
<p>The proposal demonstrates that the heat recovery solution has a strong potential for widespread adoption within the proposer’s portfolio or by the broader market.</p>	<ul style="list-style-type: none"> • Square footage or count of existing buildings within the proposer’s portfolio, or in NYS, that are similar to the proposed building and have potential to replicate the proposal’s approach • Lead time of equipment and its impact on adoption • Commercial readiness of proposed solution to be available for replication

3. Cost Effectiveness

Description	Metrics
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<p>The proposal examines the costs and benefits of the Project in terms of total investment relative to the energy and carbon intensity improvements.</p> <p>The Project Team demonstrates commitment by providing private investment.</p>	<ul style="list-style-type: none"> • Cost per MMBtu reduction • Cost per ton of CO2e reduction • Costs and hourly rates of the proposal • Total and % cost-share requested from NYSERDA • Total and % cost-share provided by the Customer • % of total project cost that requires subsidy • Well-defined funding sources or financing strategy for implementation
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Program Policy Factors

A Scoring Committee will review and rank all Category 3 proposals. NYSERDA will review this evaluation and ranking and may consider the following program policy factors in making award selections.

- Benefits of Project funding to [disadvantaged communities as defined by the Climate Justice Working Group](#), particularly Projects involving affordable housing, industrial, institutional, manufacturing facilities or P-12 schools.
- Diversity of awards by solution, geography, building typology, or market sectors – including affordable housing, commercial, industrial, institutional, manufacturing and/or multifamily.

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.

Category 4: Manufacturer Growth Initiative Requirements

Through [RFQL 5217 - Heat Recovery Solutions](#), NYSERDA promotes innovative, scalable, and cost-effective heat recovery products to make them more attractive for New York Property owners and design and consulting engineers to implement in their projects. Recognizing that many of these products may be developed and more commonly used outside of New York State, NYSERDA offers RFQL 5217 to qualify manufacturers to bring their heat recovery knowledge and products to New York State and implement them in NYS buildings and processes.

Qualified [Heat Recovery Solutions](#) manufacturers of novel and effective heat recovery products may face several risky and expensive work items when bringing their offerings to New York State. NYSERDA has identified five (5) categories of growth initiatives that qualified manufacturers can submit a proposal to seek direct funding for up to 75% of associated costs with a maximum total incentive of \$100,000. No more than \$1.5 Million of Program funds will be made available for Category 4 awards.

These focused growth initiatives will help qualified manufacturers access the New York market, receive support for knowledge, technology transfer and participate in exchanges with key market stakeholders.

Growth Initiative Tasks [1 - 5]:

1. **Market Research and Adaptation** — Reimbursement of up to 75% of the costs up to \$20,000 of conducting market research or developing a product adaptation and localization plan specific to the New York market. For instance, to develop and test heat recovery products in actual buildings and processes in New York, where manufacturers can assess their suitability for integration with existing building equipment and automation systems. This could allow manufacturers to demonstrate the effectiveness of their product during day-to-day operations and overcome any challenges that may arise.

Eligible activities include but are not limited to:

- Conducting thorough market research to understand the New York market, consumer preferences, and competitive landscape.
- Adapting product features and installations to meet local regulations, standards, and building needs.
- Investing in localization efforts, such as translating user interfaces, packaging, instructions, and marketing materials.
- Converting the Product to be compatible with North American electrical systems and codes.
- Establishing local product installation, testing, maintenance, repair, and customer support resources.

2. **Regulatory Compliance** — Reimbursement of up to 75% of the costs up to \$30,000 of hiring consultants to help manufacturers navigate the landscape in New York, obtain necessary certifications, licenses, and permits, and assist the manufacturers through the compliance process. Engaging Nationally Recognized Testing Laboratories (NRTL) to ensure that the product conforms to North American or New York State's safety, quality, and environmental standards, such as UL (Underwriters Laboratories) and CSA (Canadian Standards Association) certifications.

Eligible activities include but are not limited to:

- Navigating federal, state, and local regulations, which may differ from the company's home country.
- Obtaining necessary certifications, licenses, and permits to sell products in New York.
- Ensuring products meet North American and New York State market's safety, quality, and environmental standards.
- Registering trademarks, patents, and copyrights in the United States to protect intellectual property.

3. **Supply Chain and Logistics** — Reimbursement of up to 75% of the costs up to \$20,000 to establish or optimize the local supply chain and logistics networks to be compatible with New York deployments (e.g., operable by the U.S. electrical power grid) and to secure product warehousing, distribution, and transportation and connect with reliable New York State partners and service providers.

Eligible activities include but are not limited to:

- Establishing reliable local supply chain networks to localize products for the United States and distribute them within New York State.
- Dealing with import regulations to New York State. Securing warehousing and distribution facilities in New York.
- Securing partners in New York for product testing, assembly, or manufacturing.

4. **Sales and Marketing**— Up to 75% of the costs up to \$10,000 for targeted customer engagement and promotional activities in New York and securing New York-based sales channels, distributors, and partners. This is often a critical requirement for many New York owners and engineers before considering a foreign product that is new to the NYS market.

Eligible activities include but are not limited to:

- Building brand awareness and credibility in a new market.
- Developing effective marketing strategies tailored to New York consumers.
- Establishing sales channels, partnerships, representatives, and distribution networks.

5. **Business Development Assistance** — Reimbursement of up to 75% of the costs or \$20,000 of recruiting and hiring key New York-based employees and to support existing employee relocation to New York.

Eligible activities include but are not limited to:

- Hiring costs for local staff or relocating key personnel to manage New York operations (staff salaries are not eligible).
- Ensuring compliance with U.S. and New York labor laws and regulations.
- Adapting to cultural differences in business practices, communication styles, and consumer expectations.
- Building training opportunities in specific trades, technology, methods.
- Building relationships with local partners, suppliers, and customers.

Deliverable Submission

Project deliverables will be submitted through the [NYSERDA Partner Portal](#). For ease of identification, all electronic files should be named using the Project name in the title of the document. NYSERDA reserves the right to perform technical review on all submittals. Deliverables found by NYSERDA to not fulfill the approved Scope of Work, proposal and/or deliverable requirements may receive a reduced cost-share or may not be reimbursed by NYSERDA.

NYSERDA is interested in sharing best practices, lessons learned and showcasing final Projects and will work with Applicants to accomplish this.

Payment, Procurement, and Schedule

Program funding will be distributed to the Applicant according to milestone-based payments as defined in the Scope of Work.

The Applicant must submit a copy of all invoice(s) indicating the total billed cost of cost-shared activities or items. The invoice(s) will include labor and non-labor costs, staff titles, hourly rates, dates, and hours for each task. All required cost-share documentation must be submitted through the [NYSERDA Partner Portal](#).

Funding Caps

Categories 1, 2, and 4

The Program will fund Category 1, Category 2, and Category 4 activities at a cost-share for up to 75% of eligible costs, with funding for Category 1 capped at \$40,000, for Category 2 at \$80,000, and Category 4 at \$100,000. Projects must include cost-sharing in the form of matching cash support from the Customer.

Category 3

The Program will allocate up to \$2,000,000 in total funding for the implementation of approved Projects. Cost-share is included as a part of Proposal Evaluation Criteria.

Additional Considerations

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

- Adjust the funding award from the proposed budget based on the scope of services included 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 75% funding on a project scope if the scope includes ineligible tasks.

NYSERDA reserves the right, for any reason, to stop approving incentive applications and limit or stop making incentive payments at any time without notice.

Projects that include qualified Affordable Multifamily Housing may qualify for additional cost-share, up to 100% of Project costs, by demonstrating availability of capital and/or financing to fund Project implementation. Description of the ability to fund implementation of heat recovery measures may be included in the Scope of Work. The Property must meet affordability criteria detailed in [Affordable Multifamily Building Guidelines](#) available on the [Heat Recovery webpage](#) to be eligible for the additional cost-share.

Eligible Expenses

Projects that have received or plan to receive incentives from other programs in the [Clean Energy Fund](#) or utility administered incentives are not eligible to receive funding for the same measures and activities within the Heat Recovery Program. For example, Projects receiving installation funding to install an exhaust heat recovery solution through the [Clean Heat Program](#) will not be eligible for an award for a Category 3 Demonstration through the Heat Recovery Program. Receipt of funding from federally funded programs will not impact eligibility for Heat Recovery Program funding, but all planned incentives and grants should be documented within the Project proposal.

NYSERDA's funds may be applied toward the following categories of eligible expenses:

- The fees for both primary and subcontracted architects, consultants and engineers.
- Expenses related to data acquisition devices (capped at 40% of total Category 1 incentives).
- Expenses related to labor and services.
- Expenses related to creating data graphics for the Sankey diagrams and any other visualizations included in final deliverables.
- Expenses related to energy modeling services.
- Expenses related to implementation for Category 3, including construction labor and material costs.

Work completed prior to NYSERDA's receipt of an application is ineligible for funding.

IV. Application Requirements

NYSERDA evaluates Projects based on the below submitted information.

Categories 1 and 2

All applications will be reviewed on a first-come, first-served basis until funds are fully committed. It is at NYSERDA's discretion to accept Projects, dependent on Project applications meeting all Program requirements.

Following submission, NYSERDA will review and may suggest edits to finalize Scope of Work before approval and contract award.

Applicants may submit complete Category 1 and Category 2 application packages via [SeamlessDocs](#). A complete application package shall include the following:

- Application (via [SeamlessDocs](#))
- Budget (Attachment B) – 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.
- Scope of Work (Category 1: Attachment C; Category 2: Attachment D) – 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. If the Applicant is the Consultant, then the Scope of Work must be signed by the Customer.

Category 3

Proposals will be submitted electronically via the “apply online” link on the [Heat Recovery Project Development Program - Category 3 Demonstration funding opportunity](#) listed on the [Current Funding Opportunities](#) page. Proposals will be submitted by 3:00 PM ET on the applicable Round due date. Applicants must not have started construction on a Category 3 Project prior to contract execution.

A complete proposal consists of the following:

- Budget (Attachment B) – 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.
- Category 3 Proposal (Attachment C-1)
 - Executive Summary
 - Project Objectives
 - Proposed Measures Description
 - Project Impact and Benefits
 - Qualifications
 - Timeline for Implementation
 - Cost Share Table
- Either a Basis of Design (BOD) narrative, one-line concept diagrams and/or schematic design drawings, if available
- Completed Heat Recovery Opportunity Assessment or equivalent study

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Proposals that fail to meet all requirements and format guidelines may be rejected as non-responsive.

Category 4

All applications will be reviewed on a first-come, first-served basis until funds are fully committed. It is at NYSERDA's discretion to accept Projects, dependent on Project applications meeting all Program requirements.

Following submission, NYSERDA will review and may suggest edits to finalize Scope of Work before approval and contract award.

Applicants may submit complete Category 4 application packages via [SeamlessDocs](#). A complete application package shall include the following:

- Application (via [SeamlessDocs](#))
- Scope of Work (Attachment G) – Complete a detailed Scope of Work based on the template provided in Attachment G, specifying the Growth Initiative Tasks being pursued, along with an itemized list of eligible activities. This Scope must include an explanation of why the work performed was necessary and eligible under Category 4.
- Budget (Attachment B) - 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.

V. General Conditions

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

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

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

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

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

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

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

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

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

The Department has created a second form that must be completed by a prospective contractor prior to 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 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 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 applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Applicants in approximately 6 weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a 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 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 ([Standard Forms and Agreements](#), Executive Order No. 16 Certification), 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:

Categories 1, 2, 4:

Attachment A – Sample Agreement

Attachment B – Budget Template

Attachment C – Category 1 Scope of Work Template

Attachment D – Category 2 Scope of Work Template

Attachment E – Project Design Narrative Template

Attachment F – Data Collection Form

Attachment G – Category 4 Scope of Work Template

Category 3:

Attachment A – Sample Agreement

Attachment B – Budget Template

Attachment C-1 – Category 3 Proposal Template



Systems Strategy Advisor

Request for Proposal (RFP) 5744

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

Proposals Due: July 10, 2024 by 3:00 p.m. Eastern Time*

PROGRAM SUMMARY. The New York State Energy Research and Development Authority (NYSERDA) is seeking to procure a Systems Strategy Advisor to identify and assess solution options for replacing its existing integrated financial, procurement, and contract document management system in a manner that meets evolving business needs. The advisor must gain a functional understanding of existing internal regulatory, financial, procurement, and contract document management processes, as well as current and future state use cases, and apply it to industry standards and best practices to inform and propose solution options.

INFORMATIONAL WEBINAR: A webinar will be held on June 4th 10am EST. Please [register](#) for the webinar. In advance of the webinar, please submit questions to Benjamin Furtaw at strategic.operations@nyserda.ny.gov. Registration and questions are due by May 30th (3 business days before webinar).

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

No communication intended to influence this procurement is permitted except by contacting (Benjamin Furtaw) (Designated Contact) at (518) 862-1090, ext.4123 or by e-mail strategic.operations@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 offerer, and (2) may result in the proposer not being awarded a contract.

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

I. INTRODUCTION

NYSERDA is a public benefit corporation with a unique mission to build an inclusive clean energy economy, support clean energy jobs and New York's state's economic recovery, accelerate the transition to a low-carbon future, as well as foster healthy and resilient communities. The NYSERDA Enterprise Information System (NEIS) is an Oracle PeopleSoft solution initially launched in 2009 and is NYSERDA's current financial, procurement and document management system. NEIS integrates with program and employee management systems across NYSERDA (such as our payroll, travel, and various project management systems), to manage all contracting and financial processes, as well as provide a system of record and reporting for the responsible stewardship and disbursement of funds used to finance energy-related programs and projects.

Currently NEIS supports approximately 600 users, across more than 30 departments, in diverse roles related to its mission. As NYSERDA's analysis and reporting needs have evolved over time, and transaction volumes have increased, NYSERDA has identified a need to update the system. Recent internal process improvement evaluations have characterized NEIS as a highly manual, complex system, and concluded that NYSERDA can benefit from a more robust set of automation and validation features to increase efficiency, enhance usability, and mitigate potential user errors associated with manual processing. NYSERDA is also at an inflection point for its overall scope of work, number of funding sources, and expectations for faster turnaround on analysis of how funds are being utilized. In addition to historical funding sources, the addition of the recently passed NY Environmental Bond Act, additional Federal Funding, and potential additional sources of funding like New York's Cap and Invest initiative (NYCI) necessitate ensuring NYSERDA's core financial/accounting systems and contracting system are positioned to efficiently meet these needs.

NYSERDA seeks to procure a Systems Strategy Advisor to identify and assess solution options for replacing NEIS in a manner that meets evolving business needs. We are seeking an advisor with knowledge of available commercial-off-the-shelf systems, and familiarity with financial, contracting and document management processes. The advisor must gain an understanding of NYSERDA's existing internal financial, procurement, and contract document management processes as well as current and future state use cases, to inform their solution options recommendations. As NYSERDA is likely to grow and may oversee additional funding sources and scope, any NEIS replacement must be able to handle a sizable user base and offer features that enhance user efficiency and data accessibility.

II. PROGRAM REQUIREMENTS

A. Background

NYSERDA is seeking to engage an independent third-party Systems Strategy Advisor, as part of the first phase of a multiple phase project to assist with the evaluation and identification of solutions for replacing NEIS. Findings from the initial landscape analysis and assessment phase covered under the scope of this RFP, will inform subsequent procurement and implementation phases. NYSERDA may, at its discretion, pursue extending the contract of the System Strategy Advisor to allow for support during subsequent phases.

NEIS has been customized over time to accommodate contracting and accounting for a large scope of government programs and services, for which the current purview is outlined on our organization website subpage <https://www.nyserda.ny.gov/All-Programs>. As a public benefits corporation subject to oversight, NYSERDA maintains robust accounting practices and internal controls. NEIS is not only central to authority-wide operations but is the system of record for meeting accountability reporting and audit requirements. For additional background on NYSERDA's internal controls environment please see Attachment C, New York State Energy Research and Development Authority Internal Control Manual.

B. Services Requested

Services will include engagement with NYSERDA Stakeholders and Subject Matter Experts (SME) to facilitate and deliver:

- Current and Future State Analysis.

- Requirements Elicitation.
- System Requirements Documentation.
- A System Landscape Assessment of commercially available systems.
- IT Plan development.
- Development of system recommendations, including profile, pros, cons, limitations, and opportunities to leverage to improve processes.
- Development of a system implementation strategy.

Once the system strategy is established, pending satisfactory project delivery and business needs, NYSERDA may, at its sole discretion, elect to retain the selected System Strategy Advisor to assist in subsequent procurement, selection, and/or implementation phases of the overall NEIS replacement project.

C. Proposer Eligibility Requirements

Proposers may be a single company or team of companies 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 RFP. If a proposer includes a partnering arrangement with third parties in their proposal, the proposer will retain sole accountability for successful management and completion of the work under a resulting contract.

In order to be considered for award under this RFP, proposers must demonstrate, at a minimum, the following qualifications and expertise:

- A minimum of 5 years in business providing services related to the scope of this RFP.
- Demonstrated successful project delivery in the areas of:
 - System Evaluation, Procurement, and Implementation:
Identifying a suite of system options matched to client's needs, conducting preliminary evaluation and summarizing system features for client consideration.

Managing the procurement process for enterprise systems including needs assessment, analysis, solicitation, and operationalizing its use.
 - Business Analysis:
Guiding decision-making and organizational change using industry best practices in business analysis including needs assessment, planning, analysis, and evaluation techniques.
 - System Landscape Assessment:
Conducting a comprehensive audit of an organization's existing technology infrastructure and gap analysis between current and desired future state.
 - IT Plan Development:
Transitioning a system landscape assessment into an actionable roadmap to realize organizational goals and objectives.
 - Technical Knowledge:

Understanding/applying information Security best practices (knowledge and experience), including NYS Information Security Requirements.

Understanding/applying best practices for governmental accounting, budgeting, transaction processing, and financial reporting processes when evaluating systems for financial management functions.

- Preference will be given to proposers who demonstrate expertise in the following areas:
 - Certified team members in business analysis and project management.
 - Evaluating User Interfaces (UI) and User Experience (UX) against best practices for usability and consistency.
 - Subject matter expertise in procurement, contract management, financial management, and accounting.

D. Scope of Work

The work to be performed by the selected proposer will include, but may not be limited to, the following:

- Meet with NYSERDA representatives to understand NYSERDA's mission, vision, key business processes, goals, future direction, and define system scope and high-level desired attributes.
- Conduct requirements elicitation verification, and validation sessions with project stakeholders. Guide the process to help document current needs, as well as uncover potential future needs and solutions.
- Evaluate and assess NYSERDA's business architecture and technology ecosystem against future state needs.
- Translate NYSERDA's business needs into a System Requirements Document to guide evaluation and procurement of new system(s).
- Develop a System Landscape Assessment including a systems strategy and fit/gap recommendations of no less than 5 candidate systems.
- Facilitate informational interviews and demonstrations for NYSERDA to better understand solution options available.
- Project planning and management of work execution, monitoring, and status reporting in alignment with best practices and NYSERDA's existing project standards and decision-making framework.

E. NYSERDA Responsibilities

NYSERDA will identify a Steering Committee as well as a core team of subject matter experts to support project execution.

NYSERDA will facilitate engagement with subject matter experts beyond the core team, as needed.

NYSERDA will provide a Project Manager/Business Analyst to manage the contract, assist in facilitating project activities, and communicate with upper management and staff.

NYSERDA will grant temporary access to any project relevant systems, platforms, and resources that support project scope, those obtaining access or subject to complete the necessary appendices.

F. Contract Award and Schedule

NYSERDA anticipates making one award under this RFP using the Sample Agreement contained in Attachment B. The initial contract term is one year, with possible extensions as deemed necessary at NYSERDA's sole discretion.

The initial landscape analysis and assessment phase covered by the contract is expected to run 6-9 months after contract execution. NYSERDA reserves the right to extend the contract of the System Strategy Advisor to allow for support during the procurement and implementation phases, at its sole discretion.

III. PROPOSAL REQUIREMENTS

Proposers must submit their proposal 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. Proposals should concisely present the information needed to fully address the evaluation criteria (see Section IV). The proposer's name, the RFP number, and page number should be recorded on every page of the proposal, including attachments.

The proposal must be in the following format:

A. Objectives

Provide a brief description of your understanding of the goals, objectives and requirements of the services described in this RFP. Proposers must indicate the year the firm was established and should briefly identify key information about their organization and any proposed subcontractors. Proposers should describe why they believe that they are qualified to perform and complete the services requested under this RFP and indicate years of delivering services related to the scope of this RFP.

B. Statement of Work

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. Proposers should refer to the Scope of Services set forth in Section II of this RFP when preparing the Statement of Work.

C. Project Schedule / Work Plan

Submit a schedule for conducting the work proposed in the SOW in a Gantt chart or similar format in terms of weeks and months. 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.

D. Staffing Plan

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. Include an organization chart showing the relationship between all personnel and subcontractors (if applicable). Indicate how each role will be allocated (i.e. full-time vs part-time). The Staffing Plan should also clearly demonstrate the project team's experience and competency in the following areas:

- System Evaluation, Procurement, and Implementation:

Identifying a suite of system options matched to client's needs, conducting preliminary evaluation and summarizing system features for client consideration.

Managing the procurement process for enterprise systems including needs assessment, analysis, solicitation, and operationalizing its use.

- Business Analysis:

Guiding decision-making and organizational change using industry best practices in business analysis including needs assessment, planning, analysis, and evaluation techniques.

- System Landscape Assessment:

Conducting a comprehensive audit of an organization's existing technology infrastructure and gap analysis between current and desired future state.

- IT Plan Development:

Transitioning a system landscape assessment into an actionable roadmap to realize organizational goals and objectives.

- Technical Knowledge:

Understanding/applying information Security best practices (knowledge and experience), including NYS Information Security Requirements.

Understanding/applying best practices for governmental accounting, budgeting, transaction processing, and financial reporting processes when evaluating systems for financial management functions.

Resumes of key personnel highlighting relevant experience should be included as appendices.

The staffing plan shall include how the proposers will handle any staff turnover. It should be noted that should they be awarded, NYSERDA expects to work with the team proposed. Any modifications to the project team prior to or after contracting must be approved by NYSERDA. Any unapproved staffing changes may result in the rescinding / termination of the contract.

E. Qualifications

Describe how the Proposer's staff and other team members meet the required experience, skills, and abilities to perform the services described in 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. If applicable, cite experience leading projects with the subcontractors included in the proposal. Describe at least three (3) specific examples of previous relevant projects. Include the name and telephone number of references from these projects.

E. Budget

Provide a total project budget, including cost elements by task, with any subcontractor costs clearly designated (if applicable), using the Cost Proposal Pricing Form attached to this RFP. 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.

F. Letters of Commitment (if applicable)

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 does not have support from the subject parties.

G. Appendices

Include resumes and ancillary information which is deemed necessary to support your proposal.

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

IV. PROPOSAL EVALUATION

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

A. Execution and Approach

- Proposal reflects understanding of the goals and objectives stated herein.
- Scope of Work is consistent with stated objectives.
- Clear evidence of the capacity to implement, coordinate, and monitor the tasks assigned.
- Indication that the project can be delivered according to the allotted time stated herein.
- Proposal reflects Project Management and Business Analysis best practices.

B. Relevant Experience

- Proposer has a minimum of 5 years in business providing services related to the scope of this RFP.
- Proposer has demonstrated proficiency in:
 - System Landscape Assessment
 - Business Systems Analysis
 - IT Project Management
 - IT Planning/ Strategy: has drafted and/or implemented a comprehensive plan that outlines how technology can be used to meet IT and business goals.
- Clear evidence of past successful project delivery of similar projects for governmental, non-profit, or similar type organization of roughly the same size and complexity as NYSERDA.
- Proposer has listed multiple commercial-off-the-shelf software products they have recommended in past initiatives.
- Proposer delivered to a timeline like the one proposed herein.
- The proposer and/or project team has demonstrated familiarity and experience with NYS Information Security requirements.
- The combined proposer and/or project team composition reflects extensive financial management, accounting, and grants management experience.
- The combined proposer and/or project team has experience implementing projects in accordance with New York state procurement law.

C. Staffing Plan

- Proposed staff have experience successfully managing stakeholder engagement with an organization of similar size to NYSERDA.
- Proposer demonstrates successful experience managing/facilitating engagement of diverse stakeholder groups, managing processes that facilitate consensus building.
- The proposed project staff have experience and credentials specific to the work to be performed, including financial management, accounting, New York State procurement law, and grants management.
- Proposer and assigned team show success in managing projects of similar scope, scale, schedule, to a successful conclusion.

- The staffing plan submitted by the proposer clearly states how any turnover will be addressed in a manner that ensures continuity of qualified staff.
- The staffing plan indicates how various roles are to be allocated.

D. Budget

- The budget proposed is reasonable for the staff allocated and scope of work defined.
- The budget provides an appropriate level of granularity/breakdown of cost and is free of errors.
- Each itemized cost identified within the budget is sensible for the type of work to be performed.

E. Examples/Case Studies/References

- At least three examples, case studies or written references provided for work that reflects the ability to accomplish the goals and objectives of this project.
- The degree to which the examples, case studies, or references confirm work performance or experience.

F. Diversity

The Proposer is MWBE/SDVOB certified or has provided a list of partners that are able to meet MWBE/SDVOB requirements as set forth by this RFP while supporting the scope of services requested.

NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, Attachment D, Diversity Practices Questionnaire.

NYSERDA reserves the right to accept or reject proposals based on the following program policy factor(s):

- The degree to which the proposed project optimizes the use of available funding to achieve NYSERDA's overall objectives, as specifically set forth in this solicitation.
- The degree to which there are technical, market, and/or organizational risks associated with the proposal.

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

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

Diversity Practices - NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, Attachment D, Diversity Practices Questionnaire.

New York State Executive Law Article 17-B, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

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

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

The Department has created a second form that must be completed by a prospective contractor prior to 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 award under this solicitation. NYSERDA anticipates a contract duration of up to one year, with the ability to extend for future phases at its sole 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 Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers approximately 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 Benjamin Furtaw at strategic.operations@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 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.

VI. ATTACHMENTS

Attachment A – Budget

Attachment B – Sample Agreement including Exhibit A (template statement of work) and MWBE SDVOB language

Attachment C – [New York State Energy Research and Development Authority Internal Control Manual](#)

Attachment D – [Diversity Practices Questionnaire](#)

Attachment E – [MWBE \(Article 15\) Provisions for Solicitation Documents](#)

Attachment F – [SDVOB \(Article 17\) SDVOB Solicitation Documents](#)

NYSERDA

Public Authority Law Report

April 1, 2024 to September 30, 2024

Section Break

Projects Selected for Funding by Region

Period 4/1/2024 through 9/30/2024

REDC Region	County	Electric Utility	Total Funded Amount
Capital Region	Albany	Central Hudson Gas and Electric	5,001,968
		National Grid	14,775,567
	Columbia	Central Hudson Gas and Electric	50,000
		National Grid	1,903,388
		NYS Electric and Gas	246,000
	Greene	Central Hudson Gas and Electric	1,522,024
		NYS Electric and Gas	5,000
	Rensselaer	National Grid	4,949,485
		NYS Electric and Gas	59,433
	Saratoga	National Grid	2,041,725
	Schenectady	National Grid	348,773
	Warren	National Grid	851,349
	Washington	National Grid	172,198
		NYS Electric and Gas	9,000
	Central New York	Cayuga	NYS Electric and Gas
Rochester Gas and Electric			53,925
Cortland		National Grid	213,671
		NYS Electric and Gas	86,405
Madison		National Grid	1,497,508
		NYS Electric and Gas	20,610
Onondaga		Municipal Utilities	20,233
		National Grid	1,607,586
		NYS Electric and Gas	2,489,384
Oswego		National Grid	646,288
Finger Lakes	Genesee	National Grid	714,785,043
	Livingston	National Grid	185,466,139
		NYS Electric and Gas	335,605
	Monroe	Municipal Utilities	64,012
		National Grid	22,860
		Rochester Gas and Electric	4,804,908
	Ontario	National Grid	6,600
		NYS Electric and Gas	541,121
		Rochester Gas and Electric	243,157
	Orleans	National Grid	587,268,766
	Seneca	NYS Electric and Gas	61,330
	Wayne	NYS Electric and Gas	196,123
		Rochester Gas and Electric	14,100
	Wyoming	Municipal Utilities	6,600
		National Grid	5,997
		NYS Electric and Gas	20,659,037
		Rochester Gas and Electric	5,000
Yates	Municipal Utilities	9,120	
	NYS Electric and Gas	3,119,634	
Long Island	Nassau	Long Island Power Authority	409,808

Projects Selected for Funding by Region

Period 4/1/2024 through 9/30/2024

REDC Region	County	Electric Utility	Total Funded Amount
Long Island	Suffolk	Long Island Power Authority	973,306
Mid-Hudson	Dutchess	Central Hudson Gas and Electric	3,773,308
		NYS Electric and Gas	38,188
	Orange	Central Hudson Gas and Electric	587,289
		NYS Electric and Gas	18,780
		Orange and Rockland Utilities	5,076,728
	Putnam	Central Hudson Gas and Electric	644,800
		NYS Electric and Gas	200,045
	Rockland	Orange and Rockland Utilities	1,525,719
	Sullivan	NYS Electric and Gas	10,000
		Orange and Rockland Utilities	1,179,360
	Ulster	Central Hudson Gas and Electric	576,789
	Westchester	Consolidated Edison	14,059,299
		NYS Electric and Gas	192,590
Mohawk Valley	Fulton	National Grid	194,827
	Herkimer	National Grid	1,604,546
		NYS Electric and Gas	42,240
	Montgomery	National Grid	2,706,382
	Oneida	National Grid	6,081,275
		NYS Electric and Gas	8,400
	Otsego	National Grid	53,925
		NYS Electric and Gas	109,507
Schoharie	National Grid	24,260	
New York City	Bronx	Consolidated Edison	11,518,114
	Kings	Consolidated Edison	10,788,764
	New York	Consolidated Edison	12,312,220
		Statewide	802,183
	Queens	Consolidated Edison	9,973,587
		Long Island Power Authority	5,328
	Richmond	Consolidated Edison	5,544,481
North Country	Clinton	NYS Electric and Gas	465,025
	Essex	National Grid	632,580
		NYS Electric and Gas	49,585
	Franklin	National Grid	1,880,131
		NYS Electric and Gas	230,188,948
	Hamilton	National Grid	26,250
	Jefferson	National Grid	72,833,052
	Lewis	National Grid	374,475
	St. Lawrence	National Grid	2,501,389
	Southern Tier	Broome	NYS Electric and Gas
Chemung		NYS Electric and Gas	1,496,111
Chenango		Municipal Utilities	64,405
		NYS Electric and Gas	2,672,471
Delaware		NYS Electric and Gas	250,527,199

Projects Selected for Funding by Region

Period 4/1/2024 through 9/30/2024

REDC Region	County	Electric Utility	Total Funded Amount	
Southern Tier	Schuyler	NYS Electric and Gas	646,634	
	Steuben	NYS Electric and Gas	1,244,743,444	
	Tioga	NYS Electric and Gas	1,011,150	
	Tompkins	Municipal Utilities	44,810	
		NYS Electric and Gas	3,309,026	
Statewide	STATEWIDE	Statewide	94,153,626	
	STATEWIDE	Statewide	17,888,134,711	
Western New York	Allegany	ANDOVER	30,000	
		National Grid	86,195	
		NYS Electric and Gas	46,996	
		Rochester Gas and Electric	36,000	
	Cattaraugus	National Grid	1,037,435,501	
		NYS Electric and Gas	60,253	
	Chautauqua	Municipal Utilities	552,172	
		National Grid	2,269,549	
		NYS Electric and Gas	2,032,750	
	Erie	Municipal Utilities	514,500	
		National Grid	10,893,772	
		NYS Electric and Gas	1,626,941	
	Niagara	National Grid	91,295,861	
	Grand Total			22,593,046,576

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Adam C. Boese	Washington	National Grid	Technical Services, AEAP 1502 - Thomas Curtis	6,000
	Albany County	Albany	National Grid	Clean Energy Communities, Communities & Loc..	125,000
	Albany County Airport Authority	Albany	National Grid	PON 4614 - Round 9	500,000
	Alta Electrical Vehicles North ..	Albany	National Grid	CLEAN TRANSPORTATION, NYTVIP - GTG Alb..	1,075,000
	Amazon Web Services , INC.	Albany	National Grid	Consumer Ed and Market Support, Amazon Con..	7,844
	American Energy Care, Inc.	Albany	National Grid	Talent Pipeline:CE and OJT, OJT	10,560
	Ames Goldsmith Corp.	Warren	National Grid	CI Carbon Challenge, Accelerated Efficiency & EI..	636,786
	APPEXTREMES, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Conga Compose..	17,424
	Arcadis of New York, Inc.	Columbia	NYS Electric and Gas	Technical Services, AEAP 1674 - Dog Wood Far..	6,000
		Washington	NYS Electric and Gas	Technical Services, AEAP 1682 - Gettyvue Farm	6,000
				Technical Services, AEAP 1797 - Hicks Orchard ..	3,000
	Argus Media Inc.	Albany	National Grid	ENERGY ANALYSIS, Argus Renewal - 2024-2025	20,909
	Articulate Global Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Articulate Softwa..	1,193
	Aspire Technology Partners LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Cisco Cloud Calli..	481,654
				NYSERDA ADMINISTRATION, Cloud Calling Mi..	38,610
	Aztech Geothermal, LLC	Saratoga	National Grid	NYCH: Talent PpIn:CE and OJT, OJT	15,360
	Bond, Schoeneck & King, PLL..	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 5 Cybersec..	5,000
	BrowserStack Inc	Albany	National Grid	NYSERDA ADMINISTRATION, BrowserStack Li..	10,500
	Camelot Energy Group LLC	Albany	National Grid	Rmve Barriers Dist Enrgy Storg, TWO 1 - Peer re..	450,000
	Carahsoft Technology Corporation	Albany	National Grid	ASSISTED HOME PERFORMANCE WITH ENE..	3,788
				NYSERDA ADMINISTRATION, Salesforce Licen..	73,788
				NYSERDA ADMINISTRATION, Social Media Job..	45,537
	Carter Ledyard & Milburn LLP	Albany	National Grid	OREC: Technical Support, TWO 11 - Port RFQL ..	50,000
	Citizens Global Albany LLC	Albany	National Grid	NY-SUN, NY-Sun ICSA Round 2	297,216
	Citrine Power, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	359,547
				NY Sun	898,869
	Columbia County	Columbia	National Grid	Clean Energy Communities, Combined grants - E..	322,500
	Concur Technologies, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Concur Services ..	30,000
	Cornice Technology, LLC	Rensselaer	NYS Electric and Gas	CGSI-219CT -Berlin CSD (1)_CT	53,925
		Saratoga	National Grid	CGSI-102CT - Corinth CSD	66,525
				FT17246 - Burnt Hills Ballston	40,444
		Washington	National Grid	CGSI -132CT -Hudson Falls CSD	53,925
				CGSI-136CT- Greenwich CSD (1)	53,925
	Couch White, LLP	Albany	National Grid	ENERGY ANALYSIS, TWO 7 - FERC Order 1920	12,000
				ENERGY ANALYSIS, TWO 7 - NIETC Comments	10,000
	CPL Architects, Engineers, La..	Albany	National Grid	CGSI-178CT - Wellsville CSD	40,000
	CVENT, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Event Managem..	173,562
	DCF Energy Group, LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	6,480
	DNV Energy Insights USA Inc.	Albany	National Grid	Rmve Barriers Dist Enrgy Storg, TWO 2 - Peer R..	500,000
	ecoLong LLC	Albany	National Grid	Talent Pipeline:CE and OJT, OJT	7,200
	Eden Renewables, LLC	Albany	National Grid	>200KW PV, NY Sun	375,000
				NY Sun	937,500
	Empire Solar Solutions LLC	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	5,000
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	7,872
		Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	5,000
		Washington	National Grid	<200KW PV, PON 2112 NY SUN	6,888
	Energy Catalyst LLC	Rensselaer	National Grid	NYCH: Talent PpIn:CE and OJT, OJT	15,360
Energy Storage Response Gr..	Albany	National Grid	Rmve Barriers Dist Enrgy Storg, TWO 2 - Peer R..	550,000	
Enlarged City School District o..	Rensselaer	National Grid	K-12 SCHOOLS, CGSI-124O - Troy CSD (9)_O	186,560	
ePlus inc	Albany	National Grid	NYSERDA ADMINISTRATION, Veeam Protect ..	11,049	
			NYSERDA ADMINISTRATION, VEEAM Support ..	11,712	
ESRI, Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, ArcGIS Desktop ..	26,250	
Friello and Sons Heating and ..	Rensselaer	National Grid	NYCH: Talent PpIn:CE and OJT, OJT	9,120	
Fusco Personnel, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Recruitment Out..	100,000	
Gary E Phetteplace	Albany	National Grid	NYCH: District, Enter into a less than direct	50,000	
Guidehouse Inc.	Albany	National Grid	Landlord Outreach	198,000	
Harris Beach PLLC	Albany	National Grid	NYSERDA ADMINISTRATION, TWO 6 - Real Es..	5,000	
Holcim US Inc	Albany	Central Hudson Gas and Electric	CI Carbon Challenge, C&I Carbon Challenge	5,000,000	
Holland & Knight LLP	Albany	National Grid	OREC: Technical Support, TWO 11 - LSR Labor ..	50,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Holland & Knight LLP	Albany	National Grid	OREC: Technical Support, TWO 12 - ORECRFP..	75,000	
	Hudson River Renewables	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	5,000	
	INF Associates LLC	Schenectady	National Grid	CGSI-210CT -Schenectady CSD	123,354	
	Jordan Energy and Food Ente..	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	22,713	
	JPMorgan Chase Bank Nation..	Albany	National Grid	NYSERDA ADMINISTRATION, Depository Banki..	28,158	
	Kasselman Solar LLC	Albany	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	1,968	
			National Grid	<200KW PV, PON 2112 NY SUN	50,053	
		Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000	
		Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	17,056	
		Rensselaer	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,508	
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	25,000	
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	8,528	
		Washington	National Grid	<200KW PV, PON 2112 NY SUN	5,780	
		Kelliher Samets LTD	Albany	National Grid	Electric Vehicles - Innovation, TWO 40 - Strategi..	10,000
					NYSERDA ADMINISTRATION, TWO 40 - Strate..	70,000
	TWO 40 - Strategic Marktg Sup				50,000	
	Kruger Energy Inc.	Saratoga	National Grid	>200KW PV, NY Sun	275,412	
				NY Sun	688,530	
	Lenovo Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Carbon X1 lapto..	7,990	
				NYSERDA ADMINISTRATION, Lenovo mini des..	29,750	
				NYSERDA ADMINISTRATION, Lenovo Thinkvisi..	7,080	
	Leonard Bus Sales, Inc.	Rensselaer	National Grid	NYSBIP - East Greenbush SD	882,000	
		Saratoga	National Grid	NYSBIP Burnt Hills SD	441,000	
		Warren	National Grid	NYSBIP - Queensbury SD	159,250	
	Level 3 Communications, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Century Link_Ext..	72,000	
	LexisNexis	Albany	National Grid	NYSERDA ADMINISTRATION, Online Legal Res..	59,988	
	Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, Insurance SL/LT../	175,000	
	LinkedIn	Albany	National Grid	NYSERDA ADMINISTRATION, Social Media Job..	45,537	
	Livingston Energy Group	Schenectady	National Grid	Talent Pipeline:CE and OJT, OJT	25,384	
	Long Island Power Solutions	Albany	National Grid	<200KW PV, PON 2112 NY SUN	5,620	
		Greene	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000	
	Lumsden & McCormick, LLP	Albany	National Grid	NYSERDA ADMINISTRATION, Tax Research S..	10,000	
	Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 4301 Insura..	510,286	
	Matthews Buses Incorporated	Albany	National Grid	NYSBIP - Bethlehem SD	661,500	
				NYSBIP Bethlehem SD	661,500	
		Greene	Central Hudson Gas and Electric	NYSBIP - Cairo-Durham SD	514,500	
	Milliman, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, GASB74 Liab G..	12,600	
	Montgomery Street Projects L..	Columbia	National Grid	Net Zero Energy for Eco Dev, CNCED 2023 - Mo..	1,526,168	
	NASEO	Albany	National Grid	Prof & Expert Engagement, NASEO Renewal 20..	18,063	
	Network Experts of New York,..	Albany	National Grid	NYSERDA ADMINISTRATION, NetXNY Consulti..	9,000	
	New York Power Authority	Schenectady	National Grid	Technical Services, FT17188 NYPA - NYS OGS ..	29,712	
	New York State Forum for IRM	Albany	National Grid	NYSERDA ADMINISTRATION, NYS Forum Me..	5,000	
	NYS Office for Technology	Albany	National Grid	NYSERDA ADMINISTRATION, Advanced eDisc..	42,432	
	PlugPV, LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	37,992	
		Columbia	National Grid	<200KW PV, PON 2112 NY SUN	9,720	
		Greene	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	23,680	
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	86,457	
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	60,640	
		Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	34,144	
	Provantage, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Surface Laptop 5..	87,975	
	Queensbury Union Free Scho..	Warren	National Grid	FT17128 Queensbury USFD (1)_CT	31,425	
	Raj Technologies Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Content Delivery ..	122,185	
NYSERDA ADMINISTRATION, Raj / Hypergen P..				868,790		
Randall Road Solar I, LLC	Saratoga	National Grid	NY-SUN, NY-Sun ICESA Round 2	327,499		
Rise to Equity Excellence, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, DEI Training Plan	38,000		
Riverside Towers Corp.	Albany	National Grid	Technical Services, FT17212 - Time Equities - 150	12,500		
Rosenblum Property Services,..	Saratoga	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	93,443		
Salary.com, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, HR Data Subscri..	6,000		
Seaboard Solar Holdings LLC	Rensselaer	National Grid	>200KW PV, NY Sun	684,399		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	Seaboard Solar Holdings LLC	Rensselaer	National Grid	NY Sun	1,711,001
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Adobe Acrobat li..	7,597
				NYSERDA ADMINISTRATION, Keeper Security ..	5,436
				NYSERDA ADMINISTRATION, Tableau Desktop..	107,037
	Sive Paget & Riesel PC	Albany	National Grid	BR: Program Implementation, TWO 3 - Build Rea..	50,643
				BR: Program Implementation, TWO 10 - BR/Auct..	50,000
				REC:CES REC System Dev Costs, TWO 8 - Tier..	50,000
				REC:CES REC System Dev Costs, TWO 11 - Tie..	100,000
				WEST VALLEY DEVELOPMENT PROGRAM, T..	125,000
	Sol Source Power, LLC	Greene	Central Hudson Gas and Electric	>200KW PV, NY Sun	276,225
				NY Sun	690,563
	Solar Liberty Energy Systems,...	Schenectady	National Grid	<200KW PV, NY-Sun	73,660
	SolarCommunities Inc.	Albany	National Grid	<200KW PV, PON 2112 NY SUN	5,000
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	9,072
	Speridian Technologies LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Speridian - UiPat..	50,000
	TAP, Inc.	Rensselaer	National Grid	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 (..	40,000
	Tech Valley Talent, LLC	Albany	National Grid	ASSISTED HOME PERFORMANCE WITH ENE..	73,775
				ASSISTED HOME PERFORMANCE WITH ENE..	62,400
				Market Support Tools &Activity, TWO #33 Techni..	64,675
				NYSERDA ADMINISTRATION, TWO #14 Salesf..	224,640
				NYSERDA ADMINISTRATION, TWO #30 Tablea..	194,025
				NYSERDA ADMINISTRATION, TWO #31 Netwo..	185,250
				TWO 28 .Net Software Dev. – Bi	147,550
				TWO #32 SFR. Staff Aug Dev.– P	124,800
	Technology Professionals Group Inc.	Albany	National Grid	TWO #33 Technical BA – Tonya W	129,350
				Informat. Products & Brokering, TWO 6 Tableau ..	169,650
				NYSERDA ADMINISTRATION, TWO 3 Sr. Share..	26,166
	Thermal Associates, LLC	Warren	National Grid	NYSERDA ADMINISTRATION, TWO # 5 Service..	87,750
	Thermal Associates, LLC	Warren	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	ThunderCat Technology LLC	Albany	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	15,360
				NYSERDA ADMINISTRATION, Asana project m..	177,123
				NYSERDA ADMINISTRATION, Atlassian Cloud ..	309,960
				NYSERDA ADMINISTRATION, Atlassian Cloud ..	219,032
				NYSERDA ADMINISTRATION, Cisco Umbrella ..	57,477
				NYSERDA ADMINISTRATION, Docusign 2024 - ..	180,427
				NYSERDA ADMINISTRATION, Pyramid Consulti..	8,800
				NYSERDA ADMINISTRATION, Sitecore CMS Li..	95,507
	NYSERDA ADMINISTRATION, Workspace One ..	104,766			
	Town of Chatham	Columbia	NYS Electric and Gas	Clean Energy Communities, Chatham Photovolta..	50,000
	Town of Germantown	Columbia	National Grid	Clean Energy Communities, Communities & Loc..	40,000
	Town of Ghent	Columbia	NYS Electric and Gas	Clean Energy Communities, Communities & Loc..	10,000
	Town of New Lebanon	Columbia	NYS Electric and Gas	Clean Energy Communities, \$175000 NL Town g..	175,000
	Town of Roseboom	Schenectady	National Grid	Clean Energy Communities, Roseboom Grant 2	50,000
	Town of Taghkanic	Columbia	Central Hudson Gas and Electric	Clean Energy Communities, Solar & Heat Pumps..	36,570
				NYCH: Communities, Solar & Heat Pumps at To..	13,430
	TRC Companies, Inc.	Albany	National Grid	NYCH: LMI, TWO #3 Landlord Outreach	200,000
	TRC Energy Services	Washington	National Grid	Technical Services, AEAP 1667 - Lillie Valley Far..	3,000
Underground Railroad History ..	Albany	National Grid	Net Zero Energy for Eco Dev, CNCED 2023 - Un..	1,107,457	
Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, TWO #10 Servic..	136,500	
Wendel Energy Services, LLC	Rensselaer	National Grid	FT17078 Schodack CSD (4)_CT	39,386	
	Washington	National Grid	CGSI-233 - Cambridge CSD	42,680	
Workforce Development Instit..	Albany	National Grid	Talent Pipeline:CE and OJT, PON 4772 R3 (Ren..	40,000	
Xenolith Partners LLC	Schenectady	National Grid	Technical Services, FT17264 - Xenolith Partners -	7,519	
Central New York	Adam C. Boese	Madison	NYS Electric and Gas	Technical Services, AEAP 1701 - Richard Pugh	6,000
			Technical Services, AEAP 1717 - Jessica Heim	5,610	
			Technical Services, AEAP 1741 - Jessica Heim..	6,000	
	AETS OH 2024 LLC	Onondaga	NYS Electric and Gas	>200KW PV, NY Sun	730,884
	Arcadis of New York, Inc.	Madison	NYS Electric and Gas	Technical Services, AEAP 1789 - New Moon Far..	3,000
	Aurora Ridge Dairy LLC	Cayuga	NYS Electric and Gas	Anaerobic Digesters, PON 3739 CAT C	529,000
	Bergmann Associates,	Cayuga	NYS Electric and Gas	Technical Services, AEAP 1681 - Dickman Farm..	6,000

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	Bergmann Associates, Architects,	Oswego	National Grid	Technical Services, AEAP 1671 - City Line Farms	5,500
	Breathe Easy of CNY Inc.	Oswego	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	C&S Engineers, Inc.	Madison	National Grid	CGSI-114 - DeRuyter CSD (1)_CT	53,926
		Onondaga	National Grid	CGSI-215CT -East Syracuse-Min.	68,089
	CHA Consulting Inc.	Onondaga	National Grid	On-Site Energy Manager, OsEM136-I - Lotte Biol..	200,000
	Chiassons Heating and Air Co..	Oswego	National Grid	Talent Pipeline:CE and OJT, OJT	5,600
	Cornice Technology, LLC	Cayuga	Rochester Gas and Electric	CGSI-216CT -Cato Meridian CSD	53,925
		Cortland	NYS Electric and Gas	CGSI-140CT -Cincinnatus CSD	53,925
	CPL Architects, Engineers, La..	Oswego	National Grid	CGSI-96- Mexico CSD (1)_CT	55,000
	Energy Savers Inc	Onondaga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	6,512
	FINGER LAKES POWER SY..	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,400
	Fusion Energy Services LLC	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
	Hewitt Young Electric,LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	12,920
	High Peaks Solar	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	187,440
	IBC Engineering PC	Onondaga	Municipal Utilities	CGSI-83E - Solvay UFSD	8,633
			National Grid	K-12 SCHOOLS, CGSI-204ED - North Syracuse	886,386
	Infinity Solar Systems, LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	11,808
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
	Jordan Energy and Food Ente..	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	92,393
	LaBella Associates, P.C.	Onondaga	National Grid	Technical Services, FT17189 NYS OGS - 333 E ..	16,273
	Lamico Enterprises, LLC	Onondaga	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	6,080
				Talent Pipeline:CE and OJT, OJT	12,160
	M/E Engineering, P.C.	Cayuga	NYS Electric and Gas	Technical Services, FT17107 East Hill Medical C..	9,425
	Mathews Buses Incorporated	Onondaga	NYS Electric and Gas	NYSBIP Marcellus SD	441,000
	Minetto Associates, LP	Oswego	National Grid	Tech Assistanc Multifamily LMI, FT - 000076779..	6,779
	Next Generation Solar, LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	22,448
		Oswego	National Grid	<200KW PV, PON 2112 NY SUN	13,776
	NSF EPC LLC	Onondaga	NYS Electric and Gas	>200KW PV, NY Sun	375,000
				NY Sun	937,500
	PlugPV, LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	22,400
	Quantum DPI Group Inc	Madison	National Grid	>200KW PV, NY Sun	346,528
				NY Sun	866,320
	Renovus Energy, Inc.	Cayuga	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,250
	Siemens Industry, Inc.	Madison	National Grid	RTEM Small/Medium Business, Siemens-1856 N..	76,415
				RTEM Small/Medium Business, Siemens-Oneida..	154,319
				RTEM Small/Medium Business, Siemens-LeMoy..	170,000
	SUNY Cortland	Cortland	National Grid	Technical Services, OsEM137-C - SUNY Cortland	213,671
	SUNY Oswego	Oswego	National Grid	New Construction- Commercial, Commercial Ne..	265,400
	Taitem Engineering, P.C.	Cortland	NYS Electric and Gas	K-12 SCHOOLS, CGSI-149E - Cincinnatus CSD	32,480
	Town of LaFayette	Onondaga	National Grid	Clean Energy Communities, CEC200185 - Buildi..	10,000
Vermont Energy Investment C..	Onondaga	National Grid	INDUSTRIAL PROCESS EFFICIENCY, FT76070..	56,250	
Village of Camillus	Onondaga	National Grid	Clean Energy Communities, CEC 3.0 - 1 Star De..	10,000	
Village of Solvay	Onondaga	Municipal Utilities	CLEANER GREENER COMMUNITIES, Village o..	11,600	
Wendel Energy Services, LLC	Onondaga	National Grid	CGSI-108CT - LaFayette CSD	39,350	
			CGSI-112CT - Tully CSD (1)_CT	56,910	
Finger Lakes	AB Capital Assets, LLC	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	6,400
	ACE Development Company LLC	Livingston	National Grid	REC:CES REC Contracts, RESRFP22-1	161,972,833
		Orleans	National Grid	REC:CES REC Contracts, RESRFP22-1	190,695,808
	Adam C. Boese	Livingston	National Grid	Technical Services, AEAP 1566 - High Grove Far..	5,330
				Technical Services, AEAP 1718 - MT Pockets	6,000
				NYS Electric and Gas	Technical Services, AEAP1627 - Thornapple Dairy
	Ontario	Rochester Gas and Electric	Technical Services, AEAP 1621 - Purdy Family F..	6,000	
		Orleans	National Grid	REC:CES REC Contracts, RESRFP23-1	396,526,301
	Arcadis of New York, Inc.	Seneca	NYS Electric and Gas	CGSI-118 - Seneca Falls CSD	44,810
	C.J. Brown Energy, P.C.	Monroe	Municipal Utilities	K-12 SCHOOLS, FT17257 Spencerport CSD (9)..	64,012
			Orleans	National Grid	Technical Services, AEAP 1643 - Zeliff Farms
		Wyoming	National Grid	Technical Services, AEAP 1680 - Zimpfer's Mapl..	5,997
			NYS Electric and Gas	Technical Services, AEAP 1644 - Joseph Meyer	5,997
Technical Services, AEAP 1648 - All Day Acres	2,997				

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	Catalyze Holdings, LLC	Genesee	National Grid	NY-SUN, NY-Sun ICSA	762,499
		Ontario	NYS Electric and Gas	NY-SUN, NY-Sun ICSA	449,756
	CH4 Generate Cayuga, LLC	Monroe	Rochester Gas and Electric	Anaerobic Digesters, PON 3739 CAT C	545,583
	City of Rochester	Monroe	Rochester Gas and Electric	Clean Energy Communities, CEC Projects	80,000
	Climate Solutions Accelerator ..	Monroe	Rochester Gas and Electric	Translation Services, Regional Clean Energy Hub	50,000
	Cordelio Development LLC	Wyoming	NYS Electric and Gas	REC:CES REC Contracts, RESRFP22-1	20,650,043
	Cornice Technology, LLC	Monroe	Rochester Gas and Electric	CGSI-131CT - Greece CSD (1)_CT	97,455
				CGSI-167CT -Gates-Chili CSD	53,925
				CGSI-200CT - Webster CSD	79,465
				FT17245 - Pittsford CSD (1)_CT	40,444
		Ontario	NYS Electric and Gas	CGSI-217CT -Naples CS (1)_CT	53,925
		Rochester Gas and Electric	CGSI-218CT -East Bloomfield CS	53,925	
	Crossfield Home Energy Solutions	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	10,080
				Talent Pipeline:CE and OJT, OJT	5,760
	Dailey Electric Inc	Yates	Municipal Utilities	NYCH: Talent Ppln:CE and OJT, OJT	9,120
	Dom Belle Services LLC	Seneca	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	EMCOR Services Betlem	Monroe	Rochester Gas and Electric	INDUSTRIAL PROCESS EFFICIENCY, FT17269..	112,232
				Technical Services, FT - 0000780193 - Rocheste..	12,492
		Ontario	Rochester Gas and Electric	Technical Services, FT - 0000801953 - SUNY Fi..	20,539
		Wayne	NYS Electric and Gas	Technical Services, FT 0000811630 - Newcut Inc..	15,415
	Empire Solar Solutions LLC	Seneca	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
	Finger Lakes Comfort, Inc	Wayne	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	37,200
				Talent Pipeline:CE and OJT, OJT	21,920
	Fusion Energy Services LLC	Wayne	Rochester Gas and Electric	<200KW PV, NY-Sun	7,500
	GBA Commissioning Services..	Monroe	Rochester Gas and Electric	Technical Services, FT17216 University of Roche..	999,277
	Geotherm Inc.	Monroe	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	GSI Development Corp.	Yates	NYS Electric and Gas	>200KW PV, NY Sun	636,661
				NY Sun	1,591,650
				NY-SUN, NY Sun	891,323
	Halcyon Inc.	Ontario	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	27,840
				Talent Pipeline:CE and OJT, OJT	9,600
	Hawn Heating & Energy Servi..	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	61,832
	Hecate Energy Group LLC	Genesee	National Grid	REC:CES REC Contracts, RESRFP23-1	713,971,794
	LaBella Associates, P.C.	Monroe	Rochester Gas and Electric	New Construction- Commercial, Commercial NC..	5,000
		Orleans	National Grid	CGSI-206CT -Kendall CSD (1)_CT	40,660
	M/E Engineering, P.C.	Livingston	National Grid	INDUSTRIAL PROCESS EFFICIENCY, FT - 000..	28,875
	Matthews Buses Incorporated	Livingston	NYS Electric and Gas	NYSBIP Dansville SD	257,250
	MicroEra Power, Inc.	Monroe	Rochester Gas and Electric	Talent Pipeline:CE and OJT, OJT	7,040
	New York Bus Sales LLC	Livingston	National Grid	CLEAN TRANSPORTATION, NYTVIP - Livonia ..	200,000
		Monroe	Rochester Gas and Electric	NYSBIP Penfield SD	1,323,000
	ODS Management, Inc.	Genesee	National Grid	Low Carbon Tech Demos, MF Low Carbon Path..	50,750
	REDAPTIVE, INC.	Monroe	Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	104,760
	Rochester Institute of Technol..	Monroe	Rochester Gas and Electric	Technical Services, FT15087 - Rochester Institute	17,135
	Ryan Plumbing Heating Air Conditioning	Monroe	Rochester Gas and Electric	NYCH: Talent Ppln:CE and OJT, OJT	21,120
				Talent Pipeline:CE and OJT, OJT	22,080
	Siemens Industry, Inc.	Livingston	NYS Electric and Gas	RTEM Small/Medium Business, Siemens-337NM..	72,355
	Sustainable Comfort, Inc	Ontario	Rochester Gas and Electric	Buildings of Excellence, RFP3928 SCI TWO #4	100,000
	Sustainable Energy Developments Inc.	Monroe	National Grid	<200KW PV, PON 2112 NY SUN	13,260
			Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	22,553
		Wayne	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	115,188
Wyoming		Rochester Gas and Electric	<200KW PV, PON 2112 NY SUN	5,000	
Town of Brighton	Monroe	Rochester Gas and Electric	Clean Energy Communities, Solar Expansion & ..	100,000	
Town of Richmond	Ontario	National Grid	Clean Energy Communities, Audit/Implementatio..	6,600	
University of Rochester	Monroe	Rochester Gas and Electric	CI Carbon Challenge, C&I Carbon Challenge	982,145	
VC Renewables Holdings LLC	Livingston	National Grid	REC:CES REC Contracts, RESRFP22-1	23,194,501	
Village of Avon	Livingston	National Grid	Clean Energy Communities, Audit/Implementatio..	6,600	
Village of Silver Springs	Wyoming	Municipal Utilities	Clean Energy Communities, Village Hall Energy ..	6,600	
Village of Sodus	Wayne	Rochester Gas and Electric	Clean Energy Communities, CEC300347 - Buildi..	6,600	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Finger Lakes	Wendel Energy Services, LLC	Livingston	National Grid	INDUSTRIAL PROCESS EFFICIENCY, FT - 000..	52,000	
		Monroe	Rochester Gas and Electric	CGSI-31_CT - Rochester - FTC	9,450	
		Ontario	Rochester Gas and Electric	CGSI-236 - Manchester-Shorts	47,575	
Finger Lakes	Wise Home Energy, LLC	Monroe	Rochester Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	35,040	
				Talent Pipeline:CE and OJT, OJT	7,040	
Long Island	AI-ALT STRUCTURAL ENGI..	Suffolk	Long Island Power Authority	OJT	15,360	
	DSM Engineering Assoc, P.C.	Suffolk	Long Island Power Authority	CGSI-211E -South Country CSD	43,660	
	Empower CES, LLC	Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	68,750	
		Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	31,250	
	Green Team USA, LLC	Suffolk	Long Island Power Authority	NYCH: Talent Ppin:CE and OJT, OJT	18,000	
				OJT	18,000	
	GreenLogic, LLC	Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	12,500	
	Harvest Power, LLC	Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	6,250	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	5,040	
	Home Energy Solutions	Suffolk	Long Island Power Authority	OJT	12,480	
	Hytech Solar Inc	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	6,400	
				ENERGY STORAGE, PON 2112 NY SUN	12,500	
	INF Associates LLC	Suffolk	Long Island Power Authority	Technical Services, OSEM141-C - P.C. Richard	200,000	
	JB1 Construction Group	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	6,068	
	Kamtech Restoration Corp	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	8,624	
	Leviathan Solar Inc	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	28,262	
	Long Island Power Solutions	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	11,484	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	11,988	
	Long Island Progressive Coali..	Suffolk	Long Island Power Authority	NY-SUN, PON 3414 - Islip Housing Autho	145,000	
	Marcor Construction, Inc	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, NY-Sun	5,376	
	NYS Essential Power	Nassau	Long Island Power Authority	<200KW PV, PON 2112 NY SUN	5,120	
				COMMUNITY SOLAR, PON 2112 NY SUN	10,368	
				COMMUNITY SOLAR, PON 2112 NY SUN	21,030	
	NYSS LLC	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	37,224	
		Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	39,600	
	SOLANTA CORP	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	5,270	
	Spectivate LLC	Suffolk	Long Island Power Authority	Electric Vehicles - Innovation, NYSBIP Calculator..	49,941	
	SuNation Solar Systems, Inc.	Nassau	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	86,984	
				ENERGY STORAGE, PON 2112 NY SUN	11,650	
				COMMUNITY SOLAR, PON 2112 NY SUN	128,859	
	SunPower Capital, LLC	Suffolk	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	35,800	
				COMMUNITY SOLAR, PON 2112 NY SUN	12,310	
				COMMUNITY SOLAR, PON 2112 NY SUN	6,080	
	Sunrise Energy Corp.	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	13,028	
	Surf Clean Energy Inc	Suffolk	Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	24,000	
	T. F. Obrien	Nassau	Long Island Power Authority	NYCH: Talent Ppin:CE and OJT, OJT	6,250	
	Trinity Solar Inc	Nassau	Long Island Power Authority	ENERGY STORAGE, PON 2112 NY SUN	95,863	
	Wendel Energy Services, LLC	Nassau	Long Island Power Authority	FT17247 Nassau BOCES (1)_CT	34,526	
				FT17270 - Jericho SD (5)_CT	47,990	
				CGSI-180CT - South Huntington	44,228	
	Mid-Hudson	AASPEN HVAC	Putnam	NYS Electric and Gas	NYCH: Talent Ppin:CE and OJT, OJT	7,680
					NYCH: Talent Ppin:CE and OJT, OJT	31,200
Tech Assistanc Multifamily LMI, FT17085 Relate..					60,600	
AKF-engineers	Dutchess	Central Hudson Gas and Electric	NYCH: Talent Ppin:CE and OJT, OJT	16,560		
All-State Air Control Sales & S..	Westchester	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	15,360		
alpha-En Corporation	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	82,966		
AMERESCO, Inc.	Putnam	NYS Electric and Gas	<200KW PV, NY-Sun	70,800		
	Westchester	Consolidated Edison	CGSI-151 -Hyde Park CSD (1)_CT	44,810		
Arcadis of New York, Inc.	Dutchess	Central Hudson Gas and Electric	Technical Services, AEAP 1798 - Taida Orchid	3,000		
			Technical Services, GH 23 - Taida Orchids NY	6,500		
			Technical Services, AEAP 1764 - Kent Countrysi..	3,000		
Armory Plaza Housing, L.P.	Westchester	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	208,000		
Bard College	Dutchess	Central Hudson Gas and Electric	New Construction- Commercial, Commercial NC..	47,000		
Bell Mechanical, LLC	Putnam	NYS Electric and Gas	NYCH: Talent Ppin:CE and OJT, OJT	90,960		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Bliss Solar, LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	361,010
	Board of Education - Ossining..	Westchester	Consolidated Edison	CGSI-51E - Ossining SD (6)_E	281,730
	City of Peekskill	Westchester	Consolidated Edison	Clean Energy Communities, City of Peekskill Pre..	10,000
	County Cooling, Corp.	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	County Heat & AC, LLC	Putnam	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	9,679
	CPL Architects, Engineers, La..	Dutchess	Central Hudson Gas and Electric	CGSI-106 - Poughkeepsie CitySD	35,000
	CTI Energy Services, LLC	Westchester	Consolidated Edison	Technical Services, FT17272 - Highland Terrace ..	27,000
	Dandelion Energy Inc	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	36,000
	Discover Green Renewable E..	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	15,300
	Electricade LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	10,076
				Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN
	Emes Solar	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	6,232
				>200KW PV, PON 2112 NY SUN	232,315
	Empire Solar Solutions LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,000
				Orange	Central Hudson Gas and Electric
		Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,000
			Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,000
			Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN
	Energy Management Solution..	Rockland	Orange and Rockland Utilities	Talent Pipeline:CE and OJT, OJT	37,933
	Enica Engineering, PLLC	Westchester	Consolidated Edison	Technical Services, FT17286 New York Presbyte..	183,380
	Environ Energy Holdings LLC	Westchester	Consolidated Edison	Technical Services, OsEM142-C - White Plains H..	200,000
	Environet Systems, LLC	Rockland	Orange and Rockland Utilities	Talent Pipeline:CE and OJT, OJT	17,309
	Florenton River LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	273,320
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN
	Freedom Solar LLC	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	32,495
		Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	864,852
	G&S Operations LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	1,280
				NY-SUN, NY-Sun	320
	GarageWORKS Studios LLC	Dutchess	Central Hudson Gas and Electric	Net Zero Energy for Eco Dev, CNCED 2023-Gar..	1,983,156
	Generate Capital Inc.	Sullivan	Orange and Rockland Utilities	>200KW PV, NY Sun	336,960
				NY Sun	842,400
	Goldman Copeland Associate..	Rockland	Orange and Rockland Utilities	Heat Recovery, HRC1_GoCo_NYACK	14,980
	Gree Mechanical Yonkers LLC	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	76,080
	Green Hybrid Energy Solutions Inc.	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	712
				>200KW PV, PON 2112 NY SUN	101,280
	H2M Architects, Engineers, La..	Rockland	Orange and Rockland Utilities	OTHER PROGRAM AREA, Haverstraw JT Plann..	160,000
	Harris Energy Solutions LLC	Orange	Orange and Rockland Utilities	Technical Services, AEAP 1715 - Finding Home ..	3,000
	Healthy Home Energy & Cons..	Putnam	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	5,760
	Hudson River Renewables	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	8,100
	Hudson Valley Wind Energy, ...	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	10,000
	Infinity Solar Systems, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	59,441
				Orange	Orange and Rockland Utilities
		Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	13,120
	Jordan Energy and Food Ente..	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	17,760
	JP Bus & Truck Repair LTD	Westchester	Consolidated Edison	NYSBIP - Croton Harmon SD	1,323,000
				NYSBIP - NYC SD	199,500
				NYS Electric and Gas	NYSBIP - Katonah Lewisboro SD
	Kamtech Restoration Corp	Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	18,440
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,392
	Kasselmann Solar LLC	Dutchess	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,660
	LaBella Associates, P.C.	Dutchess	Central Hudson Gas and Electric	K-12 SCHOOLS, FT17126 Oakwood Friends Sc..	32,000
				Tech Assistanc Multifamily LMI, FT17162 AME Zi..	30,000
				Tech Assistanc Multifamily LMI, FT17260 Hudso..	5,085
	Leonard Bus Sales, Inc.	Dutchess	Central Hudson Gas and Electric	NYSBIP Beacon SD	514,500
				NYSBIP Hyde Park SD	514,500
		Orange	Orange and Rockland Utilities	NYSBIP Goshen SD	514,500
	Lodestar Energy	Orange	Central Hudson Gas and Electric	NY-SUN, NY-Sun ICSA	225,389
	Long Island Power Solutions	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,000
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	5,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
Mid-Hudson	Long Island Power Solutions	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	14,860		
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	16,590		
	Mid-Hudson Energy Transition	Westchester	Consolidated Edison	PON 4772 R3 (Kyra Shassberger)	40,000		
	MOUNT AIRY NY LLC	Orange	Central Hudson Gas and Electric	NY-SUN, NY-Sun ICSA	301,860		
	Navistar, Inc.	Orange	Orange and Rockland Utilities	NYSBIP Middletown SD	2,572,500		
	Neuro Building Systems	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	28,320		
	New Paltz, Town of	Ulster	Central Hudson Gas and Electric	Clean Energy Communities, Town of New Paltz 1..	150,000		
	New York Bus Sales LLC	Dutchess	Central Hudson Gas and Electric	NYSBIP Arlington SD	171,000		
	New York Engineers, P.C.	Rockland	Orange and Rockland Utilities	K-12 SCHOOLS, CGSI-119E - East Ramapo CSD	284,752		
				Westchester	Consolidated Edison	CGSI-153E - White Plains CSD	281,052
				CGSI-160E - New Rochelle CSD	302,248		
	New York State Foam & Energy LLC	Orange	Central Hudson Gas and Electric	CGSI-161O - New Rochelle CSD	170,570		
				NYCH: Talent Ppln:CE and OJT, OJT	6,400		
				Talent Pipeline:CE and OJT, OJT	19,520		
	New York State Solar Farm Inc.	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	12,968		
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	52,015		
	Nexamp Inc.	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	315,184		
				NY Sun	787,962		
	NY CDG 008 LLC	Westchester	Consolidated Edison	NY-SUN, NY-Sun ICSA	51,943		
	OLA Consulting Engineers, P...	Westchester	Consolidated Edison	Technical Services, FT17151 Biltmore Towers - 3..	19,842		
	Onsite Energy, Inc.	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000		
	Onyx Development Group LLC	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	2,156,280		
	OPAL ENERGY GROUP LLC	Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	17,400		
	Paradise Energy Solutions, LL..	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,578		
	Plankton Energy LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	73,235		
	PlugPV, LLC	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	27,360		
				NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	27,528	
				Orange	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	6,720
		Ulster	Central Hudson Gas and Electric	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	9,280	
				Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	33,952	
				Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	71,751	
	Powerlutions, LLC	Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	344		
	Quest Home Improvement Inc	Westchester	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	12,240		
	RBW Studio LLC	Ulster	Central Hudson Gas and Electric	Talent Pipeline:CE and OJT, OJT	89,107		
	Regeneron Pharmaceuticals I..	Westchester	Consolidated Edison	>200KW PV, NY-Sun	145,500		
	Saint-Gobain Gypsum USA, I..	Westchester	Consolidated Edison	CI Carbon Challenge, Accelerated Efficiency & EI..	3,101,350		
	Sanitation Equipment Corporation	Westchester	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - City of ..	198,381		
				CLEAN TRANSPORTATION, NYTVIP - City of Y..	198,381		
	Sol Source Power, LLC	Orange	Orange and Rockland Utilities	>200KW PV, NY Sun	189,254		
				NY Sun	473,135		
	Solar Liberty Energy Systems,..	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	145,000		
	SolarCommunities Inc.	Dutchess	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	42,060		
		Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	24,200		
	Solarize Plus Inc	Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	8,208		
	Spackenkill Union Free Schoo..	Dutchess	Central Hudson Gas and Electric	FT17051 - Spackenkill UFSD (6)	28,125		
	Sun Source Technologies	Ulster	Central Hudson Gas and Electric	<200KW PV, PON 2112 NY SUN	16,056		
	SuNation Solar Systems, Inc.	Rockland	Orange and Rockland Utilities	>200KW PV, NY Sun	97,038		
				NY Sun	242,595		
	Sunnova Energy Corp	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000		
	SUNRISE ELECTRICAL SER..	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	107,428		
	Sunrise Solar Solutions, LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	182,115		
				>200KW PV, NY-Sun	161,865		
>200KW PV, PON 2112 NY SUN				31,766			
SunRun, Inc	Orange	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	5,000			
Surf Clean Energy Inc	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	26,320			
Sustainable Westchester	Westchester	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 ..	40,000			
			Talent Pipeline:CE and OJT, OJT	11,539			
Town of Gardiner	Ulster	Central Hudson Gas and Electric	Clean Energy Communities, CEC500684 - 3 Star..	100,000			
			Clean Energy Communities, CEC500684 - Buildi..	6,600			

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Mid-Hudson	Town of Mamaroneck	Westchester	Consolidated Edison	Clean Energy Communities, CEC500645 - CEC ..	100,000
	Town of Mount Pleasant	Westchester	Consolidated Edison	Clean Energy Communities, Communities & Loc..	15,000
	Town of New Castle	Westchester	Consolidated Edison	Clean Energy Communities, Solar at the Chappa..	275,000
	Town of Philipstown	Putnam	Central Hudson Gas and Electric	Clean Energy Communities, CEC500794 - Comb..	370,000
				Clean Energy Communities, CEC500794 LR & 3...	174,800
	Town of Rhinebeck	Dutchess	Central Hudson Gas and Electric	Clean Energy Communities, CEC EV Project	10,000
	Trane	Westchester	Consolidated Edison	Heat Recovery, HeatRec C1_Trane_SKAE Power	39,750
	Tri State Solar Services	Rockland	Orange and Rockland Utilities	<200KW PV, PON 2112 NY SUN	76,572
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000
	Urban Energy Inc	Westchester	Consolidated Edison	>200KW PV, NY-Sun	340,470
				NY-SUN, NY-Sun	68,094
	Village of Bronxville	Westchester	Consolidated Edison	Clean Energy Communities, Village Hall & Librar..	50,000
	Village of Cold Spring	Putnam	Central Hudson Gas and Electric	Clean Energy Communities, EV truck heat pump..	100,000
	Village of Croton-on-Hudson	Westchester	Consolidated Edison	Clean Energy Communities, Communities & Loc..	17,500
				Clean Energy Communities, Croton-on-Hudson S..	425,000
	Village of Irvington	Westchester	Consolidated Edison	Clean Energy Communities, 2024 EV Purchases	100,000
	Village of Mamaroneck	Westchester	Consolidated Edison	Clean Energy Communities, Village of Mamarone..	56,600
	Village of Nyack	Rockland	Orange and Rockland Utilities	Clean Energy Communities, Communities & Loc..	150,000
	Village of Rhinebeck	Dutchess	Central Hudson Gas and Electric	Clean Energy Communities, Police Building Phas..	50,000
	Watchtower Bible &	Rockland	Orange and Rockland Utilities	New Construction- Commercial, Commercial Ne..	412,548
WBP Development LLC	Westchester	Consolidated Edison	<200KW PV, NY-Sun	361,865	
			>200KW PV, NY-Sun	361,865	
Mohawk Valley	Adam C. Boese	Montgomery	National Grid	Technical Services, AEAP 1740 - Envision Dairy	6,000
		Schoharie	National Grid	Technical Services, AEAP 1720 - Seven View Fa..	5,340
	Annsville Solar 1, LLC	Oneida	National Grid	NY Sun	937,500
				NY-SUN, NY Sun	525,000
	Annsville Solar 2, LLC	Oneida	National Grid	NY Sun	937,500
				NY-SUN, NY Sun	525,000
	Annsville Solar 3, LLC	Oneida	National Grid	NY Sun	303,875
				NY-SUN, NY Sun	170,170
	C&S Engineers, Inc.	Fulton	National Grid	CGSI-92 - Northville CSD(1)_CT	46,909
	Canajoharie Central School Di..	Montgomery	National Grid	K-12 SCHOOLS, CGSI-29_O - Canajoharie - PON	125,000
	Catalyze Holdings, LLC	Herkimer	National Grid	NY-SUN, NY-Sun ICSA	394,243
		Oneida	National Grid	NY-SUN, NY-Sun ICSA	687,786
	Cipriani Energy Group Corp.	Montgomery	National Grid	>200KW PV, NY Sun	310,284
				NY Sun	775,710
	Cornell Cooperative Extension of Oneida	Oneida	National Grid	Clean Energy Hub, Regional Clean Energy Hub	304,999
				NYCH: Communities, Regional Clean Energy Hub	250,000
				Translation Services, Regional Clean Energy Hub	50,000
	Cornice Technology, LLC	Fulton	National Grid	CGSI-122CT - Broadalbin-Perth	53,925
		Oneida	National Grid	CGSI-243 - Remsen CSD (1)_CT	53,925
		Otsego	National Grid	CGSI-253CT - Schenevus CS (1)	53,925
			NYS Electric and Gas	CGSI-209CT - Laurens CS (1)_CT	53,925
	CPL Architects, Engineers, Landscape	Fulton	National Grid	CGSI-229 -Johnstown CSD (1)_CT	40,000
		Montgomery	National Grid	CGSI-232CT - Fort Plain CSD	30,000
	David Bruns	Montgomery	National Grid	New Construction Housing, NCP Housing 2022	420,000
	Energy Service Technologies,..	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT	14,240
	Infinity Solar Systems, LLC	Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	9,512
	Kasselman Solar LLC	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	8,200
	L&S Energy Services, Inc.	Fulton	National Grid	INDUSTRIAL PROCESS EFFICIENCY, FT77264..	8,795
	LaBella Associates, P.C.	Oneida	National Grid	Technical Services, FT - 0000755917 - Office of ..	27,830
	Matthews Buses Incorporated	Montgomery	National Grid	NYSBIP - Canajoharie SD	196,000
New Leaf Energy, Inc.	Montgomery	National Grid	>200KW PV, NY Sun	238,625	
			NY Sun	596,563	
Nexamp Inc.	Herkimer	National Grid	>200KW PV, NY Sun	325,728	
			NY Sun	814,320	
PlugPV, LLC	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	38,818	
	Herkimer	National Grid	<200KW PV, PON 2112 NY SUN	20,255	
	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	45,684	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mohawk Valley	PlugPV, LLC	Oneida	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,400
		Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,340
		Schoharie	National Grid	<200KW PV, PON 2112 NY SUN	9,408
	RIC Development, LLC	Oneida	National Grid	>200KW PV, NY Sun	350,196
				NY Sun	875,490
	Rural Generation & Wind (Ro..	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	7,680
	Solar Liberty Energy Systems,...	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	6,380
	Sustainable Energy Developm..	Oneida	National Grid	<200KW PV, NY-Sun	14,400
	The Top Gun Group, LLC	Herkimer	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	30,720
				Talent Pipeline:CE and OJT, OJT	11,520
	Town of Webb	Herkimer	National Grid	Clean Energy Communities, North St Recreation ..	50,000
	Wendel Energy Services, LLC	Otsego	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, FT - 000..	44,242
	New York City	142 Fifth Avenue	New York	Consolidated Edison	Technical Services, FT17185 - 142 5th Avenue - ..
179 East 70th Street Corp		New York	Consolidated Edison	Technical Services, FT14582 - Douglas Elliman ..	18,500
375 Riverside Drive Owners		New York	Consolidated Edison	Technical Services, FT14741 - Douglas Elliman ..	21,100
770 Electric Corp.		Bronx	Consolidated Edison	<200KW PV, NY-Sun	41,292
				>200KW PV, NY-Sun	68,820
				>200KW PV, PON 2112 NY SUN	15,520
2005 Jerome Avenue LDG LLC		Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	42,680
				New Construction Housing, NCP Housing 2022	352,000
				New Construction- Commercial, NCP Housing 20..	13,852
Accelerate Wind LLC		New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	10,240
Accord Power, Inc.		Bronx	Consolidated Edison	<200KW PV, NY-Sun	54,004
				>200KW PV, NY-Sun	38,236
				>200KW PV, NY-Sun	11,640
		Kings	Consolidated Edison	<200KW PV, NY-Sun	19,400
				>200KW PV, NY-Sun	32,485
				>200KW PV, PON 2112 NY SUN	7,209
		New York	Consolidated Edison	<200KW PV, NY-Sun	12,015
				>200KW PV, NY-Sun	52,736
				>200KW PV, PON 2112 NY SUN	569,875
		Queens	Consolidated Edison	>200KW PV, NY-Sun	28,505
				NY-SUN, NY-Sun	113,975
				NY-SUN, PON 2112 NY SUN	111,695
<200KW PV, NY-Sun				254,632	
Adam C. Boese		Kings	Consolidated Edison	<200KW PV, NY-Sun	5,576
				>200KW PV, NY-Sun	63,658
		New York	Consolidated Edison	Technical Services, FT14863 - NOSTRAND GAR..	23,265
				Technical Services, FT17293 Green-Wood Ceme..	16,793
Advanced Solar Solutions		Bronx	Consolidated Edison	K-12 SCHOOLS, FT17102 The Lorge School (1)..	12,115
				Technical Services, FT14824 - 401 Park Ave Sou..	9,676
Agarabi Engineering, PLLC		Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	32,155
Ai Air Conditioning Corp		Queens	Consolidated Edison	Tech Assistanc Multifamily LMI, FT - 000076978..	10,125
				Technical Services, FT - 0000805037 - Plymouth..	15,500
AKF-engineers	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	119,520	
AltPOWER, Inc.	Kings	Consolidated Edison	Technical Services, FT14800 - Mount Sinai Adva..	7,320	
			Technical Services, FT17044 AKAM - 10 Park	31,147	
			Technical Services, FT17130 Vornado Office Ma..	48,425	
			Technical Services, FT14752 - Mount Sinai Quee..	19,208	
Amergy Solar Inc.	Queens	Consolidated Edison	>200KW PV, NY-Sun	144,480	
AMS Construction Corp	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	19,908	
			>200KW PV, PON 2112 NY SUN	56,640	
			<200KW PV, PON 2112 NY SUN	5,372	
Aramark Management Srvc Lt..	Bronx	Consolidated Edison	>200KW PV, NY-Sun	340,240	
			NY-SUN, NY-Sun	68,048	
			>200KW PV, NY-Sun	65,960	
Arctic Air Mechanical Corp	New York	Consolidated Edison	Technical Services, OsEM146-C - BronxCare He..	200,000	
Association for Energy	Bronx	Consolidated Edison	NYSERDA ADMINISTRATION, HVAC Preventati..	11,200	
			Low Carbon Tech Demos, Low Carbon Pathways	85,750	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Association for Energy Affordability, In	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17099 Marion ..	16,848		
				Tech Assistanc Multifamily LMI, FT17122 3520 T..	14,230		
				Tech Assistanc Multifamily LMI, FT17142 LRF H..	18,179		
				Tech Assistanc Multifamily LMI, FT17144 - NY Af..	41,930		
	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT - 000075643..	18,585			
			Technical Services, FT17108 - Turing Housing D..	16,669			
	Queens	Consolidated Edison	Tech Assistanc Multifamily LMI, FT - 000076685..	15,065			
			Tech Assistanc Multifamily LMI, FT - 000077045..	12,545			
			Tech Assistanc Multifamily LMI, FT17123 Sanfor..	14,250			
			Tech Assistanc Multifamily LMI, FT17219 - Wood..	12,023			
	Bay Ridge Preparatory School	Kings	Consolidated Edison	New Construction- Commercial, Commercial NC ..	50,412		
	Belmont Cove LLC	Bronx	Consolidated Edison	<200KW PV, NY-Sun	32,883		
				>200KW PV, NY-Sun	54,805		
	Bernheimer Architecture PLLC	Kings	Consolidated Edison	Buildings of Excellence, RFP3928 Bernheimer T..	85,153		
	Best Energy Power	Bronx	Consolidated Edison	<200KW PV, NY-Sun	14,337		
				>200KW PV, NY-Sun	23,895		
				NY-SUN, PON 2112 NY SUN	35,200		
		Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	501,390		
		New York	Consolidated Edison	<200KW PV, NY-Sun	340,764		
				>200KW PV, NY-Sun	388,140		
		Queens	Consolidated Edison	>200KW PV, NY-Sun	62,775		
				NY-SUN, NY-Sun	12,555		
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	101,640		
		BPP Kips Bay Holding LLC	New York	Consolidated Edison	Technical Services, FT17147 - 490 2 - FTC	29,088	
	Bright Power Associates, LLC	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17167 - Settle..	12,000		
	Bright Power, Inc.	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17069 Settle..	19,500		
				Tech Assistanc Multifamily LMI, FT17175 - Settle..	14,250		
				Tech Assistanc Multifamily LMI, FT17209 Settle..	14,250		
				Tech Assistanc Multifamily LMI, FT17254 Diego ..	13,875		
				Tech Assistanc Multifamily LMI, FT17255 - Diego..	14,100		
				Tech Assistanc Multifamily LMI, FT17268 - ELH ..	13,950		
				Technical Services, FT17230 - 601 Pelham Pkwy..	8,000		
				Technical Services, FT17233 3299 Cambridge A..	13,000		
				Technical Services, FT17243 Riverdale House O..	11,000		
				Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17118 Catholi..	16,500
						Tech Assistanc Multifamily LMI, FT17181 New S..	10,500
						Tech Assistanc Multifamily LMI, FT17182 New S..	16,500
						Tech Assistanc Multifamily LMI, FT17183 New S..	16,500
						Tech Assistanc Multifamily LMI, FT17222 The De..	27,000
						Tech Assistanc Multifamily LMI, FT17236 ELH M..	15,225
						Tech Assistanc Multifamily LMI, FT17288 - Mona..	13,350
						Technical Services, FT - 0000759236 - Narrows ..	6,000
						Technical Services, FT - 0000759576 - Punia & ..	11,000
						Technical Services, FT - 0000762053 - Catholic ..	7,800
Technical Services, FT15097 - The Dermot Com..						23,250	
Technical Services, FT17165 Hoffman Managem..						10,300	
Technical Services, FT17180 - PLUN Tenants C..						9,500	
Technical Services, FT17287 - Monadnock Prop..						13,650	
New York				Consolidated Edison	K-12 SCHOOLS, FT14873 - Town School (2)E	10,125	
					NYCH: Technical Assistance, FT17192 - AKAM -..	16,000	
					NYCH: Technical Assistance, FT17193 - AKAM -..	12,000	
					Tech Assistanc Multifamily LMI, FT15193 Glenw..	27,000	
					Tech Assistanc Multifamily LMI, FT17016 Cleo R..	13,875	
					Tech Assistanc Multifamily LMI, FT17017 C+C A..	21,000	
					Tech Assistanc Multifamily LMI, FT17087 Breaki..	22,500	
					Tech Assistanc Multifamily LMI, FT17203 Settle..	11,625	
					Tech Assistanc Multifamily LMI, FT17244 - Proje..	19,500	
					Technical Services, FT - 0000758788 - Cushman..	13,000	
	Technical Services, FT - 0000759461 - Punia & ..	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, FT - 0000759881 - Terris Re..	8,150
				Technical Services, FT - 0000762416 - Bow Tie ..	13,000
				Technical Services, FT - 0000769283 - AKAM - 1..	7,650
				Technical Services, FT - 0000781954 - Argo Rea..	15,350
				Technical Services, FT - 0000782075 - Argo Rea..	13,850
				Technical Services, FT15108 - Related - 405 Main	20,250
				Technical Services, FT15170 Douglas Elliman - 2..	30,000
				Technical Services, FT17100 - 35 East Associates	10,000
				Technical Services, FT17177 Gramercy Park Re..	10,900
				Technical Services, FT17179 Eleven Riverside D..	32,000
				Technical Services, FT17197 Newmark Manage..	17,000
				Technical Services, FT17198 - Douglas Elliman ..	15,000
				Technical Services, FT17199 Allied Partners - 970	8,000
				Technical Services, FT17218 - 365 W 20 Apartm..	6,750
				Technical Services, FT17229 Solstice Residentia..	7,200
		Technical Services, FT17253 - Hoffman Manage..	8,000		
		Queens	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17252 - River ..	14,625
				Tech Assistanc Multifamily LMI, FT17282 Catholi..	12,150
				Tech Assistanc Multifamily LMI, FT17283 Catholi..	12,150
				Technical Services, FT17168 Kaufman Astoria St..	17,000
		Technical Services, FT17190 41-31 Cooperative ..	14,000		
		Technical Services, FT17238 Briarwood Owners ..	8,000		
Brooklyn SolarWorks LLC	Kings	Consolidated Edison	>200KW PV, NY-Sun	58,685	
			>200KW PV, PON 2112 NY SUN	141,858	
			NY-SUN, NY-Sun	11,252	
	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	15,896	
Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	8,500		
Buro Happold Consulting Engineers, P.C.	Kings	Consolidated Edison	Heat Recovery, HeatRec C1_BuroHap_Powerho..	28,908	
			INDUSTRIAL PROCESS EFFICIENCY, FT17220..	43,257	
Cadence OneFive Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	15,360	
Cameron Engineering & Associates LLP	New York	Consolidated Edison	NYCH: Technical Assistance, FT14538-5 Tudor ..	41,250	
			NYCH: Technical Assistance, FT14539 - 360 We..	45,955	
			Technical Services, FT14304 - 265 Riverside - F..	14,726	
			Technical Services, FT14807 - 28 Laight - FTC	26,251	
			Technical Services, FT14809 - Maxwell-Kates - 2..	22,500	
Castleton Pharmacy Corp	Richmond	Consolidated Edison	>200KW PV, NY-Sun	31,525	
Catholic Charities Progress of ..	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd.3	850,000	
CG Global Management Solutions, LLC	Kings	Consolidated Edison	PON 4772 R3 (Nishal Sundarrama	40,000	
			PON 4772 R3 (Saket Prem)	40,000	
Code Green Solutions, Inc.	New York	Consolidated Edison	Technical Services, FT17136 - ESA Property Ma..	42,500	
Cooper Square Community D..	New York	Consolidated Edison	NY-SUN, PON 3414 - LES Res Solar	95,000	
County of Ulster	New York	Consolidated Edison	Talent Pipeline:CE and OJT, Christina Mary Lael ..	40,000	
CTI Energy Services, LLC	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17096 - 237 ..	22,340	
			Tech Assistanc Multifamily LMI, FT17178 - The ..	39,150	
CubeSmart TRS Inc	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	338,076	
	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	249,300	
	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	226,944	
Cutone & Company Consultants, LLC	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	9,600	
			Technical Services, OsEM144-C - NW 100 Broad..	200,000	
			Technical Services, OsEM149-C - New York Des..	200,000	
Dollaride, Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 R3 Wins..	40,000	
DSM Engineering Assoc, P.C.	Kings	Consolidated Edison	Technical Services, FT17213 - AKAM Associates..	25,436	
			Technical Services, FT17214 - AKAM Associates..	27,093	
			New York	Consolidated Edison	Technical Services, FT17235 - AKAM Associates..
	Queens	Consolidated Edison	Technical Services, FT17138 - New York Presbyt..	20,809	
Ecosystem Energy Services U..	Kings	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	126,000	
EirCo Sustainability Inc.	Bronx	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, FT17206..	35,000	
	Kings	Consolidated Edison	Technical Services, FT17156 - 119 State Street	7,500	
EMCOR Services New York/N..	New York	Consolidated Edison	Technical Services, FT17009 Verizon Communic..	137,569	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	EME Consulting Engineering Group, LLC	Bronx	Consolidated Edison	FT17163 Fordham University - M	127,338	
				FT17164 Fordham University - M	170,800	
				Tech Assistanc Multifamily LMI, FT17201 Lafayet..	30,000	
				Tech Assistanc Multifamily LMI, FT17234 Woodl..	15,000	
				Technical Services, FT14765 - Fordham Universi..	31,800	
		Kings	Consolidated Edison	Technical Services, FT17210 NYU Langone Hos..	1,000,000	
		Technical Services, OsEM121-C - NYU Hosp Bro..		200,000		
		New York	Consolidated Edison	NYCH: Technical Assistance, FT17223 Orsid Re..	10,405	
				Tech Assistanc Multifamily LMI, FT17232 - Momi..	15,000	
				Technical Services, FT17195 320 East 35th Owe..	8,750	
	Queens	Consolidated Edison	Technical Services, FT17281 Douglas Elliman - 1..	20,075		
			Buildings of Excellence, RFP3928 TWO #1	100,000		
			K-12 SCHOOLS, FT17002 - Jewish Institute of	14,685		
				Technical Services, FT17200 Global 36th Street -	5,000	
	Emes Solar	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	6,230	
				Kings	Consolidated Edison	<200KW PV, NY-Sun
				>200KW PV, NY-Sun		168,780
				>200KW PV, PON 2112 NY SUN	31,040	
		Queens	Consolidated Edison	>200KW PV, NY-Sun	650,870	
	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	192,240		
	Empire State Realty OP, LP	New York	Consolidated Edison	Heat Recovery, HeatRec C2_EmpireState_501 7..	71,250	
	Empower CES, LLC	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	16,540	
	Energy EDC Corp.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	15,360	
		Queens	Consolidated Edison	NYCH: Talent Ppin:CE and OJT, PON 4772 R3 J..	40,000	
	Enica Engineering, PLLC	Queens	Consolidated Edison	Technical Services, OsEM130-C - 85 Tenth Ave	113,616	
	Environ Energy Holdings LLC	Kings	Consolidated Edison	Technical Services, FT17225 - Maimonides Medi..	248,465	
				Technical Services, OSEM138-C - Maimonides ..	200,000	
	Fishtech Energy Partners LLC	New York	Consolidated Edison	Heat Recovery, HeatRec C1_Fishtech_375Park	39,427	
Heat Recovery, HeatRec C1_Fishtech_477Madis..				39,427		
Heat Recovery, HeatRec C1_Fishtech_MSKCC ..				39,427		
Heat Recovery, HeatRec C1_Fishtech_MSKCC ..				39,427		
Heat Recovery, HeatRec C1_Fishtech_MSKCCB..				39,427		
Heat Recovery, HeatRec C1_Fishtech_UniClub				39,427		
Heat Recovery, HeatRec C2_Fishtech_375 Park				80,000		
Heat Recovery, HeatRec C2_Fishtech_StarLehi				80,000		
Talent Pipeline:CE and OJT, OJT				11,722		
Technical Services, FT17067 RXR Co Property ..				192,658		
Workforce Industry Partnership, PON 5357				636,812		
Queens				Consolidated Edison	Heat Recovery, HeatRec C1_Fishtech_Pier57	39,427
					Technical Services, FT - 0000757234 - An Armful..	8,000
	Technical Services, FT - 0000761131 - HR REIT ..	39,000				
Flamingos Clean Energy, LLC	Bronx	Consolidated Edison	>200KW PV, NY-Sun	26,460		
Flatiron Fifth Ave Condo	New York	Consolidated Edison	Technical Services, FT17186 - 140 5th Avenue - ..	14,000		
Fordham Hill Owners Corp.	Bronx	Consolidated Edison	Technical Services, FT15042 - Fordham Hill Own..	23,404		
			Technical Services, FT15054 - Fordham Hill Own..	20,314		
Franklin Plaza Apartments	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT15197 - Frank..	31,973		
			Technical Services, FT15096 - Franklin Plaza Ap..	31,973		
Gabrielli Truck Sales, LTD	Queens	Consolidated Edison	CLEAN TRANSPORTATION, NYTVIP - M.R.Z. T..	215,000		
GBA Commissioning Services, Inc	New York	Consolidated Edison	NYCH: Technical Assistance, FT14574 - 77 W 2..	41,079		
		Statewide	NYCH: Technical Assistance, FT14635 - The Ver..	43,683		
	Queens	Consolidated Edison	Technical Services, FT14759 - LaGuardia Corp ..	78,294		
Geatrain Engineering PLLC	Kings	Consolidated Edison	Technical Services, OsEM126- C - Moxxy Hotel	54,000		
GI Endurant LLC	Richmond	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	3,600,000		
Goldman Copeland Associates, P.C.	Kings	Consolidated Edison	Heat Recovery, HeatRec C2_GoldmanC_180mo..	69,000		
			New York	Consolidated Edison	Heat Recovery, HeatRec C1_GoldmanC_205-9E..	23,976
		Heat Recovery, HeatRec C1_GoldmanC_303E83	26,974			
		Heat Recovery, HeatRec C1_GoldmanC_StVartan	38,956			
			Technical Services, FT - 0000771872 - Racquet ..	15,988		
		Technical Services, FT15072 - Lighthouse Guild	8,007			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount		
New York City	Goldman Copeland Associates, P.C.	New York	Consolidated Edison	Technical Services, FT17113 Empire State Realt..	18,990		
				Technical Services, FT17119 SL Green Realty - ..	13,470		
				Technical Services, FT17120 SL Green Realty - ..	18,990		
				Technical Services, FT17146 - SL Green Realty ..	31,975		
				Technical Services, FT755842 - LeFrak - 180 Bro..	13,988		
		Queens	Consolidated Edison	Technical Services, FT755928 - LeFrak - 98-01 6..	12,994		
				Technical Services, FT755935 - LeFrak - 84-20 A..	7,478		
				Technical Services, FT755938 - LeFrak - 64-20 S..	10,996		
				Technical Services, FT755944 - LeFrak - 48-30 4..	7,499		
				Technical Services, FT755947 - LeFrak - 42-42 8..	9,990		
Gordon International Holdings..	Bronx	Consolidated Edison	HPD Direct Injection, 1415 Ogden	850,000			
Group-S LLC	Bronx	Consolidated Edison	Technical Services, FT15063 - 1010 Sherman - F..	19,500			
			Technical Services, FT15153 - C&C Apartment - ..	22,976			
		Kings	Consolidated Edison	Heat Recovery, HeatRec C1_ENPG_1Hanson	38,936		
				NYCH: Technical Assistance, FT14869 - Turner ..	42,000		
				NYCH: Technical Assistance, FT15110 NRG - 26..	43,500		
				Technical Services, FT15086 - 680-714 Montauk ..	9,150		
				Technical Services, FT17158 TF - Cornerstone - ..	20,149		
				Technical Services, FT17273 TKR Property Servi..	8,490		
				New York	Consolidated Edison	Heat Recovery, App 062 C2_EN-PG_92NY	77,996
						Heat Recovery, HeatRec C2_ENPG_201East66t..	77,996
						Heat Recovery, HeatRec C2_ENPG_EastRiverH..	77,996
						Heat Recovery, HeatRec C2_ENPG_The Victoria	77,996
NYCH: Technical Assistance, FT - 0000779968 - ..	20,985						
NYCH: Technical Assistance, FT14686 - 422 Eas..	55,500						
NYCH: Technical Assistance, FT15145 - Metro M..	54,225						
NYCH: Technical Assistance, FT15151 - Vaux C..	31,500						
NYCH: Technical Assistance, FT15175 Dermer ..	25,700						
NYCH: Technical Assistance, FT15176 Brodsky -..	35,640						
			Consolidated Edison	Technical Services, FT15062 -330-340 Haven - F..	16,950		
				Technical Services, FT15115 - Evans Tower - 17..	31,185		
				Technical Services, FT15161 - JSB Properties - ..	28,343		
				Technical Services, FT15173 - Akam - 50 Central	22,983		
				Technical Services, FT15181 Akam - 252 West 85	11,638		
				Technical Services, FT15189 Wavertree - 136 W..	22,478		
				Technical Services, FT15191 Alameda Condo - 2..	25,611		
				Technical Services, FT17020 Merritt House - 167..	8,500		
				Technical Services, FT17036 500 Park Tower - 5..	14,479		
				Technical Services, FT17038 Friedman Manage..	14,996		
			Consolidated Edison	Technical Services, FT17039 Akam - 400 East 85	12,480		
				Technical Services, FT17040 AKAM - 58 West 58	11,475		
				Technical Services, FT17045 Westwind Corp - 1..	7,493		
				Technical Services, FT17055 The 230 Riverside ..	12,480		
				Technical Services, FT17063 AKAM - 215 West ..	24,514		
				Technical Services, FT17105 Douglas Elliman Pr..	13,504		
				Technical Services, FT17157 TF Cornerstone - 2..	28,890		
				Technical Services, FT17159 TF Cornerstone - 4..	16,354		
				Technical Services, FT17258 Cushman & Wakefi..	13,035		
				Technical Services, FT17259 Pennbus Realities -..	14,486		
			Consolidated Edison	Technical Services, FT17274 Sherry Netherland ..	14,500		
				Technical Services, FT17275 John B Lovett and ..	8,985		
				Technical Services, FT17276 Douglas Elliman - 4..	11,483		
				Technical Services, FT17277 Douglas Elliman - 1..	7,988		
		Queens	Consolidated Edison	Heat Recovery, HeatRec C1_ENPG_45-45Cente..	38,936		
				INDUSTRIAL PROCESS EFFICIENCY, FT17160..	36,486		
		Richmond	Consolidated Edison	Technical Services, FT17037 North Shore Preser..	14,291		
H.E.L.P Development Corp.	Kings	Consolidated Edison	HPD Direct Injection, HELP One – Building C	368,900			

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Hahn Kook Center U.S.A., Inc.	New York	Consolidated Edison	Technical Services, FT17121 Hahn Kook Center ..	36,590	
	Harris Energy Solutions LLC	Queens	Consolidated Edison	CGSI-162E - NYC DOE District 7	468,102	
				CGSI-173E - NYC DOE District 8	423,692	
				CGSI-174E - NYC DOE District 9	347,168	
				CGSI-175E -NYC DOE District 10	527,832	
				CGSI-176E -NYC DOE District 11	541,032	
				CGSI-177E -NYC DOE District 12	541,032	
	Harvest Power, LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	155,775	
		Queens	Consolidated Edison	>200KW PV, NY-Sun	605,184	
				>200KW PV, PON 2112 NY SUN	34,100	
				NY-SUN, NY-Sun	151,296	
	IGM Holdings, Inc.	Kings	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	25,600	
	IMK Partners LLC	New York	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	44,000	
	INF Associates LLC	Kings	Consolidated Edison	Technical Services, FT17064 First Service Resid..	13,128	
				Heat Recovery, HeatRec C1_INF_ShorehamHotel	25,905	
					Talent Pipeline:CE and OJT, OJT	26,541
	Inglese Architecture + Engine..	New York	Consolidated Edison	LMI Multifamily Demos, Savoy Park EBC Cohort 3	100,000	
	Integrated Energy Concepts E..	New York	Consolidated Edison	Heat Recovery, HeatRec C1_NRG_Gateway	67,500	
	Integrated Energy Service Corp	New York	Consolidated Edison	RTEM and Tenants, IES-51W52-RTEM+T	113,904	
			Statewide	RTEM and Tenants, IES-250Vesey-RTEM+T	400,000	
	J Synergy Solar LLC	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	14,280	
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	26,832	
			Long Island Power Authority	COMMUNITY SOLAR, PON 2112 NY SUN	5,328	
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	12,920	
	Jaros, Baum & Bolles	Kings	Consolidated Edison	Technical Services, FT17131 277 Park Avenue L..	79,500	
				New York	Consolidated Edison	Technical Services, FT14884 - Vornado Realty
					Technical Services, FT17112 - Rudin Managemen..	49,500
				Statewide	Technical Services, FT17285 GSA Hotel - 102 N..	158,500
	JBI Construction Group	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	10,200	
				>200KW PV, PON 2112 NY SUN	16,490	
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	40,164	
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	82,216	
	>200KW PV, PON 2112 NY SUN			199,650		
	Jetway Heating Cooling And ..	Queens	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	14,400	
	Jones Lang LaSalle Americas,..	New York	Statewide	Technical Services, OsEM120-C - Goldman Sachs	200,000	
	Joy Gree LLC	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	13,200	
	JP Bus & Truck Repair LTD	Bronx	Consolidated Edison	NYSBIP - NYC SD	4,990,000	
				NYSBIP NYC SD	250,000	
		Richmond	Consolidated Edison	NYSBIP - NYC SD	199,500	
	Kamtech Restoration Corp	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	24,332	
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	87,732	
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	29,684	
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	81,568	
	Kenneth O. Willie & Associates, Inc.	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT - 000075708..	11,250	
				Tech Assistanc Multifamily LMI, FT - 000075709..	11,250	
				Tech Assistanc Multifamily LMI, FT - 000075710..	11,250	
				Tech Assistanc Multifamily LMI, FT - 000077791..	11,625	
Tech Assistanc Multifamily LMI, FT - 000077792..				9,669		
Tech Assistanc Multifamily LMI, FT - 000079440..				72,000		
New York		Consolidated Edison	Talent Pipeline:CE and OJT, OJT	10,000		
Richmond		Consolidated Edison	Tech Assistanc Multifamily LMI, FT - 000075676..	12,000		
			Tech Assistanc Multifamily LMI, FT - 000075678..	12,000		
			Tech Assistanc Multifamily LMI, FT - 000075678..	12,000		
	Tech Assistanc Multifamily LMI, FT - 000075678..		12,000			
KeRi Engineering PC	Bronx	Consolidated Edison	Technical Services, FT17171 - Verizon NY- 1106..	31,285		
	New York	Consolidated Edison	Technical Services, FT17001 - Verizon - 50 Thay..	28,395		
	Queens	Consolidated Edison	Technical Services, FT17172 - Verizon New York..	41,530		
Kilowatt Engineering, Inc.	Kings	Consolidated Edison	Heat Recovery, HeatRec C1_kwEng_StRegisNY	28,569		
Lawless & Mangione	New York	Consolidated Edison	Technical Services, FT17135 - Douglas Elliman ..	9,000		

Projects Selected for Funding by Region
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Lionshead Energy LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	46,410
	Little Sisters of the Assumptio..	New York	Consolidated Edison	Heat Recovery, HeatRec C2_LSA_333E115	65,000
	Long Island Power Solutions	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,000
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	8,400
	Loring Consulting Engineers, I..	New York	Consolidated Edison	Technical Services, FT17129 1675 Broadway 52..	55,000
	Lotte Hotel New York Palace, ..	New York	Consolidated Edison	Technical Services, OsEM91-C - Lotte New York ..	69,085
	Lycee Francais de New York ..	New York	Consolidated Edison	K-12 SCHOOLS, FT17280 Lycée Français de Ne..	44,250
	Magnusson Architecture and ..	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd. 3 DTL	150,000
	Mark MaGrann Associates	Bronx	Consolidated Edison	Technical Services, FT - 0000755042 - 4445 Pos..	13,750
		Kings	Consolidated Edison	Technical Services, FT17153 TKR Property Servi..	13,500
	Meltek Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	6,154
	Mid-Bronx Senior Citizens Co..	Bronx	Consolidated Edison	New Construction- Commercial, Commercial NC..	248,558
	Mount Sinai Medical Center	New York	Consolidated Edison	Technical Services, OsEM132-C - Mount Sinai H..	176,000
	MR. AIR NYC Corp.	Kings	Consolidated Edison	NYCH: Talent Ppin:CE and OJT, OJT	41,760
	MRO Tech NY LLC	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17161 - Frank..	52,820
				Technical Services, FT17196 - Prestige Manage..	31,839
	Netgains Engineering P.C.	Queens	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, FT17170..	22,500
				Technical Services, FT17208 Dunnolly Owners C..	59,626
	New York Engineers, P.C.	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17240 425 Cl..	8,412
				Tech Assistanc Multifamily LMI, FT17242 VIP 1 ..	8,009
		Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17145 Luther..	16,816
		New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17241 Sandy ..	24,425
				Technical Services, FT17006 - Seward Park Coo..	140,000
	Queens	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, FT17139..	47,250	
	New York Presbyterian Hospit..	Queens	Consolidated Edison	Technical Services, FT17265 - New York Presbyt..	381,350
	NineDot Energy, LLC	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	76,800
	Noresco LLC	New York	Consolidated Edison	Technical Services, FT - 0000794300 - Fisher Re..	31,078
				Technical Services, FT14742-The New School-F..	1,711
		Queens	Consolidated Edison	Technical Services, FT17226 Jamaica Hospital ..	840,820
				Technical Services, FT17271 - Northwell Health	284,560
	North Shore Long Island Jewi..	Richmond	Consolidated Edison	Technical Services, FT - 0000762334 - Firstservi..	11,550
	NY Building Systems Consultant Inc.	New York	Consolidated Edison	Technical Services, FT - 0000762891 - FirstServi..	28,450
				Technical Services, FT17256 63 Pitt Street	8,500
				Technical Services, FT754409 - The Jewish The..	73,500
				INDUSTRIAL PROCESS EFFICIENCY, FT75447..	37,350
		Queens	Consolidated Edison	Technical Services, FT - 0000804092 - Douglas ..	16,000
		Queens	Consolidated Edison	Technical Services, FT17149 50-05 43 Ave Corp	12,600
				Technical Services, FT17154 111-15 75th Avenu..	9,650
				NY-SUN, NY-Sun ICSA	61,160
				NYC School Bus Umbrella Services Inc.	Kings
		Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON 4772 R3 (Han..	40,000
				Talent Pipeline:CE and OJT, OJT	108,180
	NYS Essential Power	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	6,400
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	30,600
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	117,653
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	13,568
	NYSS LLC	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	12,304
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	21,648
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	136,421
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	92,168
	Parc Vendome Condominium	New York	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17097 Parc V..	8,000
	Partridge Venture Engineering, P.C.	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17205 Aldus ..	15,070
Tech Assistanc Multifamily LMI, FT17207 Aldus ..				33,975	
Passive House Center Inc	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	34,000	
Paths Construction LLC	Bronx	Consolidated Edison	Buildings of Excellence, Buildings of Excellence ..	112,500	
Patriot Energy Solutions Corp	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	10,560	
	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	1,533	
Pratt Area Community Council	Kings	Consolidated Edison	>200KW PV, NY-Sun	38,580	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Pratt Institute	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	22,152	
	Pvilion Technologies, LLC	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	12,000	
	Rains Consulting Inc.	Kings	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	18,750	
	RE Tech Advisors LLC	New York	Consolidated Edison	Empire Building Challenge, JP Morgan EBC Coh..	100,000	
	Richair Mechanical Inc.	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	37,440	
	Riverside Towers Corp.	Kings	Consolidated Edison	Technical Services, FT17140 - Brown Harris Stev..	20,525	
	Robert Derector Associates	Kings	Consolidated Edison	Heat Recovery, HeatRecC1_RDerector_GodsLo..	13,000	
				Heat Recovery, HeatRecC1_RDerector_51Madis..	40,000	
		New York	Consolidated Edison	Heat Recovery, HeatRecC1_RDerector_60W55	20,194	
				Heat Recovery, HRC1_RDA_787 7TH	40,000	
				Technical Services, FT14760 - Downtown NYC ..	5,625	
		Queens	Consolidated Edison	Technical Services, FT17194 60 West 55 Corp - ..	17,500	
		Robert Ettinger PE, PC	Bronx	Consolidated Edison	Buildings of Excellence, RFP3928 ETT TWO#1	100,000
		Ross Energy Consulting, LLC	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17289 - 1845 ..	28,500
					Tech Assistanc Multifamily LMI, FT17303 - Pinna..	12,420
			Kings	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17309 - Pinna..	19,925
	Tech Assistanc Multifamily LMI, FT17310 - Pinna..				19,925	
	Technical Services, FT17296 - Pinnacle NY - 12 ..				12,240	
	Technical Services, FT17312 - Pinnacle NY - 320..				25,850	
	Talent Pipeline:CE and OJT, OJT				9,600	
	Tech Assistanc Multifamily LMI, FT17211 - 668 R..				29,250	
	Tech Assistanc Multifamily LMI, FT17295 - Pinna..				14,250	
	Tech Assistanc Multifamily LMI, FT17299 - Pinna..				24,330	
	Tech Assistanc Multifamily LMI, FT17304 - Pinna..				19,440	
	Tech Assistanc Multifamily LMI, FT17305 - Pinna..				32,033	
	Tech Assistanc Multifamily LMI, FT17307 - Pinna..				22,673	
	Tech Assistanc Multifamily LMI, FT17308 - Pinna..				27,000	
	Tech Assistanc Multifamily LMI, FT17311 - Pinna..				28,500	
	Technical Services, FT17291 Union Club NYC - ..				32,450	
	Technical Services, FT17292 - 130 W 16 Owners..				11,250	
	Workforce Industry Partnership, PON 5357				169,822	
	Queens		Consolidated Edison	Tech Assistanc Multifamily LMI, FT17298 - Pinna..	11,025	
				Tech Assistanc Multifamily LMI, FT17313 - Pinna..	37,740	
		Technical Services, FT - 0000797166 - Pinnacle ..		16,040		
		Technical Services, FT17297 - Pinnacle NY - 40-..		14,760		
		Technical Services, FT17300 - Pinnacle NY - 132..		15,180		
		Technical Services, FT17301 - Pinnacle NY - 133..		14,923		
	RUHL TecDesign	New York	Consolidated Edison	Heat Recovery, HeatRecC2_Ruhl_200Water	79,868	
				Queens	Consolidated Edison	Heat Recovery, HeatRec C1_Ruhl_4310Crescent
		Queens	Consolidated Edison	Heat Recovery, HeatRecC1_Ruhl_HaydenApart..	39,920	
				Heat Recovery, HRC2_Ruhl_4705	79,868	
	SafariNY Corp.	Queens	Consolidated Edison	New Construction- Commercial, Commercial NC..	187,760	
				Talent Pipeline:CE and OJT, OJT	37,920	
	Sea Bright Solar, LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	8,730	
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,120	
				>200KW PV, NY-Sun	12,150	
	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,040		
	Senate Residence Owners, Inc.	New York	Consolidated Edison	Direct Injection Program, New Senate HPD	1,000,000	
	Smart Roofs Solar, Inc.	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	153,120	
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	34,560	
Smith Engineering PLLC	Bronx	Consolidated Edison	Technical Services, FT17173 WFP Tower A Co L..	149,290		
			New York	Consolidated Edison	NYCH: District, PON 4614 - Round 9	290,695
	New York	Consolidated Edison	Technical Services, FT17148 CBRE - 1166 Aven..	64,534		
			Technical Services, OsEM133-C -Rudin Mngmt ..	179,760		
			Technical Services, OsEM134-C -Rudin Mngmt ..	179,760		
			Workforce Industry Partnership, PON 5357	1,058,274		
Workforce Industry Partnership, PON 5357 Rudin..	297,769					
Socotec, Inc	Kings	Consolidated Edison	Technical Services, FT15067 - 568 Union - FTC	32,621		
	New York	Consolidated Edison	Technical Services, FT754382 - Teachers Colleg..	20,130		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	Socotec, Inc	New York	Consolidated Edison	Technical Services, FT754403 - Women National..	19,800
		Queens	Consolidated Edison	NYCH: Technical Assistance, FT15064 - 42-12 2..	55,721
				Technical Services, FT14889 - Princeton - 44-20	11,994
				Technical Services, FT15060 Heatherwood Luxu..	33,206
	SOLANTA CORP	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	11,340
				>200KW PV, PON 2112 NY SUN	7,920
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	14,536
				>200KW PV, PON 2112 NY SUN	23,562
				>200KW PV, PON 2112 NY SUN	10,560
	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	28,088	
	Solar One, Inc.	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	50,370
	Solar Pro Inc	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	9,240
		Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	8,800
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,776
	Solarize Plus Inc	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	36,860
	Southbridge Towers Inc	New York	Consolidated Edison	Technical Services, FT17066 Century Managem..	72,775
	St. Luke's School	New York	Consolidated Edison	K-12 SCHOOLS, FT17095 - St. Lukes School (1)	18,000
	St. Nicks Alliance	Kings	Consolidated Edison	Buildings of Excellence, BoE Rnd. 2 - Cooper Pa..	850,000
				New Construction Housing, 2019 MFCNP	600,000
	Stanley Ruth Co., LLC	Bronx	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	80,640
	Steve A. Cohen	Queens	Consolidated Edison	NYCH: Technical Assistance, FT757035 - Hyde ..	14,001
	Steven Winter Associates, Inc.	New York	Consolidated Edison	Technical Services, FT14565-1109 Fifth-FTC-CO..	36,350
				Technical Services, FT17068 Left Bank Apartme..	43,010
	STRATCO PROPERTY GRO..	New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	19,037
	SuNation Solar Systems, Inc.	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	6,400
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	41,853
		Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	14,676
	Sunkeeper Solar LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	166,898
				>200KW PV, NY-Sun	278,130
				>200KW PV, PON 2112 NY SUN	74,690
	Sunlight General Capital LLC	New York	Consolidated Edison	<200KW PV, NY-Sun	100,740
				>200KW PV, NY-Sun	25,185
	SunPower Capital, LLC	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	8,000
				>200KW PV, PON 2112 NY SUN	7,920
		Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	25,392
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	91,648
	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	13,120	
	SUNY Maritime College	Bronx	Consolidated Edison	REV CAMPUS CHALLENGE, OsEM125C - SUN..	173,600
	Super Cool HVAC LLC.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	11,040
		New York	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	17,280
	Surf Clean Energy Inc	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,644
		Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	18,856
	Sustainable Investment Group	New York	Consolidated Edison	Heat Recovery, HeatRec C1_SIG_1501Bway	39,920
				Technical Services, FT17137 Longacre Square ..	91,919
	Syska Hennessy Group	New York	Consolidated Edison	Technical Services, FT17202 - New York-Presbyt..	1,000,000
	TBL Technologies Inc.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	15,360
	The Forte Condominium	Kings	Consolidated Edison	Low Carbon Tech Demos, Low Carbon Pathways	81,000
	The Fulcrum Group	New York	Consolidated Edison	Technical Services, FT - 0000758166 - Lincoln C..	500,000
	The Mobility House	Queens	Consolidated Edison	Pub Transit & Elect Rail, PON 5109 - EV bus sm..	150,236
	The Revere Condominium	New York	Consolidated Edison	Technical Services, FT14864 -The Reverse Con..	11,500
	Times Square Hospitality II, L..	New York	Consolidated Edison	Technical Services, FT14978 - Times Square Ho..	6,120
	Trane	New York	Consolidated Edison	Heat Recovery, HeatRec C2_Trane_1CPW	80,000
	Unique Electric Solutions of N..	Kings	Consolidated Edison	NYSBIP - NYC SD	855,000
	Urban Energy Inc	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	75,060
	Venture Home Solar LLC	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,480
	VGCOM LLC	Bronx	Consolidated Edison	Tech Assistanc Multifamily LMI, FT17204 - White..	29,948
				Technical Services, FT - 0000764008 - Jamaica ..	147,020
				Technical Services, FT17150 - Jamaica Hospital ..	68,870
	Voltaic Solaire LLC	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	18,856

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
New York City	Voltaic Solaire LLC	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	100,425	
		Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	107,185	
	Voltpost Inc	Kings	Consolidated Edison	Grid ClimateTech Ready Capital, Charging Lamp..	775,013	
	Walrath Recruiting, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Temp Services-..	5,850	
	Wendel Energy Services, LLC	Bronx	Consolidated Edison	NYCH: Technical Assistance, FT - 0000763470 - ..	263,809	
				Technical Services, FT - 0000763494 - Albert Ein..	402,925	
				Technical Services, FT17114 Montefiore Medical..	530,075	
				Technical Services, FT17115 Jack D. Weiler Hos..	360,389	
	Westminster House Owners, I..	New York	Consolidated Edison	Technical Services, FT17228 Westminster Hous..	11,000	
	Weston Bros.	Queens	Consolidated Edison	NYCH: Talent Ppln:CE and OJT, OJT	9,600	
	Willdan Lighting & Electric, Inc.	Queens	Consolidated Edison	Talent Pipeline:CE and OJT, OJT	15,000	
	North Country	ACE Development Company, LLC	Franklin	NYS Electric and Gas	REC:CES REC Contracts, RESRFP23-1	230,188,948
			Jefferson	National Grid	REC:CES REC Contracts, RESRFP22-1	71,407,538
		Adirondack North Country Association	Franklin	National Grid	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	
Albany Solar Solutions L.L.C.		St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	5,280	
Ampersand Electric		Essex	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	28,800	
Arcadis of New York, Inc.		Lewis	National Grid	Technical Services, AEAP 1736 - Demko Dairy L..	3,000	
C&S Engineers, Inc.		Franklin	National Grid	CGSI-214CT -Brushton-Moira CS	38,760	
Catalyze Holdings, LLC		St. Lawrence	National Grid	NY-SUN, NY-Sun ICSA	146,610	
Collins + Scoville Architecture,..		Clinton	NYS Electric and Gas	K-12 SCHOOLS, CGSI-198E -Saranac CSD (6)_E	240,385	
Cornice Technology, LLC		Clinton	NYS Electric and Gas	CGSI -133CT -Peru CSD(1)_CT	53,925	
		Jefferson	National Grid	CGSI-207CT Thousand Islands CS	53,925	
		Lewis	National Grid	CGSI-138CT -Lowville CSD (1)	53,925	
				CGSI-139CT -Copenhagen CSD (1)	53,925	
CPL Architects, Engineers, La..		Hamilton	National Grid	FT17250 - Wells CSD (1)_CT	26,250	
G.R.O. Energy Solutions, LLC		Jefferson	National Grid	Talent Pipeline:CE and OJT, OJT	8,000	
Heat Keepers, Inc.		Essex	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	43,680	
Johnson Controls, Inc. (Syrac..		Clinton	NYS Electric and Gas	K-12 SCHOOLS, CGSI-183E - Ausable Valley C..	121,325	
Leonard Bus Sales, Inc.		Essex	National Grid	NYSBIP - Moriah SD	514,500	
		Lewis	National Grid	NYSBIP Copenhagen SD	257,250	
		St. Lawrence	National Grid	NYSBIP - Edwards-Knox SD	257,250	
Matthews Buses Incorporated		Franklin	National Grid	NYSBIP Gouverneur SD	514,500	
				NYSBIP Brushton-Moira SD	57,250	
				NYSBIP - Jefferson-Lewis BOCES	220,500	
Mission Power Corp.		St. Lawrence	National Grid	NYSBIP Clifton Fine SD	257,250	
				Talent Pipeline:CE and OJT, OJT	41,280	
				NYSBIP - Alexandria SD	392,000	
New York Bus Sales LLC		Jefferson	National Grid	NYSBIP - Edwards-Knox SD	257,250	
				NYSBIP Gouverneur SD	514,500	
Nexamp Inc.		St. Lawrence	National Grid	>200KW PV, NY Sun	334,854	
				NY Sun	837,135	
Pathfinder Engineers & Archit..		St. Lawrence	National Grid	CGSI-223 - Colton-Pierreport	56,980	
Paul Smith's College		Franklin	National Grid	Community Climate Resilience	49,999	
Potsdam Sensors LLC		St. Lawrence	National Grid	Talent Pipeline:CE and OJT, OJT	8,000	
Quantum DPI Group Inc		Franklin	National Grid	>200KW PV, NY Sun	320,892	
				NY Sun	802,230	
RIC Development, LLC		Jefferson	National Grid	>200KW PV, NY Sun	203,034	
				NY Sun	507,585	
Sustainable Comfort, Inc		St. Lawrence	National Grid	Buildings of Excellence, TFP3928 TWO # 5	42,250	
Trane		Lewis	National Grid	Technical Services, FT14989 - Lewis County Co..	6,375	
TRC Energy Services		Essex	National Grid	Technical Services, AEAP 1672 - River Bend Tree	6,000	
	Franklin	National Grid	Technical Services, AEAP 1673 - Childs Maple F..	6,000		
Wendel Energy Services, LLC	Clinton	NYS Electric and Gas	CGSI-126CT - AuSable CSD	49,390		
	Essex	National Grid	CGSI-127CT Crown Point CSD	39,600		
			NYS Electric and Gas	CGSI-97CT - Willsboro CSD	49,585	
	Jefferson	National Grid	CGSI-105 - General Brown CSD	40,470		
Southern Tier	Adam C. Boese	Tioga	NYS Electric and Gas	Technical Services, AEAP 1748 - Lawtons Jerse..	6,000	
		Tompkins	NYS Electric and Gas	Technical Services, GH 22 - Early Bird Farm	6,500	
	Antares Group, Inc.	Steuben	NYS Electric and Gas	K-12 SCHOOLS, CGSI-130E- Campbell Savona ..	95,662	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Southern Tier	Arcadis of New York, Inc.	Broome	NYS Electric and Gas	CGSI-117 - Union-Endicott CSD	44,810	
				CGSI-120 - Susquehanna Valley	44,810	
		Delaware	NYS Electric and Gas	K-12 SCHOOLS, CGSI-116E - Walton CSD (3)_E	46,151	
		Schuyler	NYS Electric and Gas	CGSI-98 - Odessa-Montour CSD	44,810	
			Tompkins	Municipal Utilities	CGSI-100CT - Groton CSD (1)_CT	44,810
	Arnot Ogden Medical Center	Chemung	NYS Electric and Gas	Technical Services, OsEM143-C - Arnot Ogden ..	132,013	
	Bashing Panels LLC	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,000	
	C & B Mechanical	Chemung	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	25,116	
				Talent Pipeline:CE and OJT, OJT	19,882	
	Catalyze Holdings, LLC	Broome	NYS Electric and Gas	NY-SUN, NY-Sun ICSA	373,470	
		Schuyler	NYS Electric and Gas	NY-SUN, NY-Sun ICSA	373,824	
	Cornell Cooperative Extension..	Tompkins	NYS Electric and Gas	Translation Services, Regional Clean Energy Hub	50,000	
	Cornell University	Tompkins	NYS Electric and Gas	Heat Recovery, HeatRec C2_Cornell U_2083	80,000	
	Cornice Technology, LLC	Broome	NYS Electric and Gas	CGSI-202CT - Whitney Point CSD	53,925	
				CGSI-203 -Windsor CSD (1)_CT	53,925	
		Chenango	NYS Electric and Gas	CGSI-134CT -Oxford CSD (1)_CT	53,925	
		Delaware	NYS Electric and Gas	CGSI-135CT -Sidney CSD (1)_CT	53,925	
	Encore Redevelopment, LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun	375,000	
				NY Sun	937,500	
	Fingerlakes Renewables	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,629	
	Foam It Insulation, LLC	Broome	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	21,600	
				Talent Pipeline:CE and OJT, OJT	62,602	
	Genie Solar, Inc.	Tompkins	NYS Electric and Gas	>200KW PV, NY Sun	303,156	
				NY Sun	757,891	
	Gillig LLC	Broome	NYS Electric and Gas	CLEAN TRANSPORTATION, NYTVIP - BC Tran..	1,540,000	
	Halcyon, Inc.	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	14,436	
	Infinity Solar Systems, LLC	Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,253	
	Invenergy Renewables Holdin..	Steuben	NYS Electric and Gas	REC:CES REC Contracts, RESRFP23-1	880,612,095	
	Leonard Bus Sales, Inc.	Broome	NYS Electric and Gas	NYSBIP Chenango Valley SD	257,250	
				NYSBIP Johnson City SD	45,000	
	M/E Engineering, P.C.	Chenango	Municipal Utilities	CGSI-115 - Sherburne Earlville	64,405	
		Tompkins	NYS Electric and Gas	Technical Services, FT17056 Cornell University -..	236,966	
	Matthews Buses Incorporated	Tioga	NYS Electric and Gas	NYSBIP - Tioga SD	771,750	
		Tompkins	NYS Electric and Gas	NYSBIP Newfield SD	257,250	
	New York Bus Sales LLC	Tompkins	NYS Electric and Gas	NYSBIP - Ithaca SD	1,029,000	
				NYSBIP Ithaca SD	225,000	
	NSF EPC LLC	Chenango	NYS Electric and Gas	>200KW PV, NY Sun	732,792	
				NY Sun	1,831,982	
	PlugPV, LLC	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,452	
		Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,840	
	Renovus Energy, Inc.	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,000	
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	22,410	
	RWE Renewables Developme..	Steuben	NYS Electric and Gas	REC:CES REC Contracts, RESRFP23-1_Baron ..	340,729,920	
Solar Liberty Energy Systems, Inc	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,584		
	Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,000		
Stonewall Solar LLC	Delaware	NYS Electric and Gas	REC:CES REC Contracts, RESRFP22-1	250,410,870		
Sure Temp Company Inc.	Broome	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	35,280		
Taitem Engineering, P.C.	Chenango	NYS Electric and Gas	Technical Services, AEAP 1710 - Ripple Road M..	5,202		
			Schuyler	NYS Electric and Gas	Technical Services, AEAP 1704 - Damiani Wine	3,000
	Tompkins	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	18,560		
			Technical Services, FT17239 Ithacare Center Se..	16,122		
			Technical Services, OsEM131-C - Cayuga Medic..	186,922		
			Technical Services, OsEM139-C - Schuyler Hosp..	94,813		
The Insulation Man LLC	Broome	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	12,960		
			Talent Pipeline:CE and OJT, OJT	12,960		
Tioga Opportunities Inc.	Tioga	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	8,400		
Town of Big Flats	Chemung	NYS Electric and Gas	Clean Energy Communities, Town of Big Flats 1-..	6,600		
Town of Hector	Schuyler	NYS Electric and Gas	Clean Energy Communities, Town of Hector 50K ..	50,000		
Town of Union	Broome	NYS Electric and Gas	Clean Energy Communities, CEC Project	51,600		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Southern Tier	Trane	Steuben	NYS Electric and Gas	K-12 SCHOOLS, CGSI-129E - Canisteo-Greenw..	50,928
	VC Renewables Holdings LLC	Steuben	NYS Electric and Gas	REC:CES REC Contracts, RESRFP22-1_Clearvi..	23,241,638
	Village of Canisteo	Steuben	NYS Electric and Gas	Clean Energy Communities, Energy Study/Impro..	6,600
	Village of Montour Falls	Schuylar	NYS Electric and Gas	Clean Energy Communities, Village of Montour F..	175,000
	Village of Owego	Tioga	NYS Electric and Gas	Clean Energy Communities, Village of Owego 2-..	225,000
	Village of Painted Post	Steuben	NYS Electric and Gas	Clean Energy Communities, Village of Painted P..	6,600
	Wendel Energy Services, LLC	Chenango	NYS Electric and Gas	Technical Services, FT17134 - New York State D..	22,146
Statewide	22nd Century Technologies, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, SA.027_TWO# 5_EM_PC	189,164
				Equitable Engagement, SA.017_TWO# 6_ECE_...	160,744
				Market Support Tools &Activity, SA.022_TWO# 4..	24,494
				NYSERDA ADMINISTRATION, SA.021_TWO# 3..	93,184
				SA.022_TWO# 4_SFR_BA	97,976
				Tech Assistanc Multifamily LMI, SA.006_TWO# 1..	10,000
	Abt Global Inc	STATEWIDE	Statewide	DAC Indicator Updates	45,000
	Abundant Solar Power Inc.	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	245,981
	Accord Power, Inc.	STATEWIDE	Statewide	<200KW PV, NY-Sun	87,780
				>200KW PV, NY-Sun	154,059
				>200KW PV, PON 2112 NY SUN	51,040
				NY-SUN, NY-Sun	16,005
	ACEEE	STATEWIDE	Statewide	Prof & Expert Engagement, 2024 Ally Membership	12,000
	Adam Hinge	STATEWIDE	Statewide	Empire Building Challenge, Sustainable Energy ..	20,000
				EVALUATION, Sustainable Energy Partnership	80,000
				LMI Multifamily Demos, Sustainable Energy Part..	20,000
	Advanced Energy Group L.L.C.	STATEWIDE	Statewide	RTEM and Tenants, AEG - CRE Owner and Ten..	50,000
	Advanced Solar Solutions	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	24,200
	AECOM USA INC.	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, Tech Review_Pr..	62,500
				Technical Services, Tech Review_Program Supp..	62,500
	Afp 101 Corp	STATEWIDE	Statewide	Clean Energy Communities, 2024 CEC Coordina..	15,000
	Agarabi Engineering, PLLC	STATEWIDE	Statewide	NYCH: Technical Assistance, FT15187 - 77 Blee..	54,938
				Talent Pipeline:CE and OJT, OJT	22,846
				Tech Assistanc Multifamily LMI, FT - 000076979..	111,000
				Technical Services, FT - 0000769783 - Newswal..	32,625
				Technical Services, FT - 0000789751 - Kibel Co..	20,000
				Technical Services, FT - 0000797665 - Willowto..	9,000
				Technical Services, FT - 0000797961 - The Tow..	22,063
				Technical Services, FT - 0000797970 - 760 West..	27,500
	AIA - New York Chapter	STATEWIDE	Statewide	New Construction Housing, BoE Rnd. 4 Award E..	40,000
				New Construction- Commercial, BoE Rnd. 4 Awa..	10,000
	AKF-engineers	STATEWIDE	Statewide	Technical Services, FT - 0000762638 - NYPH Ne..	966,099
	Albany Community Land Trust	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800
	Allied Microbiota Inc	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000
	Altanova LLC	STATEWIDE	Statewide	NYCH: Technical Assistance, FT - 0000784458 - ..	9,650
	Amergy Solar Inc.	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,056
	American Clean Power Association	STATEWIDE	Statewide	American Clean Power '24 Spon	2,429
				INNOVATION CAPACITY & BUSINESS DEVEL..	6,071
	American Concert & Entertain..	STATEWIDE	Statewide	Clean Energy Hub, AV services for Hubs Meeting	7,873
	American Council for an Energy Efficient	STATEWIDE	Statewide	Prof & Expert Engagement, ACEEE NASEMC	10,000
				Subscription/Data Access, ACEEE 2024 Cospon..	96,000
	American Energy Care, Inc.	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	10,512
American Solar Partners, LLC	STATEWIDE	Statewide	<200KW PV, NY-Sun	196,020	
AMS Construction Corp	STATEWIDE	Statewide	>200KW PV, NY-Sun	180,420	
			NY-SUN, NY-Sun	36,084	
Aon Risk Consultants, Inc.	STATEWIDE	Statewide	Risk consulting for e2i	25,000	
Apex Energy Tek LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	28,058	
APX Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, NYGATS	794,524	
Arcadis of New York, Inc.	STATEWIDE	Statewide	K-12 SCHOOLS, CGSI-222E -Odessa-Montour ..	58,976	
			Technical Services, AEAP 1736 - Demko Dairy L..	3,000	
			Technical Services, AEAP 1747 - Landview Farms	3,000	
			NEW YORK GREEN BANK, Climate Risk Resilie..	291,700	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Arcadis of New York, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Tech Supp N..	100,000
	Arch Street Communications, Inc.	STATEWIDE	Statewide	Future Energy Econ Summit	234,000
				OTHER PROGRAM AREA, RFP4459 Marketing ..	15,000
	Arup US, Inc.	STATEWIDE	Statewide	Technical Services, FT - 0000760165 - Mitsui Fu..	110,750
	Association for Energy Affordability, In	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, FT - 000075628..	18,743
				Tech Assistanc Multifamily LMI, FT - 000075650..	17,831
				Technical Services, FT - 0000794171 - 404 Cond..	6,940
		STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	100,000
				NYCH: Communities, Regional Clean Energy Hub	1,620,000
				Regional Clean Energy Hub	195,000
				Translation Services, Regional Clean Energy Hub	10,000
	Atlas Public Policy	STATEWIDE	Statewide	Electric Vehicles - Innovation, MHD EV Grid Imp..	185,377
	Banyan Infrastructure Corpora..	STATEWIDE	Statewide	NEW YORK GREEN BANK, Reporting Covenant..	150,000
	Battelle Memorial Institute	STATEWIDE	Statewide	Code to Zero, TWO #3 NYStretch Res Modeling	125,441
	BDO USA LLP	STATEWIDE	Statewide	Background Investigation Servi	60,600
				Independent Evaluation	15,000
	Bergmann Associates, Architects,	STATEWIDE	Statewide	Technical Services, AEAP 1535 - Glenna Colapr..	2,026
		STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, Program Support..	37,500
				Tech Assistanc Multifamily LMI, REQ 5288 - Ber..	337,500
				Technical Services, Program Support_QAQC	37,500
				Technical Services, REQ 5288 - Bergmann Cros..	112,500
	Bettergy Corporation	STATEWIDE	Statewide	Hydrogen Innovation, Clean Hydrogen Innovation	399,991
	BlocPower LLC	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800
	Bokland Photography Inc	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2024 DPS_NYSF Pro..	20,000
	Bond, Schoeneck & King, PLLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO 6 HR Coun..	25,000
				NYSERDA ADMINISTRATION, TWO 12 - HR Inv..	4,602
		STATEWIDE	Statewide	BR: Program Implementation, TWO 10 - Caswell ..	10,000
	Booz Allen Hamilton, Inc.	STATEWIDE	Statewide	Building Envelope Systems, TWO 18 - CEF 2.0 P..	128,435
				Cleantech Ignition, TWO 18 - CEF 2.0 Petition	128,435
				Energy Storage Tech/Prod Dev, TWO 18 - CEF 2..	128,435
				Future Grid Perf. Challenges, TWO 18 - CEF 2.0 ..	128,435
				Hydrogen Innovation, TWO 18 - CEF 2.0 Petition	128,435
	Bright Power, Inc.	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, FT - 000076278..	15,300
				Tech Assistanc Multifamily LMI, FT - 000076284..	17,550
				Tech Assistanc Multifamily LMI, FT - 000077793..	15,000
				Technical Services, FT - 0000758789 - New Bedf..	9,500
				Technical Services, FT - 0000777832 - Metro Ma..	18,650
				Technical Services, FT - 0000781868 - Lovett Re..	10,000
				Technical Services, FT - 0000782081 - Punia & ..	10,050
				Technical Services, FT - 0000791315 - Related L..	14,000
				Technical Services, FT - 0000793115 - Argo Rea..	7,650
				Technical Services, FT - 0000799261 - Akam As..	11,000
	Brightcore Energy, LLC	STATEWIDE	Statewide	NYCH: Innovation, End Use Energy Innovation	39,239
	BronxWorks, Inc.	STATEWIDE	Statewide	BronxWorks supportive services	353,349
	Brooklyn SolarWorks LLC	STATEWIDE	Statewide	>200KW PV, NY-Sun	29,585
				>200KW PV, PON 2112 NY SUN	164,089
				NY-SUN, NY-Sun	5,917
	BST Systems, Inc.	STATEWIDE	Statewide	Hydrogen Innovation, Clean Hydrogen Innovation	398,523
	Buro Happold Consulting Engi..	STATEWIDE	Statewide	Technical Services, FT - 0000777101 - Empire St..	94,749
	BVG Associates LLC	STATEWIDE	Statewide	OREC: Technical Support, Offshore Wind Solicit..	50,000
				OREC: Technical Support, ORECRFP24-1 Ind E..	50,000
				REC:CES REC System Dev Costs, RESRFP24-..	38,000
	BW Research Partnership	STATEWIDE	Statewide	NYS Clean Energy Transition, Economic Impact ..	49,980
	BWBP Sand Brook, LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	420,523
	C.J. Brown Energy, P.C.	STATEWIDE	Statewide	Housing Agencies Support, TWO #7 -HCR Churc..	50,000
				Housing Agencies Support, TWO #8 - HCR True ..	50,000
				Housing Agencies Support, TWO #9 - HCR Bee..	50,000
	Cadence OneFive Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB Momentum S..	15,000
	Cameron Engineering & Asso..	STATEWIDE	Statewide	Technical Services, FT - 0000768566 - First Serv..	27,700

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Canajoharie Central School Di..	STATEWIDE	Statewide	K-12 SCHOOLS, CGSI-113E - Canajoharie CSD	507,900
	Carahsoft Technology Corporation	STATEWIDE	Statewide	EVALUATION, Qualtrics Software (2024-2025)	70,262
				NYSERDA ADMINISTRATION, CIS Albert Monit..	12,840
				NYSERDA ADMINISTRATION, Salesforce Licen..	31,624
		STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB Cloud Conte..	21,675
	Carver Bancorp, Inc.	STATEWIDE	Statewide	NY Green Bank, Carver (RFP 23)	25,000,000
	Cary Institute of Eco System ..	STATEWIDE	Statewide	Environmental Research, Ecosystem Studies	49,999
	Catalyze Holdings, LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	288,101
	Catskill Mountain Foundation, ..	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, CNCED 2023 - CM..	940,545
	CEC Stuyvesant Cove, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, RFP4641 CECC D..	349,538
				CLEANER GREENER COMMUNITIES, RFP464..	500,000
	Central New York Regional Planning and	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, Clean Energy Co..	330,000
				Clean Energy Communities, Clean Energy Com..	1,034,347
	CHA Consulting Inc.	STATEWIDE	Statewide	K-12 SCHOOLS, CHC Design Guidance - P12	49,000
	City of Beacon	STATEWIDE	Statewide	Clean Energy Communities, Rooftop Solar at DP..	150,000
	City of Canandaigua	STATEWIDE	Statewide	NYCH: Communities, Police Station ASHP Conv..	175,000
	City of Cortland	STATEWIDE	Statewide	Clean Energy Communities, Fire Station Building..	15,000
	City of Kingston	STATEWIDE	Statewide	Clean Energy Communities, First Avenue Groun..	807,500
	Clarkson University	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	399,911
	Clean Communities of Central..	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYTVIP Outreach ..	14,777
	CleanTech IQ, Inc.	STATEWIDE	Statewide	Low Carbon Tech Demos, Transition IQ 2024 For..	3,750
				Transition IQ 2024 Forum	3,750
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	84,778
				EVPRZ:Implementation, Implementation Support ..	1,071,926
				NENY:CHGE Empower Electric, Program Ops & ..	6,415
				NENY:CHGE Empower Gas, Program Ops & Te..	14,035
				NENY:Con Ed Empower Electric, Program Ops &..	22,308
				NENY:Con Ed Empower Gas, Program Ops & Te..	69,317
				NENY:KEDNY Empower Gas, Program Ops & T..	10,725
				NENY:NFG Empower Gas, Program Ops & Tech..	290,154
				NENY:NIMO Empower Electric, Program Ops & ..	49,499
				NENY:NIMO Empower Gas, Program Ops & Tec..	257,303
				NENY:NYSEG Empower Electric, Program Ops ..	63,980
				NENY:NYSEG Empower Gas, Program Ops & T..	150,095
				NENY:O&R Empower Electric, Program Ops & T..	30,420
				NENY:O&R Empower Gas, Program Ops & Tech..	63,375
				NENY:RGE Empower Electric, Program Ops & T..	30,740
	NENY:RGE Empower Gas, Program Ops & Tech..	72,401			
	CLEAResult Energetics LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, RFP5570 Mobility ..	1,799,998
				Pub Transit & Elect Rail, RFP5570 Mobility Supp..	1,199,999
	Climate Solutions Accelerator ..	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800
	Columbia County	STATEWIDE	Statewide	NYCH: Communities, CEC410027 - CEC 3.0 AS..	300,000
	CommentManagement.com LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, Management Software P.O.	7,650
				NYCI Comment Management	7,650
				Public Comment Software P.O.	7,650
	Commercial Cleaning NY Sunshine, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Cleaning for the ..	83,160
				NYSERDA ADMINISTRATION, Green Bank Offic..	57,600
	Commercial Investigations LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Background Che..	15,000
	Community Development Lon..	STATEWIDE	Statewide	NY Green Bank, CDC LI (RFP 23)	5,000,000
	Consortium for Energy Efficiency, Inc.	STATEWIDE	Statewide	Market Support Tools &Activity, 2024 CEE Integr..	50,000
Prof & Expert Engagement, 2024 CEE Members..				48,000	
Convergent Energy and Powe..	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Storage I..	2,500,000	
Cornell Cooperative Ext. Dutchess County	STATEWIDE	Statewide	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	
Cornell University	STATEWIDE	Statewide	Technical Services, CG Hosp Decision-Making M..	70,767	
Cornice Technology, LLC	STATEWIDE	Statewide	CGSI-147CT - Holland Patent	53,925	
			CGSI-234 - Hannibal CSD (1)_CT	53,925	
			CGSI-258 - Pawling CSD	53,925	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Cornice Technology, LLC	STATEWIDE	Statewide	FT - 0000765453 - Warwick Vall	40,444
	CoStar Realty Information, Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, CoStar Procurement	36,000
	Couch White, LLP	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 8 - TEN Regs	25,000
				NYCH: District, TWO 8 - TEN Regs	25,000
	COUNTY ROUTE 93 NY LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	207,360
	COWI Consulting Inc	STATEWIDE	Statewide	OREC: Technical Support, TWO#1 OSWSCRFP..	50,000
	CP Lynoaken LLC	STATEWIDE	Statewide	<200KW PV, NY-Sun	48,870
	CPL Architects, Engineers, Landscape	STATEWIDE	Statewide	CGSI-181D - Bradford CSD (1)_D	120,740
				CGSI-230 - Fonda-Fultonville	30,000
				CGSI-259CT - Ulster BOCES	40,000
	Crown Castle Fiber LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Crown Castle Pri..	11,121
	CTI Energy Services, LLC	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, FT - 000077203..	39,000
	Cutone & Company Consultan..	STATEWIDE	Statewide	Technical Services, OsEM122-C - 1370 Avenue ..	200,000
	CVENT, Inc.	STATEWIDE	Statewide	OREC: Technical Support, 2024 State of the Scie..	10,750
	D2D Green Architecture, PLLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, New Office Floor..	9,650
	Dalkia Energy Solutions	STATEWIDE	Statewide	Technical Services, FT - 0000785506 - 306 Gold ..	28,713
	Delaware River Solar, LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	224,595
				NY Sun	561,488
	Deloitte Consulting LLP	STATEWIDE	Statewide	IEDR: Program Manager, IEDR Program Manag..	4,615,827
	Developed Well Group	STATEWIDE	Statewide	NYCH: District, Geothermal drilling support	50,000
	DG New York CS, LLC	STATEWIDE	Statewide	NY Sun	875,875
	DNV Energy Insights USA Inc.	STATEWIDE	Statewide	Combined Heat and Power, TWO 1 On Site Res ..	100,000
				Concierge Services - DNV - TWO	50,000
				Eval MCDC: Ind Potential Study, TWO 1- Indust ..	468,016
				Multifam Performance Pgm, TWO 6 - MPP Impac..	384,957
				NYCH: District, Concierge Services - DNV - TWO	200,000
				REV Campus Challenge, Concierge Services - D..	50,000
	Doherty Electric, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	6,720
	Dow Jones & Company Inc	STATEWIDE	Statewide	ENERGY ANALYSIS, OPIS Subscription 2024-2..	8,256
	Duke University	STATEWIDE	Statewide	OREC: Technical Support, WOW Proposal Fundi..	20,000
	Dunsky Energy Consulting	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYGB Financial Ma..	91,487
	E-Zinc US Inc	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, Long Duration E..	352,500
	Eastern Research Group, Inc.	STATEWIDE	Statewide	Environmental Research, TWO 1 - CIA Web Mai..	50,000
	Eckholm Studios	STATEWIDE	Statewide	OTHER PROGRAM AREA, Climate Technology ..	302,000
				Clean Energy Communities, SA.012_TWO# 1_C..	318,680
	Eclaro International	STATEWIDE	Statewide	Heat Recovery, SA.015_TWO# 3_AES_PM2	477,530
				Market Support Tools &Activity, SA.02_TWO# 2_..	24,960
				NYCH: District, SA.010_TWO# 5_CHC_PM1	318,680
				Pub Transit & Elect Rail, SA.009_TWO# 4_CT_P..	326,680
				SA.02_TWO# 2_SFR_APM	99,840
				OREC: Technical Support, Eval of Eco Scour Pro..	10,000
	ECONcrete Inc	STATEWIDE	Statewide	OREC: Technical Support, Eval of Eco Scour Pro..	10,000
	Educational & Cultural Trust F..	STATEWIDE	Statewide	Talent Pipeline:OSW Training, Workforce Dev & ..	2,309,033
	Egg Geo, LLC	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, FT - 000075996..	62,644
	Electric Power Research Institute	STATEWIDE	Statewide	Future Grid Perf. Challenges, Dynamic Line Rati..	1,589,108
				Future Grid Perf. Challenges, Power Grid Innovat..	800,000
	EMCOR Services Betlem	STATEWIDE	Statewide	On-Site Energy Manager, OsEM151-I - Pennant I..	100,000
EME Consulting Engineering Group, LLC	STATEWIDE	Statewide	NYCH: Technical Assistance, FT - 0000781832 - ..	10,098	
			Tech Assistanc Multifamily LMI, FT - 000077975..	30,000	
			Technical Services, FT - 0000783535 - Jetro Res..	11,775	
			Technical Services, FT - 0000783543 - Jetro Res..	13,300	
			Commercial New Construc, SA.053-1_TWO# 6_..	234,385	
			K-12 SCHOOLS, SA.024_TWO# 2_EPE_PM1	1,001,000	
			K-12 SCHOOLS, SA.025_TWO# 1_EPE_PM2	930,000	
			Low Rise New Construction, SA.053-1_TWO# 6_..	48,761	
			Market Tests, SA.043_TWO# 3_AES_PM2	403,128	
			Multifam New Construction, SA.053-1_TWO# 6_..	204,431	
			REV Campus Challenge, SA.025_TWO# 1_EPE..	408,961	
			RTEM and Tenants, Minibid EBC & RTEM Prgm..	50,000	
			RTEM and Tenants, SA.043_TWO# 4_AES_PM1	422,129	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	EME Consulting Engineering Group, LLC	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, EME FlexTech ..	25,000
				Tech Assistanc Multifamily LMI, SA.054_TWO# 5..	354,363
				Technical Services, EME FlexTech MF Study An..	25,000
				Technical Services, SA.024_TWO# 2_EPE_PM1	429,000
				Technical Services, SA.025_TWO# 1_EPE_PM2	211,039
				Technical Services, SA.054_TWO# 5_EPE_APM	192,637
	Emes Solar	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	245,216
	Empire Offshore Wind LLC	STATEWIDE	Statewide	OREC: OSW Solicitations, OSW2023-1_Empire ..	7,897,110,390
	Empire Solar Solutions LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	16,464
	Empire State Realty OP, LP	STATEWIDE	Statewide	Technical Services, OsEM155-C - ESRT LLC	200,338
	Employee Leasing of Greater NY	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TS.029-SO_Trai..	120,900
				NYSERDA ADMINISTRATION, TS.039-Web Op..	135,225
	Empower CES, LLC	STATEWIDE	Statewide	ENERGY STORAGE, PON 2112 NY SUN	3,375
	enDevelopment LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Job Posting	58,800
	Energy and Environmental Economics Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, MHD EV Grid Imp..	384,222
				ENERGY ANALYSIS, TWO 11 - Mkt Price Forec..	150,000
				ENERGY ANALYSIS, TWO 12 - NYS Energy Pla..	255,000
ENERGY ANALYSIS, TWO #10: E3 Integration ..				448,218	
ENERGY ANALYSIS, TWO#7 Future of Gas Pla..				136,068	
OREC: Technical Support, TWO 11 - Mkt Price F..				60,000	
REC:CES REC System Dev Costs, TWO 1 -RES..				50,000	
REC:CES REC System Dev Costs, TWO 11 - Mk..				90,000	
Energy Catalyst LLC	STATEWIDE	Statewide	NYCH: Innovation, Ground Source Heat Pump C..	172,668	
Energy EDC Corp.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON 4772 R3 Anikk..	40,000	
Energy Technology Savings, I..	STATEWIDE	Statewide	Workforce Industry Partnership, PON 5357	122,150	
Eponymous Associates, LLC	STATEWIDE	Statewide	>200KW PV, NY-Sun	799,668	
Essense Partners Inc.	STATEWIDE	Statewide	OREC: Technical Support, TWO #1 - LSR/OSW	500,000	
Evercloak Inc	STATEWIDE	Statewide	Building Envelope Systems, Refrigerants - Evercl..	350,000	
EVERGREEN ENERGY	STATEWIDE	Statewide	>200KW PV, NY-Sun	717,800	
			NY-SUN, NY-Sun	179,450	
EVGO OPCO, LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, EVgo Services LL..	1,044,716	
Experis US LLC	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	20,290	
			CLCPA Support, SA.030_TWO# 3_NC_PM1	29,288	
			Code to Zero, SA.011_TWO# 2_Codes_Sr.PM	569,021	
			Commercial New Construc, SA.053_TWO#13_P..	24,220	
			Equitable Engagement, SA.018_TWO# 9_ECE_..	162,554	
			EVALUATION, SA.039_TWO# 11_PM_PC	210,038	
			Low Rise New Construction, SA.053_TWO#13_P..	48,760	
			Multifam New Construction, SA.053_TWO#13_P..	204,370	
			Multifam Performance Pgm, SA.038_TWO# 4_M..	359,890	
			New Construction Housing, SA.028a_TWO# 7_N..	352,935	
			New Construction Housing, SA.030_TWO# 3_N..	165,756	
			New Construction Housing, SA.040_TWO# 6_N..	258,396	
			New Construction- Commercial, SA.028a_TWO#..	39,215	
			New Construction- Commercial, SA.030_TWO# ..	98,761	
			New Construction- Commercial, SA.040_TWO# ..	110,741	
			NYSERDA ADMINISTRATION, SA.021a_TWO# ..	99,440	
			NYSERDA ADMINISTRATION, SA.056_TWO# 1..	50,437	
			RTEM and Tenants, SA.046_TWO# 10_AES_P..	491,545	
			SA.020_TWO# 1_SFR_PM1	81,160	
			SA.041_TWO# 8_GOV_PM1	428,320	
SF CN Competition, SA.030_TWO# 3_NC_PM1	29,996				
Single Family New Construction, SA.030_TWO# ..	118,765				
FAC CLUSTER HOUSING D..	STATEWIDE	Statewide	Direct Injection Program, FACSMP	851,871	
Ferrario Ford Inc	STATEWIDE	Statewide	Purchase of a 2024 Chrysler Pa	48,148	
Fifth Avenue Committee, Inc.	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800	
			Retrofit NY, RetroFitFifth Avenue Committee	690,000	
Finishing Trades Institute of N..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON 5437	555,528	
Fiomar	STATEWIDE	Statewide	Building Envelope Systems, Panelized Systems -..	1,529,740	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	First Columbia Property Servi..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Property Manage..	258,456
	Fishtech Energy Partners LLC	STATEWIDE	Statewide	Heat Recovery, HeatRec C1_Fishtech_Juilliard	39,427
	Foley & Lardner LLP	STATEWIDE	Statewide	RFP 12: NYGB Legal Services	58,622
	Freedom Solutions Group, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Litera Compare Soft..	2,295
				NYSERDA ADMINISTRATION, Litera Compare ..	2,295
	Frontier Energy, Inc.	STATEWIDE	Statewide	ESTOR: Implementation Support, TWO 2 Cat. 3 ..	250,000
				REC:CES REC System Dev Costs, DER Data Sy..	11,340
				REC:CES REC System Dev Costs, Frontier Ener..	49,448
	Fund for Public Health in New ..	STATEWIDE	Statewide	Environmental Research, Assessment for Energy..	98,356
	Fund for the City of New York,..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, NYCETC 2024 Con..	10,000
	Fusco Personnel, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Temp Services-..	17,280
				OREC: Technical Support, TS.007 - LSR_Office ..	16,200
				REC:CES REC System Dev Costs, Temp Servic..	17,280
				REC:CES REC System Dev Costs, TS.007 - LS..	16,200
	Fusion Energy Services LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,000
	G&S Operations LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	185,652
	Garrison Associates Inc	STATEWIDE	Statewide	EVALUATION, DPS Tech Supp for 2024 GB Eval	50,000
	GE Vernova International LLC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Transmission..	384,250
	GI Endurant LLC	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000
				ESTOR:Retail Storage Incentive, Retail Storage -..	1,072,500
	Global Asset Positioning, LLC	STATEWIDE	Statewide	CSE Supply Chain Attraction	102,930
				NYS Clean Energy Transition, CSE Supply Chain..	116,070
	Go Solar, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	12,480
	God's Love We Deliver	STATEWIDE	Statewide	Technical Services, FT - 0000779888 - God's Lo..	18,750
	Goldman Copeland Associates, P.C.	STATEWIDE	Statewide	Technical Services, FT - 0000781895 - CBRE - 7..	33,822
				Technical Services, FT - 0000784307 - Crowne P..	25,999
				Technical Services, FT - 0000795380 - 44 Prosp..	10,987
	Graphic Grace Design LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Contracted Grap..	50,000
	Green Ducklings A/S	STATEWIDE	Statewide	OREC: Technical Support, Tech assist OSW dev..	50,000
	Green Hybrid Energy Solution..	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	49,395
	Green Light New York, Inc.	STATEWIDE	Statewide	Capital Planning, BE-Ex 2024 Membership Dues	10,000
				Empire Building Challenge, BE-Ex 2024 Member..	10,000
				Heat Recovery, BE-Ex 2024 Membership Dues	10,000
				New Construction Housing, BE-Ex 2024 Member..	10,000
				RTEM and Tenants, BE-Ex 2024 Membership Du..	10,000
				Tech Assistanc Multifamily LMI, Pratt Ice Box Ch..	5,000
				Technical Services, Pratt Ice Box Challenge Event	5,000
				Workforce Industry Partnership, TWO EBC Traini..	250,000
	GreenLogic, LLC	STATEWIDE	Statewide	ENERGY STORAGE, PON 2112 NY SUN	550
	Greenstar Home Services	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, OJT	9,280
	Greycourt Road NY LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICSA	306,072
	Group-S LLC	STATEWIDE	Statewide	Heat Recovery, HeatRec C1_ENPG_315East65t..	38,936
				Technical Services, FT - 0000782560 - Orsid - 37..	11,895
	Guidehouse Inc.	STATEWIDE	Statewide	SFR Operations Risk Analysis	198,000
	Gupta Advisory	STATEWIDE	Statewide	OREC: Technical Support, Tech assist NYS OS..	49,900
	Gutami Inc	STATEWIDE	Statewide	>200KW PV, NY Sun	360,360
				NY Sun	900,900
	Halcyon Inc.	STATEWIDE	Statewide	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	HALO Branded Solutions, Inc.	STATEWIDE	Statewide	POLICY DEVELOPMENT, 2024 DPS JCB_HAL..	75,000
	Hanwha Q Cells America Inc	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Storage I..	5,000,000
	Harris Beach PLLC	STATEWIDE	Statewide	SARATOGA TECHNOLOGY & ENERGY PARK, ..	25,000
	Harris Energy Solutions LLC	STATEWIDE	Statewide	Technical Services, AEAP 1715 - Finding Home ..	2,964
Harvest Power, LLC	STATEWIDE	Statewide	COMMUNITY SOLAR, PON 2112 NY SUN	7,224	
Henningson, Durham & Richardson PC	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, TWO #1	400,000	
			OREC: Technical Support, Offshore Wind	50,000	
			OREC: Technical Support, TWO#2 OSWSCRFP..	50,000	
High Peaks Solar	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	7,560	
HiHello, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Digital BCard Su..	37,570	
Hilton Albany	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Hotel Room Block	15,960	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Hodgson Russ LLP	STATEWIDE	Statewide	RFP 12 - NYGB Legal Services	811
	Holland & Knight LLP	STATEWIDE	Statewide	OREC: Technical Support, TWO 9 - ORECRFP2..	109,401
		STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	5,553
				RFP 12 - NYGB Legal Services	46,151
	HomeCycle Technologies, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, RESRFP24-..	42,500
	Honeywell International Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	96,200
				EMPOWER NY, TWO #2 - Field Inspection	5,000
				Home Perf w Energy Star, TWO #2 - Field Inspec..	10,000
				NENY:CHGE Empower Electric, TWO #2 - Field I..	3,275
				NENY:CHGE Empower Gas, TWO #2 - Field Ins..	8,950
				NENY:Con Ed Empower Electric, TWO #2 - Field..	11,750
				NENY:Con Ed Empower Gas, TWO #2 - Field In..	36,400
				NENY:KEDNY Empower Gas, TWO #2 - Field In..	13,700
				NENY:NFG Empower Gas, TWO #2 - Field Inspe..	260,500
				NENY:NIMO Empower Electric, TWO #2 - Field I..	28,100
				NENY:NIMO Empower Gas, TWO #2 - Field Insp..	127,000
				NENY:NYSEG Empower Electric, TWO #2 - Fiel..	34,500
				NENY:NYSEG Empower Gas, TWO #2 - Field In..	105,100
				NENY:O&R Empower Electric, TWO #2 - Field In..	26,500
				NENY:O&R Empower Gas, TWO #2 - Field Inspe..	51,000
				NENY:RGE Empower Electric, TWO #2 - Field In..	16,500
				NENY:RGE Empower Gas, TWO #2 - Field Inspe..	49,500
				NYCH: Comfort Home, TWO #1 Comfort Home S..	157,200
				TWO #2 - Field Inspection	326,025
				Horseheads Central School Di..	STATEWIDE
	Housing Trust Fund Corporation	STATEWIDE	Statewide	Direct Injection Program, HCR 2021	23,000,000
				HCR 2021	9,750,000
				HCR Direct Injection, HCR 2021	9,250,000
	Hydropore Technologies	STATEWIDE	Statewide	Hydrogen Innovation, Clean Hydrogen Innovation	400,000
	Hytech Solar Inc	STATEWIDE	Statewide	ENERGY STORAGE, PON 2112 NY SUN	6,250
	ICF Incorporated LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 3 - NYS NG Infrastru..	40,000
	ICF Resources, LLC	STATEWIDE	Statewide	TWO 4 - CTS Study Support	400,000
	Ichor Strategies LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, ESB Public Relatio..	420,060
				NYSERDA ADMINISTRATION, Public Relations ..	500,000
	Illume Advising LLC	STATEWIDE	Statewide	Eval MCDC Statewide MultiF LMI, Statewide Mul..	370,159
	Inclusive Prosperity Capital, I..	STATEWIDE	Statewide	Clean Energy Hub, Financing Strategy for RCEH	50,000
	Indotronix International Corporation	STATEWIDE	Statewide	Carbontech Development, SA.033_TWO# 2_IN_..	69,884
				ESTOR: Implementation Support, SA.034_TWO#..	855,989
				Grid ClimateTech Ready Capital, SA.033_TWO# ..	72,001
				NYSERDA ADMINISTRATION, TWO#4-CM-PC-..	100,464
				Thermal Energy Storage, SA.033_TWO# 2_IN_A..	69,884
	Industrial Economics, Incorpor..	STATEWIDE	Statewide	CEL049: Process Evaluation, TWO 7 - Process E..	525,018
	INF Associates LLC	STATEWIDE	Statewide	CGSI-110 - Warrensburg CSD	48,800
				FT - 0000767235 - Lakeland Cen	64,370
				K-12 SCHOOLS, FT - 0000784709 - The Spence..	35,600
	Institute for Building Technolo..	STATEWIDE	Statewide	NY-SUN, TWO 4 NYSUN Res NonRes	2,000,000
	Integrated Staffing Corporation	STATEWIDE	Statewide	ENERGY ANALYSIS, TS.032 - EEA_Coordinator	74,763
NYSERDA ADMINISTRATION, TS.028 - Marketi..				95,174	
SA.016_TWO# 2_SQA_Coordinator				185,870	
Tech Assistanc Multifamily LMI, SA.036_TWO#3..				266,500	
Technical Services, SA.036_TWO#3_EPE_PM-1				266,500	
Thermal Energy Storage, TEMP_IN_EA				24,000	
INTEGRATION APPLIANCE, ..	STATEWIDE	Statewide	NEW YORK GREEN BANK, CRM Platform Deal ..	523,441	
Integrity Solar Solutions, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,000	
Intelligent NRG Solutions LLC	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	998,798	
International Code Council, Inc.	STATEWIDE	Statewide	Code to Zero, ICC Code Books	1,426,633	
Irrational Labs LLC	STATEWIDE	Statewide	Empire Building Challenge, MF Bldg Owner Deci..	320,701	
			NYCH: Empire Build Challenge, MF Bldg Owner ..	44,299	
IWS Services Inc.	STATEWIDE	Statewide	OREC: Technical Support, Offshore Wind	50,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	IWS Services Inc.	STATEWIDE	Statewide	OREC: Technical Support, TWO #3	50,000
				OREC: Technical Support, TWO #4 - Generic OS..	50,000
				OREC: Technical Support, TWO#2 OSWSCRF..	50,000
	J Synergy Solar LLC	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	21,420
	James Douglas Werner	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, W..	55,000
	JBI Construction Group	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	19,680
				>200KW PV, PON 2112 NY SUN	65,500
				COMMUNITY SOLAR, PON 2112 NY SUN	5,440
	Jefferson-Lewis BOCES	STATEWIDE	Statewide	K-12 SCHOOLS, BOCES2 - TWO Umbrella Jeff..	73,570
	Jetway Heating Cooling And ..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, OJT	14,400
	John B Warren	STATEWIDE	Statewide	RENEWABLE HEAT NY, Wood Combustion Nan..	10,005
	John Wiley & Sons, Inc.	STATEWIDE	Statewide	Environmental Research, CIA Open Source Publi..	48,400
	Jordan Energy and Food Ente..	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	7,830
	Joseph W Novak	STATEWIDE	Statewide	BR: Screening, Engineering Services	50,000
	JP Bus & Truck Repair LTD	STATEWIDE	Statewide	NYSBIP - Kings Park SD	400,000
	JR & SONS EXCAVATING IN..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, O..	280,000
	Kaeyer, Garment & Davidson ..	STATEWIDE	Statewide	K-12 SCHOOLS, CGSI-168ED - Clarkstown CSD	952,920
	Kamtech Restoration Corp	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	24,524
				>200KW PV, PON 2112 NY SUN	28,455
	Karp Strategies, LLC	STATEWIDE	Statewide	OREC: Technical Support, TWO1 NYNJ OSW tr..	271,250
	Karpman Consulting, LLC	STATEWIDE	Statewide	Code to Zero, MWBE Direct Award to Karpman C	190,000
				New Construction- Commercial, TWO #1 - Tech ..	50,000
	Kasselman Solar LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,000
	Kawi Energy Group Corp.	STATEWIDE	Statewide	Technical Services, FT14977 - Times Square Ho..	5,924
	Kearns & West, Inc.	STATEWIDE	Statewide	Market Support Tools &Activity, TWO 1 - RMAG ..	215,724
				OREC: Technical Support, Large-Scale Renewa..	50,000
				Working Group Facilitation	50,000
	Kelliher Samets LTD	STATEWIDE	Statewide	CLEAN TRANSPORTATION, TWO 35 - Clean Tr..	387,000
				NYCH: Talent Ppln:CE and OJT, TWO 17 - Work..	50,000
				NYSERDA ADMINISTRATION, TWO 22 - Websit..	49,980
				Talent Pipeline:OSW Training, TWO 17 - Workfor..	25,000
				TWO 17 - Workforce Dev Mark	450,000
				TWO 39 - C&I Spon Content	310,260
				TWO 41 - Global Paid Search	250,000
				TWO 42 - Holistic Res Mktg	4,103,000
				TWO 42 - Mission Video	110,000
				TWO 44: Nuclear Survey	23,000
	Workforce Industry Partnership, TWO 17 - Workf..	100,000			
	Kent Steiner, LLC	STATEWIDE	Statewide	>200KW PV, NY-Sun	799,668
	Kinetic Communities Consulti..	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800
	Kingston City School District	STATEWIDE	Statewide	K-12 SCHOOLS, CGSI-213D -Kingston CSD (1)..	265,060
	L&S Energy Services, Inc.	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, L&S GJ..	400,000
				Housing Agencies Support, HCR TWO - 210 Wa..	50,000
				Housing Agencies Support, HCR TWO - Clinton ..	50,000
				Housing Agencies Support, HCR TWO - South St..	50,000
				Housing Agencies Support, HCR TWO - Southrid..	50,000
				Housing Agencies Support, HCR TWO - Troy HA..	50,000
				Housing Agencies Support, HCR TWO - Troy HA..	50,000
	LaBella Associates, P.C.	STATEWIDE	Statewide	K-12 SCHOOLS, CGSI-212E -Clyde Savannah C..	65,580
				K-12 SCHOOLS, CGSI-225E - Highland Falls-FM	30,000
	Lenovo Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Lenovo Thinkvis..	5,100
	Leviathan Solar Inc	STATEWIDE	Statewide	COMMUNITY SOLAR, PON 2112 NY SUN	6,080
	Levitan & Associates, Inc.	STATEWIDE	Statewide	Cl Engy Siting & Soft Cost Red, TWO 4 - Tax Mo..	34,543
				OREC: Technical Support, Offshore Wind Solicit..	50,000
				OREC: Technical Support, OSW RFP24-1 TEP S..	100,000
				OREC: Technical Support, OSW Solicitation Sup..	175,000
	Liberty Park Senior L.P.	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, FT - 000077259..	17,860
	Livingston Energy Group	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Livingston Energy ..	1,538,907
	LM Language Services, Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, translation of CJF d..	7,361

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	LM Language Services, Inc.	STATEWIDE	Statewide	Translation of EmPower+ and Ag	305
	Lodestar Energy	STATEWIDE	Statewide	>200KW PV, NY Sun	362,394
				NY Sun	905,985
	Long Island Power Authority	STATEWIDE	Statewide	NY-SUN, Clean Energy& Efficiency MOU	20,000,000
	Long Island Power Solutions	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,000
				>200KW PV, PON 2112 NY SUN	7,380
				COMMUNITY SOLAR, PON 2112 NY SUN	5,412
	Management Solutions, LLC	STATEWIDE	Statewide	REC4:CES REC4 Tech Support, RFP5481 Desig..	490,627
	Manufacturers' Assn. of Centr..	STATEWIDE	Statewide	Prof & Expert Engagement, 2024 Membership	5,368
	Mark MaGrann Associates	STATEWIDE	Statewide	Housing Agencies Support, HCR TWO - Homest..	50,000
				Housing Agencies Support, HCR TWO - Hooper ..	50,000
				Housing Agencies Support, HCR TWO – Golden ..	50,000
	Mathews Buses Incorporated	STATEWIDE	Statewide	NYSBIP - Tarrytown SD	1,163,750
	McKinsey & Company, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, RFP5293 GHG Cap & Inv..	450,000
				RFP5293 GHG Cap & Invest Eval	420,000
	MDS MT LLC	STATEWIDE	Statewide	Future Energy Economy Summit	75,000
	MicroEra Power, Inc.	STATEWIDE	Statewide	Building Envelope Systems, Multi-mode TES & C..	396,500
	MicroGrid Networks LLC	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Storage I..	5,000,000
	Mintz, Levin, Cohn, Ferris, Glo..	STATEWIDE	Statewide	Cleantech Ignition, RFP 12 - NYGB Legal Servic..	15,240
	Mintzer Mauch PLLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO 5 - Agency ..	5,000
				NYSERDA ADMINISTRATION, TWO 5 - Agency ..	12,000
	Mzansi Clean Energy LLC	STATEWIDE	Statewide	NYCH: LMI, Inflation Reduction Act (IRA)	250,000
	National Grid	STATEWIDE	Statewide	BR: Interconnection, BR Facility 3 - Vincent Welch	32,000
				BR: Interconnection, BR Facility 4 - Witmer 1	50,000
				BR: Interconnection, BR Facility 5 - Witmer 2	50,000
	Natural Resources Defense C..	STATEWIDE	Statewide	NEW YORK GREEN BANK, 2024 GBN Member..	8,000
	NECEC Institute	STATEWIDE	Statewide	76 West, NECEC Sponsorship 2024	50,000
				Sponsorship of the ICCC 2024	10,000
	Neighborhood Housing Services of Queens	STATEWIDE	Statewide	Clean Energy Hub, Regional Clean Energy Hub	105,000
				NYCH: Communities, Regional Clean Energy Hub	900,000
				Regional Clean Energy Hub	200,000
				Translation Services, Regional Clean Energy Hub	50,000
	NeoCharge, Inc.	STATEWIDE	Statewide	Intelligent Buildings, Intelligent Buildings	120,190
	Netgains Engineering P.C.	STATEWIDE	Statewide	K-12 SCHOOLS, FT - 0000762834 - Lion Charter	20,200
	New Buildings Institute, Inc.	STATEWIDE	Statewide	Code to Zero, TWO1-Energy Code Rule Making S	249,680
	New Leaf Energy, Inc.	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Storage -..	2,000,000
				ESTOR:Retail Storage Incentive, Retail Storage I..	2,500,000
				ESTOR:Retail Storage Incentive, Retail Storage I..	2,500,000
	New York Association of Train..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, 2024 NYATEP Fall ..	10,000
	New York Battery and Energy ..	STATEWIDE	Statewide	The Battery Show 2024	45,000
	New York Engineers, P.C.	STATEWIDE	Statewide	CGSI-154O -White Plains CSD	170,873
				K-12 SCHOOLS, CGSI-142E - Margaretville CSD	373,685
	New York Passive House Inc.	STATEWIDE	Statewide	Low Carbon Tech Demos, Regenerative Metropo..	5,000
				New Construction Housing, Regenerative Metropo..	5,000
	New York Power Authority,	STATEWIDE	Statewide	High Performing Grid, NYPA GEMINI	8,000,000
	New York Real Estate Chamb..	STATEWIDE	Statewide	NEW YORK GREEN BANK, NYREC Membershi..	10,000
	New York State Ag & Markets	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2024 State Fair ..	20,310
POLICY DEVELOPMENT, 2024 NYS Fair DPS B..				16,790	
New York Univeristy	STATEWIDE	Statewide	Pub Transit & Elect Rail, DELIVERY WORKER S..	50,000	
New York University	STATEWIDE	Statewide	Technical Services, FT - 0000773971 - New York..	34,113	
Newlab	STATEWIDE	Statewide	Cleantech POCC, 2024 Climatefest Sponsorship	7,500	
Newmark Partners LP	STATEWIDE	Statewide	Newmark Appraisal Albany Hyatt	6,500	
Nexamp Inc.	STATEWIDE	Statewide	>200KW PV, NY Sun	605,393	
			NY Sun	1,513,486	
Nexus Labs	STATEWIDE	Statewide	RTEM and Tenants, NexusCon 2024 Sponsorship	48,500	
NIC Holding Corp	STATEWIDE	Statewide	FUEL NY, NYS Strategic Gasoline Reserve	529,500	
NineDot Energy, LLC	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Energy S..	4,651,125	
			ESTOR:Retail Storage Incentive, Retail Storage	5,000,000	
			ESTOR:Retail Storage Incentive, Retail Storage I..	12,076,625	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	NineDot IX Borrower, LLC	STATEWIDE	Statewide	NY Green Bank, NineDot Upsize	25,000,000
	Nixon Peabody LLP	STATEWIDE	Statewide	RFP 12 - NYGB Legal Services	1,869
	NMR Group, Inc.	STATEWIDE	Statewide	Product Standards, TWO 1 - PAS Impact & Eval	3,054,103
	Noresco LLC	STATEWIDE	Statewide	INDUSTRIAL PROCESS EFFICIENCY, FT - 000..	25,978
				Technical Services, FT - 0000766527 - Hackman..	87,776
		STATEWIDE	Statewide	Code to Zero, Energy Modeling and Cost Effec	249,200
	North American Passive Hous..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, RFQL4145 Workfor..	300,000
	North East Offshore, LLC	STATEWIDE	Statewide	OREC: OSW Solicitations, OSW2023-1_Sunrise ..	9,390,269,848
	Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	Code to Zero, 2024 NEEP Membership	10,000
				Market Support Tools &Activity, 2024 NEEP Me..	30,000
				NYCH: LMI, 2024 NEEP Membership	40,000
				Product Standards, 2024 NEEP Membership	50,000
				Prof & Expert Engagement, 2024 NEEP Member..	50,000
	Norton Rose Fulbright US LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, RFP 12: NYGB Leg..	836
	NSF IX, LLC	STATEWIDE	Statewide	NY Green Bank, Norbut Solar Farm	8,000,000
	NY Building Systems Consultant Inc.	STATEWIDE	Statewide	NYCH: Technical Assistance, FT - 0000790323 - ..	19,500
				Talent Pipeline:CE and OJT, OJT	12,960
				Technical Services, FT - 0000783258 - First Serv..	12,850
	NY CDG 006 LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICESA	45,101
	NY CDG 007 LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICESA	101,579
	NY CDG 010 LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICESA	166,873
	NYC & Lower Hudson Valley Clean Communit	STATEWIDE	Statewide	CLEAN TRANSPORTATION, NYTVIP Outreach ..	15,036
				IEDR Env Justice Working Group	19,800
	NYC Energy Efficiency Corporation (NYCEEC)	STATEWIDE	Statewide	NY Green Bank, NYCEEC SHF Coney Island	1,800,000
				NY Green Bank, NYCEEC SHF Melrose Concour..	1,300,000
	NYCEEC	STATEWIDE	Statewide	NY Green Bank, NYCEEC Subordinate Loan Up..	5,000,000
	NYS Association for Affordabl..	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, 2024 NYSAFAH ..	5,000
	NYS Essential Power	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	26,832
				>200KW PV, PON 2112 NY SUN	16,400
				COMMUNITY SOLAR, PON 2112 NY SUN	6,256
	NYS Office for Technology	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Office 365: 4/1/2..	10,000
	NYS Office of Information Tec..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Office 365: 4/1/2..	345,600
	NYSS LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	20,008
	OLA Consulting Engineers, P...	STATEWIDE	Statewide	K-12 SCHOOLS, FT - 0000783583 - Haldane Ce..	28,868
	Old Myers NY LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICESA	159,588
	Opinion Dynamics Corporation	STATEWIDE	Statewide	EVALUATION, TWO 2 - CEC Impact Eval	499,544
				Remote Energy Management, RFQ3183 Umbrell..	15,285
	Orion Polymer Corp	STATEWIDE	Statewide	Hydrogen Innovation, Clean Hydrogen Innovation	400,000
	Orrick Herrington & Sutcliffe L..	STATEWIDE	Statewide	Cleantech Ignition, RFP 12: NYGB Legal Services	1,392
	Owahgena Consulting, Inc.	STATEWIDE	Statewide	NYCH: LMI, TWO 3 Tech Support Heat Pump	200,000
	Passive House Accelerator LLC	STATEWIDE	Statewide	New Construction Housing, 2024-2025 General ..	40,000
				New Construction Housing, New Construction	40,000
				New Construction- Commercial, 2024-2025 Gene..	10,000
				New Construction- Commercial, New Construction	10,000
	Pathfinder Engineers & Archit..	STATEWIDE	Statewide	CGSI-224 - Ogdensburg CSD	56,980
	Pathstone Corporation	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, FT - 000076784..	9,331
	Patriot Energy Solutions Corp	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	12,079
	Pecan Street Inc.	STATEWIDE	Statewide	IEDR: Program Manager, IEDR Utility Data Advis..	470,700
	Performance Systems Development	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	37,000
				Compass 7/1/24-12/31/25	300,000
				EMPOWER NY, Compass 7/1/24-12/31/25	37,000
				Market Support Tools &Activity, Model calibration..	87,993
				NYCH: Comfort Home, Compass 7/1/24-12/31/25	146,000
	Pierre-Louis & Associates CP..	STATEWIDE	Statewide	REC:CES REC System Dev Costs, LSR Proposa..	65,750
Pivotal 180, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Pivotal180 Model..	42,000	
			NYSERDA ADMINISTRATION, Pivotal180 Tax E..	4,300	
Plains Road NY LLC	STATEWIDE	Statewide	NY-SUN, NY-Sun ICESA	194,696	
Plugin Stations Online, LLC	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Charge Ready 2.0 ..	105,000	
			EV Charging and Engagement, Charge Ready 2...	95,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	PlugPV, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	147,886
	Power Advisory LLC	STATEWIDE	Statewide	BR: Program Implementation, BR RFP Support	50,000
				OREC: Technical Support, TWO 2	50,000
				REC:CES REC System Dev Costs, TWO 1	600,000
Power to Hydrogen LLC	STATEWIDE	Statewide	Hydrogen Innovation, Clean Hydrogen Innovation	974,606	
PowerFlex Solar, LLC	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Energy S..	242,375	
			ESTOR:Retail Storage Incentive, Retail Storage I..	387,625	
			ESTOR:Retail Storage Incentive, Retail Storage I..	630,000	
Public Utility Law Project of New York,	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800	
			PULP 2023-24 Budget Approp	1,400,000	
Pulaski Hwy Solar 1, LLC	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, Energy Storage..	1,238,966	
RAC Holdings Corp.	STATEWIDE	Statewide	Clean Energy Hub, Catering for Hubs Meeting	31,200	
Ramboll Americas Engineerin..	STATEWIDE	Statewide	OREC: Technical Support, TWO OSWSCRFP24-..	50,000	
Randstad North America, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Intern - Gov Affai..	5,801	
RANGAM CONSULTANTS INC	STATEWIDE	Statewide	SA.026_TWO# 1_LSR_PM1	567,758	
			SA.051_TWO# 2_MF_PM1	385,016	
RCAM Technologies Inc	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, Long Duration E..	1,000,000	
RCPI Landmark Properties, L..	STATEWIDE	Statewide	RTEM and Tenants, Smart Build Demo Roundta..	13,718	
RED-Rochester LLC	STATEWIDE	Statewide	Workforce Industry Partnership, PON 5357	500,000	
Regional Economic Models, Inc	STATEWIDE	Statewide	ENERGY ANALYSIS, REMI User License and F..	44,000	
ReJews	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800	
Research Foundation of The City	STATEWIDE	Statewide	NYCH: Industry Partnerships, RTBOT - CUNY B..	250,000	
			Real Time Enrgy Management, RTBOT - CUNY ..	250,000	
			RTEM and Tenants, RTBOT - CUNY BPL	250,000	
			Workforce Industry Partnership, RTBOT - CUNY ..	250,000	
Reshape Infrastructure Strate..	STATEWIDE	Statewide	NYCH: District, Thermal Energy Regulations	50,000	
Reynolds Architecture Engineering LLC	STATEWIDE	Statewide	BR: Interconnection, Build Ready - RAE	40,000	
			BR: Screening, Build Ready - RAE	60,000	
Rise to Equity Excellence, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Mgmt Training a..	16,475	
Robert Derector Associates	STATEWIDE	Statewide	Technical Services, FT14760 - Downtown NYC ..	1,000	
Robert Ettinger PE, PC	STATEWIDE	Statewide	Housing Agencies Support, HCR TWO - Locust ..	50,000	
			Housing Agencies Support, HCR TWO - Reservoi..	50,000	
			Housing Agencies Support, HCR TWO - Rockvill..	50,000	
			Housing Agencies Support, HCR TWO Harmony ..	50,000	
Robin Powered, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Hoteling Software	41,210	
Rochester Institute of Technol..	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, CNCED 2022 - RI..	2,000,000	
Rosenblum Property Services,..	STATEWIDE	Statewide	SARATOGA TECHNOLOGY & ENERGY PARK, ..	38,804	
RUHL TecConsult LLC	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, FT15195 - Lefra..	19,307	
Rural Generation & Wind (Ro..	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	5,000	
Rural Housing Coalition of Ne..	STATEWIDE	Statewide	Multifam Performance Pgm, 2024 Rural Housing ..	5,000	
S&P Global Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, 2024-2025 PointLogic Sub..	67,450	
S&P Global Market Intelligenc..	STATEWIDE	Statewide	NEW YORK GREEN BANK, S&P CapIQ Pro Sub..	40,950	
SafariNY Corp.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, OJT	29,280	
SCE DevCo, LLC	STATEWIDE	Statewide	REC:CES REC Contracts, RESRFP22-1	321,163,757	
Sea Bright Solar, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	4,857	
Shenker Russo & Clark LLP	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, Union Advisory Ser..	200,000	
SiteCapture, Inc	STATEWIDE	Statewide	CLEAN TRANSPORTATION, SiteCapture Licens..	5,280	
			Combined Heat and Power, SiteCapture Licenses	9,680	
			Low Carbon Tech Demos, SiteCapture Licenses	9,680	
			Multifam Performance Pgm, SiteCapture Licenses	9,680	
			NYCH: Comfort Home, SiteCapture Licenses	9,680	
			Sive Paget & Riesel PC	STATEWIDE	Statewide
Sive Paget & Riesel PC	STATEWIDE	Statewide	REC:CES REC System Dev Costs, TWO #4 - St..	25,000	
			TWO 7 - CAC/Cap and Invest	500,000	
			REC4:CES REC4 Tech Support, TWO 9 - Tier 4 ..	75,000	
			RFP 12: NYGB Legal Services	19,817	
Slipstream Group, Inc.	STATEWIDE	Statewide	GJGNY REVOLVING LOAN FUND, GJGNY Loa..	31,078	
Smith Engineering PLLC	STATEWIDE	Statewide	Technical Services, FT - 0000779895 - Brookfiel..	74,441	
			Technical Services, FT - 0000788517 - Brookfiel..	129,331	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Software People, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO 3 Salesforc..	114,400
	Sol Developments, LLC	STATEWIDE	Statewide	Housing Agencies Support, HCR TWO - Playter ..	50,000
				Housing Agencies Support, HCR TWO - Silver Cr..	50,000
				Housing Agencies Support, HCR TWO - The Nest	50,000
				Housing Agencies Support, HCR TWO - Unicorn ..	50,000
				>200KW PV, NY Sun	1,093,199
	Sol Source Power, LLC	STATEWIDE	Statewide	NY Sun	2,733,001
				<200KW PV, PON 2112 NY SUN	30,612
	SOLANTA CORP	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	48,200
				<200KW PV, PON 2112 NY SUN	10,720
	Solar Pro Inc	STATEWIDE	Statewide	>200KW PV, NY-Sun	8,720
				>200KW PV, PON 2112 NY SUN	17,600
				>200KW PV, PON 2112 NY SUN	228,000
	Solect Energy Development L..	STATEWIDE	Statewide	>200KW PV, PON 2112 NY SUN	228,000
	Solitude Solar LLC	STATEWIDE	Statewide	>200KW PV, NY Sun	436,980
				NY Sun	1,092,451
	Soltage, LLC	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Storage I..	2,500,000
	Stantec Consulting Services, I..	STATEWIDE	Statewide	WEST VALLEY DEVELOPMENT PROGRAM, W..	156,165
	Staples, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Staples Office S..	15,000
	Stock Studios Photography	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Tom Stock Photo..	4,580
	Stone Tablet, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Employee & Lab..	21,940
	Stony Brook University	STATEWIDE	Statewide	OREC: Technical Support, 2024 State of the Scie..	133,699
	Storm King Art Center	STATEWIDE	Statewide	Net Zero Energy for Eco Dev, CNCED 2021 - Sto..	600,000
	Suffolk County	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, Yaphank..	187,500
	SuNation Solar Systems, Inc.	STATEWIDE	Statewide	COMMUNITY SOLAR, PON 2112 NY SUN	20,208
				ENERGY STORAGE, PON 2112 NY SUN	6,250
	Sunkeeper Solar LLC	STATEWIDE	Statewide	COMMUNITY SOLAR, PON 2112 NY SUN	66,640
	SunPower Capital, LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	10,560
				>200KW PV, PON 2112 NY SUN	35,670
	SUNRISE ELECTRICAL SER..	STATEWIDE	Statewide	<200KW PV, NY-Sun	75,000
	Supportive Housing Network o..	STATEWIDE	Statewide	Tech Assistanc Multifamily LMI, 2024 SHNNY Co..	6,000
	Surf Clean Energy Inc	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	1,992
				ENERGY STORAGE, PON 2112 NY SUN	12,500
	SUSTAIN RESILIENCE LLC	STATEWIDE	Statewide	Code to Zero, Technical support	500,000
	Sustainable Comfort, Inc	STATEWIDE	Statewide	Housing Agencies Support, HCR TWO #6 – Colvi..	50,000
				Housing Agencies Support, HCR TWO#7 - Cold ..	50,000
				Housing Agencies Support, HCR TWO#8 - Junip..	50,000
	Sustainable CUNY CUNY/RF	STATEWIDE	Statewide	Solar + Storage Summit June 24	15,000
	Sustainable Energy Advantage, LLC	STATEWIDE	Statewide	OREC: Technical Support, TWO#1 MP2.0 Workf..	150,000
				REC:CES REC System Dev Costs, REMO Subs..	24,724
	Sustainable Energy Developm..	STATEWIDE	Statewide	<200KW PV, NY-Sun	144,265
	Sustainable Energy Holdings LLC	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Retail Storage	385,000
				ESTOR:Retail Storage Incentive, Retail Storage I..	385,000
	Sustainable Hudson Valley, In..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON 4772 R3 Joan..	40,000
	Sustainable Westchester	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, OJT	8,461
	Syracuse Community Hotel Restoration Com	STATEWIDE	Statewide	Clean Energy Communities, 2024 CEC Coordina..	10,000
				Future Energy Economy Summit	75,000
Syracuse University	STATEWIDE	Statewide	Intelligent Buildings, Intelligent Buildings	305,658	
			Natural Carbon Solutions, A1 - Building Challenge	846,316	
			NYCH: Innovation, NextGen HVAC Innovation	428,451	
Syska Hennessy Group	STATEWIDE	Statewide	Technical Services, FT - 0000763878 - Mount Si..	118,009	
Taitem Engineering, P.C.	STATEWIDE	Statewide	Technical Services, AEAP 1656 - Maybury Hill M..	2,202	
			Technical Services, AEAP 1704 - Damiani Wine	2,931	
			Housing Agencies Support, HCR TWO - Eastwoo..	50,000	
			Housing Agencies Support, HCR TWO - Olympia..	50,000	
			Housing Agencies Support, HCR TWO – Apartm..	50,000	
			Low Carbon Tech Demos, Multifamily SQA	25,000	
			Low Carbon Tech Demos, Multifamily Technical ..	108,450	
			Multifam Performance Pgm, Multifamily SQA	100,000	
			New Construction Housing, M&V - Arthaus	16,247	

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Statewide	Taitem Engineering, P.C.	STATEWIDE	Statewide	TWO CH4A M&V Services	21,029
	Tech Valley Talent, LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO #11 Info S..	218,400
				NYSERDA ADMINISTRATION, TWO #21 Salesf..	210,080
				NYSERDA ADMINISTRATION, TWO #26 Softwa..	63,375
		STATEWIDE	Statewide	REC4:CES REC4 Tech Support, SA.037a_ TWO..	172,240
	TechniArt, Inc.	STATEWIDE	Statewide	Clean Energy Hub, Regional Energy Hub Kits	292,500
	Terri Hartwell Easter Consulti..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, DEI Consultant - ..	200,000
	Tesla, Inc.	STATEWIDE	Statewide	CLEAN TRANSPORTATION, Tesla DCFC PON ..	1,542,894
	Tetra Tech Engineers, Architects and Lan	STATEWIDE	Statewide	Housing Agencies Support, HCR TWO #5 - Beec..	50,000
				Housing Agencies Support, HCR TWO #6 – 1546..	50,000
				Housing Agencies Support, TWO #4 - Luna Green	50,000
	The Brattle Group Inc.	STATEWIDE	Statewide	Grid ClimateTech Ready Capital, TWO - 5 NYS ..	1,726,372
				TWO 4 - Zero Emission Technolo	196,000
	The Business Council of NYS,..	STATEWIDE	Statewide	Prof & Expert Engagement, Business Council 24 ..	7,040
	The Cadmus Group, LLC	STATEWIDE	Statewide	Electric Vehicles - Innovation, MHD EV Grid Imp..	656,225
				ENERGY ANALYSIS, BEEM Redevelopment: Ph..	50,000
				ENERGY ANALYSIS, TWO 2 - Phase 2B: BEEM..	241,841
				ENERGY ANALYSIS, TWO 2 -State Energy Plan..	49,973
				ENERGY ANALYSIS, TWO #1 BEEM Revision	157,389
				Eval MCDC Cross Cutting, Statewide Multifamily ..	200,000
				Eval MCDC EE Master Soft Cost, TWO#4 Soft C..	111,875
				NYSERDA ADMINISTRATION, TWO 1 - Green ..	24,000
				Product Standards, TWO 2 - Phase 2B: BEEM R..	26,700
	The Leviticus 25:23 Alternativ..	STATEWIDE	Statewide	NY Green Bank, Leviticus Fund (RFP 23)	18,300,000
	The Research Foundation for the State	STATEWIDE	Statewide	Clean & Resilient Buildings	50,000
				Environmental Research, Low-Cost AQ Sensors	105,963
				OTHER PROGRAM AREA, Clean & Resilient Bui..	50,000
	The RF of SUNY Binghamton University	STATEWIDE	Statewide	Future Grid Perf. Challenges, Power Grid Innovat..	400,000
				Hydrogen Innovation, Clean Hydrogen Innovation	332,598
	The Small Business Solution ..	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, 2024 Career Jam S..	7,500
	The Standard Hydrogen Corp..	STATEWIDE	Statewide	Hydrogen Innovation, Long Duration Energy Stor..	2,000,000
	The Trustees of Columbia Uni..	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Attribution of a..	259,995
	The WVI Dolphin Foundation	STATEWIDE	Statewide	Talent Pipeline: Internship Pgm, 2024 WVI Dolphi..	5,000
	Therese Myers	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Contracted Editor	20,000
	Tompkins County	STATEWIDE	Statewide	BR: Program Implementation, Tompkins County ..	19,500
	Total Webcasting, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, NYS Energy Board Pln Mtg	5,270
	TotalEnergies Distributed Gen..	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Energy Storage	1,224,000
	Town of Albion	STATEWIDE	Statewide	Clean Energy Communities, Audit/Implementatio..	11,600
	Town of Alexander	STATEWIDE	Statewide	Clean Energy Communities, Town of Alexander ..	6,600
	Town of Catskill	STATEWIDE	Statewide	Clean Energy Communities, EV Vehicle & Heat p..	44,570
				NYCH: Communities, EV Vehicle & Heat pumps	30,430
	Town of Clifton Park	STATEWIDE	Statewide	Clean Energy Communities, CEC400011 - Buildi..	77,900
	Town of East Bloomfield	STATEWIDE	Statewide	Clean Energy Communities, Energy Audit/Imple..	6,600
	Town of Geneva	STATEWIDE	Statewide	Clean Energy Communities, CEC300344 - 3.0 S..	175,000
	Town of Gorham	STATEWIDE	Statewide	Clean Energy Communities, Audit/Implementatio..	6,600
	Town of Highlands	STATEWIDE	Statewide	Clean Energy Communities, CEC500728 - 3.0 B..	10,000
	Town of Kendall	STATEWIDE	Statewide	Clean Energy Communities, DPW Energy Study/I..	6,600
	Town of Kinderhook	STATEWIDE	Statewide	Clean Energy Communities, Solar Array	50,000
	Town of Lewisboro	STATEWIDE	Statewide	Clean Energy Communities, CEC500648- CEC 3..	50,000
	Town of Marbletown	STATEWIDE	Statewide	Clean Energy Communities, NYPA Project at RM..	362,500
	Town of Marion	STATEWIDE	Statewide	Clean Energy Communities, Energy Study Imple..	10,000
	Town of Naples	STATEWIDE	Statewide	Clean Energy Communities, Energy Audit/Imple..	6,600
	Town of Nelson	STATEWIDE	Statewide	Clean Energy Communities, Town of Nelson 2 St..	50,000
	Town of Red Hook, NY	STATEWIDE	Statewide	Clean Energy Communities, Phase 1 Community..	100,000
	Town of Saugerties	STATEWIDE	Statewide	Clean Energy Communities, Town of Saugerties ..	100,000
	Trane	STATEWIDE	Statewide	Technical Services, FT - 0000762382 - Prologis - ..	12,500
	Transect Inc.	STATEWIDE	Statewide	BR: Program Implementation, BR Subscription - ..	19,000
	Travertine Technologies, Inc.	STATEWIDE	Statewide	Hydrogen Innovation, Clean Hydrogen Innovation	3,170,033
	TRC Engineers, Inc.	STATEWIDE	Statewide	BR: Environmental, BRVW - Solar Permitting - T..	236,000

Projects Selected for Funding by Region
 Period 4/1/2024 through 9/30/2024

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	TRC Engineers, Inc.	STATEWIDE	Statewide	Product Standards, TWO #8 IRA POS Retail SS	50,000
				Technical Services, TRC Project Mgr Training Sup	17,000
Statewide	TRC Environmental Corporation	STATEWIDE	Statewide	CLEAN TRANSPORTATION, SA.035_TWO# 7_..	539,355
				Energy Storage Tech/Prod Dev, SA.032_TWO# ..	110,055
				EVAL MCDC: TRM Support, TRM Membership	77,000
				Heat Recovery, SA.013_TWO# 4_AES_PM2	488,076
				Housing Agencies Support, SA.042_TWO# 9_M..	395,258
				Hydrogen Innovation, SA.032_TWO# 8_IN_APM	110,055
				Low Carbon Tech Demos, SA.029_TWO# 5_MF..	390,461
				Natural Carbon Solutions, SA.032_TWO# 8_IN_..	113,390
				New Construction Housing, SA.031_TWO# 6_N..	508,688
				SA.008_TWO# 3_CT_PM1	427,240
				SA.048_TWO# 10_MF_PM1	410,350
SA.060_TWO# 11_MF_PM1	396,086				
Tri State Solar Services	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	53,008	
Tryfacta, Inc.	STATEWIDE	Statewide	NYCH: LMI, SA.050_TWO# 2_MF_PM1	404,017	
			SA.047_TWO# 1_SFR_Sr BA	131,040	
Turner Construction Company	STATEWIDE	Statewide	RTEM and Tenants, DevelopQuarterly Pricing In..	50,000	
U.S. Geological Survey	STATEWIDE	Statewide	A3 - Measurement, Monitoring,	654,536	
Union College	STATEWIDE	Statewide	NYCH: District, PON 4614 - Round 10	487,918	
Unique Comp Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, TWO #3 Databa..	203,840	
University of Massachusetts A..	STATEWIDE	Statewide	Environmental Research, DOE Project Co-Fundi..	20,000	
University of Rochester	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Changes in PM..	148,658	
Urban Electric Power, Inc.	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, Long Duration E..	993,944	
Urban Green Council	STATEWIDE	Statewide	Code to Zero, Codes, Products, & Standards	48,410	
US Green Building Council	STATEWIDE	Statewide	New Construction Housing, 2024 USGBC Upstat..	5,000	
			New Construction- Commercial, 2024 USGBC U..	5,000	
USGS National Center MS270	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Soil Carbon St..	49,999	
Ventolines B.V.	STATEWIDE	Statewide	OREC: Technical Support, Offshore Wind	50,000	
			OREC: Technical Support, OSWSCRFP24-1 TE..	50,000	
Vermont Energy Investment Corporation	STATEWIDE	Statewide	NYCH: LMI, Pre-pilot support	50,000	
			NYCH: LMI, Program Design Support	485,000	
Village of Cayuga Heights	STATEWIDE	Statewide	Clean Energy Communities, WWTP Solar Project	50,000	
Village of Elmira Heights	STATEWIDE	Statewide	Clean Energy Communities, Village of Elmira Hei..	75,000	
Village of Medina	STATEWIDE	Statewide	Clean Energy Communities, Audit/Implementatio..	6,600	
Village of Naples	STATEWIDE	Statewide	Clean Energy Communities, Energy Audit/Imple..	6,600	
Village of Nelsonville	STATEWIDE	Statewide	Clean Energy Communities, CEC500832 - 3.0 Gr..	6,600	
Village of New Hartford	STATEWIDE	Statewide	Clean Energy Communities, Village of New Hartf..	6,600	
Village of Palmyra	STATEWIDE	Statewide	Clean Energy Communities, Audit/Implementatio..	6,600	
Village of Sherburne	STATEWIDE	Statewide	CLEANER GREENER COMMUNITIES, Village o..	50,000	
Village of Tarrytown	STATEWIDE	Statewide	Clean Energy Communities, Electric Vehicle for ..	10,000	
Village of West Winfield	STATEWIDE	Statewide	Clean Energy Communities, Village of West Winfi..	50,000	
Voltaic Solaire LLC	STATEWIDE	Statewide	<200KW PV, PON 2112 NY SUN	16,072	
VTC Specialties Inc	STATEWIDE	Statewide	AV - Future Energy Econ Summit	20,000	
W. B. Mason Co. Inc	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, W. B. Mason Offi..	24,000	
Waldron Engineering of New York, P.C.	STATEWIDE	Statewide	ESTOR:Retail Storage Incentive, Energy Storage	1,958,375	
			ESTOR:Retail Storage Incentive, Retail Storage I..	6,364,750	
Wall Street Prep, Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Wall Street Prep	14,437	
Walrath Recruiting, Inc.	STATEWIDE	Statewide	Clean Energy Communities, TS.036-Communitie..	246,400	
			Thermal Energy Storage, Temp Services-Innovat..	23,000	
Weave Grid, Inc.	STATEWIDE	Statewide	Grid ClimateTech Ready Capital, Distribution-Opt..	999,911	
Wendel Energy Services, LLC	STATEWIDE	Statewide	CGSI-91 - Sackets Harbor CSD	14,460	
			CGSI-257CT - West Babylon UFSD	51,170	
			FT - 0000765982 - Williamson C	34,526	
			FT - 0000768085 - Eden CSD - 8	29,910	
			FT - 0000768112 - North Tonawa	29,910	
West Harlem Environmental A..	STATEWIDE	Statewide	IEDR Env Justice Working Group	19,800	
West Monroe Partners, LLC	STATEWIDE	Statewide	NYCH: Comfort Home, NYHEP UAT Support	24,750	
			NYHEP UAT Support	24,750	

Projects Selected for Funding by Region
Period 4/1/2024 through 9/30/2024

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	West Monroe Partners, LLC	STATEWIDE	Statewide	RFP4886 RES Market Engagement	3,273,236
	Westchester Marriott	STATEWIDE	Statewide	EVPRZ:Contingency, NY Clean Transportation P..	100,000
	Windels Marx Lane & Mittend..	STATEWIDE	Statewide	RFP 12 - NYGB Legal Services	14,401
	WL Concepts & Productions, Inc	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, 2024 WL Conce..	178,813
				POLICY DEVELOPMENT, 2024 DPS WL Conce..	152,825
	Women of Renewable Industri..	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Membership Ren..	5,000
	Wood Mackenzie Power & Renewables, Inc.	STATEWIDE	Statewide	OREC: Technical Support, WoodMac 2024 Subs..	35,937
				REC:CES REC System Dev Costs, WoodMac 20..	35,937
	Working Power BAT Manager ..	STATEWIDE	Statewide	NY-SUN, PON 3414 - Sunset Park Solar	200,000
	Worley Group, Inc.	STATEWIDE	Statewide	REC:CES REC System Dev Costs, TWO #1 Buy ..	50,000
Xerox Corp	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Facilities Manag..	76,390	
Western New York	ACE Development Company, ..	Niagara	National Grid	REC:CES REC Contracts, RESRFP22-1	90,701,551
	Adam C. Boese	Cattaraugus	NYS Electric and Gas	Technical Services, AEAP 1742 - R&D Adams D..	6,000
		Erie	National Grid	Technical Services, AEAP 1702 - Rush Around A..	6,000
	B&H Foto & Electronics Corp.	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Dr..	7,357
	Buffalo Geothermal Heating	Erie	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	36,000
	Buffalo Solar Solutions Inc	Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	12,335
	C.J. Brown Energy, P.C.	Allegany	NYS Electric and Gas	Technical Services, AEAP 1678 - Belle Hollow F..	5,997
				Technical Services, AEAP 1711 - CM Maple	3,000
		Erie	National Grid	K-12 SCHOOLS, CGSI-101_E - Sweet Home MS	175,676
				K-12 SCHOOLS, CGSI-208E - Buffalo PS (2)_E	41,939
	Erie	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT	11,078	
			Technical Services, FT17169 Upstate Niagara C..	6,978	
			Talent Pipeline:CE and OJT, OJT	15,360	
			NY-SUN, NY-Sun ICSA	692,452	
	CIR ELECTRICAL CONSTRU..	Erie	National Grid	<200KW PV, PON 2112 NY SUN	37,466
	CleanFiber LLC	Erie	National Grid	Talent Pipeline:CE and OJT, OJT	14,520
	Cornice Technology, LLC	Erie	National Grid	CGSI-137CT -North Collins CSD	53,925
	CPL Architects, Engineers, Landscape	Allegany	ANDOVER	CGSI-172CT -Andover CSD (1)_CT	30,000
				CGSI-87CT - Scio CSD	30,000
				Rochester Gas and Electric	CGSI-125CT- Friendship CSD (1)
		Cattaraugus	National Grid	CGSI-163CT -Olean CSD (1)_CT	35,000
				CGSI-164CT -Portville CSD	40,000
		Chautauqua	National Grid	CGSI-93 - Cassadaga Valley CSD	40,000
				NYS Electric and Gas	CGSI-107 - Pine Valley CSD
	Erie	NYS Electric and Gas	Technical Services, FT17237 - United PMR - PON	16,000	
	DG New York CS, LLC	Niagara	National Grid	NY-SUN, NY Sun	490,490
	Energy One Consulting LLC	Erie	National Grid	On-Site Energy Manager, OsEM 140-I - General ..	198,055
	Good Carbon Curation LLC	Erie	National Grid	Low Carbon Tech Demos, Low Carbon Pathways	1,639,400
	Greenstar Home Services	Erie	National Grid	NYCH: Talent Ppln:CE and OJT, OJT	9,600
				Talent Pipeline:CE and OJT, OJT	7,680
	IBC Engineering PC	Chautauqua	National Grid	FT17127 Bemus Point CSD (3)_CT	6,584
	Invenery Renewables Holdin..	Cattaraugus	National Grid	REC:CES REC Contracts, RESRFP23-1	1,036,435,693
	KAM Cleanup LLC	Erie	National Grid	New Construction- Commercial, NC-C Incentives	369,122
	KC Management Holdings LLC	Erie	NYS Electric and Gas	NYCH: Talent Ppln:CE and OJT, OJT	72,000
				Talent Pipeline:CE and OJT, OJT	22,442
	LaBella Associates, P.C.	Niagara	National Grid	K-12 SCHOOLS, CGSI-171E - Royalton Hartland	50,850
	Lactalis American Group, Inc	Erie	National Grid	On-Site Energy Manager, OsEM135-I - Lactalis	214,000
	Leonard Bus Sales, Inc.	Chautauqua	National Grid	NYSBIP - Bemus Point SD	318,500
	Leonard Carl Neckers Jr	Chautauqua	National Grid	Anaerobic Digesters, PON 3739 CAT C	312,925
	M/E Engineering, P.C.	Allegany	Rochester Gas and Electric	Technical Services, AEAP 1684 - Hints Red Roof..	6,000
				Erie	National Grid
		Erie	NYS Electric and Gas	Technical Services, FT17166 Catholic Health - 2..	68,619
				Technical Services, AEAP 1685 - Kist Maple Syr..	6,000
		Niagara	National Grid	Technical Services, FT17184 - 445 Tremont - FTC	52,970
	Matthews Buses Incorporated	Chautauqua	Municipal Utilities	NYSBIP - Jamestown SD	514,500
			National Grid	NYSBIP - Cassadaga Valley SD	1,543,500
			NYS Electric and Gas	NYSBIP - Pine Valley SD	1,935,500
NYSBIP Pine Valley SD			57,250		

Projects Selected for Funding by Region
 Period 4/1/2024 through 9/30/2024

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Matthews Buses Incorporated	Erie	Municipal Utilities	NYSBIP Springville-Griffith SD	514,500
			National Grid	NYSBIP Sweet Home SD	61,500
	MJW Technical Services, Inc.	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, R..	910,850
	National Solar Technologies	Erie	NYS Electric and Gas	>200KW PV, NY Sun	796,621
				NY Sun	497,887
	Navistar, Inc.	Erie	National Grid	NYSBIP - Buffalo SD	3,920,000
				NYSBIP Buffalo SD	980,000
	New York Bus Sales LLC	Erie	National Grid	NYSBIP Evans-Brant SD	1,764,000
	Pure Performance Renewable..	Erie	National Grid	Talent Pipeline:CE and OJT, OJT	19,200
	Ramboll Americas Engineerin..	Chautauqua	Municipal Utilities	INDUSTRIAL PROCESS EFFICIENCY, FT-7651..	37,672
	SANFILIPPO SOLUTIONS IN..	Chautauqua	National Grid	Talent Pipeline:CE and OJT, OJT	42,352
	Solar Liberty Energy Systems...	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	5,688
	Southern Tier Environments f..	Cattaraugus	NYS Electric and Gas	Tech Assistanc Multifamily LMI, FT - 000076293..	7,428
	SWBR Architecture, Engineeri..	Allegany	National Grid	CGSI-166CT - Cuba-Rushford CSD	56,195
	Taitem Engineering, P.C.	Allegany	NYS Electric and Gas	K-12 SCHOOLS, CGSI-43E - Alfred-Almond CSD	37,999
	TM Montante Solar Developments, LLC	Erie	National Grid	<200KW PV, PON 2112 NY SUN	99,138
				>200KW PV, NY Sun	82,320
				NY Sun	205,800
			NYS Electric and Gas	<200KW PV, NY-Sun	149,600
	Town of Humphrey	Cattaraugus	National Grid	Clean Energy Communities, Energy Study and U..	6,600
	Voice Buffalo	Erie	National Grid	PON 4772 R3 (Moet Grooms)	40,000
	Wendel Energy Services, LLC	Cattaraugus	NYS Electric and Gas	CGSI-103 - Gowanda CSD (1)_CT	46,825
		Erie	National Grid	CGSI-155CT - Lake Shore CSD	48,384
Wilson Engineering Services, ..	Erie	National Grid	Heat Recovery, HRC1_Wilson_Lactalis	40,000	
Grand Total				22,593,046,576	

NYSERDA

Public Authority Law Report

April 1, 2024 to September 30, 2024

Section Break

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Expended Amount
1st Light Energy, Inc.	>200KW PV, PON 2112 NY SUN	287,980
2G Energy Inc.	Combined Heat and Power, CHPA - 2070-2080 Housing Corp	242,775
	Combined Heat and Power, CHPA - 2100 1st Avenue Bldg BC	333,719
	Combined Heat and Power, CHPA - Building D	242,775
3 BP REIT	Technical Services, OsEM102-C - Hines - 3 BP REIT	36,323
22nd Century Technologies, Inc.	ENERGY ANALYSIS, SA.027_TWO# 5_EM_PC	18,256
	Equitable Engagement, SA.017_TWO# 6_ECE_PM1	4,301
	Intelligent Buildings, TWO # 4 Sr. BA - Sifkat Medhi	76,622
	Market Support Tools &Activity, SA.022_TWO# 4_SFR_BA	6,406
	REC4:CES REC4 Tech Support, SA.001_TWO# 2_LSR_PM2	90,870
	SA.022_TWO# 4_SFR_BA	25,625
	Tech Assistanc Multifamily LMI, SA.006_TWO# 1_EPE_APM	46,740
64 Solar LLC	<200KW PV, PON 2112 NY SUN	66,360
100 Flatbush Developer, LLC	New Construction- Commercial, Commercial NCP 2022 - Path D	624,000
108 St. Edwards Housing Developmen..	New Construction Housing, NCP Housing 2022	63,000
110 Holdings LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFP4886 RE..	322,526
	EMPOWER NY, RFP4886 RES Market Engagement	169,194
	Home Perf w Energy Star, RFP4886 RES Market Engagement	25,801
	NYCH: Comfort Home, RFP4886 RES Market Engagement	241,895
	NYCH: Technical Assistance, RFP4886 RES Market Engagement	209,642
	RFP4886 RES Market Engagement	1,808,537
223 East 25th Street LLC	Buildings of Excellence, Buildings of Excellence R1	49,253
	New Construction Housing, 2019 MFCNP	2,240
375 Park Avenue Investors LP	Technical Services, FT14317 - 375 Park - PON	1,850
444 East 86th Owners Corp	Technical Services, FT14349 - 444 E 86th - FTC	45,525
601 West End Tenants Corp	Low Carbon Tech Demos, Low Carbon Pathways	10,800
705 Broadway Hotel, LLC	New Construction- Commercial, Commercial New Construction	73,631
745 Broadway Albany, LLC	New Construction Housing, NCP Housing 2022	61,800
770 Electric Corp.	<200KW PV, NY-Sun	85,356
	>200KW PV, NY-Sun	142,260
	>200KW PV, PON 2112 NY SUN	76,540
2018 Vento XVIII LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,082,671
6661 Broadway Developers LLC	New Construction Housing, NCP Housing 2022	57,600
AASPEN HVAC	NYCH: Talent Ppln:CE and OJT, OJT	589
AB Capital Assets, LLC	NYCH: Talent Ppln:CE and OJT, OJT	29,510
	OJT	6,514
Abt Global LLC	ENERGY ANALYSIS, TWO 2 formerly 30191 TWO #5	1,006
	ENERGY ANALYSIS, TWO#1 Pathways Health	10,983
	TWO #3 Pathways Health Phase 2	144,173
Abundant Solar Power Inc.	>200KW PV, NY Sun	1,833,063
	NY-SUN, NY Sun	400,982
	NY-SUN, NY-Sun - ICSA	45,065
Abundant Solar Power Sk1 LLC	>200KW PV, NYSun CI Full/Payee assignment	50,666
Accelerate Wind LLC	Talent Pipeline:CE and OJT, OJT	10,240
Accion Group, LLC	REC:CES REC System Dev Costs, RFP 4146 LSR Support	23,406
Accord Power, Inc.	<200KW PV, NY-Sun	44,530
	<200KW PV, PON 2112 NY SUN	44,472
	>200KW PV, NY-Sun	114,756

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
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Contractor	Contract Description	Total Expended Amount
Accord Power, Inc.	>200KW PV, PON 2112 NY SUN	57,239
Actalent Inc	ESTOR: Implementation Support, SA.115_TWO#14 DER	78,612
	NYCH: District, SA.005_TWO #2_CHC_PM	0
	REC:CES REC System Dev Costs, SA.101_TWO#13-LSR_PM-1	76,260
	SA.114a TWO#15 BR	15,823
Activate Global, Inc	Carbontech Development, Carbontech Fellowship Program	1,375,000
Active Energy Systems, Inc.	NYCH: Innovation, NEXT-GENERATION ICE THERMAL EN	105,237
Active Solar Development, LLC	<200KW PV, PON 2112 NY SUN	94,008
Adam C. Boese	K-12 SCHOOLS, FT14858 - Bronxville UFSD (1)E	26,820
	K-12 SCHOOLS, FT17102 The Lorge School (1)_E	12,115
	Technical Services, AEAP 1404 - Balsam View Dairy	5,380
	Technical Services, AEAP 1435 - Maple Lane Dairy	6,000
	Technical Services, AEAP 1493 - Brotherton Farms	5,880
	Technical Services, AEAP 1502 - Thomas Curtis	6,000
	Technical Services, AEAP 1566 - High Grove Farm	5,330
	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 1621 - Purdy Family Farms	6,000
	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
	Technical Services, AEAP 1701 - Richard Pugh	6,000
	Technical Services, AEAP 1702 - Rush Around Acres	6,000
	Technical Services, AEAP 1717 - Jessica Heim	5,610
	Technical Services, AEAP 1718 - MT Pockets	6,000
	Technical Services, AEAP 1720 - Seven View Farm	5,340
	Technical Services, AEAP1627 - Thornapple Dairy	6,000
	Technical Services, FT13554 - Agricul. Best - FTC	7,560
	Technical Services, FT14778 - Manhattan Mini	10,080
	Technical Services, FT14779 - Tower 39 Associates	13,655
	Technical Services, FT14780 - 171 Madison DE - 171	9,445
	Technical Services, FT14782 - Joffe - 333 West 39	15,545
	Technical Services, FT14797 - 4525 & 4555 - FTC	14,805
	Technical Services, FT14806 - Ludlow Street - FTC	25,710
	Technical Services, FT14810 - Lechar 1441	20,390
	Technical Services, FT14838 - 535 Eighth Avenue	16,935
	Technical Services, FT14848 - 115 W 27th Street	8,285
	Technical Services, FT17103 Sapphire Center for Re	14,400
Adirondack Battery & Solar, LLC	<200KW PV, PON 2112 NY SUN	5,550
Adirondack North Country Association	Cat B - Renewables and Innovat	18,150
	Clean Energy Hub, Regional Clean Energy Hub	278,393
	Talent Pipeline:CE and OJT, PON 4772 R3 K.J	15,417
ADK Solar	OJT	3,320
ADL Ventures LLC	Cleantech Incubator, CliamteTech Growth Platform	1,258,161
Advanced Radiant Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	20,395
Advanced Solar Solutions	>200KW PV, PON 2112 NY SUN	56,355
Advent Software Luxembourg S A R L	NEW YORK GREEN BANK, Fund Administration/Loan Inves	274,452

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Expended Amount
AECOM USA INC.	Code to Zero, NYC DOB	168,622
	Empire Building Challenge, Minibid5327 EBC Tech Reviewer	81,854
	REV Campus Challenge, Tech Review_Program Support	1,311
	REV Connect, Minibid5327 EBC Tech Reviewer	23,533
	Tech Assistanc Multifamily LMI, Tech Review_Program Support	27,970
	Technical Services, Tech Review_Program Support	44,762
Aegis Energy Services Inc.	Combined Heat and Power, CHPA - 1865 Broadway	50,490
	Combined Heat and Power, CHPA-Bluestone Group - Norman	20,790
AES DE RS X, LLC	>200KW PV, NY Sun	200,728
	Solar Plus Energy Storage, NY Sun	0
AES Distributed Energy, Inc.	>200KW PV, NY Sun	534,528
	>200KW PV, NY-Sun C&I	630,396
Affordable Housing Partnership	Clean Energy Hub, Regional Clean Energy Hub	312,081
Ai Air Conditioning Corp	NYCH: Talent Ppln:CE and OJT, OJT	25,398
AIA - New York Chapter	New Construction Housing, General Marketing 2023-2023	13,650
	New Construction- Commercial, General Marketing 2023-2023	5,850
Air Company Holdings, Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 Diana Bunge	18,500
Air-Conditioning, Heating & Refrigerat..	NextGen HVAC, HVAC Materials Testing	139,752
AKF-engineers	Heat Recovery, HeatRecC2_AKF_455W37St	19,800
	Tech Assistanc Multifamily LMI, FT17085 Related Affordable - 1	26,616
	Technical Services, FT13101 - 333 W 34th - FTC	4,186
	Technical Services, FT14620-16 Court St Brooklyn	30,455
	Technical Services, FT14752 - Mount Sinai Queens -	177,852
	Technical Services, FT14817 - Vornado Realty - 640	17,973
	Technical Services, FT15077 - 300 East 93 - FTC	33,323
Akron Central School District	Electric Vehicles - Innovation, FT14820 - Akron CSD (3)CT	37,496
Albany Housing Authority	Tech Assistanc Multifamily LMI, FT14842 - Albany Housing - PON	22,475
Albany Solar Solutions L.L.C.	<200KW PV, PON 2112 NY SUN	7,040
Albany, City of,	Talent Pipeline:CE and OJT, PON 4772 R3 Desmond Volmar	10,994
Alfred University	Commercial New Construc, 2019 CNCP	5,696
Allegheny Science & Technology Cor..	Consultant for Residential IRA	249,849
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	104,800
Alliance for Sustainable Energy, LLC	ENERGY ANALYSIS, TWO 1 - 100% Carbon-free Power	70,000
Allied Microbiota Inc	Cleantech Ignition, PON 3871 Ignition Grants	11,000
alpha-En Corporation	Talent Pipeline:CE and OJT, OJT	12,480
Altanova LLC	Green CHIPS	86,026
	New Construction- Commercial, Commercial NCP 2022	50,400
	New Construction- Commercial, Commercial New Construction	8,262
	Technical Services, FT - 0000784458 - EBMG - 710 R	6,786
Alternative Carbon Energy Systems Inc	NYCH: Talent Ppln:CE and OJT, OJT	8,640
AltPOWER, Inc.	>200KW PV, PON 2112 NY SUN	134,320
AMERESCO, Inc.	<200KW PV, PON 2112 NY SUN	587,505
Ameresco, Inc.	>200KW PV, NY Sun Assignment	291,720
Amergy Solar Inc.	<200KW PV, PON 2112 NY SUN	26,060
	>200KW PV, PON 2112 NY SUN	12,640
American Energy Care, Inc.	<200KW PV, PON 2112 NY SUN	6,240
	OJT	2,172
American Solar Grazing Association, I..	Environmental Research, PON 4270 PV Site Design	12,178

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American Solar Partners, LLC	<200KW PV, NY-Sun	3,312,404
	>200KW PV, NY-Sun	1,269,876
Amherst Community Solar LLC	>200KW PV, NY Sun	175,415
	NY-SUN, NY Sun	255,150
	NY-SUN, NY-Sun - ICSA	159,469
AMP US HoldCo Inc.	>200KW PV, NY Sun	2,671,972
Ampersand Chasm Falls Hydro LLC	REC:CES REC Contracts, RESRFP20-1	66,220
Ampersand Electric	NYCH: Talent Ppln:CE and OJT, OJT	24,618
	OJT	1,698
Ampersand Tannery Island Hydro, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	3,734
Andromeda Community Initiative Inc.	NYCH: Talent Ppln:CE and OJT, PON3981 Round 16	150,498
Antares Group, Inc.	ANAEROBIC DIGESTER, ADG - Antares - TWO	504
	Anaerobic Digesters, ADG - Antares - TWO	0
	CLEAN TRANSPORTATION, CGSI-64CT - Marathon CSD	44,999
	CLEAN TRANSPORTATION, CGSI-78E - Sandy Creek SD	8,968
	Combined Heat and Power, ADG - Antares - TWO	504
	Electric Vehicles - Innovation, CGSI-68E - Beaver River CSD	18,578
	K-12 SCHOOLS, CGSI-39 Yorkshire-Pioneer_E,B	33,475
	K-12 SCHOOLS, CGSI-68E - Beaver River CSD	41,167
	K-12 SCHOOLS, CGSI-78E - Sandy Creek SD	21,659
	Real Time Enrgy Management, Antares mini bid 4982 RTEM	60,795
	Rmve Barriers Dist Enrgy Storg, FT14555 - 7796 Victor - FTC	9,888
	RTEM and Tenants, Antares mini bid 4982 RTEM	60,795
	Technical Services, FT14513 - API Delvan - FTC	639
	Technical Services, FT14915 - Buffalo Zoo	24,491
Apex Energy Tek LLC	<200KW PV, PON 2112 NY SUN	11,858
Apogee Interactive, Inc.	NYCH: Technical Assistance, PON 4423 Round 2	21,243
Appleton Solar 1, LLC	>200KW PV, NY Sun	1,274,816
	NY-SUN, NY Sun	1,649,762
Apprise, Incorporated	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	2,187
	Eval MCDC: Low Inc Enrgy Bill, TWO 4 - LIEBUS	55,884
	Eval MCDC: MF Building Stock, TWO 3 - Baseline Study Survey	2,997
	EVAL MCDC: MF LCP Market Eval, TWO 2 - APPRISE MF LCP Survey	55,400
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	2,187
	Technical Services, RFQ3183 Umbrella Agreement	2,187
APX Inc.	REC:CES REC System Dev Costs, NYGATS	318,347
Arcadis of New York, Inc.	Commercial New Construc, PON 3525 Umbrella Agreement	10,422
	Low Rise New Construction, PON 3525 Umbrella Agreement	29,876
	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	11,811
	New Construction Housing, PON 3525 Umbrella Agreement	6,948
	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	10,422
	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	127,571

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Contractor	Contract Description	Total Expended Amount
Arcadis of New York, Inc.	OTHER PROGRAM AREA, City of Rensselaer JT Planning	38,457
	OTHER PROGRAM AREA, SA.093_TWO #5_Innovation PM-2	99,480
	REC:CES REC System Dev Costs, SA.100a_TWO#6-LSR_PM-1	76,622
	REC:CES REC System Dev Costs, Tech Supp NYGATS - TWO Minibid	62,448
	SA.113a-TWO#7 BR APM	80,121
	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	83,928
	Technical Services, AEAP 1636 - Echo Farm	5,975
	Technical Services, AEAP 1674 - Dog Wood Farm LLC	332
Arcadis U.S., Inc.	ANAEROBIC DIGESTER, ADG - Arcadis - TWO	9,205
	Anaerobic Digesters, ADG - Arcadis - TWO	0
	Combined Heat and Power, ADG - Arcadis - TWO	9,205
Arlington Central School District	K-12 SCHOOLS, P12GC-91D- Arlington CSD (1)_D	150,000
Armory Plaza Housing, L.P.	Low Carbon Tech Demos, Low Carbon Pathways	20,800
Arup US, Inc.	HCR Direct Injection, TWO #7 – HCR Project Selection	-497,355
	Housing Agencies Support, TWO #7 – HCR Project Selection	739,701
	New Construction Housing, TWO #8 – Tech Support OGS	1,594
	New Construction- Commercial, TWO #6CN Policy Support 2022	16,450
	New Construction- Commercial, TWO #8 – Tech Support OGS	1,594
Association for Energy Affordability, In	Clean Energy Hub, Regional Clean Energy Hub	231,184
	Low Carbon Tech Demos, Low Carbon Pathways	177,840
	Regional Clean Energy Hub	529,608
	Tech Assistanc Multifamily LMI, FT14909 - Brighton - 3161	4,306
	Tech Assistanc Multifamily LMI, FT14914 - 2183-93 Adam Clayton	9,017
	Tech Assistanc Multifamily LMI, FT14947 -Palace HDFC -537W 156	7,481
	Tech Assistanc Multifamily LMI, FT14996 - HPHD - 663-67 - FTC	2,763
	Tech Assistanc Multifamily LMI, FT15013 - Hunts Point Housing	2,500
	Tech Assistanc Multifamily LMI, FT15014 - Hunts Point Housing	10,000
	Tech Assistanc Multifamily LMI, FT15017 - Hunts Point Housing	2,000
	Tech Assistanc Multifamily LMI, FT15018 - Hunts Point Housing	2,000
	Tech Assistanc Multifamily LMI, FT15019 - Hunts Point Housing	2,000
	Tech Assistanc Multifamily LMI, FT15020 - Hunts Pont Housing	6,000
	Tech Assistanc Multifamily LMI, FT15024 - Westbeth Corp Housin	25,811
	Tech Assistanc Multifamily LMI, FT15059	5,100
	Tech Assistanc Multifamily LMI, FT15069 - 1220 Seneca - FTC	9,500
	Tech Assistanc Multifamily LMI, FT17099 Marion Avenue Redevelo	12,236
	Tech Assistanc Multifamily LMI, FT17122 3520 Tryon Avenue	10,672
	Tech Assistanc Multifamily LMI, FT17144 - NY Affordable Housin	31,447
	Tech Assistanc Multifamily LMI, FT17219 - Woodysun HDFC - 44-2	9,017
Workforce Industry Partnership, PON 3715 (R15) BOM	12,110	
Association of Energy Engineers	Tech Assistanc Multifamily LMI, FT15058 - 737 Hunts - FTC	2,000
Atlas Public Policy	Electric Vehicles - Innovation, TWO No. 1 EValuateNY	65,636
Baker Engineering, LLC	Technical Services, FT14638 -T-C 780 Third Avenue	17,900
Baldwin Real Estate Development, Co..	Multifam Performance Pgm, Multifamily	4,700
Bantam Solar, LLC	>200KW PV, NY Sun	277,007
Bard Rao + Athanas Consulting Engin..	New Construction- Commercial, Commercial New Construction	79,920
Bartram Solar, LLC	>200KW PV, NY Sun	983,508

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Contractor	Contract Description	Total Expended Amount
Bashing Panels LLC	<200KW PV, PON 2112 NY SUN	10,000
Basilica Industries LLC	Net Zero Energy for Eco Dev, NZEED 2019 - Basilica Hudson	332,549
Battelle Memorial Institute	Code to Zero, TWO #3 NYStretch Res Modeling	141,283
BDO USA LLP	Background Investigation Servi	16,400
	Independent Evaluation	15,000
	NYCH: Critical Tools, TWO Analysis of CTEN Ownership	10,000
Beaver Dam Solar 1, LLC	>200KW PV, NY Sun	1,124,604
	NY-SUN, NY Sun	1,349,525
Bedford 2030	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Lizette De Alem	15,602
Bell Mechanical, LLC	NYCH: Talent Ppln:CE and OJT, OJT	52,813
Bergmann Associates, Architects,	CGSI Program M&V Support	12,648
	CGSI Program Technical Review	7,881
	CI Carbon Challenge, CICC1902	1,835
	K-12 SCHOOLS, CGSI Program M&V Support	25,295
	K-12 SCHOOLS, CGSI Program Technical Review	13,135
	K-12 SCHOOLS, CGSI-53_E - Copenhagen CSD	17,352
	OTHER PROGRAM AREA, Dunkirk JT Planning Study	9,000
	OTHER PROGRAM AREA, Just Transition Toolkit	15,547
	REV Campus Challenge, Bergmann Program Support	2,637
	REV Campus Challenge, Tech Review_Program Support	1,843
	Tech Assistanc Multifamily LMI, Bergmann Tech Review TWO	12,664
	Tech Assistanc Multifamily LMI, Cross-sector Program Support	15,040
	Tech Assistanc Multifamily LMI, Program Support_QAQC	29,772
	Tech Assistanc Multifamily LMI, REQ 5288 - Bergmann Cross-Prog	129,113
	Technical Services, AEAP 1535 - Glenna Colaprete	4,116
	Technical Services, AEAP 1671 - City Line Farms	5,146
	Technical Services, AEAP 1681 - Dickman Farms LLC	5,488
	Technical Services, Bergmann Program Support	7,911
	Technical Services, Bergmann Tech Review TWO	49,309
	Technical Services, Cross-sector Program Support	15,040
	Technical Services, FT14784 - Midtown Tower - FTC	5,661
	Technical Services, GH 2 - Wheatfield Gardens	776
	Technical Services, GH 4 - Kenneth A Henry Son Inc	564
	Technical Services, Program Support_QAQC	29,772
	Technical Services, REQ 5288 - Bergmann Cross-Prog	37,766
	Technical Services, Tech Review_Program Support	8,823
Best Energy Power	<200KW PV, NY-Sun	79,056
	>200KW PV, NY-Sun	232,956
	>200KW PV, PON 2112 NY SUN	465,769
	NY-SUN, NY-Sun	17,820
Bettergy Corporation	Talent Pipeline:CE and OJT, PON 4772 R3 Alex Fernadez	18,500
Big Initiatives, Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Isabella Radka Ni	15,417
Binghamton Regional	Community RH&C, CH&C Communities Round 3	25,500
	NYCH: LMI, CH&C Communities Round 3	8,500
BioDiversity Research Institute	OREC: Technical Support, OSW-mediated Benthic Changes	44,445
	OREC: Technical Support, TWO 1 - Offshore Wind E-TWG	141,710
Black Mountain Architecture, PLLC	Buildings of Excellence, BoE Rnd. 2 - DTL Solara III	37,500
	Buildings of Excellence, RFP3928 BMA TWO #1	67,625

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Contractor	Contract Description	Total Expended Amount
Black River Hydroelectric, LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	216,375
Bliss Solar, LLC	>200KW PV, NY-Sun	190,960
	>200KW PV, PON 2112 NY SUN	66,420
	NY-SUN, NY-Sun	47,740
Bloom Energy Corporation	REC:CES REC Contracts, 11th Main Tier Solicitation	20,813
Boilermakers NEAAC	Talent Pipeline:CE and OJT, PON3981 Round 17	225,000
Bond, Schoeneck & King, PLLC	BR: Program Implementation, BR-Outside Legal	62,566
	BR: Program Implementation, TWO 9 - Benson Mines Tax Filin	836
	BR: Program Implementation, TWO 10 - Caswell Project	9,678
	NYSERDA ADMINISTRATION, TWO 5 Cybersecurity Counsel	1,378
	NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	25,085
	NYSERDA ADMINISTRATION, TWO 12 - HR Invest	7,072
	NYSERDA ADMINISTRATION, TWO 13 - Employee Training	4,161
	NYSERDA ADMINISTRATION, TWO 14 - DHR Response	828
	NYSERDA ADMINISTRATION, TWO 15 - Antidiscrimination	1,388
	OREC: Technical Support, TWO 8 - Labor Law Matters	4,783
Bonded Energy Solutions Corp.	NYCH: Talent Ppln:CE and OJT, OJT	1,763
	OJT	4,665
Booz Allen Hamilton, Inc.	Building Envelope Systems, TWO 8 Buildings Innov	65,531
	Building Envelope Systems, TWO 18 - CEF 2.0 Petition	126,520
	Cleantech Ignition, TWO 18 - CEF 2.0 Petition	71,520
	Cleantech Ignition, TWO16 T2M	179,182
	Energy Storage Tech/Prod Dev, TWO 13 Renewable Opt & Storage	1,804
	Energy Storage Tech/Prod Dev, TWO 18 - CEF 2.0 Petition	134,808
	Future Grid Perf. Challenges, TWO 11 Grid Modernization	268,530
	Future Grid Perf. Challenges, TWO 18 - CEF 2.0 Petition	134,808
	Hydrogen Innovation, TWO 12 Hydrogen & Clean Fuels	53,428
	Hydrogen Innovation, TWO 18 - CEF 2.0 Petition	126,520
	Innovation, TWO 18 - CEF 2.0 Petition	20,720
	Natural Carbon Solutions, TWO 10 Negative Emissions Tech	85,123
	Natural Carbon Solutions, TWO 18 - CEF 2.0 Petition	8,288
	NextGen HVAC, TWO 8 Buildings Innov	58,226
	Novel Bus Models & Offers, TWO 18 - CEF 2.0 Petition	8,288
	NYCH: Innovation, TWO 8 Buildings Innov	65,531
	NYCH: Innovation, TWO 18 - CEF 2.0 Petition	8,288
	OTHER PROGRAM AREA, TWO 10 Negative Emissions Tech	95,586
	Thermal Energy Storage, TWO 8 Buildings Innov	65,531
	TWO 14- H2 Hubs	2,477
BOP SE, LLC	Commercial New Construc, SF106901 2 Manhattan West	219,348
Borrego Energy Holdings, LLC	Rmve Barriers Dist Enrgy Storg, Energy Storage +CommunitySolar	96,598
BP Grand Concourse LLC	New Construction Housing, NCP Housing 2022	26,400
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT	15,705
Bright Power Associates, LLC	Tech Assistanc Multifamily LMI, FT17167 - Settlement Housing	10,755
Bright Power, Inc.	Campus/Technical Assistance, FT14195 – 529-535 W 20th – FTC	-6,797
	K-12 SCHOOLS, FT14873 - Town School (2)E	6,143
	Market Tests, IMS PON4359 - Bright Power	45,000
	NYCH: Technical Assistance, FT15127 - Allied - 170 East	24,405
	Real Time Enrgy Management, BP - 188 Warburton - RTEM	3,840

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Real Time Enrgy Management, Bright Power - Multi - RTEM	4,440
	Real Time Enrgy Management, Bright Power-655 Morris-RTEM	3,500
	Real Time Enrgy Management, Bright Power-2980 Park-RTEM	3,500
	Real Time Enrgy Management, Bright-86DeKalb-RTEM	7,000
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	74,995
	Tech Assistanc Multifamily LMI, FT - 0000762787 - Selfhelp Rea	10,080
	Tech Assistanc Multifamily LMI, FT - 0000762845 - Selfhelp Rea	11,595
	Tech Assistanc Multifamily LMI, FT14409 - 951 Prospect - FTC	1,600
	Tech Assistanc Multifamily LMI, FT14473 - 39 Hegeman - FTC	745
	Tech Assistanc Multifamily LMI, FT14502 - 1428 5th - FTC	6,913
	Tech Assistanc Multifamily LMI, FT14519 - 1454 Grand Concourse	3,826
	Tech Assistanc Multifamily LMI, FT14566 - 350 St. Ann's - FTC	1,991
	Tech Assistanc Multifamily LMI, FT14612 - Acacia Network -1429	2,237
	Tech Assistanc Multifamily LMI, FT14641 -Brighton 12th St -FTC	1,000
	Tech Assistanc Multifamily LMI, FT14644 - 140 Lawrence - FTC	1,080
	Tech Assistanc Multifamily LMI, FT14652 -OUB Court Housing-FTC	5,188
	Tech Assistanc Multifamily LMI, FT14658 - WFHA King - FTC	2,757
	Tech Assistanc Multifamily LMI, FT14667 - 1168 Stratford - FTC	741
	Tech Assistanc Multifamily LMI, FT14677 - 330 W 45th St. - FTC	2,130
	Tech Assistanc Multifamily LMI, FT14698 - 65 West 96 - FTC	11,081
	Tech Assistanc Multifamily LMI, FT14706 - 443-45 St Ann's -FTC	752
	Tech Assistanc Multifamily LMI, FT14712 - WFHA St Albans - FTC	785
	Tech Assistanc Multifamily LMI, FT14740 - 455 East 148 - FTC	1,165
	Tech Assistanc Multifamily LMI, FT14747 - 300 W 128th St	1,586
	Tech Assistanc Multifamily LMI, FT14791 -SEBCO Development-FTC	665
	Tech Assistanc Multifamily LMI, FT14792 -SEBCO Development-FTC	3,525
	Tech Assistanc Multifamily LMI, FT14856 - Institute for - FTC	2,613
	Tech Assistanc Multifamily LMI, FT14859-SEBCO Development-FTC	5,434
	Tech Assistanc Multifamily LMI, FT14860 -SEBCO Development-FTC	4,600
	Tech Assistanc Multifamily LMI, FT14861- SEBCO Development-FTC	4,874
	Tech Assistanc Multifamily LMI, FT14865-Settlement Housing-FTC	4,205
	Tech Assistanc Multifamily LMI, FT14866 - Settlement Housing F	860
	Tech Assistanc Multifamily LMI, FT14906 - The Balton-311 W 127	2,220
	Tech Assistanc Multifamily LMI, FT14924 - Colony Manor Assoc	5,205
	Tech Assistanc Multifamily LMI, FT14928 - OUB Housing - 370	5,188
	Tech Assistanc Multifamily LMI, FT14975 - 212 S Oxford	6,855
	Tech Assistanc Multifamily LMI, FT15016 - Fred Doug 117 - 279	15,855
	Tech Assistanc Multifamily LMI, FT15029 - The Hudson Companies	7,850
	Tech Assistanc Multifamily LMI, FT15073 - 4112 Hamilton - FTC	8,500
	Tech Assistanc Multifamily LMI, FT15074 - 1215 Avenue O - FTC	8,850
	Tech Assistanc Multifamily LMI, FT15076 - 415 Bleecker - FTC	5,645
	Tech Assistanc Multifamily LMI, FT15083 - 918 Kent - FTC	755
Tech Assistanc Multifamily LMI, FT15084 - 105-20 Liver - FTC	7,350	
Tech Assistanc Multifamily LMI, FT15106 - Mohawk Apartments	9,904	
Tech Assistanc Multifamily LMI, FT15107 - The Times Square	4,415	
Tech Assistanc Multifamily LMI, FT15144 - Catholic - 72 Lewis	3,670	
Tech Assistanc Multifamily LMI, FT15166 Riverway Apartments	14,850	
Tech Assistanc Multifamily LMI, FT15184 Diego Beekman Mutual	7,929	

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Tech Assistanc Multifamily LMI, FT15193 Glenwood Management	18,975
	Tech Assistanc Multifamily LMI, FT17016 Cleo Realty Associates	9,465
	Tech Assistanc Multifamily LMI, FT17017 C+C Apartment Manageme	18,840
	Tech Assistanc Multifamily LMI, FT17041 Grote Street - 2311 So	18,900
	Tech Assistanc Multifamily LMI, FT17062 HAB Clinton Associates	18,000
	Tech Assistanc Multifamily LMI, FT17069 Settlement - 1206	17,549
	Tech Assistanc Multifamily LMI, FT17087 Breaking Ground - 133	20,573
	Tech Assistanc Multifamily LMI, FT17092 Cumberland Gardens Hou	8,123
	Tech Assistanc Multifamily LMI, FT17093 Catholic Charities - 5	4,530
	Tech Assistanc Multifamily LMI, FT17118 Catholic Charities - 5	16,500
	Tech Assistanc Multifamily LMI, FT17175 - Settlement Housing	12,810
	Tech Assistanc Multifamily LMI, FT17181 New Sea Park - 2828 We	8,265
	Tech Assistanc Multifamily LMI, FT17182 New Sea Park - 2930 We	11,055
	Tech Assistanc Multifamily LMI, FT17183 New Sea Park - 2970 We	10,605
	Tech Assistanc Multifamily LMI, FT17203 Settlement Housing - 1	8,929
	Tech Assistanc Multifamily LMI, FT17209 Settlement Housing - 1	14,250
	Tech Assistanc Multifamily LMI, FT17222 The Dermot Company - 2	18,750
	Tech Assistanc Multifamily LMI, FT17236 ELH Mgmt - 1105 Jerome	15,225
	Tech Assistanc Multifamily LMI, FT17252 - River View Garden HD	9,900
	Tech Assistanc Multifamily LMI, FT17254 Diego Beekman Mutual H	10,005
	Tech Assistanc Multifamily LMI, FT17255 - Diego Beekman Mutual	9,120
	Tech Assistanc Multifamily LMI, FT17268 - ELH Mgmt - 2363 Sout	9,975
	Tech Assistanc Multifamily LMI, FT17282 Catholic Charities Pro	10,995
	Tech Assistanc Multifamily LMI, FT17283 Catholic Charities Pro	11,775
	Tech Assistanc Multifamily LMI, FT17288 - Monadnock Property	9,105
	Technical Services, FT - 0000758789 - New Bedford	6,345
	Technical Services, FT - 0000759236 - Narrows Mana	4,365
	Technical Services, FT - 0000759461 - Punia & Marx	3,200
	Technical Services, FT - 0000759576 - Punia & Marx	7,450
	Technical Services, FT - 0000759881 - Terris Realt	3,255
	Technical Services, FT - 0000769283 - AKAM - 160 W	5,090
	Technical Services, FT - 0000781868 - Lovett Realt	4,000
	Technical Services, FT - 0000782081 - Punia & Marx	6,748
	Technical Services, FT14195 – 529-535 W 20th – FTC	6,797
	Technical Services, FT14216 - 23 E 22 - FTC	1,665
	Technical Services, FT14387 - 255 West 94th - FTC	3,848
	Technical Services, FT14411- 514 West End - FTC	1,545
	Technical Services, FT14453-Akam - FTC	4,350
	Technical Services, FT14457-Akelius- 1274 5th-FTC	1,680
	Technical Services, FT14462- Maxwell- Kates- FTC	2,817
	Technical Services, FT14514-40-50 Brighton 1st-FTC	5,550
	Technical Services, FT14548 - Akam-5700, 5800, 590	5,328
	Technical Services, FT14550- 85 Adams - FTC-MF-LCC	8,535
	Technical Services, FT14595 - 3635 Johnson - FTC	1,740
	Technical Services, FT14627 - Hawthorne Court -FTC	4,553
	Technical Services, FT14628-Glenwood Managemen-FTC	3,690
	Technical Services, FT14629 - 45 W 60th St. - FTC	4,237
Technical Services, FT14630 - 1755 York Ave. - FTC	3,690	

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Technical Services, FT14644 - 140 Lawrence - FTC	0
	Technical Services, FT14653 - 139 East 94 - FTC	6,352
	Technical Services, FT14659 - AKAM - 315 7 - FTC	3,705
	Technical Services, FT14683 - Edge 1211 - FTC	4,050
	Technical Services, FT14687 - 57 West 93 - FTC	2,158
	Technical Services, FT14689 - 2465 Palisade - FTC	1,457
	Technical Services, FT14713 - 160 East 38 - FTC	9,300
	Technical Services, FT14715 - 150 East 49th - FTC	2,806
	Technical Services, FT14716 - 120 Greenwich - FTC	3,090
	Technical Services, FT14719 - 415 Central Park W	4,313
	Technical Services, FT14721 - 370 Riverside - FTC	4,313
	Technical Services, FT14723 - 360 Riverside - FTC	429
	Technical Services, FT14727 - 201 East 79 - FTC	4,770
	Technical Services, FT14728 - 50 East 79 - FTC	2,171
	Technical Services, FT14746 - 125 East 84th -FTC	5,370
	Technical Services, FT14750 - 609 West Owners -FTC	1,279
	Technical Services, FT14768 - 22 Riverside - FTC	1,306
	Technical Services, FT14770 - 211 W 71 St	4,654
	Technical Services, FT14783 - Acacia Network 607	1,915
	Technical Services, FT14787 - 1405 Prospect - FTC	796
	Technical Services, FT14788 -Parkchester South-FTC	14,333
	Technical Services, FT14789 -Parkchester North-FTC	15,045
	Technical Services, FT14793 - AvalonBay - FTC	9,750
	Technical Services, FT14805 - 530 Park Ave - FTC	7,350
	Technical Services, FT14813 - The Luminiere - FTC	5,895
	Technical Services, FT14831 - Maxwell-Kates - 99	5,344
	Technical Services, FT14844 - Robert E. Hill - FTC	7,363
	Technical Services, FT14851 - 1405 Fifth Ave - FTC	1,394
	Technical Services, FT14854 - Orsid Realty	4,305
	Technical Services, FT14867 - 24535 Owners Corp	5,310
	Technical Services, FT14871 - 11 East 86 - FTC	4,055
	Technical Services, FT14881 - AvalonBay -1 Morning	8,608
	Technical Services, FT14907 - RM - 400 East 84	6,240
	Technical Services, FT14917 - 345 Montgomery - FTC	5,355
	Technical Services, FT14922 - 7259-7261 Shore	4,620
	Technical Services, FT14923 - 9902 Owners - 9902 3	3,540
	Technical Services, FT14926 - Robert E. Hill	1,695
	Technical Services, FT14927 - DSJ - 657 E 26	3,645
	Technical Services, FT14946 - 444 Owners -444 E 52	3,935
	Technical Services, FT14948 -93 Worth Street Condo	6,165
	Technical Services, FT14976-Avalon 100 Willoughby	7,748
	Technical Services, FT14990 - Hoffman - 145 E 84	4,755
	Technical Services, FT14991 - Bonafide Estates	1,213
	Technical Services, FT14992 - 320 West 30	2,894
	Technical Services, FT15005 - NBM - 80 Winthrop	1,905
Technical Services, FT15009 - Argo - 160 Henry	4,075	
Technical Services, FT15011 - Charlton Tenants	2,910	
Technical Services, FT15022 - Gramercy 29 APT - 29	3,600	

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Technical Services, FT15028 - 761-779 Seventh Ave	8,036
	Technical Services, FT15045 - Solstice Residential	2,000
	Technical Services, FT15048 - New Bedford Manage	3,840
	Technical Services, FT15050 - Matthew Adam Prop	21,000
	Technical Services, FT15051 - 380 Riverside Tenant	5,400
	Technical Services, FT15053 - Related Companies	6,893
	Technical Services, FT15056 - New York Real Estate	9,795
	Technical Services, FT15068-245 W 104 Street Housi	6,641
	Technical Services, FT15075 - New Bedford Manage	2,305
	Technical Services, FT15078 - 99 commercial - FTC	8,644
	Technical Services, FT15091 - Related Retail Hub	7,255
	Technical Services, FT15093 - Solstice Residential	20,250
	Technical Services, FT15097 - The Dermot Company	16,320
	Technical Services, FT15100 - Knolls Cooperative	5,445
	Technical Services, FT15103 - Akam - 112 West 72	10,730
	Technical Services, FT15108 - Related - 405 Main	12,825
	Technical Services, FT15123 - Akam - 205 E 59	6,473
	Technical Services, FT15124 - 562 Realty CO - 562	12,600
	Technical Services, FT15137 Akam - 30 Crosby	9,165
	Technical Services, FT15138 - 300 West 53rd Condo	5,854
	Technical Services, FT15140 Akam - 130 Bradhurst	18,900
	Technical Services, FT15141 - One Lincoln Plaza	13,342
	Technical Services, FT15142 Argo - 115 Willow	1,975
	Technical Services, FT15143 - Clermont Armory - 17	14,363
	Technical Services, FT15160 - Acadia Realty - 640	3,978
	Technical Services, FT15165 Blue Woods Management	4,814
	Technical Services, FT15169 Weber Realty - 414 W	8,100
	Technical Services, FT15170 Douglas Elliman - 251	30,000
	Technical Services, FT15183 Colonial Park Coop - 6	7,050
	Technical Services, FT15194 Bay Terrace Section VI	19,754
	Technical Services, FT17029 140 E 83 St Tenants	2,439
	Technical Services, FT17035 Murray Hill East Suite	4,985
	Technical Services, FT17084 Arlington Owners - 139	14,000
	Technical Services, FT17100 - 35 East Associates	2,380
	Technical Services, FT17101 Beverly Apartment Corp	3,175
	Technical Services, FT17165 Hoffman Management - 4	10,300
	Technical Services, FT17177 Gramercy Park Residenc	7,710
	Technical Services, FT17179 Eleven Riverside Drive	21,865
	Technical Services, FT17180 - PLUN Tenants Corp	6,505
	Technical Services, FT17190 41-31 Cooperative Owne	9,615
	Technical Services, FT17192 - AKAM - 40 West 72 -	11,475
	Technical Services, FT17193 - AKAM - 41 West 72 -	8,745
	Technical Services, FT17198 - Douglas Elliman Prop	10,547
Technical Services, FT17199 Allied Partners - 970	1,700	
Technical Services, FT17218 - 365 W 20 Apartments	6,053	
Technical Services, FT17229 Solstice Residential G	4,800	
Technical Services, FT17230 - 601 Pelham Pkwy Nort	5,570	
Technical Services, FT17233 3299 Cambridge Apt Cor	7,835	

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Contractor	Contract Description	Total Expended Amount
Bright Power, Inc.	Technical Services, FT17238 Briarwood Owners Corp	5,335
	Technical Services, FT17243 Riverdale House Owners	11,000
	Technical Services, FT17253 - Hoffman Management -	5,435
	Technical Services, FT17287 - Monadnock Property	9,345
Brightmark Helios RNG LLC	Anaerobic Digesters, PON 3739 CAT Assignment	383,208
Brockport Villager LLC	Multifam Performance Pgm, Multifamily	32,705
Bronx Pro Group, LLC	Multifam New Construction, MFNCP PHI T3-3365 Third Ave	68,250
Brookhaven National Lab	ENVIRONMENTAL RESEARCH, AQHE PON 3921	150,757
Brooklyn Community Housing & Services, I	New Construction Housing, NCP Housing 2022	240,000
	New Construction- Commercial, NCP Housing 2022	5,570
Brooklyn Solar Partners LLC	>200KW PV, PON 2112 NY SUN	21,600
Brooklyn SolarWorks LLC	>200KW PV, NY-Sun	66,930
	>200KW PV, PON 2112 NY SUN	294,100
	NY-SUN, NY-Sun	11,155
Bruns Associates, LLC	Buildings of Excellence, BoE Rnd. 2 - Solara III	262,500
BST Systems, Inc.	Hydrogen Innovation, Clean Hydrogen Innovation	70,000
Buckeye Terminals, LLC	FUEL NY, Upstate NY Strategic Fuels Res	736,219
Buffalo Climate Action LLC	>200KW PV, NY Sun	311,220
Buffalo Geothermal Heating	NYCH: Talent Ppln:CE and OJT, OJT	2,580
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	122,760
	Talent Pipeline:CE and OJT, OJT	22,464
Buffalo Vineyard	Talent Pipeline:CE and OJT, PON 4772 R3 Mercy Rebecca	22,333
Building Performance Institute, Inc.	BPI - National Grid MOUs	57,917
	Market Support Tools &Activity, Validate TBP Cert Exam	6,023
	NYCH: Supply Chain, Electrification Audit Procedur	82,020
	NYCH: Talent Ppln:CE and OJT, BPI - National Grid MOUs	14,479
	Talent Pipeline:CE and OJT, BPI - National Grid MOUs	14,479
Bullitt Farm Solar, LLC	>200KW PV, NY Sun	364,475
Burke Solar, LLC	>200KW PV, NY Sun	581,467
Burns Engineering, PC	Heat Recovery, HeatRecC2_Burns_StJohnsUni	44,700
Buro Happold Consulting Engineers, P.C.	Technical Services, FT14614 - ESRT - FTC	18,299
	Technical Services, FT14615 - ESRT - FTC	5,400
	Technical Services, FT14894 - ARE - East River	95,746
Butterville Road Solar, LLC	>200KW PV, NY Sun	36,048
	NY-SUN, NY Sun	49,912
BVG Associates LLC	OREC: Technical Support, BVG TWO 5 IE Mike Blanch_OSW20	85,000
BW Research Partnership	ENERGY ANALYSIS, TWO #3 CE Industry Report	0
	NYCH: Industry Partnerships, TWO #3 CE Industry Report	72,086
	Talent Pipeline:CE and OJT, TWO #3 CE Industry Report	21,352
	TWO #3 CE Industry Report	0
	Workforce Industry Partnership, TWO #3 CE Industry Report	69,966
C & B Mechanical	NYCH: Talent Ppln:CE and OJT, OJT	1,599
	OJT	433
C Hazard Consulting LLC	Consumer Ed and Market Support, SFR market engagement	24,561
	Market Support Tools &Activity, SFR market engagement	36,841
	SFR market engagement	85,963
C.J. Brown Energy, P.C.	CGSI-63E - Bradford CSD - FTC	8,850
	Direct Injection Program, HCR Minibid TWO #3	0

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Contractor	Contract Description	Total Expended Amount	
C.J. Brown Energy, P.C.	Direct Injection Program, HCR TWO #6-Marketplace Senior	0	
	Direct Injection Program, TWO #5 - HCR Main Street Lofts	0	
	HCR Direct Injection, HCR Minibid TWO #3	-62,893	
	HCR Direct Injection, HCR TWO #6-Marketplace Senior	-22,868	
	HCR Direct Injection, TWO #5 - HCR Main Street Lofts	-8,477	
	Housing Agencies Support, HCR Minibid TWO #3	97,761	
	Housing Agencies Support, HCR TWO #6-Marketplace Senior	53,188	
	Housing Agencies Support, TWO #5 - HCR Main Street Lofts	25,117	
	Housing Agencies Support, TWO #7 -HCR Churchview Commons	3,760	
	Housing Agencies Support, TWO #8 - HCR True North Apts	1,878	
	Housing Agencies Support, TWO #9 – HCR Beechwood	5,142	
	K-12 SCHOOLS, CGSI-21_E - Brushton - FTC	13,777	
	K-12 SCHOOLS, P12GC-99E-Voorheesville CSD	18,993	
	New Construction Housing, HCR Minibid TWO #3	0	
	Talent Pipeline:CE and OJT, OJT	11,078	
	Technical Services, AEAP 1595 - Keems Dairy Farm	5,619	
	Technical Services, AEAP 1608 - Wayne County Eggs	5,970	
	Technical Services, AEAP 1643 - Zelif Farms	5,915	
	Technical Services, FT13751 - 295-321 Beattie -FTC	3,721	
	Technical Services, FT13754 - Bryant Place - FTC	3,546	
	Technical Services, FT13757 - 282 Schenck - FTC	3,493	
	Technical Services, FT14035 - 261 Portage - FTC	4,073	
	C&R Housing Inc.	OJT	2,645
	C&S Engineers, Inc.	CGSI-92 - Northville CSD(1)_CT	23,386
		CGSI-114 - DeRuyter CSD (1)_CT	1,044
		INDUSTRIAL PROCESS EFFICIENCY, FT17073 - North Ready - FTC	2,169
		Technical Services, FT17004 Town of Claverack - 12	3,572
Technical Services, FT17013 The Village of Catskil		2,500	
Calstart	CLEAN TRANSPORTATION, Capital Region Mobility Hubs	69,259	
	EVPRZ:Clean MD & HD Veh Innov, FEaST Project	133,928	
Camden Renewables, LLC	>200KW PV, NY Sun	504,516	
	NY-SUN, NY Sun	698,560	
Cameron Engineering & Associates LLP	Technical Services, FT14369 - 301 W 118th - FTC	4,480	
	Technical Services, FT14618-M&WOperating-150 Varic	6,758	
	Technical Services, FT15032 - Sweet Sams Baking Co	17,733	
Canajoharie Central School District	K-12 SCHOOLS, CGSI-29_O - Canajoharie - PON	32,492	
Canandaigua Power Partners LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	728,475	
Capital District Regional Planning Comm.	CI Engy Siting & Soft Cost Red, Clean Energy Communities	0	
	Clean Energy Communities, Clean Energy Communities	882,028	
	NYCH: Communities, Clean Energy Communities	-323,938	
Capital Projects Energy Solutions Inc.	CGSI-6_E&B - Uniondale - PON	35,989	
	K-12 SCHOOLS, CGSI-24_E&B - Port Jervis -PON	70,163	
Capital Region BOCES	OWTI Workforce Training	79,073	
	Talent Pipeline:OSW Training, OWTI Workforce Training	113,575	
Carbon Lighthouse	Real Time Engy Management, CarbonLighthouse-Multisite-RTEM	16,209	
	Real Time Engy Management, CL-Multisite-RTEM	167,133	
Carrera RS, LLC	Buildings of Excellence, Buildings of Excellence R1	50,000	
Carter Ledyard & Milburn LLP	BR: Program Implementation, TWO 8 - BR Public Lands	26,541	

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Contractor	Contract Description	Total Expended Amount
Carter Ledyard & Milburn LLP	OREC: Technical Support, TWO 3 - OSW, NEPA, SEQRA	19,919
Cayuga Milk Ingredients	Real Time Enrgy Management, Cayuga Milk - 15 Eagle - RTEM	3,282
CEC Stuyvesant Cove, Inc.	Clean Energy Communities, RFP4641 CECC Downstate	101,761
	CLEANER GREENER COMMUNITIES, RFP4641 CECC Downstate	192,436
	NY-SUN, HPD Technical Assistance	200,628
	NYCH: Communities, RFP4641 CECC Downstate	33,920
CEMC Associates LLC	Multifam Performance Pgm, Multifamily	32,929
Center for Sustainable Energy	>200KW PV, TWO #2 - NY-Sun Shared Service	196,985
	CLEAN TRANSPORTATION, RFP 3401 Umbrella Agreement	8,151
	CLEAN TRANSPORTATION, TWO #1 - CSE Drive Clean	863,862
	CLEAN TRANSPORTATION, TWO #4 - Charge Ready	87,399
	CLEAN TRANSPORTATION, TWO #5 - Truck Voucher	70,028
	Electric Vehicles - Rebate, ChargeNY ZEV Rebate Imp Contra	16,634
	EV Charging and Engagement, TWO #4 - Charge Ready	56,098
	LMI Community Solar, TWO #2 - NY-Sun Shared Service	16,057
	TWO #3 - School Bus Incentive	144,784
Central New York Regional Planning and	Clean Energy Communities, Clean Energy Communities	398,434
and	Clean Energy Hub, Regional Clean Energy Hub	309,466
	Community RH&C, PON3723 RH&C Campaigns	7,000
	NYCH: Communities, Regional Clean Energy Hub	0
	Translation Services, Regional Clean Energy Hub	0
Centrica Business Solution Services I..	<200KW PV, PON 2112 NY SUN	90,993
CEP NY Borrower 1 LLC	>200KW PV, NY-Sun C&I	262,314
CG Global Management Solutions, LLC	PON 4772 R3 (Nishal Sundarrama)	3,083
	PON 4772 R3 (Saket Prem)	3,083
CHA Consulting Inc.	CI Carbon Challenge, SA.019_TWO#1 - Industrial	7,043
	CI Carbon Challenge, SA.031_TWO#3 - Industrial	6,215
	CI Carbon Challenge, SA.034_TWO#5 - Industrial	4,325
	CI Carbon Challenge, Umbrella Agreement	28,429
	CLEAN TRANSPORTATION, FT14847 - Voorheesville CSD	19,713
	Commercial New Construc, SA.107_TWO #8-New Con_PM-2	6,185
	Community Thermal Networks	10,604
	FT14697 - Albany Int Airport	49,975
	FT15004 - Ithaca College - 953	55,310
	INDUSTRIAL PROCESS EFFICIENCY, FT17023 - Thermo Fisher - IND	6,817
	K-12 SCHOOLS, CHC Design Guidance - P12	5,488
	Low Rise New Construction, SA.107_TWO #8-New Con_PM-2	11,132
	New Construction Housing, SA.107_TWO #8-New Con_PM-2	38,029
	New Construction- Commercial, SA.107_TWO #8-New Con_PM-2	25,660
	NYCH: District, FT17133 - Troy Local Dev Corp	29,504
	NYCH: District, PON 4614 - Round 7 Woodstock	17,660
	NYCH: District, PON 4614 Cold Spring Harbor	0
	NYCH: District, PON 4614 Round 6	10,000
	NYCH: District, PON 4614 Round 7 Union College	11,176
	NYCH: District, SA.089_TWO #7_CHC PM-2	116,510
	On-Site Energy Manager, OsEM136-I - Lotte Biologics	39,830
	On-Site Energy Manager, SA.019_TWO#1 - Industrial	3,179
	On-Site Energy Manager, SA.031_TWO#3 - Industrial	2,805

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Contractor	Contract Description	Total Expended Amount
CHA Consulting Inc.	On-Site Energy Manager, SA.034_TWO#5 - Industrial	1,952
	On-Site Energy Manager, Umbrella Agreement	37,401
	PON 4614 Cold Spring Harbor	10,400
	Single Family New Construction, SA.107_TWO #8-New Con_PM-2	14,528
	Strategic Energy Manager, SA.019_TWO#1 - Industrial	82,296
	Strategic Energy Manager, SA.031_TWO#3 - Industrial	45,722
	Strategic Energy Manager, SA.034_TWO#5 - Industrial	22,292
	Strategic Energy Manager, SA.035_TWO#4 - EPE	50,183
	Strategic Energy Manager, Umbrella Agreement	28,429
	Technical Services, FT14561-Roswell Park Cntr-FTC	12,475
	Technical Services, FT14697 - Albany Int Airport	-39,528
	Technical Services, FT14845 - Lockheed - FTC	2,890
	Technical Services, FT14919 - MKS Instruments- FTC	5,642
	Technical Services, FT14960 - Mesa Realty - 15 W	3,826
	Technical Services, FT14962 - Thermo Fisher - FTC	308
	Technical Services, FT15004 - Ithaca College - 953	0
	Technical Services, FT17125 Town of Bethlehem - 44	12,627
Charis Realty Corp.	Multifam Performance Pgm, Multifamily	2,400
Chiassons Heating and Air Conditioni..	Talent Pipeline:CE and OJT, OJT	1,318
Christopher Community, Inc.	New Construction Housing, NCP Housing	73,200
CIR ELECTRICAL CONSTRUCTION C..	<200KW PV, PON 2112 NY SUN	21,195
Citizen Advocates, Inc.	New Construction Housing, 2019 LRNCP	16,000
City Harvest	New Construction- Commercial, Commercial New Construction	37,132
City of Auburn	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	12,008
	REC:CES REC Contracts, 11th Main Tier Solicitation	26,775
City of Canandaigua	Clean Energy Communities, CEC300331-Cty of Canandaigua	100,000
City of Geneva	Clean Energy Communities, Communities & Local Government	10,000
City of Hudson	CEC400057 City of Hudson	22,500
	Clean Energy Communities, CEC400057 City of Hudson	3,750
City of Jamestown	Cleantech Geo Coverage, PON 4242	19,000
City of Oneonta	NYCH: District, PON4614 Rnd #1 City of Oneonta	83,800
City of Rochester	NYCH: Technical Assistance, OsEM32-C - City of Rochester	7,000
City of Utica	NYCH: District, PON 4614 - Round 9	55,000
	NYCH: District, PON4614 Round #1 City of Utica	4,000
City of Yonkers	CLEANER GREENER COMMUNITIES, City of Yonkers	0
Claverack Solar 1, LLC	>200KW PV, NY Sun	965,075
	NY-SUN, NY Sun	1,187,784
Clean Power Research	NYCH: Technical Assistance, PON 4423	71,936
CleanFiber LLC	OJT	16,284
	Talent Pipeline:CE and OJT, OJT	19,832
CLEAResult Consulting, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Program Ops ..	95,808
	EMPOWER NY, Program Ops & Tech Support SFR	0
	EVPRZ:Implementation, Implementation Support for NYS	161,424
	Home Perf w Energy Star, Program Ops & Tech Support SFR	95,808
	NENY:CHGE Empower Electric, Program Ops & Tech Support SFR	5,936
	NENY:CHGE Empower Gas, Program Ops & Tech Support SFR	12,895
	NENY:Con Ed Empower Electric, Program Ops & Tech Support SFR	20,748
NENY:Con Ed Empower Gas, Program Ops & Tech Support SFR	64,396	

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CLEARResult Consulting, Inc.	NENY:KEDNY Empower Gas, Program Ops & Tech Support SFR	9,775
	NENY:NFG Empower Gas, Program Ops & Tech Support SFR	264,463
	NENY:NIMO Empower Electric, Program Ops & Tech Support SFR	45,854
	NENY:NIMO Empower Gas, Program Ops & Tech Support SFR	234,618
	NENY:NYSEG Empower Electric, Program Ops & Tech Support SFR	59,686
	NENY:NYSEG Empower Gas, Program Ops & Tech Support SFR	140,206
	NENY:O&R Empower Electric, Program Ops & Tech Support SFR	28,150
	NENY:O&R Empower Gas, Program Ops & Tech Support SFR	58,877
	NENY:RGE Empower Electric, Program Ops & Tech Support SFR	28,569
	NENY:RGE Empower Gas, Program Ops & Tech Support SFR	67,308
	NYCH: Comfort Home, Program Ops & Tech Support SFR	0
	NYCH: Technical Assistance, Program Ops & Tech Support SFR	0
	Program Ops & Tech Support SFR	2,170,202
Clearview Consultants, LLC	BR: Prospecting, TWO #1 Notice to Proceed	154,461
Climate Solutions Accelerator of the	Clean Energy Hub, Regional Clean Energy Hub	326,770
	NYCH: Communities, Regional Clean Energy Hub	1,000
	Talent Pipeline:CE and OJT, PON 4772 R3 (Paul Henry)	19,775
	Translation Services, Regional Clean Energy Hub	2,264
Clip. Bike Inc	Talent Pipeline:CE and OJT, Fellow Name: Sorah Park	18,455
CMC Energy Services, Inc	NYCH: Supply Chain, RFP 4645 Bldg Env Roundtables	60,818
Code Green Solutions, Inc.	Tech Assistanc Multifamily LMI, FT14718 - 88 Leonard - FTC	-34,650
	Technical Services, FT14039 - Building 22-24 - FTC	1,898
	Technical Services, FT14053 - 545 Madison - FTC	8,400
	Technical Services, FT14377- 605 Third - FTC	6,269
	Technical Services, FT14378 - 55 East 52nd - FTC	6,333
	Technical Services, FT14381 - 1345 AoA - FTC	3,970
	Technical Services, FT14576 - JPPF 260E161 - FTC	12,692
	Technical Services, FT14597 - 240 West End - FTC	4,533
	Technical Services, FT14608 - 5 Penn Plaza - FTC	4,440
	Technical Services, FT14700 - Super Nova 330 - 330	2,000
	Technical Services, FT14718 - 88 Leonard - FTC	34,650
	Technical Services, FT14841 - 180 Madison Prisa	8,564
	Technical Services, FT14983 - L&L Holding Co	26,650
	Technical Services, FT17027 Trinity Hudson Holding	13,200
	Technical Services, FT17032 - Trinity Hudson	13,200
	Technical Services, FT17050 Trinity Hudson Holding	13,200
Technical Services, FT17077 183 Madison Owners - 1	11,955	
Technical Services, FT17136 - ESA Property Managem	20,453	
COGENT Infotech Corporation	NYSERDA ADMINISTRATION, TWO 1 Asst. BA Ops -	17,339
Cohen Ventures Inc	Code to Zero, Task Work Order #4	143,258
	Code to Zero, Task Work Order #6	31,968
	Product Standards, Task Work Order #8	205,976
	Product Standards, TWO 9 Contractor ENERGY STAR	979,395
	Product Standards, TWO #1 - RFQL 5236	136,895
	Product Standards, TWO #10 - Phase 2 Analysis	16,448
	Product Standards, TWO #11 - Energy Solutions	192,616
	Product Standards, TWO No. 2	109,850
Cold Spring Harbor Laboratory	REV CAMPUS CHALLENGE, OsEM117-C - Cold Spring Labs	60,244

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Contractor	Contract Description	Total Expended Amount
Collado Engineering, DPC	Technical Services, FT14602 - 30 E 65th St - FTC	17,250
Columbia County	Clean Energy Communities, CEC410027 - Columbia County	11,250
	Clean Energy Communities, Combined grants - EVs-,Charger	80,625
Commercial Cleaning NY Sunshine, In..	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC office	37,320
Commercial Fisheries Research Foun..	OREC: Technical Support, Mechanical Jigs for OSW Devlp	91,359
Community Hope Builders CDC, Inc.	New Construction Housing, 2019 LRNCP	55,400
Comrie Enterprises, LLC	Talent Pipeline:CE and OJT, PON 4772 R3 Evelyn De La Vega	12,333
Consensus Building Institute, Inc.	Environmental Research, TWO #2 A-TWG Facilitator	41,218
	OREC: Technical Support, TWO #2 A-TWG Facilitator	22,470
Cooper Square Community Developm..	NY-SUN, PON 3414 - LES Res Solar	5,000
Cornell Cooperative Ext. Dutchess Co..	Clean Energy Hub, Regional Clean Energy Hub	338,914
Cornell Cooperative Extension - Tompkins	Clean Energy Hub, Regional Clean Energy Hub	356,016
	Regional Clean Energy Hub	11,578
	Technical Services, Agricultural Best Practices	37,467
	Translation Services, Regional Clean Energy Hub	50,000
Cornell Cooperative Extension of Nas..	Long Island Clean Energy Hub	319,904
Cornell Cooperative Extension of One..	Clean Energy Hub, Regional Clean Energy Hub	93,443
Cornell University	Environmental Research, Remote Sensing and Data-Driven	44,776
	Heat Recovery, HeatRec C2_Cornell U_2083	32,000
Cornice Technology, LLC	CGSI -132CT -Hudson Falls CSD	10,255
	CGSI -133CT -Peru CSD(1)_CT	10,255
	CGSI-102CT - Corinth CSD	23,980
	CGSI-122CT - Broadalbin-Perth	10,255
	CGSI-131CT - Greece CSD (1)_CT	21,160
	CGSI-134CT -Oxford CSD (1)_CT	10,255
	CGSI-135CT -Sidney CSD (1)_CT	22,575
	CGSI-136CT- Greenwich CSD (1)	10,255
	CGSI-137CT -North Collins CSD	10,255
	CGSI-138CT -Lowville CSD (1)	22,575
	CGSI-139CT -Copenhagen CSD (1)	22,575
	CGSI-140CT -Cincinnatus CSD	22,575
	CGSI-167CT -Gates-Chili CSD	1,530
	CGSI-200CT - Webster CSD	1,530
	CGSI-202CT - Whitney Point CSD	1,530
	CGSI-203 -Windsor CSD (1)_CT	10,255
	CGSI-207CT Thousand Islands CS	1,530
	CGSI-209CT - Laurens CS (1)_CT	1,530
	CGSI-217CT -Naples CS (1)_CT	10,255
	CGSI-218CT -East Bloomfield CS	1,530
CGSI-219CT -Berlin CSD (1)_CT	1,530	
Cortex Building Intelligence, Inc.	Real Time Enrgy Management, CBI - 1 Court Square - RTEM	18,125
Cortland-Virgil Road Solar, LLC	>200KW PV, NY-Sun C&I	220,898
Couch White, LLP	BR: Program Implementation, TWO 6 - BR Interconnection	20,894
	Code to Zero, TWO 2 - Legal Anlly & Guidance	6,789
	ENERGY ANALYSIS, TWO 7 - FERC Order 1920	11,033
	ENERGY ANALYSIS, TWO 7 - NIETC Comments	1,686
County Cooling, Corp.	NYCH: Talent Ppln:CE and OJT, OJT	10,125
County Heat & AC, LLC	NYCH: Talent Ppln:CE and OJT, OJT	17,665

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Contractor	Contract Description	Total Expended Amount
CP Manheim One LLC	>200KW PV, NY Sun	206,233
CPL Architects, Engineers, Landscape	CGSI-95 - Salamanca City CSD	38,818
	CGSI-106 - Poughkeepsie CitySD	24,265
	CGSI-107 - Pine Valley CSD	28,630
	CGSI-163CT -Olean CSD (1)_CT	1,888
	CGSI-164CT -Portville CSD	30,891
	CGSI-172CT -Andover CSD (1)_CT	23,904
	CGSI-178CT - Wellsville CSD	26,345
	CGSI-229 -Johnstown CSD (1)_CT	16,165
	CGSI-232CT - Fort Plain CSD	11,441
	CLEAN TRANSPORTATION, CGSI-65CT - Brocton CSD (1)_CT	36,525
	CLEAN TRANSPORTATION, CGSI-67CT - Bradford CSD (1)	29,273
	CLEAN TRANSPORTATION, CGSI-72_CT - Fillmore CSD	38,929
	CLEAN TRANSPORTATION, CGSI-87CT - Scio CSD	14,983
	Electric Vehicles - Innovation, CGSI-28_CT - Belfast - PON	4,760
	Electric Vehicles - Innovation, CGSI-32_CT - Bolivar - PON	1,095
	Electric Vehicles - Innovation, CGSI-33 -Silver Creek CSD -PON	40,820
	Electric Vehicles - Innovation, FT14767 - Wheatland Chili CSD	25,650
	Electric Vehicles - Innovation, P12GC-88_CT - ByronBergen -PON	0
	Electric Vehicles - Innovation, P12GC-92_CT - Allegany - PON	22,524
	Electric Vehicles - Innovation, P12GC-95_CT - New Paltz - PON	540
	Electric Vehicles - Innovation, P12GC-96_CT - Rondout - PON	9,411
	Electric Vehicles - Innovation, P12GC-101 Keshequa CSD(1)_E	29,918
	Electric Vehicles - Innovation, P12GC-104-Onteora CSD (1)_CT	4,395
	FT17250 - Wells CSD (1)_CT	16,427
Cresa LLC	NYSERDA ADMINISTRATION, Real Estate Strat & Adv. Svcs.	62,500
Crossfield Home Energy Solutions	NYCH: Talent Ppln:CE and OJT, OJT	2,977
Cuba Rushford Central School	K-12 SCHOOLS, P12GC-19D - Cuba ESESA - PON	24,167
	K-12 SCHOOLS, P12GC-66_D Cuba MSHSBG - PON	6,493
CubeSmart TRS Inc	>200KW PV, PON 2112 NY SUN	696,240
Curtis + Ginsberg Architects LLP	Buildings of Excellence, BoE Rnd. 3 DTL Cont.	100,000
Cutone & Company Consultants, LLC	Technical Services, OsEM124-C - Columbia REIT	106,943
CVE US EI7 Belair, LLC	>200KW PV, NY Sun	830,606
	NY-SUN, NY Sun	342,015
CVE US EI3 Wheatfield, LLC	>200KW PV, NY Sun	961,411
	NY-SUN, NY Sun	395,876
Cycle Architecture PLLC	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 (Samuel Akogun)	15,417
Cycle Retrotech LLC	LMI Multifamily Demos, Syracuse Housing Authority	90,000
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT	27,360
Dandelion Energy Inc	NYCH: Innovation, PON3519 Round 1	100,000
	NYCH: Talent Ppln:CE and OJT, OJT	58,648
Daniel Rice Engineering, D.P.C.	Technical Services, FT14751 - Vornado Realty - 770	22,000
David P Bruns	Low Rise New Construction, New Construction	168,800
Day Automation Systems, Inc.	Real Time Enrgy Management, Day Auto 54 Main	4,634
	Real Time Enrgy Management, Day Auto Multi	21,077
	Real Time Enrgy Management, Day Auto-700 S Manlius - RTEM	3,298
DCF Energy Group, LLC	<200KW PV, PON 2112 NY SUN	6,480
Deloitte Consulting LLP	IEDR: Program Manager, IEDR Program Manager RFP CM	462,301

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Contractor	Contract Description	Total Expended Amount
Delta Connects, Inc.	Real Time Enrgy Management, Delta - 55 Water St - RTEM	53,680
Delta Dental of New York	NYSERDA ADMINISTRATION, Delta Dental Prem. 2022-23	33,985
	NYSERDA ADMINISTRATION, Delta Dental Prem. 2023-24	172,226
DePaul Properties, Inc.	New Construction Housing, NCP Housing	27,600
Dewberry Engineers Inc	TWO 1 - Climate Risk Assesssme	69,786
Dextall	NYCH: Innovation, Midrise HVAC - Dextall	78,215
DG New York CS, LLC	>200KW PV, NY Sun	4,250,127
	NY-SUN, NY Sun	2,952,608
Discover Green Renewable Energy LLC	<200KW PV, NY-Sun	26,400
	>200KW PV, NY-Sun	44,000
Distributed Solar Development, LLC	>200KW PV, NY Sun	477,571
	NY-SUN, NY Sun	312,768
	NY-SUN, NY-Sun - ICSA	12,789
DNV Energy Insights USA Inc.	Concierge Services - DNV - TWO	0
	Eval MCDC Solar/NY-Sun, TWO 3 - Solar PV/Energy Stor	6,376
	Eval MCDC StatewideSingleF LMI, TWO #5 LMI Res Retrofit Impact	21,551
	Eval MCDC: Ind Fac Stock Study, Statewide Industrial Facility	102,268
	Eval MCDC: Ind Potential Study, TWO 1- Indust Decarb Potential	66,939
	Eval MCDC:I&R Product Dev.Stud, TWO#2 I&R Product Dev 2016-20	2,200
	EVALUATION, TWO 1 - WFD BLDG/Talent	34,035
	EVALUATION, TWO 3 - Solar PV/Energy Stor	74,852
	EVALUATION, TWO #5 LMI Res Retrofit Impact	3,235
	Future Grid Perf. Challenges, Energy Storage Potential Study	347,010
	GJGNY Market Rate Audits, TWO #4 Res Audit Rating PY	695
	Home Energy Ratings, TWO #4 Res Audit Rating PY	695
	Home Perf w Energy Star, TWO #5 LMI Res Retrofit Impact	16,313
	Industrial Process Effic, TWO # 3 IPE eval	67,697
	Multifam Performance Pgm, TWO 6 - MPP Impact Eval	13,433
	Nat'l OffShWind R&D Consortium, TWO 3 - Solar PV/Energy Stor	5,828
	NYCH: District, Concierge Services - DNV - TWO	20,423
	OREC: Technical Support, RFP3855 Cat2 DMAC Float. LiDar	27,800
	OREC: Technical Support, TWO#3 Ocean Conditions MP2.0	247,634
	REV Campus Challenge, Concierge Services - DNV - TWO	0
	Rmve Barriers Dist Enrgy Storg, TWO 3 - Solar PV/Energy Stor	23,312
	Rmve Barriers Dist Enrgy Storg, TWO #1 - PON 5039	45,479
	Solar Plus Energy Storage, TWO 3 - Solar PV/Energy Stor	18,650
	Talent Pipeline:CE and OJT, TWO 1 - WFD BLDG/Talent	48,668
	Technical Services, FT14355 - 128 West 29th - FTC	12,500
	Workforce Industry Partnership, TWO 1 - WFD BLDG/Talent	67,272
DNV GL Energy USA, Inc.	CI Enrgy Siting & Soft Cost Red, RFP 5143 Energy Storage Supp	36,807
	Rmve Barriers Dist Enrgy Storg, RFP 5143 Energy Storage Supp	122,691
Dollaride, Inc.	EVPRZ:EJ Comm Clean Veh Trans, Clean Transit Access Program	131,520
	Talent Pipeline:CE and OJT, PON 4772 R3 Winston Williams	9,250
DONNELLY & MOORE, Inc	NYSERDA ADMINISTRATION, TWO 1 Web Content Editor	59,296
Drinkwater Solar, LLC	>200KW PV, NY-Sun C&I	277,296
DSM Engineering Assoc, P.C.	CGSI-211E -South Country CSD	21,830
	Technical Services, FT15041 - Memorial Sloan	16,450
	Technical Services, FT17138 - New York Presbyteria	18,260

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DSM Engineering Assoc, P.C.	Technical Services, FT17213 - AKAM Associates - 12	18,335
	Technical Services, FT17214 - AKAM Associates - 25	19,452
	Technical Services, FT17235 - AKAM Associates - 33	9,218
Dual Fuel Corp	NYCH: Talent Ppln:CE and OJT, OJT	9,944
	Talent Pipeline:CE and OJT, OJT	1,912
Dunsky Energy Consulting	NEW YORK GREEN BANK, NYGB Financial Market Transfor	59,248
Durst Organization, LP, The	Technical Services, OsEM101-C - The Durst Organiza	23,250
E Source Companies LLC	IEDR: Program Manager, IEDR Development	3,387,127
E2S Energy Efficiency Services, LLC	Technical Services, FT14753 - Wegmans - 675 Albert	25,089
Eagle Creek Hydro Power LLC	REC:CES REC Contracts, 11th Main Tier Solicitation	61,650
East House Corporation	Multifam New Construction, New Construction	46,900
East River Solar, LLC	>200KW PV, NY-Sun C&I	220,898
Eastern Correctional Napanoch NY So..	>200KW PV, NY Sun Assignment	293,543
Eastern Research Group, Inc.	Electric Vehicles - Innovation, TWO #3 E-BUS Workplan	21,902
	Electric Vehicles - Innovation, TWO#4 Clean Fleet Plan	106,033
	ENERGY ANALYSIS, TWO #1 CLCPA GHG	2,080
	EVPRZ:Implementation, Clean Transportation	97,202
ECG Engineering, P.C.	K-12 SCHOOLS, CGSI-25_E - Glens Falls Common	12,435
Eclaro International	Clean Energy Communities, SA.012_TWO# 1_Communities_PM2	53,313
	Heat Recovery, SA.015_TWO# 3_AES_PM2	73,800
	Market Support Tools &Activity, SA.02_TWO# 2_SFR_APM	8,745
	NYCH: District, SA.010_TWO# 5_CHC_PM1	39,075
	Pub Transit & Elect Rail, SA.009_TWO# 4_CT_PM1	49,663
	SA.02_TWO# 2_SFR_APM	34,980
Ecogy New York XI LLC	>200KW PV, NY-Sun	866,520
Ecogy New York XIII LLC	>200KW PV, NY-Sun	397,212
Ecoelectro Inc	Cleantech Ignition, PON 3871 Ignition Grants	38,832
Ecology & Environment, Inc.	Environmental Research, Owner's Engineering	284
ecoLong LLC	Talent Pipeline:CE and OJT, OJT	4,320
EcoMarkets LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	26,280
ECONcrete Inc	OREC: Technical Support, Eval of Eco Scour Protection	55,656
Ecosave, Inc.	NYCH: District, PON 4614 Round #1 Coney Island	56,421
	PON 4614 Round #1 Coney Island	24,180
Ecosystem Energy Services USA Inc.	Heat Recovery, HeatRec C1_Ecosystem_414e52	5,552
Edison Energy, LLC	REV Campus Challenge, FT14404- 515 East 71 - 72 -FTC	54,588
	Technical Services, FT14952 - OBH Brookdale	10,405
	Technical Services, FT14953 - OBH Interfaith	27,590
	Technical Services, FT14954 - OBH Kingsbrook	26,520
	Technical Services, FT14979 - Verizon - 215 West	84,531
	Technical Services, FT14981 - Verizon - 227 East	72,933
	Technical Services, FT17074 Mount Sinai Health Sys	78,320
EDPR NA Distributed Generation LLC	>200KW PV, NY Sun	234,502
	NY-SUN, NY Sun	288,617
EF NY CDG 001 LLC	>200KW PV, NY Sun	280,980
	NY-SUN, NY Sun	337,176
EF NY CDG 002 LLC	>200KW PV, NY Sun	278,324
	NY-SUN, NY Sun	333,987
EF NY CDG 011 LLC	>200KW PV, NY Sun	202,254

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Contractor	Contract Description	Total Expended Amount
EF NY CDG 011 LLC	NY-SUN, NY Sun	294,187
Egg Geo, LLC	NYCH: District, Amalgamated Housing TEN	15,299
	NYCH: District, FT14552 - 7 Speedsville - FTC	28,857
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	6,272
	<200KW PV, PON 2112 NY SUN	79,921
Eight Point Wind, LLC	REC:CES REC Contracts, Eight Point Wind_RESVCO2021	5,096,282
EirCo Sustainability Inc.	Technical Services, FT17156 - 119 State Street	6,750
Electric Power Research Institute	ENERGY ANALYSIS, TWO 2 - Zero x 40 Tech Studies	18,417
	Future Grid Perf. Challenges, Power Grid Innovation	71,894
	High Performing Grid, Coordinating Trans & Distrib	90,000
	High Performing Grid, TWO # 1 (ITWG Support)	4,790
	OTHER PROGRAM AREA, TWO 2 - Zero x 40 Tech Studies	12,278
Electricade LLC	<200KW PV, PON 2112 NY SUN	23,848
Electrical Distribution Design, Inc.	High Performing Grid, Solar, Load, Outage Forecast	51,208
Electrification Coalition Foundation	Electric Vehicles - Innovation, Task Work Order No. 1	21,901
ELP Union Vale Solar	>200KW PV, NY Sun	116,699
	NY-SUN, NY Sun	197,473
EMCOR Services Betlem	Technical Services, FT13760 - 150 State - FTC	10,915
	Technical Services, FT14621 - Pactiv 5250 N St FTC	4,321
	Technical Services, FT17059 - BorgWarner -FTC-IND	8,887
EMCOR Services New York/New Jerse..	Technical Services, FT17009 Verizon Communications	122,827
EME Consulting Engineering Group, LLC	CGSI-14_O - District 1-4 - FTC	96,450
	CGSI-15_O - 13-20 - FTC	103,832
	CGSI-36_O - NYC DOE 26-29 -FTC	109,934
	CGSI-37_O - NYC DOE 17-22 -FTC	62,040
	CGSI-44O-NYC Districts 5-6-FTC	84,071
	CGSI-55O - NYC DOE 18-23-31-32	97,284
	CGSI-70O NYC District 7-8-9-11	145,562
	CGSI-88O - NYC DOE 19,24,25,30	91,733
	CI Engy Siting & Soft Cost Red, SA.088a_TWO #22-CE Siting_PM-2	79,081
	Cleantech Ignition, TWO #16 - Innovation APM	4,102
	Cleantech Incubator, TWO #16 - Innovation APM	6,236
	Commercial New Construc, SA.038A_TWO #7 - New Con	16,332
	Commercial Real Estate Ten, FlexTech Consultant Selection	53,629
	Empire Building Challenge, SA.065a - TWO #12 - AES_PM	125,145
	Empire Building Challenge, SA.086c_TWO #18-AES_PM-1	84,901
	FT17164 Fordham University - M	122,915
	Grid ClimateTech Ready Capital, TWO #16 - Innovation APM	10,338
	K-12 SCHOOLS, P12GC-79_E -Trinity School CSD	44,625
	K-12 SCHOOLS, SA.024_TWO# 2_EPE_PM1	45,934
	K-12 SCHOOLS, SA.025_TWO# 1_EPE_PM2	44,274
	K-12 SCHOOLS, SA.036c_TWO #8 - EP&E	2,082
	K-12 SCHOOLS, SA.045_TWO# 6_AES PM	24,521
	Market Tests, SA.043_TWO# 3_AES_PM2	27,862
	Market Tests, SA.094_TWO#17 - AES_PM-2	59,233
	New Construction Housing, SA.038A_TWO #7 - New Con	70,771
	New Construction Housing, SA.098 - New Con_PM-1	37,462
	New Construction Housing, SA.099 - New Construction_PM-1	34,361

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Contractor	Contract Description	Total Expended Amount
EME Consulting Engineering Group, LLC	New Construction- Commercial, SA.038A_TWO #7 - New Con	21,776
	New Construction- Commercial, SA.098 - New Con_PM-1	28,097
	New Construction- Commercial, SA.099 - New Construction_PM-1	27,127
	Real Time Enrgy Management, Minibid EBC & RTEM PrgmSupport	13,966
	Real Time Enrgy Management, SA.056_TWO #10 - RTEM MF	29,071
	Retrofit NY, SA.057_TWO #11 - Multifamily	83,295
	REV Campus Challenge, FT14248 - 113 W 60th - FTC	42,479
	REV Campus Challenge, SA.025_TWO #2_Com_PM	80,238
	REV Campus Challenge, SA.025_TWO# 1_EPE_PM2	19,469
	REV Campus Challenge, SA.045_TWO# 6_AES PM	13,236
	RTEM and Tenants, Minibid EBC & RTEM PrgmSupport	57,857
	RTEM and Tenants, SA.043_TWO# 4_AES_PM1	35,014
	RTEM and Tenants, SA.056_TWO #10 - RTEM MF	29,071
	RTEM Small/Medium Business, SA.056_TWO #10 - RTEM MF	29,071
	Single Family New Construction, SA.098 - New Con_PM-1	14,985
	Single Family New Construction, SA.099 - New Construction_PM-1	16,276
	Strategic Energy Manager, SA.036c_TWO #8 - EP&E	28,615
	Strategic Energy Manager, SA.044_TWO#5_EPE PM	86,768
	Strategic Energy Manager, SA.052_TWO #9 - EP&E	103,760
	Tech Assistanc Multifamily LMI, EME FlexTech MF Study Analysis	18,616
	Tech Assistanc Multifamily LMI, FT14994 - Clinton Housing Dev.	21,900
	Tech Assistanc Multifamily LMI, SA.108_TWO#21-MF_APM	3,295
	Tech Assistanc Multifamily LMI, SA.117 TWO#25-MFRes PM-1	81,948
	Tech Assistanc Multifamily LMI, SA.118 - TWO#26 MFRes PM1	103,582
	Technical Services, EME FlexTech MF Study Analysis	18,616
	Technical Services, EPE Team Analysis - EME TWO	745
	Technical Services, FT14382- 166 EAST 92nd - FTC	10,096
	Technical Services, FT14433-335 E 51st - FTC- MF	12,375
	Technical Services, FT14491-445 86 Owners -FTC-MF	17,506
	Technical Services, FT14610-Fordham University-FTC	28,116
	Technical Services, FT14680 - 40 Ocean Parkway-FTC	12,312
	Technical Services, FT14711 - 126-8 Fifth Avenue	12,475
	Technical Services, FT14765 - Fordham University	4,880
	Technical Services, FT14812 - StayPineapple	5,250
	Technical Services, FT14935 - Manhattan College	61,335
	Technical Services, FT14940 - Calvary Hospital	10,600
	Technical Services, FT15002 - Benenson Capital	13,900
	Technical Services, FT17117 NYU Langone Hospitals	27,308
	Technical Services, FT17164 Fordham University - M	0
	Technical Services, FT17200 Global 36th Street -	5,000
	Technical Services, OSEM116-C - Calvary Hospital	76,609
	Technical Services, OsEM121-C - NYU Hosp Brooklyn	26,034
	Technical Services, OsEM123 - C - Interfaith Med	73,275
	Technical Services, OsEM127-C - Brookdale Hospital	30,036
	Technical Services, PON 3525 Umbrella Agreement	41,287
Technical Services, SA.024_TWO# 2_EPE_PM1	19,686	
Technical Services, SA.025_TWO# 1_EPE_PM2	10,047	
Technical Services, SA.084_TWO# 15_MF PM-1	91,212	

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Contractor	Contract Description	Total Expended Amount
EME Consulting Engineering Group, LLC	Technical Services, SA.108_TWO#21-MF_APM	3,295
Emergent Urban Concepts, LLC	Empire Building Challenge, EBC Support	35,783
	LMI Multifamily Demos, EBC Support	35,783
Emes Solar	<200KW PV, PON 2112 NY SUN	6,232
	>200KW PV, NY-Sun	1,253,713
	>200KW PV, PON 2112 NY SUN	605,179
	NY-SUN, NY-Sun	70,488
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	95,912
Empire State Realty OP, LP	Heat Recovery, HeatRec C2_EmpireState_111W33	48,000
	Heat Recovery, HeatRec C2_EmpireState_501 7th	28,500
Empower CES, LLC	>200KW PV, NY-Sun	505,920
	COMMUNITY SOLAR, PON 2112 NY SUN	6,300
	ENERGY STORAGE, PON 2112 NY SUN	68,750
	NY-SUN, NY-Sun	101,184
Empower Equity Inc	OJT	9,806
	Talent Pipeline:CE and OJT, OJT	10,218
	Talent Pipeline:CE and OJT, OJT Sean O'Neill	7,306
	Talent Pipeline:CE and OJT, PON 4772 (Fellow)	3,083
	Talent Pipeline:CE and OJT, PON 4772 R3 Shawn Gregoire	7,194
Encompass Energy LLC	New Construction- Commercial, Commercial NCP 2022	113,841
Endurant Consulting Solutions, LLC	NYCH: District, Mt Vernon Geothermal	76,800
Energists Holdings, LLC	NYSERDA ADMINISTRATION, Supplemental Rercruiting Svcs	26,132
Energy and Environmental Economics Inc.	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	31,979
	ENERGY ANALYSIS, TWO 11 - Mkt Price Forecasting	94,825
	ENERGY ANALYSIS, TWO #6 Complement Analysis	13,520
	ENERGY ANALYSIS, TWO #10: E3 Integration Analsy	372,617
	ENERGY ANALYSIS, TWO#4 Policy Case Review	19,875
	ENERGY ANALYSIS, TWO#7 Future of Gas Planning	181,727
	ESTOR: Implementation Support, TWO No. 4 VDER ES Calculator	3,079
	ESTOR: Implementation Support, TWO5 Energy Storage Roadmap 2	58,938
	Hydrogen Innovation, Hydrogen Policy Options in NYS	59,950
	NYCH: LMI, TWO 8 -LMI Electrif Cost Model	11,092
	OREC: Technical Support, TWO 11 - Mkt Price Forecasting	37,930
	REC:CES REC System Dev Costs, Transmission Services on Deman	10,362
	REC:CES REC System Dev Costs, TWO 11 - Mkt Price Forecasting	56,895
	TWO #5 CPRG Support	86,130
	TWO #6 Complement Analysis	10,400
	Value Stack Calculator Support	1,418
Energy Catalyst LLC	NYCH: Talent Ppln:CE and OJT, OJT	39,722
Energy EDC Corp.	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	78,080
	OJT	13,500
	Talent Pipeline:CE and OJT, PON 4772 R3 CJF (Anthony Willi	21,583
	Talent Pipeline:CE and OJT, PON 4772 Round 3 Amira Rachouh	14,338
	Workforce Industry Partnership, PON 3715 (BOM)	25,845
Energy Management Solutions, LLC	NYCH: Talent Ppln:CE and OJT, OJT	9,331
	Talent Pipeline:CE and OJT, OJT	12,761
Energy Savers Inc	NYCH: Talent Ppln:CE and OJT, OJT	13,872
	OJT	6,104

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Contractor	Contract Description	Total Expended Amount
Energy Technology Savings, Inc.	NYCH: Industry Partnerships, PON 3715 (R15) BOM	25,413
	Workforce Industry Partnership, Operating Energy Efficient	159,375
	Workforce Industry Partnership, PON 5357	116,500
Enervee Corporation	LMI Pilots, Energy & Climate Equity	106,583
	Market Tests, NY Prize (no longer in use)	187,500
Enica Engineering, PLLC	Technical Services, FT14875 - Weill Cornell Med	15,213
	Workforce Industry Partnership, PON 3715 (R15) BOM	55,086
Ensava, Inc.	AEAP Implementation Contractor	21,947
	Technical Services, AEAP Implementation Contractor	261,526
Enterprise Lumber & Silo, LLC	Net Zero Energy for Eco Dev, CNCED 2021 - Enterprise Lumber	53,712
Environet Systems, LLC	Talent Pipeline:CE and OJT, OJT	16,179
Epic Management of New York, LLC	NYCH: Talent Ppln:CE and OJT, RFQL 5147 Labor Liaison TWO	20,837
Equinix Inc.	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	91,408
Erdman Anthony & Associates, Inc.	Commercial New Construc, Commercial New Construction	6,449
	NYCH: Technical Assistance, FT13533 - City of Rochester	4,627
Erie Boulevard Hydropower LP	REC2:CES REC2 Contracts, T2RFP21-1_Baldwinsville	1,687
	REC2:CES REC2 Contracts, T2RFP21-1_Talcville	272
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	19,439
	REC:CES REC Contracts, 11th Main Tier Solicitation	52,391
Erie County	Clean Energy Communities, CEC111408- Erie County	10,000
	CLEANER GREENER COMMUNITIES, CGC - Erie County	47,507
	NYCH: Communities, CEC111408- Erie County	56,250
Erie Road Acquisitions GP LLC	Low Carbon Tech Demos, MF Low Carbon Pathways	372,075
Erie Wind LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	64,177
Erin Renewables, LLC	>200KW PV, NY Sun	137,281
Essense Partners Inc.	OREC: Technical Support, TWO #1 - LSR/OSW	270,431
Evercloak Inc	Building Envelope Systems, Refrigerants - Evercloak	186,273
EVERGREEN ENERGY	>200KW PV, NY-Sun	43,510
	>200KW PV, PON 2112 NY SUN	93,920
	NY-SUN, NY-Sun	0
Evergreen Pines LLC	Cat C - Demonstrations of Net	250,000
Evgateway	CLEAN TRANSPORTATION, DCFC - VW Settlement	717,240
Evicient, LLC	NextGen HVAC, Low cost thermal storage	15,152
Evolution Markets, Inc	CSAPR Broker Services	1,725
Experis US LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, SA.020_TWO..	4,883
	CLCPA Support, SA.030_TWO# 3_NC_PM1	2,652
	Code to Zero, SA.011_TWO# 2_Codes_Sr.PM	45,171
	Equitable Engagement, SA.018_TWO# 9_ECE_PM1	6,214
	Multifam Performance Pgm, SA.038_TWO# 4_MF_PM1	23,534
	New Construction Housing, SA.028a_TWO# 7_NC_PM1	15,301
	New Construction Housing, SA.030_TWO# 3_NC_PM1	15,006
	New Construction Housing, SA.040_TWO# 6_NC_PM1	19,477
	New Construction- Commercial, SA.028a_TWO# 7_NC_PM1	1,700
	New Construction- Commercial, SA.030_TWO# 3_NC_PM1	8,941
	New Construction- Commercial, SA.040_TWO# 6_NC_PM1	8,347
	NYSERDA ADMINISTRATION, SA.021a_TWO# 5_SO_TS	14,941
	SA.020_TWO# 1_SFR_PM1	19,531
SA.041_TWO# 8_GOV_PM1	16,230	

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Contractor	Contract Description	Total Expended Amount
Experis US LLC	SF CN Competition, SA.030_TWO# 3_NC_PM1	2,716
	Single Family New Construction, SA.030_TWO# 3_NC_PM1	10,752
Farm to Flame Energy Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Morgan Condon)	6,867
Fifth Avenue Committee, Inc.	New Construction Housing, 2019 MFCNP	32,800
	Retrofit NY, RetroFitFifth Avenue Committee	100,000
Finch Paper, LLC	On-Site Energy Manager, OsEM94 I - Finch Paper	38,438
Finger Lakes Comfort, Inc	NYCH: Talent Ppln:CE and OJT, OJT	38,538
	Talent Pipeline:CE and OJT, OJT	15,648
Fingerlakes Renewables	<200KW PV, PON 2112 NY SUN	5,629
First Columbia Property Services, LLC	NYSERDA ADMINISTRATION, Property Management	82,350
First Jamaica Community & Urban	Buildings of Excellence, Buildings of Excellence R1	175,000
First Ward Action Council, Inc.	New Construction Housing, NCP Housing	42,000
Fishtech Energy Partners LLC	Heat Recovery, HeatRec C1_Fishtech_375Park	39,427
	Heat Recovery, HeatRec C1_Fishtech_477Madison	3,696
	Heat Recovery, HeatRec C1_Fishtech_530Fifth	3,696
	Heat Recovery, HeatRec C1_Fishtech_601W26	3,696
	Heat Recovery, HeatRec C1_Fishtech_1285AoA	3,696
	Heat Recovery, HeatRec C1_Fishtech_MSKCC CLM	3,696
	Heat Recovery, HeatRec C1_Fishtech_MSKCC Kimm	3,696
	Heat Recovery, HeatRec C1_Fishtech_MSKCCBAIC	3,696
	Heat Recovery, HeatRec C1_Fishtech_Pier57	3,696
	Heat Recovery, HeatRec C1_Fishtech_UniClub	3,696
	Heat Recovery, HeatRec C2_Fishtech_55 Water	59,460
	Talent Pipeline:CE and OJT, OJT	6,595
	Technical Services, FT - 0000761131 - HR REIT - 42	6,093
	Technical Services, FT14432- 365 Fifth - FTC	4,728
	Technical Services, FT14454 - 565 5th - FTC	1,909
Technical Services, FT14546 -754 5th - FTC	4,907	
Technical Services, FT14762 - 650 Fifth Ave Co	2,060	
Technical Services, FT15147 - Milton Harbor - 720	11,312	
Technical Services, FT17067 RXR Co Property Manage	8,001	
Flamingos Clean Energy, LLC	>200KW PV, NY-Sun	37,044
Florenton River LLC	>200KW PV, PON 2112 NY SUN	103,305
Foam It Insulation, LLC	NYCH: Talent Ppln:CE and OJT, OJT	5,679
	OJT	14,531
	Talent Pipeline:CE and OJT, OJT	3,110
Foley & Lardner LLP	RFP 12: NYGB Legal Services	58,622
Fordham Hill Owners Corp.	Technical Services, FT14879 -Fordham 2400 Sedgwick	6,894
	Technical Services, FT14908 - Fordham - 2431 Webb	7,879
Form Energy, Inc	Long Duration Energy Storage, LDES Tech & Product Dev	200,000
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	27,335
Fraunhofer USA Inc.	Building Envelope Systems, Building Envelopes - Fraunhofe	116,075
Friello and Sons Heating and Cooling,..	NYCH: Talent Ppln:CE and OJT, OJT	15,053
Frontier Energy, Inc.	>200KW PV, DER Data System Support	107,877
	ANAEROBIC DIGESTER, ADG - Frontier - TWO	1,468
	CI Engy Siting & Soft Cost Red, Clean Energy Siting	11,797
	CI Engy Siting & Soft Cost Red, TWO 2 Cat 2 Siting Assistance	2,363
	Combined Heat and Power, ADG - Frontier - TWO	1,468

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Contractor	Contract Description	Total Expended Amount
Frontier Energy, Inc.	Combined Heat and Power, DG Integrated Data System	52,645
	ESTOR: Implementation Support, DER Data System Support	107,877
	ESTOR: Implementation Support, TWO 1 Cat 2 Energy Storage	19,568
	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	82,228
	REC:CES REC System Dev Costs, Frontier Energy/ Technical Ass	1,926
FunForm	Building Envelope Systems, Building Envelopes -funform	55,000
Fusco Personnel, Inc.	NYSERDA ADMINISTRATION, Recruitment Outsourcing	108,663
	OREC: Technical Support, TS.007 - LSR_Office Admin	11,518
	REC4:CES REC4 Tech Support, TS.007 - LSR_Office Admin	11,518
	REC:CES REC System Dev Costs, TS.007 - LSR_Office Admin	11,518
Fusion Energy Services LLC	<200KW PV, NY-Sun	5,280
	<200KW PV, PON 2112 NY SUN	22,225
G.R.O. Energy Solutions, LLC	OJT	4,971
	Talent Pipeline:CE and OJT, OJT	7,810
G&S Operations LLC	>200KW PV, NY-Sun	495,040
	>200KW PV, PON 2112 NY SUN	2,418,790
	NY-SUN, NY-Sun	123,760
Gabrielli Truck Sales, LTD	CLEAN TRANSPORTATION, NYTVIP - M.R.Z. Trucking Corp.	215,000
Gas Technology Institute	NextGen HVAC, Develop R30 wall	21,468
GBA Commissioning Services, Inc	Technical Services, FT14407- 3 Bryant Park - FTC	36,176
	Technical Services, FT14408 - 1411 Broadway - FTC	13,024
	Technical Services, FT17216 University of Rocheste	105,045
Geatrain Engineering PLLC	OJT	12,758
	Technical Services, FT14198 - 2520 Kings Hwy - FTC	4,687
	Technical Services, FT14199 - 2654 Valentine - FTC	6,855
	Technical Services, FT14203 - 480 E 21st - FTC	6,994
	Technical Services, FT14218 - 55 Thompson - FTC	4,357
	Technical Services, FT14219 - 77 W 15 - FTC	4,357
	Technical Services, FT14225 - 301 Elizabeth - FTC	4,357
	Technical Services, FT14227 - 363 W 30th - FTC	4,357
	Technical Services, FT14229 - 81 West River - FTC	4,357
	Technical Services, FT14876 - 133-42 39th Avenue	18,700
	Technical Services, OsEM126- C - Moxy Hotel	9,000
General Electric Co. Global Research	Nat'l OffShWind R&D Consortium, Nat'l Offshore Wind R&D	330,251
	Natl Offshore Wind R&D	330,251
General Electric International, Inc.	REC:CES REC System Dev Costs, Transmission Services on Deman	46,250
Generate NY Community Solar I, LLC	LMI Community Solar, RFP3802 Low Income Comm Solar	142,729
GI Endurant LLC	NYCH: District, PON 4614 Round #1 Spring Creek	54,301
GIP III Zephyr Acquisition Partners L.P.	LMI Community Solar, RFP3802 Low Income Comm Solar	285,210
Global Asset Positioning, LLC	CSE Supply Chain Attraction	100,298
	NYS Clean Energy Transition, CSE Supply Chain Attraction	76,453
Goldman Copeland Associates, P.C.	Heat Recovery, FT14905 - Goldman Copeland-FTC	29,092
	Heat Recovery, HeatRec C1_GoldmanC_205-9E23St	1,133
	Heat Recovery, HeatRec C1_GoldmanC_303E83	26,974
	Heat Recovery, HeatRec C1_GoldmanC_StVartan	741
	Heat Recovery, HeatRec C2_GoldmanC_180montag	1,750
	Technical Services, FT14693 - Colliers - 60 Hudson	4,788
Technical Services, FT14708 - Rockefeller Group	7,199	

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Contractor	Contract Description	Total Expended Amount
Goldman Copeland Associates, P.C.	Technical Services, FT14769 - School of Visual Art	33,863
	Technical Services, FT14803 - Empire State Realty	28,994
	Technical Services, FT14900 - ROW NYC - 700 Eighth	10,000
	Technical Services, FT14904 - Glorious Sun Blue	3,524
	Technical Services, FT14913 - Vornado Realty - 650	24,911
	Technical Services, FT14951 - SL Green - 215 Park	6,288
	Technical Services, FT14961 - IBM Research- FTC	48,380
	Technical Services, FT14980 - NYU - 25 Union Sq W.	14,292
	Technical Services, FT15046 - The Anthony Owner	13,649
	Technical Services, FT15079 - Relide Realty	7,091
	Technical Services, FT15126 - Hartz Mountain Ind	6,691
	Technical Services, FT17007 The Shubert Organizati	20,629
	Technical Services, FT17024 SL Green Management Co	8,760
	Technical Services, FT17033 Jones Lang LaSalle - 5	11,981
	Technical Services, FT17079 Columbia University	162,475
Grand Island Solar, LLC	LMI Community Solar, SFA - BlueRock Grand Island	125,139
Gree Mechanical Yonkers LLC	NYCH: Talent Ppln:CE and OJT, OJT	14,400
Green Home Logic, Inc.	OJT	7,360
Green Hybrid Energy Solutions Inc.	>200KW PV, PON 2112 NY SUN	445,548
Green Light New York, Inc.	Commercial Real Estate Ten, Energy Efficiency Training TWO	73,985
	NYCH: Talent Ppln:CE and OJT, PON3981 Round 13	28,196
Green Machine Equipment Inc	Talent Pipeline:CE and OJT, PON 4772 R3 (Royce Johnson)	6,167
Green Power Developers, LLC	>200KW PV, NY-Sun	822,950
	NY-SUN, NY-Sun	164,590
Greenhaven Correctional Stormville N..	>200KW PV, NY Sun Payee Assignment	189,196
Greenwood Lake Union Free School D..	CLEAN TRANSPORTATION, FT14982 - Greenwood Lake UFSD	28,445
GridEdge Networks, Inc.	Future Grid Perf. Challenges, Power Grid Innovation	99,645
	High Performing Grid, Power Grid Innovation	11,312
Groundswell, Inc.	NY-SUN, PON 3414 - Rochester Clarissa	10,000
	NY-SUN, PON 3414 Exchange St Rochester	40,000
Group-S LLC	Heat Recovery, HeatRec C1_ENPG_1Hanson	7,498
	Heat Recovery, HeatRec C1_ENPG_45-45CenterBlv	7,498
	Heat Recovery, HeatRec C2_ENPG_The Victoria	24,405
	K-12 SCHOOLS, FT13873 - 35 E 125th - FTC	33,200
	K-12 SCHOOLS, P12GC-77_E - Chapin - FTC	26,250
	Low Carbon Tech Demos, Low Carbon Pathways	9,300
	Low Carbon Tech Demos, MF Low Carbon Pathways	60,875
	NYCH: Technical Assistance, FT13847 - 444 W. 35th - FTC	8,000
	NYCH: Technical Assistance, FT13896 - 46-15 Center - FTC	11,600
	NYCH: Technical Assistance, FT13901 - 45-45 Center - FTC	31,600
	Technical Services, FT14118 - 2 River - FTC	5,500
	Technical Services, FT14119 - 107-24 71st - FTC	9,600
	Technical Services, FT14121 - 1 Hanson - FTC	10,000
	Technical Services, FT14126 - 5 E 22nd - FTC	12,825
	Technical Services, FT14130 - 45 E 80th - FTC	8,000
Technical Services, FT14255 - 61-20 Grand C - FTC	37,500	
Technical Services, FT14271 - 311 W 39th - FTC	18,500	
Technical Services, FT14274 - 405 W 23rd - FTC	63,000	

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Contractor	Contract Description	Total Expended Amount
Group-S LLC	Technical Services, FT14295 - 279 E 3rd - FTC	14,103
	Technical Services, FT14296 - 2545 University -FTC	28,200
	Technical Services, FT14311 - 2373 Broadway - FTC	39,600
	Technical Services, FT14410 - 410 West 53rd - FTC	31,500
	Technical Services, FT14537- 99- 40 63rd-FTC-MF-MR	55,500
	Technical Services, FT14616 -Verizon-125 West 73	20,000
	Technical Services, FT14617-Verizon-2373 Tiebout	20,000
	Technical Services, FT14886 - Bloomingdales	70,205
GSPP 1616 County Route 12, LLC	>200KW PV, NY Sun	99,328
	NY-SUN, NY Sun	308,439
GSPP 4575 State Route 69, LLC	>200KW PV, NY Sun	20,886
	NY-SUN, NY Sun	553,241
GSPP 24658 County Route 47 North, L..	NY-SUN, NY Sun	114,855
GSPP 24658 County Route 47 South, LLC	>200KW PV, NY-Sun C&I	50,065
	NY-SUN, NY-Sun C&I	64,790
GSPP Baxter 2, LLC	>200KW PV, NY Sun	113,413
	NY-SUN, NY Sun	309,309
GSPP County Route 31, LLC	>200KW PV, NY Sun	99,105
	NY-SUN, NY Sun	145,354
GSRP MT Solar I LLC	REC:CES REC Contracts, Branscomb Solar_RESVCO2021	836,219
Guidehouse Inc.	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	32,104
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	32,104
	Healthy Homes VB Payment Pilot, TWO 3 NYS Healthy Homes VBP	65,433
	NEW YORK GREEN BANK, TWO #1 - Price Forecast	101,545
	NYCH: LMI, Round 3 Stakeholder Engagement	55,000
	REV Connect, REV Connect Initiative	669,648
	Technical Services, RFQ3183 Umbrella Agreement	32,103
Guth Deconzo Consulting Engineers	Electric Vehicles - Innovation, FT14699 - North Colonie SD(13)	13,970
H2M Architects, Engineers, Land Surv..	OTHER PROGRAM AREA, Rockville Centre JT Planning S	33,767
Halcyon Inc.	NYCH: Talent Ppln:CE and OJT, OJT	63,095
	OJT	20,787
	Talent Pipeline:CE and OJT, OJT	6,180
Halcyon, Inc.	<200KW PV, PON 2112 NY SUN	20,604
Harris Beach PLLC	NEW YORK GREEN BANK, TWO 4 - Accountability Act Adv	131
	SARATOGA TECHNOLOGY & ENERGY PARK, TWO 1 STEP Matters	4,075
Harris Energy Solutions LLC	CGSI-162E - NYC DOE District 7	39,389
	CGSI-173E - NYC DOE District 8	35,614
	CGSI-174E - NYC DOE District 9	30,199
	CGSI-175E -NYC DOE District 10	45,885
	CGSI-176E -NYC DOE District 11	43,133
	CGSI-177E -NYC DOE District 12	51,339
	Technical Services, AEAP 1715 - Finding Home Farms	3,000
	Technical Services, FT14837 - MSKCC - 1133 York	18,085
	Technical Services, OsEM119-C - Kingsbrook	50,233
Harvest Power, LLC	COMMUNITY SOLAR, NY-Sun	5,040
	ENERGY STORAGE, PON 2112 NY SUN	12,500
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:CE and OJT, OJT	20,936
Healthy Home Energy & Consulting, I..	Talent Pipeline:CE and OJT, OJT	4,644

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Contractor	Contract Description	Total Expended Amount
Heat Keepers, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	4,491
Hedgehog Solar Lessee, LLC	<200KW PV, NY-Sun	173,502
	>200KW PV, NY-Sun	456,840
Helios Energy New York 11, LLC	>200KW PV, NY Sun	281,243
Hempitecture Inc.	Natural Carbon Solutions, A1 - Building Challenge	81,000
Henningson, Durham & Richardson PC	CI Engy Siting & Soft Cost Red, TWO #1	4,455
	OREC: Technical Support, TWO 4 Master Plan 2.0 Studies	5,368
	OREC: Technical Support, TWO #2 HDR Port Liaison	33,426
	OREC: Technical Support, TWO Technical Writing OSW	70,856
	OREC: Technical Support, TWO#7 Ports&Supply Chain anly	85,948
	OREC: Technical Support, TWO#8 Empowering Pot MP2.0	114,391
	Rmve Barriers Dist Enrgy Storg, TWO #1	44,281
	Rmve Barriers Dist Enrgy Storg, TWO #2	76,071
Henry Keep Apartment	Tech Assistanc Multifamily LMI, FT14515 - 940 Washington -PON	9,000
Heritage Holdings, LLC	Empire Building Challenge, EBC Phase 2 -Heritage Holdings	450,000
	NYCH: Empire Build Challenge, EBC Phase 2 -Heritage Holdings	450,000
Herkimer Affordable Housing	Multifam Performance Pgm, Multifamily	3,950
Highland Planning LLC	WEST VALLEY DEVELOPMENT PROGRAM, West Valley	20,141
Highway 233 Solar, LLC	>200KW PV, NY-Sun	1,010,952
Hobart and William Smith Colleges	Technical Services, OsEM51-C-Hobart&William Smith	13,342
Hodgson Russ LLP	Code to Zero, Code Change Proposals	2,301
	OREC: Technical Support, TWO 9 - OSW Litigation	7,089
	RFP 12 - NYGB Legal Services	811
	Tech Assistanc Multifamily LMI, TWO 6 - Public Benefit Financi	4,370
Holland & Knight LLP	BR: Program Implementation, TWO 4 - BR_Benson MinesFiling	1,936
	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	0
	OREC: Technical Support, TWO 1 - ORECRFP22-1	2,296
	OREC: Technical Support, TWO 3 - IRA Tax Advice	27,230
	OREC: Technical Support, TWO 6 - Amendment to ZEC Agr.	10,745
	OREC: Technical Support, TWO 9 - ORECRFP23-1 OSW Solici	163,558
	OREC: Technical Support, TWO 10 - Transmission Planning	30,151
	OREC: Technical Support, TWO 11 - LSR Labor Law Matters	6,674
	OREC: Technical Support, TWO 12 - ORECRFP24-1 (NY5)	29,355
	RFP 12 - NYGB Legal Services	46,151
ZEC:CES ZEC System Dev Costs, TWO 6 - Amendment to ZEC Agr.	3,829	
Home Energy Solutions	OJT	12,480
Home Leasing, LLC	New Construction Housing, 2019 MF NCP	25,900
HomeCycle Technologies, Inc.	BR: Program Implementation, BRRFP23-1 TEP IE Manley	28,241
Honeywell International Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, TWO #2 - Fiel..	13,352
	EMPOWER NY, TWO #2 - Field Inspection	17,560
	Home Perf w Energy Star, TWO #2 - Field Inspection	23,512
	NENY:CHGE Empower Electric, TWO #2 - Field Inspection	1,067
	NENY:CHGE Empower Gas, TWO #2 - Field Inspection	4,351
	NENY:Con Ed Empower Electric, TWO #2 - Field Inspection	4,081
	NENY:Con Ed Empower Gas, TWO #2 - Field Inspection	13,297
	NENY:KEDNY Empower Gas, TWO #2 - Field Inspection	10,730
	NENY:NFG Empower Gas, TWO #2 - Field Inspection	68,138
	NENY:NIMO Empower Electric, TWO #2 - Field Inspection	10,002

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Contractor	Contract Description	Total Expended Amount
Honeywell International Inc.	NENY:NIMO Empower Gas, TWO #2 - Field Inspection	31,577
	NENY:NYSEG Empower Electric, TWO #2 - Field Inspection	11,010
	NENY:NYSEG Empower Gas, TWO #2 - Field Inspection	32,143
	NENY:O&R Empower Electric, TWO #2 - Field Inspection	9,053
	NENY:O&R Empower Gas, TWO #2 - Field Inspection	16,131
	NENY:RGE Empower Electric, TWO #2 - Field Inspection	5,802
	NENY:RGE Empower Gas, TWO #2 - Field Inspection	15,939
	NYCH: Comfort Home, TWO #1 Comfort Home SQA	40,764
	TWO #2 - Field Inspection	191,491
Houghton College	NYCH: District, PON 4614 Houghton College	5,006
Housing Trust Fund Corporation	Direct Injection Program, HCR 2021	4,027,500
	HCR 2021	625,000
	HCR Direct Injection, HCR 2021	11,784,000
Housing Visions Consultants, Inc.	New Construction Housing, NCP Housing 2022	39,600
HPDC Energy LLC	Housing Agencies Support, Consultant HCR	132,346
HR&A Advisors, Inc.	OTHER PROGRAM AREA, Ravenswood Queens JT Planning	30,000
HUB Controls USA Inc	NYCH: Innovation, NextGen HVAC Innovation	30,000
Hubbs Road Solar, LLC	>200KW PV, NY Sun	192,216
	NY-SUN, NY Sun	236,574
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	5,106
Hudson Valley Community College	NYCH: Talent Ppln:CE and OJT, PON3981 Round 3	62,284
Hunter Buffalo Peterbilt	CLEAN TRANSPORTATION, NYTVIP - Keith Titus Corp	185,000
Hydropore Technologies	Hydrogen Innovation, Clean Hydrogen Innovation	1,104
HyperGen Inc	NYSERDA ADMINISTRATION, PeopleSoft Support Services	283,415
Hytech Solar Inc	COMMUNITY SOLAR, PON 2112 NY SUN	6,400
	ENERGY STORAGE, PON 2112 NY SUN	12,500
IBC Engineering PC	CGSI-75_E - Jamestown PS	65,068
IBI Group Architects, Engineers,	CLEAN TRANSPORTATION, CGSI-52CT - Massena CSD	23,476
	Electric Vehicles - Innovation, CGSI-35_CT - Gilbertsville-PON	2,363
	Electric Vehicles - Innovation, CGSI-38CT-Franklin CSD (1)_CT	5,190
	Electric Vehicles - Innovation, CGSI-40CT-Walton CSD(1)_CT	11,880
	Electric Vehicles - Innovation, CGSI-48CT - Jefferson CSD	16,395
	Electric Vehicles - Innovation, CGSI-49CT Chenango Valley CSD	0
ICF Incorporated LLC	CLEAN TRANSPORTATION, TWO 16 RFQL Review	8,072
	CLEAN TRANSPORTATION, TWO # 10	134,768
	ENERGY ANALYSIS, TWO 2 - Embodied Emissions Po	132,502
	EV Charging and Engagement, TWO 16 RFQL Review	8,072
	EV Charging and Engagement, TWO # 10	924
	Grid ClimateTech Ready Capital, TWO 14 - Resilience Metrics	228,379
	TWO 13 - NY C&I Fin. Analysis	291,841
	TWO 15 - Climate Afford Study	121,419
	TWO # 11 SESP Consultant	3,420
ICF Resources, LLC	Environmental Research, TWO 1 - Climate Tech Assistanc	2,806
	Prof & Expert Engagement, TWO 12 - ICF CRB Support	49,773
	TWO 4 - CTS Study Support	4,414
Illume Advising LLC	EEC Implementation	6,145
	Equitable Engagement, EEC Implementation	228,036
	K-12 SCHOOLS, TWO #3 - P-12 Schools Work Pla	18,517

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Contractor	Contract Description	Total Expended Amount
Illume Advising LLC	TWO 1 - CJWG Facilitation	140,496
Indotronix International Corporation	Carbontech Development, SA.033_TWO# 2_IN_APM	5,869
	ESTOR: Implementation Support, SA.034_TWO# 3_DER_ADV	32,708
	Grid ClimateTech Ready Capital, SA.033_TWO# 2_IN_APM	6,047
	NYSERDA ADMINISTRATION, TWO#4-CM-PC-Kijuana Owens	9,659
	Tech Assistanc Multifamily LMI, SA.007_TWO# 1_EPE_PM-1	36,936
	Technical Services, SA.007_TWO# 1_EPE_PM-1	36,936
	Thermal Energy Storage, SA.033_TWO# 2_IN_APM	5,869
Industrial Economics, Incorporated	CEL049: Process Evaluation, TWO 7 - Process Evals	30,177
	Clean Energy Hub, TWO1 - CEEP Evaluation	32,985
	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	63,915
	Community Energy Engagement, TWO1 - CEEP Evaluation	40,145
	Electric Vehicles - Innovation, TWO 6 - NY Trans Prize Eval	63,014
	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	8,459
	Eval MCDC Clean Transportation, TWO 6 - NY Trans Prize Eval	70,820
	Eval MCDC: MD&IR Case Studies, TWO 3 - Case Studies	98,298
	Market Tests, TWO 5 IMS Market Impact Eval	76,008
	REC:CES REC System Dev Costs, TWO #7 LSR Support Inflation	4,388
INF Associates LLC	Heat Recovery, HeatRec C1_INF_ShorehamHotel	10,000
	K-12 SCHOOLS, FT17028 Spence School (1)_E	25,834
	OJT	14,400
	Talent Pipeline:CE and OJT, OJT	8,773
	Technical Services, FT14832 - Sage Realty	5,270
	Technical Services, FT14942 - Belmont Metals - FTC	17,423
	Technical Services, FT17064 First Service Resident	2,550
	Technical Services, OSEM141-C - P.C. Richard	28,895
Infinite Invention Inc	Future Grid Perf. Challenges, ConnectDER Monitor & Control	341,308
	High Performing Grid, Meter Adapt for Energy Storage	169,143
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	21,320
	>200KW PV, PON 2112 NY SUN	153,100
Innoenergy USA, LLC	EVPRZ:Clean Personal Mobility, Project MOVER	366,865
InnSure Corporation	Novel Bus Models & Offers, Climate-Oriented Solutions Pro	240,000
Institute for Building Technology and Sa	>200KW PV, TWO 3 CAT 1 NY-Sun Large C&I	90,950
	ESTOR: Implementation Support, TWO 2 Cat 1 Energy Storage	18,934
	NY-SUN, TWO 4 NYSUN Res NonRes	728,532
Institute for Market Transformation	NYCH: Innovation, VHE HVAC	3,429
Integrated Energy Concepts Engineeri..	NYCH: District, PON 4614 Round #6	6,192
Integrated Energy Service Corp	Real Time Enrgy Management, Integrated-SL Green Multi-RTEM	150,656
Integrated HVAC Systems and Services	Real Time Enrgy Management, Int. HVAC-1434 Ogden Ave-RTEM	14,340
	Real Time Enrgy Management, Integrated-2271 Washington-RTE	12,270
	Real Time Enrgy Management, IntegratedHVAC-228 Nagle-RTEM	14,460
	Real Time Enrgy Management, IntegratedHVAC-1457 Ogden-RTE	14,160
	Real Time Enrgy Management, IntHVAC-2040 White Plains-RTEM	16,500
	Real Time Enrgy Management, IntHVAC-3035 White Plains-RTEM	18,150
Integrated Staffing Corporation	ESTOR: Implementation Support, SA.002_TWO# 1_SQA_PM1	22,745
	Home Perf w Energy Star, SA.002_TWO# 1_SQA_PM1	9,809
	NYCH: Comfort Home, SA.002_TWO# 1_SQA_PM1	322
	Renewable Heat NY, SA.002_TWO# 1_SQA_PM1	1,002

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Contractor	Contract Description	Total Expended Amount
Integrated Staffing Corporation	SA.002_TWO# 1_SQA_PM1	11,678
	SA.016_TWO# 2_SQA_Coordinator	16,948
	Tech Assistanc Multifamily LMI, SA.036_TWO#3_EPE_PM-1	16,990
	Technical Services, SA.036_TWO#3_EPE_PM-1	16,990
INTEGRATION APPLIANCE, INC.	NEW YORK GREEN BANK, CRM Platform Deal Cloud	166,040
IntelliGen Power Systems, LLC	Combined Heat and Power, CHPA - 1952-56 1st Ave	261,122
International Business Machines	CI Carbon Challenge, 2nd C&I Carbon Challenge Proj.	344,378
Introba Inc.	REV Campus Challenge, Tech Review_Program Support	154,070
IPPsolar Integration LLC	<200KW PV, NY-Sun	23,310
	<200KW PV, PON 2112 NY SUN	93,702
	>200KW PV, PON 2112 NY SUN	83,808
	NY-SUN, NY-Sun	9,990
Iron Workers Local 40 & 361	Talent Pipeline:OSW Training, OWTI Workforce Training	58,852
Isaac TEC LLC	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	80,867
Ithaca College	Talent Pipeline:CE and OJT, PON 4772 R3 (Annie Mwanza)	15,417
Ithaca Neighborhood Housing Services, In	Buildings of Excellence, Buildings of Excellence R1	372,912
	New Construction Housing, 2019 LRNCP	55,200
	New Construction Housing, NCP Housing	9,300
Ithaca Rentals and Renovations, Inc.	On-Site Energy Manager, OsEM85-M - Travis Hyde Prop	11,307
	Technical Services, OsEM85-M - Travis Hyde Prop	3,145
IWS Services Inc.	OREC: Technical Support, TWO #3	16,625
	OREC: Technical Support, TWO#2 OSWSCRFP24-1 IndEval KR	13,300
J Synergy Solar LLC	<200KW PV, PON 2112 NY SUN	64,400
	>200KW PV, PON 2112 NY SUN	27,540
	COMMUNITY SOLAR, PON 2112 NY SUN	5,328
Jamestown Board of Public Utilities	Cat B - Renewables and Innovat	48,301
Janiak Solar, LLC	>200KW PV, NY Sun	845,093
Jaros, Baum & Bolles	Campus/Technical Assistance, FT14007 - 55 Water - FTC	80,724
	Cleantech POCC, Support Empire Tech Prize	33,945
	Empire Building Challenge, Lincoln Square Decarbonization	90,000
	Empire Building Challenge, Support Empire Tech Prize	9,562
	Technical Services, FT14338 - 155 W 11th - FTC	24,318
	Technical Services, FT14373 - 130 West 12th - FTC	15,534
	Technical Services, FT14446 - 1633 Broadway - FTC	37,010
	Technical Services, FT14734- Hines - 1411 Broadway	8,391
	Technical Services, FT14735-Vornado Realty Trust	43,501
	Technical Services, FT14882 - Vornado Realty	42,474
	Technical Services, FT14884 - Vornado Realty	35,297
	Technical Services, FT17008 215 West 28th Street -	8,668
	Technical Services, FT17071 - FirstService Residen	8,102
JBA Consulting Engineers, Inc.	CLEAN TRANSPORTATION, CGSI-82CT - Tarrytown PS	25,002
JBI Construction Group	<200KW PV, PON 2112 NY SUN	231,832
	>200KW PV, PON 2112 NY SUN	25,705
	COMMUNITY SOLAR, PON 2112 NY SUN	6,068
JCTOD Outreach, Inc.	Buildings of Excellence, BoE Rnd. 2 - Johnson Park	400,000
	New Construction Housing, NCP Housing	148,800
JEM ENGINEERING SERVICES	High Performing Grid, Voltage Remediation for DERs	70,000
Jericho Rise Wind Farm, LLC	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,329,387

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John B Warren	RENEWABLE HEAT NY, Wood Combustion Nanoparticles	10,005
John Betlem Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT	12,312
Johnson Controls Inc.	Real Time Enrgy Management, JC-Multisite-RTEM	30,758
Jones Lang LaSalle Americas, Inc.	On-Site Energy Manager, OsEM83-I Phillips Medical	20,670
	Workforce Industry Partnership, PON 3715 (R14) BOM	65,407
Jordan Energy and Food Enterprises ..	<200KW PV, PON 2112 NY SUN	40,473
JouleSmart Solutions, Inc.	Real Time Enrgy Management, Joule Smart-Multisite-RTEM	8,869
Joy Gree LLC	NYCH: Talent Ppln:CE and OJT, OJT	25,183
JPMorgan Chase Bank National Asso..	Industrial Process Effic, Industrial Process Efficiency	240,397
JR & SONS EXCAVATING INC.	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Maintenance	242,177
Kamtech Restoration Corp	<200KW PV, NY-Sun	25,988
	<200KW PV, PON 2112 NY SUN	218,404
	>200KW PV, NY-Sun	190,900
	>200KW PV, PON 2112 NY SUN	60,855
	NY-SUN, NY-Sun	38,180
Karp Strategies, LLC	OREC: Technical Support, NYS OSW Training Efforts	23,367
	OREC: Technical Support, TWO1 NYNJ OSW train website	40,110
Karpman Consulting, LLC	Code to Zero, KARPMAN TWO#1 Training	35,678
	Code to Zero, TWO#5 Energy code training	14,210
	New Construction- Commercial, TWO #1 - Tech Support for NC-C	3,320
Kasselmann Solar LLC	<200KW PV, PON 2112 NY SUN	135,912
KC Management Holdings LLC	NYCH: Talent Ppln:CE and OJT, OJT	66,337
	OJT	5,297
	Talent Pipeline:CE and OJT, OJT	4,295
Kearns & West, Inc.	Market Support Tools &Activity, TWO 1 - RMAG Facilitator	50,453
	OREC: Technical Support, Facilitation Support LSR-OREC	52,830
	OREC: Technical Support, TWO #15 LFTE webinar support	2,371
	REC:CES REC System Dev Costs, RESRFP23-1 Bid Facilitation_KW	15,897
	RTEM and Tenants, TWO # 2	45,500
	TWO 12-H2 Stakeholder Engagmen	1,835
	Working Group Facilitation	42,187
Kelliher Samets LTD	Air Source Heat Pumps, TWO 29 - Clean Heating/Cooling	21,490
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, TWO 18 - Sin..	33,451
	Clean Energy Hub, TWO 36 -Clean Energy Hubs Mktg	25,246
	Code to Zero, TWO 15 - Codes	8,755
	Community RH&C, TWO 29 - Clean Heating/Cooling	53,876
	Consumer Ed and Market Support, TWO 18 - Single Family Mktg	167,258
	Electric Vehicles - Innovation, TWO 35 - Clean Trans Mktng	81,477
	Electric Vehicles - Innovation, TWO 40 - Strategic Mktng Sup	9,135
	ESTOR:Consumer Education, TWO 34 - Energy Storage	723
	G1022:SEPBIL Industry EcoDev, TWO 37 - EconDev Mktg	83,852
	Geothermal Incentive Program, TWO 29 - Clean Heating/Cooling	53,305
	LMI Marketing, TWO 19 - NY Energy Advisor	137,429
	Low Carbon Tech Demos, TWO 27 - Low Carbon Pathways	52,749
	Low-Income Forum on Energy, TWO 1 - DAC Outreach	1,190
	NENY:CHGE Energy Advisor, TWO 19 - NY Energy Advisor	4,004
	NENY:Con Ed Energy Advisor, TWO 19 - NY Energy Advisor	50,385
	NENY:KEDLI Energy Advisor, TWO 19 - NY Energy Advisor	1,098

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Kelliher Samets LTD	NENY:KEDNY Energy Advisor, TWO 19 - NY Energy Advisor	12,656	
	NENY:LIPA Energy Advisor, TWO 19 - NY Energy Advisor	34,626	
	NENY:NFG Energy Advisor, TWO 19 - NY Energy Advisor	525	
	NENY:NIMO Energy Advisor, TWO 19 - NY Energy Advisor	16,234	
	NENY:NYSEG Energy Advisor, TWO 19 - NY Energy Advisor	7,660	
	NENY:O&R Energy Advisor, TWO 19 - NY Energy Advisor	2,553	
	NENY:RGE Energy Advisor, TWO 19 - NY Energy Advisor	6,383	
	New Construction Housing, TWO 16 - Bldgs of Excellence	81,488	
	NY-SUN, TWO 25 - NY-Sun Marketing	1,658	
	NYCH: Consumer Awareness, TWO 28 - Clean Heat Marketing	1,980,164	
	NYCH: Critical Tools, TWO 5 - NYS Tracking Study	18,615	
	NYCH: Critical Tools, TWO 14 - Heat Pump Planner	402	
	NYCH: District, TWO 26 - Community HP Mkting	24,352	
	NYCH: LMI, TWO 14 - Heat Pump Planner	193	
	NYCH: Supply Chain, TWO 3 - Clean Heat Connect	147,079	
	NYSERDA ADMINISTRATION, TWO 22 - Website User Exp	7,480	
	NYSERDA ADMINISTRATION, TWO 40 - Strategic Marktg Sup	63,948	
	Pub Transit & Elect Rail, TWO 35 - Clean Trans Mktng	81,477	
	Renewable Heat NY, TWO 29 - Clean Heating/Cooling	7,013	
	Talent Pipeline:CE and OJT, TWO 17 - Workforce Dev Mark	93,859	
	Talent Pipeline:Internship Pgm, TWO 17 - Workforce Dev Mark	18,772	
	TWO 7 - NYGB	10,900	
	TWO 8 - Induction Cooking	13,140	
	TWO 18 - Single Family Mktg	83,629	
	TWO 29 - Clean Heating/Cooling	26,311	
	TWO 36 -Clean Energy Hubs Mktg	126,229	
	TWO 39 - C&I Spon Content	275,244	
	TWO 40 - Strategic Marktg Sup	45,677	
	TWO 41 - Global Paid Search	21,603	
	TWO 42 - Holistic Res Mktg	192,894	
	TWO 42 - Mission Video	13,430	
	Kilowatt Engineering, Inc.	Heat Recovery, HeatRec C1_kwEng_StRegisNY	10,000
	Kings Ford, Inc	CLEAN TRANSPORTATION, NYTVIP - Cintas Corporation	70,234
KPMG LLP	NEW YORK GREEN BANK, NYSERDA Audit Services	37,292	
	NYSERDA ADMINISTRATION, NYSERDA Audit Services	94,858	
Krueger Transport LLC	Electric Vehicles - Innovation, Fuel Cell Bus Project	597,686	
L&S Energy Services, Inc.	Campus/Technical Assistance, L&S Technical Review - TWO	711	
	Clean Energy Communities, L&S GJGNY Energy Audits	147,340	
	CLEANER GREENER COMMUNITIES, L&S GJGNY Energy Audits	0	
	Commercial Real Estate Ten, FlexTech Consultant Selection	24,023	
	Direct Injection Program, HCR TWO - 35 Broadway Veterans	0	
	Direct Injection Program, HCR TWO - Mosaic Apartments	0	
	Direct Injection Program, HCR TWO Clinton & Steamboat	0	
	Flexible Tech Assistance, L&S GJGNY Energy Audits	201,790	
	Flexible Tech Assistance, L&S Technical Review - TWO	3,062	
	GJGNY REVOLVING LOAN FUND, L&S GJGNY Energy Audits	118,000	
	HCR Direct Injection, HCR TWO - 35 Broadway Veterans	-12,492	
	HCR Direct Injection, HCR TWO - Mosaic Apartments	-11,809	

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Contractor	Contract Description	Total Expended Amount	
L&S Energy Services, Inc.	HCR Direct Injection, HCR TWO Clinton & Steamboat	-81,943	
	Housing Agencies Support, HCR TWO - 35 Broadway Veterans	16,903	
	Housing Agencies Support, HCR TWO - Mosaic Apartments	16,298	
	Housing Agencies Support, HCR TWO - Troy HA Catherine	3,782	
	Housing Agencies Support, HCR TWO - Troy HA Margaret	3,849	
	Housing Agencies Support, HCR TWO Clinton & Steamboat	98,452	
	K-12 SCHOOLS, L&S Technical Review - TWO	1,506	
	New Construction Housing, HCR TWO Clinton & Steamboat	0	
	On-Site Energy Manager, Umbrella Contract	1,660	
	Pay for Performance, L&S Technical Review - TWO	-430	
	REV Campus Challenge, L&S Technical Review - TWO	316	
	REV Campus Challenge, RM43 - Paul Smith's College	7,285	
	Tech Assistanc Multifamily LMI, Cross-sector Program Support	29,927	
	Tech Assistanc Multifamily LMI, L&S Technical Review - TWO	7,142	
	Technical Services, AEAP 1633 - Pitney Meadows	6,000	
	Technical Services, AEAP 1650 - Wessels Farm	6,000	
	Technical Services, Cross-sector Program Support	29,927	
	Technical Services, L&S Technical Review - TWO	37,299	
	LaBella Associates, P.C.	>200KW PV, TWO 3 - SEQR TA	24,525
		BR: Prospecting, Site Prospecting Services	32,895
CI Engy Siting & Soft Cost Red, TWO #1 LaBella		2,163	
CI Engy Siting & Soft Cost Red, TWO #2 LaBella Cat 3		60,934	
CLEAN TRANSPORTATION, CGSI-71E - Morrisville-Eaton		3,808	
K-12 SCHOOLS, CGSI-71E - Morrisville-Eaton		10,279	
PON 4614 Round #7		19,330	
Laborers Local 17 Training & Educati..	Talent Pipeline:CE and OJT, PON3981 Round 14	50,000	
Lake George School District	CLEAN TRANSPORTATION, FT15030 - Lake George CSD (1)	32,866	
Lamico Enterprises, LLC	NYCH: Talent Ppln:CE and OJT, OJT	1,817	
	OJT	288	
	Talent Pipeline:CE and OJT, OJT	6,237	
Landau Solar, LLC	>200KW PV, NY Sun	157,711	
Lansing Renewables, LLC	>200KW PV, NY-Sun C&I	338,661	
	Solar Plus Energy Storage, NY-Sun C&I	0	
Lapeer-Cortland Solar, LLC	>200KW PV, NY Sun	1,125,000	
Leonard Carl Neckers Jr	Anaerobic Digesters, PON 3739 CAT C	74,821	
Leviathan Solar Inc	COMMUNITY SOLAR, PON 2112 NY SUN	34,094	
Levitan & Associates, Inc.	CI Engy Siting & Soft Cost Red, TWO 4 - Tax Model Tech Support	35,358	
	REC:CES REC System Dev Costs, Large-Scale Renewables 2020 So	124,092	
LH Niagara Towers LLC	Multifam Performance Pgm, Multifamily	37,194	
LH Tonawanda Towers LLC	Multifam Performance Pgm, Multifamily	17,381	
	NYCH: LMI, Community Thermal Networks	0	
LH Urban Park Towers LLC	Multifam Performance Pgm, Multifamily	21,446	
Little Sisters of the Assumption Family	Heat Recovery, HeatRec C2_LSA_333E115	65,000	
Livingston Energy Group	Talent Pipeline:CE and OJT, OJT	9,232	
Livolt Consulting, LLC	Technical Services, FT14477 - Murray Hill House -	11,246	
Local 32BJ Thomas Shortman Training	Talent Pipeline:CE and OJT, PON3981 Round 18	160,000	
Local Initiatives Support Corporation	EVPRZ:EJ Comm Clean Veh Trans, Buffalo Clean Mobility Future	629,993	
Logical Efficiency LLC	Tech Assistanc Multifamily LMI, Eval Clean Water Fin Mech	54,717	

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Contractor	Contract Description	Total Expended Amount
Long Island Power Authority	NY-SUN, Clean Energy& Efficiency MOU	10,000,000
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	44,990
	COMMUNITY SOLAR, PON 2112 NY SUN	23,640
	ENERGY STORAGE, PON 2112 NY SUN	6,250
Long Island Progressive Coalition	NY-SUN, PON 3414 - Islip Housing Autho	5,000
Loring Consulting Engineers, Inc.	Technical Services, FT14850 - 215 East 68th - FTC	11,595
	Technical Services, FT17129 1675 Broadway 52nd Str	55,000
Lotte Hotel New York Palace, LLC	Technical Services, OsEM91-C - Lotte New York Pala	38,813
Lower Road II LLC	>200KW PV, NY Sun	474,667
Lower Road III LLC	>200KW PV, NY Sun	474,667
M.J. Beck Consulting LLC	REC:CES REC System Dev Costs, RESRFP23-1 TEP IE TWO#6	40,500
M/E Engineering, P.C.	Heat Recovery, HeatRecC2_MEEng_623SkytopRd	59,648
	K-12 SCHOOLS, CGSI-60 - Morristown CSD (1)_E	4,073
	Technical Services, AEAP 1638 - CSH Wyoming	6,000
	Technical Services, AEAP 1684 - Hints Red Roof Map	6,000
	Technical Services, AEAP 1685 - Kist Maple Syrup	6,000
	Technical Services, FT17056 Cornell University - M	99,651
	Technical Services, FT17107 East Hill Medical Cent	7,229
Madison County	CLEANER GREENER COMMUNITIES, Madison County	0
Madrid Solar 1, LLC	>200KW PV, NY Sun	321,096
	NY-SUN, NY Sun	321,096
Madrid Solar 2, LLC	NY-SUN, NY Sun	239,114
Magnusson Architecture and Planning PC	Buildings of Excellence, RFP3928 Magnusson TWO # 2	51,952
	Buildings of Excellence, RFP3928 Magnusson TWO #1	50,334
Malcarne Contracting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	18,609
Management Solutions, LLC	REC4:CES REC4 Tech Support, RFP5481 Design Services	50,415
Manhattan Avenue Senior LLC	New Construction Housing, 2019 LRNCP	62,000
Manifold Robotics, Inc.	Future Grid Perf. Challenges, Power Grid Innovation	50,000
Manlius Acad LLC	Multifam Performance Pgm, Manlius Academy Apartments,	8,650
Maple H 880 Broadway Investor, LLC	Technical Services, OsEM106-C - 880 Broadway Owner	106,751
Maple Tap Solar, LLC	>200KW PV, NY Sun	120,625
Maplewood Senior Living, LLC	Commercial New Construc, NCP15051-1802 2nd Avenue-OFLT	32,422
Marcor Construction, Inc	COMMUNITY SOLAR, NY-Sun	5,376
Mark MaGrann Associates	HCR Direct Injection, HCR TWO – 200 Court Street	0
	HCR Direct Injection, HCR TWO – James Linburgh Sr Ap	-4,957
	Housing Agencies Support, HCR TWO - Homesteads on Grand	3,200
	Housing Agencies Support, HCR TWO - Hooper Road Apts	5,038
	Housing Agencies Support, HCR TWO – 200 Court Street	5,728
	Housing Agencies Support, HCR TWO – Golden Hill	4,560
	Housing Agencies Support, HCR TWO – James Linburgh Sr Ap	12,323
	LMI Multifamily Demos, Ascendant Neighborhood Develop	90,000
	LMI Multifamily Demos, JOE NYC	90,000
	Technical Services, FT14319 - Franconia Vil -- FTC	15,182
Technical Services, FT14631 - 5562 Route 9G -FTC	7,500	
Technical Services, FT14729 - 125 West 76th - FTC	4,827	
Marsh Hill Energy, LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	627,337
Marshall & Sterling, Inc.	NYSERDA ADMINISTRATION, RFP 4301 Insurance	498,973
Marymount School of New York	Commercial New Construc, NCP16001 - Marymount School of	93,267

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Matrix Solar OC Newburgh Route 17K, LLC	>200KW PV, NY Sun	248,102
	NY-SUN, NY Sun	437,827
Matrix Solar SI 566 Gulf, LLC	>200KW PV, NY-Sun	2,169,000
Matrix Solar SI 586 Gulf, LLC	>200KW PV, NY-Sun	1,623,120
Mayflower Energy Engineering PLLC	Technical Services, FT17012 - Hampton House - 404	15,000
McCarthy Solar, LLC	>200KW PV, NY Sun	163,737
McKinsey & Company, Inc.	RFP5293 GHG Cap & Invest Eval	348,000
McMahon and Mann Consulting Engin..	WEST VALLEY DEVELOPMENT PROGRAM, TWO2 North Slope Stabiliza..	3,715
MCROC Associates LLC	New Construction Housing, NCP Housing 2022	8,800
MDRC	Pay for Success CE Training	252,184
Meadowbrook Realty Holding LLC	Multifam Performance Pgm, Multifamily	32,251
Meltek Inc.	OJT	9,904
	Talent Pipeline:CE and OJT, OJT	7,068
MEP Geothermal Engineering, PLLC	NYCH: District, PON4614 Round #1 Barnard	24,137
Metro IAF	Market Tests, IMS Metro IAF TWO - Anchor Ins	359,810
	NYCH: Technical Assistance, IMS Metro IAF TWO - Anchor Ins	51,401
MGX Associates Phase 2 CE LLC	New Construction Housing, NCP Housing-763 Thomas Boyland	92,400
Michaels Energy, Inc.	Advancing Ag Enrgy Technologie, TWO #3 Agriculture Impact Eval	12,200
	Agriculture Energy Eff Pgm, TWO #3 Agriculture Impact Eval	6,366
	Greenhouse Light & Systems Eng, TWO #3 Agriculture Impact Eval	4,907
	On-Site Energy Manager, TWO 1 - EMP Impact Evaluation	10,535
	Strategic Energy Manager, TWO 1 - EMP Impact Evaluation	3,512
	Technical Services, TWO 1 - EMP Impact Evaluation	0
	Technical Services, TWO #3 Agriculture Impact Eval	6,038
Micro Nano Technologies	NYCH: Innovation, New Gen Ultra-Efficient AC	50,000
MicroEra Power, Inc.	OJT	8,437
	Talent Pipeline:CE and OJT, OJT	5,011
	Thermal Energy Storage, Community Heat Pumps- MicroEra	63,774
Mid-Hudson Energy Transition	PON 4772 R3 (Kyra Shassberger)	3,083
	Talent Pipeline:CE and OJT, PON 4772 Fellow	18,500
Midstate Correctional Marcy NY Solar ..	>200KW PV, NY Sun Assignment	212,160
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYTVIP - Manhattan Beer/NYCD	366,680
MIMiC Systems Inc	NYCH: Innovation, NextGen HVAC Innovation	60,000
Mintz, Levin, Cohn, Ferris, Glovsky and	Cleantech Ignition, RFP 12 - NYGB Legal Services	15,108
Mintzer Mauch PLLC	NYSERDA ADMINISTRATION, TWO 5 - Agency Preservation Of	21,738
MJW Technical Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	50,268
Morgan Stanley	Technical Services, OsEM115 - Morgan Stanley Group	44,462
Morristown Solar II, LLC	>200KW PV, NY Sun	257,869
	NY-SUN, NY Sun	420,263
Mount Sinai Medical Center	Technical Services, OsEM93-C - Mount Sinai Queens	40,500
MR. AIR NYC Corp.	NYCH: Talent Ppln:CE and OJT, OJT	18,000
	NYCH: Talent Ppln:CE and OJT, PON 4772 R3	18,500
MRB Group Engineer, Arch & Survey, ..	OTHER PROGRAM AREA, Castleton-on-Hudson JT Study	1,600
MRO Tech NY LLC	Tech Assistanc Multifamily LMI, FT17161 - Franklin Plaza Apart	29,711
	Technical Services, FT14872 - West 23rd Owners-PON	16,988
Narragansett HDFC	NYCH: Technical Assistance, FT14067 - 2508 Broadway - PON	15,984
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, National OSW R&D Concorcium.	184,141
	Nat'l OffShWind R&D Consortium, NOWRDC-112-Cable	14,045

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Contractor	Contract Description	Total Expended Amount	
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, NOWRDC-114-Cornell	137,933	
	Nat'l OffShWind R&D Consortium, NOWRDC-116-Keystone	118,078	
	Nat'l OffShWind R&D Consortium, NOWRDC-118-PCCI	3,150	
	Nat'l OffShWind R&D Consortium, NOWRDC-124-GE Renewable Energy	186,137	
	Nat'l OffShWind R&D Consortium, NOWRDC-125-NREL	50,881	
	Nat'l OffShWind R&D Consortium, NOWRDC-126-EPRI	113,500	
	Nat'l OffShWind R&D Consortium, NOWRDC-127-GE Research	1,946	
	Nat'l OffShWind R&D Consortium, NOWRDC-128-UMass Lowell	60,500	
	Nat'l OffShWind R&D Consortium, NOWRDC-129-Drive Technologies	72,668	
	Nat'l OffShWind R&D Consortium, NOWRDC-131 Virginia Polytechni	22,500	
	Nat'l OffShWind R&D Consortium, NOWRDC-132 Rutgers University	161	
	Nat'l OffShWind R&D Consortium, NOWRDC-134 Saildrone	400,600	
	Nat'l OffShWind R&D Consortium, NOWRDC-135 NREL	45,000	
	National OSW R&D Concorcium.	98,204	
	NOWRDC-112-Cable	14,045	
	NOWRDC-114-Cornell	137,933	
	NOWRDC-116-Keystone	118,078	
	NOWRDC-118-PCCI	3,150	
	NOWRDC-124-GE Renewable Energy	186,137	
	NOWRDC-125-NREL	50,881	
	NOWRDC-126-EPRI	113,500	
	NOWRDC-127-GE Research	1,946	
	NOWRDC-128-UMass Lowell	60,500	
	NOWRDC-129-Drive Technologies	72,668	
	NOWRDC-131 Virginia Polytechni	22,500	
	NOWRDC-132 Rutgers University	161	
	NOWRDC-134 Saildrone	400,600	
	NOWRDC-135 NREL	45,000	
	Nautilus Owner 2021, LLC	>200KW PV, NY Sun	536,640
	NEPC, LLC	NYSERDA ADMINISTRATION, Investment Advisory Services	6,250
	NESCAUM	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	137,182
		ENVIRONMENTAL RESEARCH, TWO 15 In-situ An of Wood Heat	47,538
		ENVIRONMENTAL RESEARCH, TWO #10 Air Quality	103,749
ENVIRONMENTAL RESEARCH, TWO #11 Wood Heating		70,076	
ENVIRONMENTAL RESEARCH, TWO#12 Sidewash Algorithm		38,198	
ENVIRONMENTAL RESEARCH, TWO#14 Acceptance Tsting Mthds		64,657	
Renewable Heat NY, RFQL3685 Round 1		56,939	
Renewable Heat NY, TWO #10 Air Quality		46,913	
RENEWABLE HEAT NY, TWO #13 RHNY Assessment		16,925	
Nesco Bus and Truck Sales, Inc.	CLEAN TRANSPORTATION, NYTVIP - LB Public Schools	49,372	
New Buildings Institute, Inc.	Code to Zero, TWO # 4	322,768	
	Code to Zero, TWO #7 NBI Contractor Support	74,669	
	New Construction Housing, BoE Rnd.1 Perform. Validation	48,535	
New Energy Nexus New York LLC	Cleantech POCC, Cleantech Accelerator	1,022,261	
	Cleantech POCC, PON4856 Empire Tech Prize	1,870,000	
New Flyer of America, Inc.	CLEAN TRANSPORTATION, NYTVIP - NFTA	5,390,000	
New York Bus Sales LLC	CLEAN TRANSPORTATION, NYTVIP - Livonia CSD	200,000	
	NYSBIP Ithaca SD	225,000	

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Contractor	Contract Description	Total Expended Amount
New York Engineers, P.C.	K-12 SCHOOLS, CGSI-119E - East Ramapo CSD	71,188
	Tech Assistanc Multifamily LMI, FT14359 - PRC Westchester -FTC	14,292
	Tech Assistanc Multifamily LMI, FT14969 - Webster Gardens	7,682
	Tech Assistanc Multifamily LMI, FT14970 - 2120 Hughes	9,150
	Technical Services, FT14260 - 2299 Ulster - FTC	5,288
	Technical Services, FT14429 - 39 W 56th - FTC	2,590
	Technical Services, FT14541-Roosevelt Lee-FTC-COM	8,866
	Technical Services, FT14870 - WIN - 4612 - FTC	66,002
	Technical Services, FT15021 - United East - 239 E	7,000
New York Foundling Hospital	New Construction Housing, 2019 MFCNP	165,000
New York Power Authority	Technical Services, FT13937 - Rockland - FTC	39,432
New York Power Authority,	High Performing Grid, PON 3770	55,000
New York Solar Energy Industries Ass..	Future Grid Perf. Challenges, Power Grid Innovation	2,000
New York State Foam & Energy LLC	NYCH: Talent Ppln:CE and OJT, OJT	455
	Talent Pipeline:CE and OJT, OJT	9,003
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	136,243
	>200KW PV, PON 2112 NY SUN	52,800
New York University	Combined Heat and Power, CHPA - NYU 181 Mercer	417,100
	Net Zero Energy for Eco Dev, CNCED 2021 - NYU - Rubin Hall	981,250
	Technical Services, OsEM55-C - NYU - 370 Jay	52,020
Newburgh Housing Authority	Multifam Performance Pgm, Multifamily	3,250
	Tech Assistanc Multifamily LMI, FT14672 - Newburgh Housing-PON	10,000
Newport Ventures, Inc.	Code to Zero, Newport TWO #1 Training	97,806
	Code to Zero, TWO #6 NYStretch Zero Energy	53,400
	Code to Zero, TWO3 Energy Code and NYStretch	14,423
Nexamp Inc	LMI Community Solar, RFP3802 Low Income Comm Solar	259,251
Nexamp Inc.	>200KW PV, NY Sun	188,038
NexRev, LLC	Real Time Enrgy Management, NexRev-Multisite-RTEM	35,640
Next Generation Solar, LLC	<200KW PV, PON 2112 NY SUN	9,840
NextCorps Inc	Cleantech POCC, Cleantech Accelerator	1,280,000
Nextera Energy Capital Holdings, Inc	>200KW PV, NY Sun	1,095,659
	NY-SUN, NY Sun	1,606,969
Niagara Frontier Transportation Autho..	Technical Services, OsEM95-C_Niagara Frontier TA	65,093
Niagara Wind Power LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	116,735
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	259,266
NineDot Energy, LLC	Talent Pipeline:CE and OJT, OJT	33,216
Noco Energy Corp.	NYCH: Talent Ppln:CE and OJT, OJT	15,780
Nontraditional Employment for Women	NYCH: Talent Ppln:CE and OJT, PON3981 Round 6	12,000
Noresco LLC	Code to Zero, RFQL 3711 TWO# 5	22,061
	Code to Zero, Third-party E-Code Support	5,768
	Code to Zero, TWO #4	13,621
	New Construction- Commercial, TWO#1-DOS Decarb & TechSupport	141,707
	REV Campus Challenge, FT14266 - 6 Metrotech - FTC	44,729
	Technical Services, FT14694-Blenheim Realty-515	4,265
	Technical Services, FT14742-The New School-FTC-CU	17,532
	Technical Services, FT17014 Beekman Residences - 5	11,138
	Technical Services, FT17049 Columbia University	168,286
	TWO#1-DOS Decarb & TechSupport	2,892

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Contractor	Contract Description	Total Expended Amount
Normandeau Associates, Inc.	Environmental Research, Digital Aerial Baseline Survey	19,509
North American Passive House Netwo..	Talent Pipeline:CE and OJT, RFQL4145 Workforce Development	14,588
Northeast Green Building Consulting, ..	Code to Zero, RFQL 3711 TWO #3	29,680
Northeast States for Coordinated Air Use	ENVIRONMENTAL RESEARCH, TWO 1 - LISTOS 2022-2023	45,814
	ENVIRONMENTAL RESEARCH, TWO 2 RESHEAT	15,285
	RENEWABLE HEAT NY, TWO 2 RESHEAT	20,442
Northway Six LLC	New Construction- Commercial, Commercial New Construction	126,900
Northwell Health, Inc.	Workforce Industry Partnership, PON 3715 (R13) BOM	54,750
Norton Rose Fulbright US LLP	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	1,224
NSF Angelica Site 1, LLC	>200KW PV, NY Sun	314,052
NSF Angelica Site 2, LLC	>200KW PV, NY Sun	265,200
NSF Angelica Site 3, LLC	>200KW PV, NY Sun	265,200
NSF Angelica Site 4, LLC	>200KW PV, NY Sun	311,356
NSF Aurelius Site 1, LLC	>200KW PV, NY Sun	1,145,663
	NY-SUN, NY Sun	471,745
NSF Aurelius Site 2, LLC	>200KW PV, NY Sun	1,166,022
	NY-SUN, NY Sun	461,916
NSF Aurelius Site 3, LLC	>200KW PV, NY Sun	1,145,663
	NY-SUN, NY Sun	471,745
NSF Aurelius Site 4, LLC	>200KW PV, NY Sun	1,117,022
	NY-SUN, NY Sun	459,951
NY Afton I, LLC	>200KW PV, NY-Sun C&I	222,800
NY Benton I, LLC	>200KW PV, NY Sun	258,552
	NY-SUN, NY Sun	310,263
NY Building Systems Consultant Inc.	K-12 SCHOOLS, FT14673 - Archbishop Molloy HS	19,125
	OJT	18,720
	Talent Pipeline:CE and OJT, OJT	22,248
	Technical Services, FT14936 - Centria Condo -18	22,800
	Technical Services, FT14957 - 301 E 78 St. Owners	24,000
	Technical Services, FT15049 - Chatsworth Realty Co	38,550
	Technical Services, FT15065 - 67 East 11 - FTC	29,550
	Technical Services, FT17000 70 Remsen St Tenants	6,800
	Technical Services, FT17019 The Claremont - 255 W	8,500
	Technical Services, FT17042 333 West End	10,400
	Technical Services, FT17149 50-05 43 Ave Corp	12,600
	Technical Services, FT17154 111-15 75th Avenue Own	9,650
	NY CDG 006 LLC	>200KW PV, NY-Sun
NY-SUN, NY-Sun		75,168
NY Farmington I, LLC	>200KW PV, NY Sun	84,990
NY Farmington II, LLC	>200KW PV, NY Sun	88,607
NY Pike III, LLC	>200KW PV, NY Sun	199,053
NY Pike IV, LLC	>200KW PV, NY Sun	96,769
NY Portage I, LLC	>200KW PV, NY-Sun C&I	237,588
NY Tioga I, LLC	>200KW PV, NY Sun	215,225
	NY-SUN, NY Sun	298,004
NY Troupsburg I, LLC	>200KW PV, NY Sun	223,763
NY USLE Glenville Freemans Bridge L..	>200KW PV, NY Sun	1,007,107
NYC School Bus Umbrella Services	PON 4772 R3 Karunya Sabapathy	3,083

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Contractor	Contract Description	Total Expended Amount
NYC School Bus Umbrella Services Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Hannah Stauss)	15,417
NYS Energy Audits, Inc.	Talent Pipeline:CE and OJT, OJT	46,824
NYS Essential Power	<200KW PV, PON 2112 NY SUN	187,101
	COMMUNITY SOLAR, PON 2112 NY SUN	32,534
NYSolar03, LLC	>200KW PV, NY Sun	1,102,701
	NY-SUN, NY Sun	454,054
NYSS LLC	<200KW PV, NY-Sun	12,136
	<200KW PV, PON 2112 NY SUN	427,285
	COMMUNITY SOLAR, PON 2112 NY SUN	75,704
ODS Management, Inc.	Low Carbon Tech Demos, MF Low Carbon Pathways	5,075
	Tech Assistanc Multifamily LMI, FT17047 - 6113 Strauss - PON	11,673
	Tech Assistanc Multifamily LMI, FT17070 - ODS Management - 615	7,048
OLA Consulting Engineers, P.C.	K-12 SCHOOLS, CGSI-17_E - Middletown - FTC	34,238
	Technical Services, FT14559-Dominican Sisters-FTC	5,586
	Technical Services, FT17151 Biltmore Towers - 30 L	14,861
Olin Corporation	On-Site Energy Manager, OsEM76-I - Olin Corporation	17,375
Olivet St. Vincent's Housing Develop..	Low Carbon Tech Demos, Low Carbon Pathways	11,625
OnRout Co.	OTHER PROGRAM AREA, Dynamic Pricing for Parcels	50,000
Onsite Energy, Inc.	<200KW PV, PON 2112 NY SUN	5,000
OPAL ENERGY GROUP LLC	<200KW PV, PON 2112 NY SUN	69,144
Open Buffalo Inc.	Talent Pipeline:CE and OJT, PON 4772 R3	18,500
Opinion Dynamics Corporation	Clean Energy Communities, RFQ3183 Umbrella Agreement	22,353
	EVPRZ:Implementation, MEL Contractor for Prizes	166,606
	NYCH: Comfort Home, TWO # 1 RFQL 4162	122,424
	Remote Energy Management, RFQ3183 Umbrella Agreement	15,285
Opt-In Consultants Inc	Workforce Industry Partnership, PON 5357	44,243
Orange and Rockland Utilities, Inc.	Future Grid Perf. Challenges, O&R Distribution System	1,200,000
Orangeville Energy Storage LLC	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	577,500
Orrick Herrington & Sutcliffe LLP	Cleantech Ignition, RFP 12: NYGB Legal Services	1,392
Oswego City School District	K-12 SCHOOLS, CGSI-62 - Oswego CSD(9)	71,300
Otsego County Conservation Associa..	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 David Meshkeli	19,189
Owahgena Consulting, Inc.	GJGNY REVOLVING LOAN FUND, TWO 2 - ASHP/GSHP savings calc	2,965
	NYCH: Comfort Home, TWO 1 - HP Modeling Comf Home	3,433
	NYCH: LMI, TWO 3 Tech Support Heat Pump	18,341
Owlvile Creek Solar, LLC	>200KW PV, NY-Sun C&I	336,164
	Solar Plus Energy Storage, NY-Sun C&I	0
OYA Church Road A LLC	>200KW PV, NY Sun	252,720
	NY-SUN, NY Sun	370,656
OYA Main Street LLC	>200KW PV, NY Sun	249,232
	NY-SUN, NY Sun	299,079
OYA Pulaski LLC	>200KW PV, NY Sun	178,230
	NY-SUN, NY Sun	213,876
OYA State Route 122 LLC	>200KW PV, NY Sun	424,450
OYA WAYSIDE DRIVE LLC	>200KW PV, NY Sun	615,537
	NY-SUN, NY Sun	7,839
Pace University Energy & Climate Cen..	NYCH: District, Round 3 Infrastructure Charett	30,000
Pace University School of Law	CI Engy Siting & Soft Cost Red, TWO#1 Pace Land Use Law Center	18,900
Pamelia Solar, LLC	>200KW PV, NY Sun	221,420

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Contractor	Contract Description	Total Expended Amount
Pamelia Solar, LLC	NY-SUN, NY Sun	272,516
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	80,091
Partridge Venture Engineering, P.C.	Tech Assistanc Multifamily LMI, FT14944 - GHD - 213 South 3	1,676
	Tech Assistanc Multifamily LMI, FT17205 Aldus Green - 1032 Ald	7,450
	Tech Assistanc Multifamily LMI, FT17207 Aldus Green - Multiple	13,177
Passive House Accelerator LLC	New Construction Housing, 2024-2025 General Marketing	13,400
	New Construction Housing, BOE R4 Award Event	32,000
	New Construction- Commercial, 2024-2025 General Marketing	3,350
	New Construction- Commercial, BOE R4 Award Event	8,000
Pathfinder Engineers & Architects, LLP	Commercial New Construc, RFP3771 Umbrella Contract	7,892
	K-12 SCHOOLS, CGSI-59 - Gouverneur CSD (1)_E	23,742
PathStone Development Corporation	Multifam Performance Pgm, Multifamily	2,750
Patriot Energy Solutions Corp	<200KW PV, PON 2112 NY SUN	27,012
Paul A. Castrucci, Architects PLLC	Buildings of Excellence, RFP3928 The Beacon Project #1	43,688
Paul Smith's College	Environmental Research, ALTM Lakes Monitoring 2023-27	51,168
Pearl Over Look Corporation	Multifam Performance Pgm, Multifamily	127,452
Pearl River Campus, LLC	On-Site Energy Manager, OsEM114-I - Pearl River Campus	64,800
Pecan Street Inc.	IEDR: Program Manager, IEDR Utility Data Advisor	25,163
People United for Sustainable Housing In	Community RH&C, Community CH&C Dev in WNY	12,500
	Single Family New Construction, NCP Housing	55,000
Performance Systems Development	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Compass 7/1/..	5,931
	Code to Zero, PSD TWO #1 Training	50,550
	Code to Zero, RFQL 3711 TWO#2	80,290
	EMPOWER NY, Compass 7/1/24-12/31/25	5,931
	Expand and validate Category 6	13,644
	Market Support Tools &Activity, Expand and validate Category 6	60,182
	Market Support Tools &Activity, Model calibration for IRA HER	77,002
	NYCH: Comfort Home, Compass 7/1/24-12/31/25	71,496
	NYCH: Comfort Home, Expand and validate Category 6	13,644
	NYCH: Comfort Home, TWO 1 - Compass system CH	77,242
Peterboro Road Solar, LLC	>200KW PV, NY Sun	927,846
	NY-SUN, NY Sun	382,054
Phipps Houses	New Construction Housing, NCP Housing	60,000
Phoenix AMP RSCc Industrial JV LLC	CI Carbon Challenge, Accelerated Efficiency & Elect	540,219
PHYTOSTONE LLC	Natural Carbon Solutions, A1 - Building Challenge	84,342
Plugin Stations Online, LLC	Electric Vehicles - Innovation, EVSE at schools demo	50,000
PlugPV, LLC	<200KW PV, PON 2112 NY SUN	412,278
Plymouth Gardens, Inc.	Multifam Performance Pgm, Multifamily	43,209
Point and Ravine, LLC	New Construction Housing, NCP Housing	48,000
PolyJoule, Inc.	Long Duration Energy Storage, LDES Tech & Product Dev	90,700
Power Advisory LLC	BR: Program Implementation, BR TWO Power Advisory Consult	137,736
	BR: Program Implementation, BRRFP23-1 TEP IE Killeavy	18,535
Power to Hydrogen LLC	Hydrogen Innovation, Clean Hydrogen Innovation	25,000
PowerGEM, LLC	BR: Screening, TWO - Build Ready - Cat 1	12,540
Powerlutions, LLC	<200KW PV, PON 2112 NY SUN	14,104
Pratt Area Community Council	>200KW PV, NY-Sun	38,580
Premier Solar Solutions LLC	>200KW PV, PON 2112 NY SUN	83,040
Prescriptive Data	Real Time Enrgy Management, PD - 300 Vesey St - RTEM	4,176

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Contractor	Contract Description	Total Expended Amount
Prescriptive Data	Real Time Enrgy Management, Prescriptive-555 5th Ave-RTEM	3,360
	Real Time Enrgy Management, Prescriptive-630 3rd Ave-RTEM	1,833
	Real Time Enrgy Management, Prescriptive-767 Fifth-RTEM	38,400
Principle Power Inc	Natl OffShWind R&D Consortium, Natl Offshore Wind R&D	220,517
	Natl Offshore Wind R&D	220,517
Prospect Realty Group LLC	Multifam Performance Pgm, Multifamily	6,850
Providence Housing Development Cor..	New Construction Housing, NCP Housing	48,000
Pterra, LLC	High Performing Grid, PTerra work for ITWG	2,570
Pure Performance Renewable Energy ..	Talent Pipeline:CE and OJT, OJT	8,000
QCells Enable LLC	>200KW PV, PON 2112 NY SUN	1,264,800
Quanta Technology LLC	Future Grid Perf. Challenges, Power Grid Innovation	77,000
	OREC: Technical Support, TWO 3 - OSW Transmis Study 2.0	50,745
Radiant Labs, LLC	Informat. Products & Brokering, Dynamic Market Data Tool	113,000
	NYCH: Critical Tools, Dynamic Market Data Tool	7,313
	Strategic Energy Manager, Dynamic Market Data Tool	7,313
Rak 1 Solar LLC	>200KW PV, NY Sun	703,846
Rak 2 Solar LLC	>200KW PV, NY Sun	481,982
Ramboll Americas Engineering Solutions I	New Construction- Commercial, Commercial NCP 2022	32,642
	Technical Services, FT13857 - NYS OPWDD - FTC	62,288
	Technical Services, FT14836 - Instant Brands - FTC	16,909
Ramboll Americas Engineering Solutions,	Gas Innovation Studies, TWO 3 DPS UTEN Technical Suppt	178,726
	NYCH: District, PON 4614 Round #2 SUNY Oneonta	31,452
	OTHER PROGRAM AREA, Jamestown JT Planning Study	108,500
	OTHER PROGRAM AREA, Southampton JT Planning Study	59,672
	TEN Potential Study, TWO 2 - TENs Potential Study	435,835
Randstad North America, Inc.	NYSERDA ADMINISTRATION, PS TWO #67 - SO Coordinator	8,522
	NYSERDA ADMINISTRATION, TS.022 - Facilities Clerk	44,869
RANGAM CONSULTANTS INC	SA.026_TWO# 1_LSR_PM1	48,312
RBW Studio LLC	Talent Pipeline:CE and OJT, OJT	41,091
RCAM Technologies Inc	Energy Storage Tech/Prod Dev, Long Duration Energy Storage	278,034
RCAM Technologies, Inc.	Energy Storage Tech/Prod Dev, PON4169 Round #1	35,000
RE Tech Advisors LLC	Empire Building Challenge, JP Morgan EBC Cohort 3 TA	90,000
RE-Nuble, Inc.	A2 - Enabling Challenge	25,200
Recurve Analytics, Inc.	Pay for Performance, RFP 3901 P4P-AMV Platform	61,510
Red Hook Central School District	Electric Vehicles - Innovation, P12GC-85E - Red Hook - PON	9,278
	K-12 SCHOOLS, P12GC-85E - Red Hook - PON	59,117
REDAPTIVE, INC.	<200KW PV, PON 2112 NY SUN	290,385
Regan Development Corp	Low Rise New Construction, NCP Housing 2022	39,600
Regen Associates LLC	SF CN Competition, New Construction	3,779
Regional International Corp.	CLEAN TRANSPORTATION, NYTVIP - Regional Idealease	125,000
Remelt Solar 1, LLC	>200KW PV, NY Sun	254,944
Renovus Energy, Inc.	<200KW PV, PON 2112 NY SUN	159,971
	NY-SUN, PON 2112 NY SUN	23,908
Research Foundation of CUNY	Environmental Research, PON 4895	118,213
Research Foundation of SUNY	Anaerobic Digesters, PON 3739 CAT B	18,731
	Environmental Research, IDEA-NYS air quality forecast	20,098
	Workforce Industry Partnership, PON 3715 (R14) BOM	214,986
	Workforce Industry Partnership, PON 3715 BOM Training	18,405

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Resilience Education Training and Innova	Talent Pipeline:CE and OJT, PON 4772 R3 Fellow	9,250
	Talent Pipeline:CE and OJT, PON3981 Round 12	139,787
Resource Refocus LLC	New Construction Housing, Task Work Order No. 3	76,181
Resources for the Future Inc	ENERGY ANALYSIS, TWO #3 Carbon Pricing Regime	7,853
Revel Transit, Inc.	EVPRZ:Clean Personal Mobility, Red Hook Recharge Zone	49,797
Richair Mechanical Inc.	NYCH: Talent PpIn:CE and OJT, OJT	51,213
Ricoh USA Inc	NYSERDA ADMINISTRATION, Sitecore Web CMS Admin	533,884
Rise Housing and Support Services Inc	New Construction Housing, NCP Housing	72,000
Riseboro Community Partnership, Inc.	Buildings of Excellence, BoE Rnd. 2 - Bethany Terraces	202,600
	Buildings of Excellence, Buildings of Excellence R1	60,177
	New Construction Housing, 2019 MFCNP	76,930
	On-Site Energy Manager, OsEM67-M-RiseBoro Community	110,177
River Architects, PLLC	Buildings of Excellence, RFP3928 River Architect TWO #1	24,870
Rivercrest Development Corp.	Multifam Performance Pgm, Multifamily	9,750
Rivertown Solar LLC	>200KW PV, PON 2112 NY SUN	132,800
RKB Group LLC	Technical Services, OSEM118C - GFP Real Estate	45,000
	Technical Services, OsEM129-C - Meadows Partners	35,997
Robert Derecor Associates	Heat Recovery, HeatRecC1_RDerecor_GodsLove	2,025
	Technical Services, FT13465 - 2000 Westches. - FTC	21,525
	Technical Services, FT15025 - Beave Equities Group	19,031
	Technical Services, FT15040 - Dutch Land LLC	18,375
	Technical Services, FT15052 - Broadway Equities	19,200
Robert Ettinger PE, PC	HCR Direct Injection, HCR TWO - Clarkson Estates	-27,589
	HCR Direct Injection, HCR TWO #1 - Dromore Apts	-40,076
	HCR Direct Injection, HCR TWO #3 East End Lofts	-12,223
	HCR Direct Injection, HCR TWO Stately Apartments	-10,774
	Housing Agencies Support, HCR TWO - Clarkson Estates	31,366
	Housing Agencies Support, HCR TWO #1 - Dromore Apts	44,057
	Housing Agencies Support, HCR TWO #3 East End Lofts	22,669
	Housing Agencies Support, HCR TWO Stately Apartments	10,930
	LMI Multifamily Demos, St Elizabeths Manor Decarbon	40,000
Robert K. Harmon & Company LLC	Pay for Performance, MEETS - Robert K. Harmon - TWO	3,178
Roccera, LLC	Energy Storage Tech/Prod Dev, PON4169 Round #1	35,000
Rochester Civic Housing, Inc.	New Construction Housing, NCP Housing	23,100
Rochester District Heating Cooperative	NYCH: District, PON 4614 Round #2 Rochester	10,000
Rochester Housing Authority	New Construction Housing, NCP Housing	17,850
Rochester Institute of Technology	New Construction- Commercial, Commercial New Construction	7,350
	REV Campus Challenge, REV CC ETL_Rd. 2	11,433
Rockhill Management LLC	Technical Services, OsEM81-C - Rockhill Managment	78,125
Rocky Mountain Institute	Empire Building Challenge, Cohort 3 Support for EBC	10,343
	Empire Building Challenge, RMI - EBC Playbook 2.0	141,911
	HCR Direct Injection, TWO 5-Short -term Tech Support	-50,000
	HCR Direct Injection, TWO6-HCREnergyGrants as Source	-42,478
	Housing Agencies Support, TWO 5-Short -term Tech Support	50,000
	Housing Agencies Support, TWO6-HCREnergyGrants as Source	42,478
	New Construction Housing, TWO 5-Short -term Tech Support	0
	New Construction Housing, TWO6-HCREnergyGrants as Source	0
	NYCH: Empire Build Challenge, RMI - EBC Playbook 2.0	122,818

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Contractor	Contract Description	Total Expended Amount
Rogers Training & Consulting, Inc.	OJT	492
Romulus Central School District	K-12 SCHOOLS, P12GC-18D - Romulus CSD_D	166,415
Ross Energy Consulting, LLC	OJT	14,328
	Talent Pipeline:CE and OJT, OJT	20,160
	Tech Assistanc Multifamily LMI, FT17211 - 668 Riverside Condo	12,710
	Technical Services, FT17291 Union Club NYC - 101 E	16,225
	Workforce Industry Partnership, PON 3715 (R6) BOM	18,363
	Workforce Industry Partnership, PON 3715 (R13) BOM	46,388
	Workforce Industry Partnership, PON 5357	34,967
RUHL TecConsult LLC	Tech Assistanc Multifamily LMI, FT15195 - Lefrak Estates	118,752
RUHL TecDesign	Heat Recovery, HeatRec C1_Ruhl_747 3rd Ave	29,920
	Heat Recovery, HeatRec C1_Ruhl_4310Crescent	10,000
	Heat Recovery, HeatRec C1_Ruhl_4705CenterBlvd	10,000
	Heat Recovery, HeatRecC1_Ruhl_200Water	29,920
	Heat Recovery, HeatRecC1_Ruhl_HaydenApartment	10,000
	Heat Recovery, HeatRecC2_Ruhl_200Water	32,000
	Heat Recovery, HeatRecC2_Ruhl_747thirdave	64,000
Rural Generation & Wind (Rodney We..	<200KW PV, PON 2112 NY SUN	11,608
Rural Housing Coalition of New York	Workforce Industry Partnership, PON 3715 (R8) BOM	1,296
Rutgers University	Environmental Research, GLIDE Acoustic&Ocean Survey	67,346
RXR Realty LLC	On-Site Energy Manager, OsEM84-M - RXR Realty	14,760
	Technical Services, OsEM89-C - RXR Realty 2	14,960
	Technical Services, OsEM90-C - RXR Realty 3	38,805
Ryan Plumbing Heating Air Conditioning	NYCH: Talent Ppln:CE and OJT, OJT	21,029
	Talent Pipeline:CE and OJT, OJT	5,412
SafariNY Corp.	OJT	1,152
	Talent Pipeline:CE and OJT, OJT	11,712
Sage Realty Corp.	Technical Services, OsEM98-C-Sage Realty - Group A	42,525
	Technical Services, OsEM99-C-Sage Realty - Group B	42,525
SANFILIPPO SOLUTIONS INC.	OJT	1,629
	Talent Pipeline:CE and OJT, OJT	7,977
Saranac Lake Central School	FT17053 - Saranac Lake CSD (3)	1,266
Saratoga Solar III, LLC	>200KW PV, NY Sun	773,491
	NY-SUN, NY Sun	318,497
Savanna Services, LLC	Flexible Tech Assistance, FT12293 - Savanna - PON	107,625
	NYCH: Technical Assistance, FT13106 -Savanna Multiple- PON	9,581
Scenic Hudson, Inc.	Net Zero Energy for Eco Dev, CNCED-2022 Scenic Hudson NSide	391,000
Schenectady County Solar Projects 2019,	>200KW PV, NY-Sun Assignment	656,250
	>200KW PV, NY-Sun C&I Assignment	532,043
	ESTOR:Retail Storage Incentive, NY-Sun C&I Assignment	-211,763
	Solar Plus Energy Storage, NY-Sun Assignment	0
Schneider Electric Buildings America..	Real Time Enrgy Management, SEBA - 30-19 Crescent St- RTEM	22,092
School of Visual Arts	Technical Services, OsEM97-C-School of Visual Arts	100,000
SCS Penfield One 010750 Penfield, LLC	>200KW PV, NY Sun	230,379
Sea Bright Solar, LLC	<200KW PV, PON 2112 NY SUN	18,496
	>200KW PV, NY-Sun	77,760
	>200KW PV, PON 2112 NY SUN	20,940
SecondMuse LLC	M-Corps, Manufacturing Corps (M-Corps)	570,000

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Seeler Engineering, P.C.	NYCH: Talent Ppln:CE and OJT, TWO Under Umbrella 198480	7,695
Semiconductor Components Industrie..	CI Carbon Challenge, C&I Carbon Challenge	167,696
Sense Labs, Inc.	NYCH: Technical Assistance, Single Family Residential	31,425
Shared Mobility, Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Rebecca Reilly)	9,167
Shenker Russo & Clark LLP	Talent Pipeline:CE and OJT, Union Advisory Services	6,350
Siemens Industry, Inc.	>200KW PV, NY Sun	180,289
	Real Time Enrgy Management, Siemens Ind - Multisite - RTEM	21,839
	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	16,483
	Real Time Enrgy Management, Siemens-150 W 65th-RTEM	9,166
	Real Time Enrgy Management, Siemens-3338 E Main St-RTEM	3,487
	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	42,548
	RTEM Small/Medium Business, Siemens-Multisite-RTEM	49,180
Sive Paget & Riesel PC	BR: Program Implementation, TWO 3 - Build Ready Auction	38,707
	REC4:CES REC4 Tech Support, Tier 4 Outside Counsel TWO	2,704
	REC4:CES REC4 Tech Support, TWO 9 - Tier 4 solicitation	29,310
	REC:CES REC System Dev Costs, TWO 6 - Tier 1 REC Agreement	2,970
	REC:CES REC System Dev Costs, TWO #4 - Standard Form Agmnt	810
	RFP 12: NYGB Legal Services	19,982
	TWO 7 - CAC/Cap and Invest	258,119
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - West Valley SEQRA	26,180
Smith Engineering PLLC	NYCH: District, PON 4614 - Round 9	4,191
	NYCH: Industry Partnerships, PON 3715 (R15) BOM	29,652
	Technical Services, FT - 0000779895 - Brookfield P	26,264
	Technical Services, FT14843 - 237 Park LH Owner	11,597
	Technical Services, FT15092 - Weill Cornell Med	30,217
	Technical Services, FT15104 - BFP 300 Madison	1,291
	Technical Services, FT17116 - 345 Park Avenue LP	46,799
	Technical Services, FT17148 CBRE - 1166 Avenue of	52,763
	Technical Services, OsEM133-C -Rudin Mngmt Port 1	41,916
	Technical Services, OsEM134-C -Rudin Mngmt Port 2	45,373
	Workforce Industry Partnership, Brookfield 5	56,774
	Workforce Industry Partnership, PON 3715 (R12) BOM	43,276
	Workforce Industry Partnership, PON 5357	8,391
	Workforce Industry Partnership, PON 5357 Rudin WFT 3	7,283
	Workforce Industry Partnership, Ruden 1 WFT	76,153
	Workforce Industry Partnership, Ruden WFT 2	81,251
	Workforce Industry Partnership, Vornado WFT 1	116,030
	Workforce Industry Partnership, Vornado WFT 2	106,616
Social Enterprise and Training Center	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON4463 R2	277,600
Social Finance Inc.	Social Finance Contract	108,189
Socotec, Inc	Code to Zero, TWO #7	147,691
	Code to Zero, TWO #8	132,575

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Contractor	Contract Description	Total Expended Amount
Socotec, Inc	New Construction- Commercial, Commercial NCP 2022	36,532
	Technical Services, FT14912 - Romarco - 1520 York	8,699
Software People, Inc.	NYSERDA ADMINISTRATION, TWO #2 .Net Software Developer	78,100
Sol Developments, LLC	HCR Direct Injection, HCR TWO – 875 Lafayette	0
	HCR Direct Injection, HCR TWO – Alta Vista	0
	HCR Direct Injection, HCR TWO – Harrison Place Lofts	0
	HCR Direct Injection, HCR TWO – Riley Brook Apartmen	0
	HCR Direct Injection, HCR TWO #1-ShilohSeniorHousing	0
	Housing Agencies Support, HCR TWO - Unicorn Drive	685
	Housing Agencies Support, HCR TWO – 875 Lafayette	12,784
	Housing Agencies Support, HCR TWO – Alta Vista	18,492
	Housing Agencies Support, HCR TWO – Harrison Place Lofts	13,382
	Housing Agencies Support, HCR TWO – Riley Brook Apartmen	12,078
	Housing Agencies Support, HCR TWO #1-ShilohSeniorHousing	27,305
	SOLANTA CORP	<200KW PV, NY-Sun
<200KW PV, PON 2112 NY SUN		88,596
>200KW PV, PON 2112 NY SUN		90,860
COMMUNITY SOLAR, PON 2112 NY SUN		5,270
Solar Energy Systems, LLC	<200KW PV, NY-Sun	58,006
	>200KW PV, NY-Sun	174,018
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	11,152
	<200KW PV, PON 2112 NY SUN	231,223
Solar One, Inc.	>200KW PV, PON 2112 NY SUN	25,070
Solar Pro Inc	<200KW PV, PON 2112 NY SUN	17,016
	>200KW PV, PON 2112 NY SUN	34,960
SOLAR TROUPSBURG LLC	>200KW PV, NY-Sun C/I Assignment	351,918
SolarCommunities Inc.	<200KW PV, PON 2112 NY SUN	40,412
Solarize Plus Inc	<200KW PV, PON 2112 NY SUN	8,208
SOLO at Classic American LLC	Tech Assistanc Multifamily LMI, FT14670 - SOLO at Classic Amer	7,500
SOLO at Orchard Estates LLC	Tech Assistanc Multifamily LMI, FT14669 - SOLO at Orchard -PON	7,500
Soulful Synergy, LLC	Talent Pipeline:CE and OJT, PON 4772 R3 (Andrea Fobbs)	18,500
	Talent Pipeline:CE and OJT, PON 4772 R3 (David Sparber)	18,500
	Talent Pipeline:CE and OJT, PON 4772 R3 Troy Thompson	10,792
	Talent Pipeline:CE and OJT, PON3981 Round 14	85,150
South Colonie Central School District	Technical Services, OsEM86-C - South Colonie CSD	19,313
Spackenkill Union Free School District	FT17051 - Spackenkill UFSD (6)	8,401
Sparrowbush NY 1, LLC	>200KW PV, NY Sun	175,454
Sparrowbush NY 2, LLC	>200KW PV, NY Sun	88,732
SPO NY Holdings 1, LLC	>200KW PV, NY Sun	445,305
	NY-SUN, NY Sun	185,614
SSC Cicero LLC	>200KW PV, NY Sun	908,950
	NY-SUN, NY Sun	1,118,707
SSC Scriba LLC	>200KW PV, NY Sun	1,010,879
	NY-SUN, NY Sun	1,482,625
St. Francis Friends of the Poor, Inc.	Direct Injection Program, St. Francis Electrification	12,150
St. Nicks Alliance	NYCH: Talent Ppin:CE and OJT, Career Pathway HVAC/Heat Pumps	15,276
Standard Potential Co.	Energy Storage Tech/Prod Dev, Long Duration Energy Storage	60,000
Standard Solar, Inc	>200KW PV, NY-Sun C&I	432,000

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Contractor	Contract Description	Total Expended Amount
Stanley Ruth Co., LLC	NYCH: Talent Ppln:CE and OJT, OJT	49,483
Stantec Consulting Services, Inc.	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. Support Servi..	287,087
STAT Architecture PC	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	40,118
State Route 52 LLC	>200KW PV, NY Sun	221,837
State University of New York College	Technical Services, OsEM36-C - SUNY Geneseo	33,012
State University of NY @ New Platz	Technical Services, OsEM7-C SUNY New Paltz	168,320
Steuben Churchpeople Against Pover..	New Construction Housing, NCP Housing	16,400
Steven Winter Associates, Inc.	Code to Zero, TWO #5 ANSI IECC NYStretch2023	40,974
	LMI Multifamily Demos, HANAC - EBC Cohort 3	30,000
	LMI Multifamily Demos, RiseBoro - EBC Cohort 3	30,000
	Multifam New Construction, High rise NCP 3716	9,997
	NYCH: Critical Tools, TWO 3 - Heat Pump Pattern Book	304
	NYCH: Innovation, BAS for small & medium bldgs	5,513
	NYCH: Talent Ppln:CE and OJT, PON3981 Round 8	70,213
	NYCH: Talent Ppln:CE and OJT, Steven Winter Assoc. Training	84,804
	NYCH: Technical Assistance, FT13626 - 45 E 89th - FTC	11,486
	NYCH: Technical Assistance, FT13657 - 2165 Brigham - FTC	17,251
	NYCH: Technical Assistance, FT13658 - 2250 Brigham - FTC	14,850
	NYCH: Technical Assistance, FT13666 - 43-34 Union - FTC	407
	NYCH: Technical Assistance, FT13673 - 40 East 94th - FTC	10,506
	NYCH: Technical Assistance, FT13712 - 150 E. 61st - FTC	5,682
	NYCH: Technical Assistance, FT13713 - 515 E. 72nd - FTC	8,929
	NYCH: Technical Assistance, FT13723 - 245 Sullivan - FTC	919
	NYCH: Technical Assistance, FT13724 - 40 Washington - FTC	5,582
	NYCH: Technical Assistance, FT13766 - 350 W 42nd - FTC	8,145
	NYCHA EM TWO 2023	168,607
	REV Connect, IMS SWA - Scalable Afford	160,000
	Technical Services, FT13538 - 58 W 40th - FTC	563
	Technical Services, FT13539 - 70 W 40th - FTC	438
	Technical Services, FT14064 - 372 CPW - FTC	6,001
	Technical Services, FT14065 - 43 W 61st - FTC	20,996
	Technical Services, FT14101 - 104-20 68th - FTC	8,606
	Technical Services, FT14162 - 150 Columbus - FTC	25,243
	Technical Services, FT14164 - 2251 Knapp - FTC	19,289
	Technical Services, FT14270 - 360 Furman - FTC	18,338
	Technical Services, FT14438-Gramercy Arms -102 FTC	4,570
	Technical Services, FT14531-1065 Park- FTC-MF-MR-L	7,533
	Technical Services, FT14570-235 West End Ave-FTC	4,988
	Technical Services, FT14688 - 3021 Avenue Z - FTC	23,852
	Workforce Industry Partnership, PON 3715 (BOM)	188,940
	Workforce Industry Partnership, PON 3715 (R5) BOM	37,148
	Workforce Industry Partnership, PON 3715 BOM Training	6,218
	Workforce Industry Partnership, PON 3715 Workforce Training	259,989
Stillwater Renewables, LLC	>200KW PV, NY Sun	549,548
	NY-SUN, NY Sun	806,006
Stone Tablet, LLC	NYSERDA ADMINISTRATION, Employee & Labor Relations Sof	21,940
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	1,020,811
Storm King Art Center	Net Zero Energy for Eco Dev, CNCED 2021 - Storm King Art	105,750

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Contractor	Contract Description	Total Expended Amount
STRATCO PROPERTY GROUP INC	Low Carbon Tech Demos, Low Carbon Pathways	75,000
	NYCH: Talent Ppln:CE and OJT, OJT	49,178
Suffolk County Community College	REV CAMPUS CHALLENGE, RFP 3675 REV Campus Challenge	94,551
	RFP 3675 REV Campus Challenge	95,449
Sun Source Technologies	<200KW PV, NY-Sun	38,412
	<200KW PV, PON 2112 NY SUN	31,056
	>200KW PV, NY-Sun	64,020
Sunamp Projects, Inc	NYCH: Innovation, Demo Tech Trans High Dens Ther	109,983
SuNation Solar Systems, Inc.	<200KW PV, NY-Sun	9,600
	<200KW PV, PON 2112 NY SUN	42,444
	COMMUNITY SOLAR, PON 2112 NY SUN	264,731
	ENERGY STORAGE, PON 2112 NY SUN	102,850
Sunkeeper Solar LLC	<200KW PV, NY-Sun	165,135
	>200KW PV, NY-Sun	337,185
	>200KW PV, PON 2112 NY SUN	89,135
Sunlight General Capital LLC	>200KW PV, NY Sun	175,318
	NY-SUN, NY Sun	478,140
Sunnova Energy Corp	<200KW PV, PON 2112 NY SUN	5,000
SunPower Capital, LLC	<200KW PV, NY-Sun	9,280
	<200KW PV, PON 2112 NY SUN	78,976
	COMMUNITY SOLAR, PON 2112 NY SUN	12,310
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	47,580
	<200KW PV, NY-Sun	75,000
Sunrise Solar Solutions, LLC	<200KW PV, NY-Sun	20,250
	<200KW PV, PON 2112 NY SUN	6,930
	>200KW PV, PON 2112 NY SUN	151,512
SunRun, Inc	<200KW PV, PON 2112 NY SUN	10,656
SUNY Broome Community College	NYCH: Technical Assistance, OsEM40-C-Broome Community Col	16,200
SUNY Buffalo	New Construction- Commercial, 2019 CNCP	154,176
SUNY College of Environmental Scien..	Technical Services, OsEM79-C - SUNY ESF	25,098
SUNY Morrisville	Technical Services, OsEM30-C - SUNY Morrisville	7,000
SUNY Potsdam	Commercial New Construc, New Construction	10,244
Super Cool HVAC LLC.	Talent Pipeline:CE and OJT, OJT	10,664
Supreme Green Energy Inc	OJT	6,400
Sure Temp Company Inc.	NYCH: Talent Ppln:CE and OJT, OJT	7,031
Surf Clean Energy Inc	<200KW PV, NY-Sun	8,176
	<200KW PV, PON 2112 NY SUN	47,930
	COMMUNITY SOLAR, PON 2112 NY SUN	13,028
Sustainable Comfort, Inc	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	93,228
	Buildings of Excellence, RFP3928 SCI TWO #1	38,638
	Buildings of Excellence, RFP3928 SCI TWO #3	16,874
	Buildings of Excellence, RFP3928 SCI TWO #4	55,510
	Direct Injection Program, HCR TWO #1 - Lion Factory	0
	Direct Injection Program, HCR TWO #3 Glove City Lofts	0
	Direct Injection Program, HCR TWO #4 – 753 Classon	-16,233
	Direct Injection Program, HCR TWO#2-Sutphin Sr. Housing	0
	HCR Direct Injection, HCR TWO #1 - Lion Factory	-61,416
	HCR Direct Injection, HCR TWO #3 Glove City Lofts	-22,522

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Contractor	Contract Description	Total Expended Amount
Sustainable Comfort, Inc	HCR Direct Injection, HCR TWO #5 – Perry Homes	0
	HCR Direct Injection, HCR TWO#2-Sutphin Sr. Housing	-25,931
	Housing Agencies Support, HCR TWO #1 - Lion Factory	74,075
	Housing Agencies Support, HCR TWO #3 Glove City Lofts	41,049
	Housing Agencies Support, HCR TWO #4 – 753 Classon	33,534
	Housing Agencies Support, HCR TWO #5 – Perry Homes	12,643
	Housing Agencies Support, HCR TWO #6 – Colvin Ave Apts	3,226
	Housing Agencies Support, HCR TWO#2-Sutphin Sr. Housing	40,360
	Housing Agencies Support, HCR TWO#7 - Cold Spring	3,073
	Housing Agencies Support, HCR TWO#8 - Juniper Apts	4,064
	New Construction Housing, HCR TWO #1 - Lion Factory	0
	New Construction Housing, NCP Housing	8,600
Sustainable Energy Advantage, LLC	OREC: Technical Support, TWO#1 MP2.0 Workforce study	30,579
Sustainable Energy Developments Inc.	<200KW PV, NY-Sun	419,865
	<200KW PV, PON 2112 NY SUN	161,671
Sustainable Finger Lakes Inc	REV Connect, IMS-Sustainable-Finger Lakes	65,580
Sustainable Hudson Valley, Inc.	Talent Pipeline:CE and OJT, PON 4772 R3	12,484
Sustainable Investment Group	Heat Recovery, HeatRec C1_SIG_1501Bway	10,000
	Technical Services, FT14246 - 3 Bryant - FTC	9,471
	Workforce Industry Partnership, PON 3715 (R7) BOM	100,290
Sustainable Westchester	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Clarke Littlejohn	6,167
	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Monaeja Porter	14,713
	OJT	13,601
	Talent Pipeline:CE and OJT, OJT	7,212
Svenski Solar, LLC	>200KW PV, NY Sun	196,484
SWBR Architecture, Engineering & La..	Buildings of Excellence, BoE Rnd. 2 - DTL Johnson Park	100,000
Switched Source PB LLC	Future Grid Perf. Challenges, Power Grid Innovation	940,166
Switched Source TC LLC	High Performing Grid, Tie Controller for Renewable	85,902
Syracuse Community Health Center, I..	New Construction- Commercial, Commercial New Construction	110,800
Syracuse University	NYCH: Innovation, On-Site Power	6,320
Syska Hennessy Group	Technical Services, FT14572 -1407 Broadway-FTC-COM	5,360
T. F. Obrien	NYCH: Talent Ppln:CE and OJT, OJT	11,363
T.M. Bier & Associates	Real Time Enrgy Management, TMB&A - Multisite - RTEM	13,943
Taitem Engineering, P.C.	Buildings of Excellence, RFP3928 Taitem TWO #1	14,523
	CI Carbon Challenge, CICC1903 - Cornell	5,047
	CLEAN TRANSPORTATION, SQA Charge Ready 2.0	6,669
	Code to Zero, TWO #1	346
	Direct Injection Program, HCR TWO - Creekside Landing	0
	Direct Injection Program, HCR TWO – Parliament Fairfield	0
	Direct Injection Program, HCR TWO #10 - Ithaca Housing	0
	Direct Injection Program, HCR TWO Tailor Square	0
	Direct Injection Program, Multifamily Technical Assistan	13,227
	Direct Injection Program, NYSERDA/HPD Electrification	217,263
	EV Charging and Engagement, SQA Charge Ready 2.0	6,034
	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	-40,886
HCR Direct Injection, HCR TWO Tailor Square	-33,202	

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Contractor	Contract Description	Total Expended Amount
Taitem Engineering, P.C.	Housing Agencies Support, HCR TWO - Creekside Landing	12,945
	Housing Agencies Support, HCR TWO – Parliament Fairfield	22,779
	Housing Agencies Support, HCR TWO –Center City Courtyard	24,009
	Housing Agencies Support, HCR TWO #10 - Ithaca Housing	44,664
	Housing Agencies Support, HCR TWO Tailor Square	37,903
	Low Carbon Tech Demos, Multifamily SQA	9,413
	Low Carbon Tech Demos, Multifamily Technical Assistan	49,020
	Multifam Performance Pgm, Multifamily SQA	24,025
	Multifam Performance Pgm, Multifamily Technical Assistan	112,903
	New Construction Housing, NCP Housing	37,161
	New Construction- Commercial, Commercial New Construction	7,830
	NYCH: District, Urban Village	20,000
	NYSERDA ADMINISTRATION, TWO 1 - C-Pace Tech Review	952
	Retrofit NY, Multifamily SQA	5,965
	Retrofit NY, Multifamily Technical Assistan	7,101
	Talent Pipeline:CE and OJT, OJT	8,388
	Technical Services, FT14818 - Cortland County	8,351
TWO CH4A M&V Services	89,363	
Talisen Technologies, Inc	Remote Energy Management, Technical Support for RTEM, HR	266,839
Talva Energy	Electric Vehicles - Innovation, CGSI-45-Addison CSD (3)_E,B	0
	K-12 SCHOOLS, CGSI-45-Addison CSD (3)_E,B	0
Tamco, LLC	CLEAN TRANSPORTATION, CGSI-69_CT - Greene CSD (1)_CT	30,454
TBL Technologies Inc.	NYCH: Technical Assistance, FT13938 - 30 E 37th - PON - MF	7,909
	Talent Pipeline:CE and OJT, OJT	6,720
Tech Valley Talent, LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, TWO #32 SF..	5,604
	Market Support Tools &Activity, TWO #33 Technical BA – Tonya W	5,808
	NYSERDA ADMINISTRATION, TWO #11 Info Security Services	102,652
	NYSERDA ADMINISTRATION, TWO #14 Salesforce BA.- Robles	102,599
	NYSERDA ADMINISTRATION, TWO #21 Salesforce Dev. Magesh	98,562
	NYSERDA ADMINISTRATION, TWO #22 Software QA - Adnan	57,944
	NYSERDA ADMINISTRATION, TWO #26 Software QA - Nafisha	49,936
	NYSERDA ADMINISTRATION, TWO #30 Tableau Dev. Alfred	99,749
	NYSERDA ADMINISTRATION, TWO #31 Network Voice Engineer	45,464
	OREC: System Development, TWO #6 Salesforce Tech -Portia	27,426
	REC2:CES REC2 Tech Support, TWO 1 Salesforce Dev. Rajesh K	25,536
	REC4:CES REC4 Syst Development, TWO #6 Salesforce Tech -Portia	5,530
	REC4:CES REC4 Tech Support, TWO 1 Salesforce Dev. Rajesh K	25,536
	REC:CES REC System Dev Costs, TWO 1 Salesforce Dev. Rajesh K	51,072
	REC:CES REC System Dev Costs, TWO #6 Salesforce Tech -Portia	71,942
	TWO 28 .Net Software Dev. – Bi	110,310
	TWO #29 Technical BA – Garrett	55,891
TWO #32 SFR. Staff Aug Dev.– P	11,208	
TWO #33 Technical BA – Tonya W	11,616	
TechniArt, Inc.	Clean Energy Hub, Regional Energy Hub Kits	88,588
Technology Professionals Group Inc.	NYSERDA ADMINISTRATION, TWO 3 Sr. SharePoint Dev.	27,244
	NYSERDA ADMINISTRATION, TWO # 5 Service Desk Tech Alec	28,517
Tecogen	Combined Heat and Power, CHPA - Hotel Edison	119,000
Tern Construction & Development, LLC	New Construction Housing, NCP Housing	19,200

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Tesla, Inc.	>200KW PV, NY Sun	95,910
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
	Housing Agencies Support, HCR TWO #2 St Clair Apartments	9,609
	Housing Agencies Support, HCR TWO #3 Silver Gardens	9,735
	Housing Agencies Support, HCR TWO #5 - Beeches	819
	Housing Agencies Support, HCR TWO #6 – 1546 East	1,639
	Housing Agencies Support, TWO #4 - Luna Green	7,070
	Technical Services, FT14259 - 2280 Frederick - FTC	11,243
Tetra Tech, Inc.	OREC: Technical Support, TWO 2 - OSW F-TWG Lead	204,128
TFR Holdings Corp	Electric Microtransit in LI	636,073
The Brattle Group Inc.	ENERGY ANALYSIS, TWO 2 - Gas Util Planning Supp	89,483
	ENERGY ANALYSIS, TWO #1 NYISO Consult Support	13,322
	Mkt Char: Tech Assist, TWO 3 -Prod Cost Modeling Eval	100,000
	REC:CES REC System Dev Costs, Transmission Services-on-Deman	12,905
The Cadmus Group, LLC	Clean Energy Hub, TAI contract for RCEH	128,315
	Code to Zero, RFQ3183 Umbrella Agreement	125,687
	Electric Vehicles - Innovation, TWO No. 7	19,352
	ENERGY ANALYSIS, BEEM Redevelopment: Phase 2	189,914
	ENERGY ANALYSIS, TWO #1 BEEM Revision	54,131
	Environmental Research, TWO 14 - Heat Adaptation Plan	202,943
	Eval MCDC Cross Cutting, Statewide Multifamily Baseline	194,910
	Eval MCDC EE Master Soft Cost, TWO#4 Soft Cost study	19,027
	Eval MCDC: LMI Insights&Impact, 4162 TWO 1: HP Insights Impact	66,900
	Home Perf w Energy Star, TWO 13 - Analytic Support for	1,241
	Housing Agencies Support, Tech Asst Affordable Housing	92,013
	NYCH: Communities, TAI contract for RCEH	128,315
	NYCH: Critical Tools, TWO 15 - Inclusive	1,233
	OREC: Technical Support, TWO #17 OSW TWG facilitation	119,678
	REV Campus Challenge, TWO 8 REV Campus Challenge	3,967
REV Campus Challenge, Umbrella Agreement	27,877	
TWO #10 Climate Facilitation	561,436	
The Fortune Society, Inc.	Buildings of Excellence, BoE Rnd. 3	150,000
	New Construction Housing, NCP Housing 2022	131,200
The Healthy Home Academy LLC	NYCH: Talent Ppln:CE and OJT, Career Pathway HP PON 4463 R4	84,939
The HOPE Program, Inc.	NYCH: Talent Ppln:CE and OJT, Career Pathway HVAC/Heat Pumps	17,887
The Insulation Man LLC	OJT	15,383
The Jericho Project	New Construction Housing, New Construction	50,000
The Nature Conservancy	OREC: Technical Support, Monitoring Eco Effects of OSW	87,855
The Research Foundation for SUNY	Talent Pipeline:CE and OJT, PON3981 Round 12	179,405
The Research Foundation for the State	Environmental Research, Low-Cost AQ Sensors	59,236
	Environmental Research, Mobile Lab Measurements of NYC	24,094
	Environmental Research, VOCs and VCPs in NYC	98,496
The RF of SUNY Binghamton Universi..	Cleantech Geo Coverage, PON 4242	85,000
The Spence School	Technical Services, OsEM112-C - The Spence School	24,565
The Standard Hydrogen Corporation	Energy Storage Tech/Prod Dev, Long Duration Energy Storage	15,000
	High Performing Grid, Economical Long-Duration	24,329
The Top Gun Group, LLC	NYCH: Talent Ppln:CE and OJT, OJT	26,957

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Contractor	Contract Description	Total Expended Amount
The Top Gun Group, LLC	OJT	3,910
	Talent Pipeline:CE and OJT, OJT	3,807
The Trustees of Columbia University	Cleantech EIR, CTV ClimateTech Expertise Net	477,053
	Cleantech EIR, PON 3819	93,750
	Environmental Research, Attribution of anthro methane	68,938
	NYCH: Industry Partnerships, CJF Support RFP 4976	68,000
	Talent Pipeline:CE and OJT, CJF Support RFP 4976	68,000
Thermal Associates, LLC	NYCH: Talent Ppln:CE and OJT, OJT	5,250
Thermodynamix LLC	NYCH: Talent Ppln:CE and OJT, OJT	6,420
ThunderCat Technology LLC	NYSERDA ADMINISTRATION, Cisco Umbrella Renewal	57,477
Tioga Opportunities Inc.	OJT	1,607
	Talent Pipeline:CE and OJT, OJT	7,258
	Tech Assistanc Multifamily LMI, FT14509-Tioga Opportunites-PON	6,250
TITANIUM LINX CONSULTING, INC.	PON 4772 R3 (Diogenes Arias)	12,333
	PON 4772 R3 (Steeve Coupeau)	5,265
TJA-NY-Paul Rd Castleton, LLC	>200KW PV, NY Sun	270,270
TM Montante Solar Developments, LLC	<200KW PV, NY-Sun	165,200
	<200KW PV, PON 2112 NY SUN	93,249
Tompkins Consolidated Area Transit Inc	EVPRZ:Clean Personal Mobility, Ithaca Electric Transportation	193,312
	Pub Transit & Elect Rail, First/Last Mile in Tompkins Co	1,474
Tonawanda Housing Authority	Tech Assistanc Multifamily LMI, FT14722-Tonawanda Housing-PON	10,461
Town of Austerlitz, New York	Clean Energy Communities, CEC400162 - Energy Study	6,600
Town of Cortlandt	Clean Energy Communities, CEC510632-EV Chargers	16,247
Town of Gardiner	Clean Energy Communities, CEC500684 - Building Upgrades	1,650
Town of Geneva	Clean Energy Communities, CEC300344 - CEU & Charging Sta	15,800
Town of Hamilton	Clean Energy Communities, CEC200189 - EV Charger	2,500
Town of Hector	Clean Energy Communities, Town of Hector 50K grant	12,500
Town of Hempstead, Department of C..	CLEANER GREENER COMMUNITIES, CEC910525 - Town of Hempstead	22,500
Town of Ithaca	Code to Zero, Stretch to Zero Program	25,000
Town of Manlius	Clean Energy Communities, CEC200236 - EV Charger	2,500
Town of Ossining	Code to Zero, PON 4600 Town of Ossining	100,000
Town of Philipstown	Clean Energy Communities, CEC500794 - EV Chargers	2,500
Town of Pound Ridge	Clean Energy Communities, CEC500674 - Building Upgrades	1,350
Town of Rhinebeck	Clean Energy Communities, CEC EV Project	10,000
Town of Roseboom	Clean Energy Communities, Roseboom Grant 2	50,000
Town of Southampton	Clean Energy Communities, CEC910517 - Climate Action Pla	-50,000
	CLEANER GREENER COMMUNITIES, CEC910517 - Climate Action Pla	50,000
Town of Westport	Clean Energy Communities, Town of Westport	10,000
Trane	Heat Recovery, HeatRec C2_Trane_1CPW	32,000
	K-12 SCHOOLS, CGSI-11_E - Unatego - FTC	56,810
	K-12 SCHOOLS, FT14819 - Millbrook CSD (4)E	39,987
	Real Time Enrgy Management, Trane - 48 E 84 St - RTEM	7,499
	Real Time Enrgy Management, Trane US Inc- Multisite - RTEM	26,647
	Real Time Enrgy Management, Trane-645 St Nicholas Ave-RTEM	8,181
	REV Campus Challenge, FT13549 - Lincoln Center - FTC	10,531
	Technical Services, FT13549 - Lincoln Center - FTC	-10,531
TRC Companies, Inc.	NYCH: Comfort Home, TWO #1 Comfort Home Impl	334,867
	NYCH: Supply Chain, TWO #2	512,719

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Contractor	Contract Description	Total Expended Amount
TRC Companies, Inc.	NYCH: Talent Ppln:CE and OJT, WFD Implementation Contractor	139,578
	Talent Pipeline:CE and OJT, WFD Implementation Contractor	97,705
	Workforce Industry Partnership, WFD Implementation Contractor	321,029
TRC Energy Services	Capital Planning, SA.075a - TWO #44 - PM-1	37,206
	Commercial New Construc, SA.040-M6a - TWO #42 - PM-1	2,200
	Electric Vehicles - Innovation, SA.111 - TWO#39 - CT - PM-1	-62,351
	Electric Vehicles - Innovation, SA.112 - TWO #40 - CT - PM-2	-85,384
	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	22,657
	Energy Storage Tech/Prod Dev, SA.090 - Innovation APM	25,437
	EVPRZ:Implementation, SA.071_TWO#20_Clean Trans_PM-1	62,418
	Housing Agencies Support, SA.012_TWO #5_MF_PM	2,853
	Housing Agencies Support, SA.095_TWO#30 - Multifamily_PM	90,373
	Hydrogen Innovation, SA.090 - Innovation APM	25,437
	Innovation, SA.106_TWO#38-Innovation_BA	126,392
	Low Carbon Tech Demos, SA.075a - TWO #44 - PM-1	37,206
	Low Rise New Construction, SA.040-M6a - TWO #42 - PM-1	1,909
	Multifam New Construction, SA.040-M6a - TWO #42 - PM-1	1,701
	Multifam Performance Pgm, SA.012_TWO #5_MF_PM	27,470
	Multifam Performance Pgm, SA.016_TWO #8_MF_APM	26,376
	Multifam Performance Pgm, SA.017_TWO #9_MF_APM	126,503
	Nat'l OffShWind R&D Consortium, SA.090 - Innovation APM	0
	New Construction Housing, SA.040-M6a - TWO #42 - PM-1	18,323
	New Construction Housing, SA.040-M6b - TWO #43 - PM-1	1,426
	New Construction Housing, SA.042_TWO#17 - NCP NYC PM	59,320
	New Construction- Commercial, SA.040-M6a - TWO #42 - PM-1	8,644
	New Construction- Commercial, SA.040-M6b - TWO #43 - PM-1	713
	New Construction- Commercial, SA.042_TWO#17 - NCP NYC PM	19,773
	NYCH: Talent Ppln:CE and OJT, TWO #4 SIPPRA Implementation	3,970
	NYSERDA ADMINISTRATION, SA.069_TWO#19 - Contracts	86,693
	REV Campus Challenge, SA.027_TWO #2_Com_PM	63,911
	REV Campus Challenge, SA.051a - TWO #41	42,753
	SA.103_TWO #34-IEDR_PM-1	93,501
	SA.111 - TWO#39 - CT - PM-1	125,272
	SA.112 - TWO #40 - CT - PM-2	174,479
	Single Family New Construction, SA.040-M6a - TWO #42 - PM-1	6,444
	Single Family New Construction, SA.040-M6b - TWO #43 - PM-1	713
	Single Family New Construction, SA.042_TWO#17 - NCP NYC PM	19,773
	Strategic Energy Manager, SA.007_TWO #12_EPE_PM	87,066
	Strategic Energy Manager, SA.026a_TWO#13 - EPE	108,313
	Strategic Energy Manager, SA.047_TWO #19 - EPE	71,957
	Strategic Energy Manager, SA.051a - TWO #41	27,965
	Talent Pipeline:CE and OJT, TWO #4 SIPPRA Implementation	3,970
	Tech Assistanc Multifamily LMI, SA.061_TWO#23 - Multifamily	23,973
	Tech Assistanc Multifamily LMI, SA.075a - TWO #44 - PM-1	37,206
	Technical Services, AEAP 1476 - North Country	5,929
Technical Services, AEAP 1560 - Adirondock Maple	5,953	
Technical Services, PON 3525 Umbrella Agreement	114,076	
Technical Services, SA.007_TWO #12_EPE_PM	0	

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Contractor	Contract Description	Total Expended Amount
TRC Energy Services	Technical Services, SA.027_TWO #2_Com_PM	0
	Technical Services, SA.061_TWO#23 - Multifamily	52,364
	Technical Services, SA.075a - TWO #44 - PM-1	37,206
TRC Engineers, Inc.	Air Source Heat Pumps, TWO #2	19,936
	Air Source Heat Pumps, TWO #3	9,575
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, TWO #7 - Sin..	-6,536
	BR: Design, BR Benson Mines Engineering	8,036
	BR: Design, BR Caswell Solar Engineering	154,339
	BR: Environmental, BR Benson Mines Env Permitting	574
	BR: Environmental, BR Caswell Solar Env Permits	107,568
	BR: Screening, Cat 3: Feasibility Design	141,415
	BR: Screening, TWO- Cat 2_BR Site Crit. Issue	155,267
	CGSI Program Technical Review	5,597
	Code to Zero, TWO #2	20,184
	Code to Zero, TWO #3	130,669
	Commercial New Construc, TWO #1 New Con Shared Services	3,244
	Empire Building Challenge, TRC TWO Mini bid 4982 EBC	10,352
	EMPOWER NY, TWO #7 - Single Family Res SS	-13,574
	ESTOR: Implementation Support, TWO #6 - Retail Storage	27,694
	EVALUATION, TRC TWO Mini bid 4982 EBC	2,856
	Home Perf w Energy Star, TWO #7 - Single Family Res SS	80,245
	K-12 SCHOOLS, CGSI Program Technical Review	9,328
	Low Rise New Construction, TWO #1 New Con Shared Services	5,407
	Multifam New Construction, TWO #1 New Con Shared Services	7,570
	Multifam Performance Pgm, TWO #4 - Multifamily Shared Se	23,121
	NENY:CHGE Empower Electric, TWO #7 - Single Family Res SS	90
	NENY:CHGE Empower Gas, TWO #7 - Single Family Res SS	100
	NENY:Con Ed Empower Electric, TWO #7 - Single Family Res SS	398
	NENY:Con Ed Empower Gas, TWO #7 - Single Family Res SS	1,185
	NENY:NIMO Empower Electric, TWO #7 - Single Family Res SS	715
	NENY:NIMO Empower Gas, TWO #7 - Single Family Res SS	1,430
	NENY:NYSEG Empower Electric, TWO #7 - Single Family Res SS	1,330
	NENY:NYSEG Empower Gas, TWO #7 - Single Family Res SS	3,303
	NENY:O&R Empower Electric, TWO #7 - Single Family Res SS	416
	NENY:O&R Empower Gas, TWO #7 - Single Family Res SS	1,086
	NENY:RGE Empower Electric, TWO #7 - Single Family Res SS	534
	NENY:RGE Empower Gas, TWO #7 - Single Family Res SS	1,276
	New Construction Housing, TWO #1 New Con Shared Services	68,217
	New Construction- Commercial, TWO #1 New Con Shared Services	39,452
	NYCH: Comfort Home, TWO #7 - Single Family Res SS	-4,357
	NYCH: Consumer Awareness, TWO #5 - Co-Op Shared Services	36,337
	NYCH: District, CH&C Technical Support	32,029
	NYCH: Empire Build Challenge, TRC TWO Mini bid 4982 EBC	10,352
	NYCH: Supply Chain, Experience Clean Heat Campaign	217,807
NYCH: Technical Assistance, TWO #7 - Single Family Res SS	-6,536	
NYSERDA ADMINISTRATION, TWO #3 Call Center SS	286,777	
Real Time Enrgy Management, TRC TWO Mini bid 4982 EBC	12,851	
RTEM and Tenants, TRC TWO Mini bid 4982 EBC	5,712	

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Contractor	Contract Description	Total Expended Amount
TRC Engineers, Inc.	Single Family New Construction, TWO #1 New Con Shared Services	41,269
	TWO #7 - Single Family Res SS	1,222,528
TRC Environmental Corporation	CLEAN TRANSPORTATION, SA.035_TWO# 7_CT_PM2	49,042
	Energy Storage Tech/Prod Dev, SA.032_TWO# 8_IN_APM	8,498
	Heat Recovery, SA.013_TWO# 4_AES_PM2	85,560
	Housing Agencies Support, SA.042_TWO# 9_MF_PM1	9,945
	Hydrogen Innovation, SA.032_TWO# 8_IN_APM	8,498
	Low Carbon Tech Demos, SA.029_TWO# 5_MF_PM1	59,616
	Natural Carbon Solutions, SA.032_TWO# 8_IN_APM	8,755
	New Construction Housing, SA.031_TWO# 6_NC_PM1	61,320
	SA.003_TWO# 2_NY-SUN_PM1	108,500
	SA.005_TWO# 1_AES_PM1	95,150
SA.008_TWO# 3_CT_PM1	81,200	
Tri State Solar Services	<200KW PV, PON 2112 NY SUN	88,884
Troy Local Development Corporation	NYCH: District, City of Troy PH 1A	20,000
Tryfacta, Inc.	SA.047_TWO# 1_SFR_Sr BA	5,040
Ulster County BOCES	Talent Pipeline:CE and OJT, PON3981 Round 11	54,661
Ulster, County of	Clean Energy Communities, CEC510646 Ulster County	-101,853
	CLEANER GREENER COMMUNITIES, CEC510646 Ulster County	101,853
	Technical Services, OsEM104-C - Ulster County	46,571
Unchained Properties, LLC	CLEANER GREENER COMMUNITIES, CGC43235 - Chain Works	88,500
Unique Comp Inc.	NYSERDA ADMINISTRATION, TWO #3 Database Admin. Vinaya	88,739
	NYSERDA ADMINISTRATION, TWO #9 Service Desk Tech.	24,280
	NYSERDA ADMINISTRATION, TWO #10 Service Desk Tech. Pat	39,095
	NYSERDA ADMINISTRATION, TWO Sr. Software Eng.	97,929
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP - Boro Transit	100,000
	CLEAN TRANSPORTATION, NYTVIP - Pioneer Trans Corp	120,000
	CLEAN TRANSPORTATION, NYTVIP - Pride Transportation	120,000
	Electric Vehicles - Innovation, PON 3578 R1 Cat2	81,343
	Pub Transit & Elect Rail, X-ray fast cure composite bus	164,156
United Cascade Enterprises, Inc	Strategic Energy Manager, SEM Energy Coach	865,099
University at Albany	Environmental Research, AQHE PON 3921	81,869
University of Maine	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	46,106
	Natl Offshore Wind R&D	46,106
University of North Carolina at Chapel..	Environmental Research, AQHE PON 3921	10,711
University of Rochester	CI Carbon Challenge, Accelerated Efficiency & Elect	371,854
	Environmental Research, Changes in PM Composition	205,326
	Real Time Enrgy Management, UoR - 390 Elmwood Ave - RTEM	13,025
	Real Time Enrgy Management, URochester-390 Elmwood-RTEM	73,098
	Real Time Enrgy Management, URochester-390 Elmwood-RTEM	7,034
	Workforce Industry Partnership, PON 3715 (R15) BOM	32,650
Urban Energy Inc	>200KW PV, PON 2112 NY SUN	23,760
	OJT	2,536
Urban Green Council	Code to Zero, RFQL 3711 TWO#2	5,770
	Code to Zero, Urban Green TWO#1 Training	69,152
	NYCH: Talent Ppln:CE and OJT, PON3981 Round 21	2,400
	Talent Pipeline:CE and OJT, PON3981 Round 9	14,990
	Talent Pipeline:CE and OJT, PON3981 Round 10	4,382

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Contractor	Contract Description	Total Expended Amount
Urban Green Council	Workforce Industry Partnership, PON 3715 (R7) BOM	3,695
Urban Homesteading Assistance Inc	Community RH&C, CH&C Communities Round 3	92,518
	NYCH: LMI, CH&C Communities Round 3	23,482
	NYCH: Talent Ppln:CE and OJT, OJT	13,574
Urban Resource Institute	New Construction Housing, NCP Housing	24,400
USE ACQUISITION LLC	Real Time Enrgy Management, US Energy Grp-3161 Brighton	473
	Real Time Enrgy Management, US Energy-161 Corbin PI-RTEM	347
Utilidata, Inc.	Future Grid Perf. Challenges, PON4128 NationalGrid Challenge	288,011
Utilities Program & Metering, Inc.	Real Time Enrgy Management, UPM - 530 E 74th St - RTEM	18,429
Vassar College	REV Campus Challenge, REVCC_ETL_Comp_Round 3	80,000
VBK C3 Owner LLC	New Construction Housing, New Construction	148,800
VD 50th LLC	New Construction Housing, NCP Housing	120,000
Ventolines B.V.	OREC: Technical Support, Offshore Wind	19,450
	OREC: Technical Support, TWO #4 MP2.0 Cost Reduction	124,153
Venture Home Solar LLC	<200KW PV, PON 2112 NY SUN	12,480
Vermont Energy Investment Corporati..	NYCH: LMI, Program Design Support	59,672
Vervent Inc.	GJGNY REVOLVING LOAN FUND, Financing Solutions	18,753
VGCOM LLC	Tech Assistanc Multifamily LMI, FT17204 - White Plains Court	29,948
	Technical Services, FT17150 - Jamaica Hospital Med	68,870
Village of Croton-on-Hudson	Clean Energy Communities, CEC500633-VI Croton-on-Hdsn	20,000
Village of Hastings on Hudson	Code to Zero, PON 4600 Hastings on Hudson	50,000
	Code to Zero, Stretch to Zero Program	50,000
Village of Irvington	Code to Zero, PON 4600 Village of Irvington	50,000
Village of Montour Falls	Clean Energy Communities, Village of Montour Falls 4-Sta	16,308
	Talent Pipeline:CE and OJT, PON 4772 R3 (Aaron Arnold)	18,500
Village of New Paltz	Commercial New Construc, Commercial New Construction	5,000
Village of Nyack	Clean Energy Communities, CEC500668 - EV Purchase	7,500
	Clean Energy Communities, Communities & Local Government	37,500
Village of Tuckahoe	Clean Energy Communities, Communities & Local Government	7,500
Vistar Energy Inc.	NYCH: Technical Assistance, PON 4423	84,037
Voltaic Solaire LLC	<200KW PV, NY-Sun	6,480
	<200KW PV, PON 2112 NY SUN	109,225
VSE Corporation	EVPRZ:Implementation, Implementation Support for NYS	63,977
W & E Phillips Locksmith, Inc	NYSERDA ADMINISTRATION, Finance	3,268
Wadhams Solar, LLC	>200KW PV, NY Sun	731,130
Walden Environmental Engineering, P..	Environmental Research, PON 4270 PV Site Design	1,065
Wallkill Senior Housing	Tech Assistanc Multifamily LMI, FT14020 - 35 Senior - PON	10,000
Warner Bros. Discovery	Technical Services, OsEM96-C Warner Bros. Discover	52,041
Washingtonville Solar LLC	>200KW PV, NY-Sun CI Payee Assignment	137,962
WB Engineers+Consultants, Inc.	Technical Services, FT14524-Verizon-Multiple-FTC	0
	Technical Services, FT14857 - Verizon - 140 West	50,398
We are the New Farmers Inc.	Talent Pipeline:CE and OJT, PON 4772 (R3) Avni Goel	3,083
	Talent Pipeline:CE and OJT, PON 4772 R3 (Christopher Cruz)	2,375
Weill Medical College at Cornell Unive..	Technical Services, OsEM108-C Weill Cornell Med	169,231
Wende Correctional Alden NY Solar L..	>200KW PV, NY Sun Assignment	293,543
Wendel Energy Services, LLC	CGSI-31_CT - Rochester - FTC	9,450
	CGSI-91 - Sackets Harbor CSD	20,656
	CGSI-94 - Clyde-Savannah CSD	23,742

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Contractor	Contract Description	Total Expended Amount	
Wendel Energy Services, LLC	CGSI-97CT - Willsboro CSD	23,682	
	CGSI-103 - Gowanda CSD (1)_CT	25,074	
	CGSI-105 - General Brown CSD	22,431	
	CGSI-108CT - LaFayette CSD	12,432	
	CGSI-112CT - Tully CSD (1)_CT	21,510	
	CLEAN TRANSPORTATION, CGSI-77CT - Canajoharie CSD(1)	37,467	
	CLEAN TRANSPORTATION, CGSI-86 - Holland CSD (1)_CT	42,280	
	CLEAN TRANSPORTATION, FT14890 - Ken-Ton UFSD (9)_CT	48,992	
	CLEAN TRANSPORTATION, FT17011 - Half Hollow Hills CS	30,570	
	Electric Vehicles - Innovation, CGSI-31_CT - Rochester - FTC	10,852	
	Electric Vehicles - Innovation, CGSI-47E - Medina CSD(4)_E	20,035	
	Electric Vehicles - Innovation, FT14696 - West Seneca CSD (9)_	30,093	
	Electric Vehicles - Innovation, P12GC-84E - Sweet Home - FTC	0	
	FT17026 - Grand Island CSD (1)	29,426	
	FT17078 Schodack CSD (4)_CT	10,727	
	FT17247 Nassau BOCES (1)_CT	16,759	
	FT-0000748554 - Attica CSD	29,052	
	K-12 SCHOOLS, CGSI-47E - Medina CSD(4)_E	43,225	
	K-12 SCHOOLS, CGSI-66_E - Lyndonville CSD	11,594	
	K-12 SCHOOLS, CGSI-104E - Rochester CSD	29,285	
	NYCH: Technical Assistance, FT13743 - South Campus - FTC	65,601	
	Technical Services, FT14536 - 20 Ontario - FTC	49,906	
	Technical Services, FT14758 NCWD - FTC - IND	21,666	
	Technical Services, FT14773 - UB North Campus	108,889	
	Technical Services, FT14774 - UB North Campus	58,651	
	Technical Services, FT14939 - Weill Cornell Med	267,511	
	Technical Services, FT15001 - Life Technology -FTC	78,286	
	Technical Services, FT17098 St. Lawrence Universit	79,579	
	Wendel Energy Services, LLC.	NYCH: District, PON 4614 Rd #1 U of R	90,806
		NYCH: District, PON 4614 Round #1 NFG	7,874
West 44th Street Hotel	Technical Services, FT14585- InterContinental -PON	8,000	
West Harlem Environmental Action, Inc.	Clean Energy Hub, Regional Clean Energy Hub	266,247	
	Regional Clean Energy Hub	116,072	
West Henrietta Housing Development ..	Tech Assistanc Multifamily LMI, FT14972 - Butterfly Fields	6,500	
West Monroe Partners, LLC	Consumer Ed and Market Support, RFP4886 RES Market Engagement	627,641	
	Home Perf w Energy Star, RFP4886 RES Market Engagement	45,482	
	Market Support Tools &Activity, RFP4886 RES Market Engagement	895,979	
	NYCH: Comfort Home, RFP4886 RES Market Engagement	313,820	
	NYCH: Technical Assistance, RFP4886 RES Market Engagement	470,730	
	RFP4886 RES Market Engagement	784,551	
Westchester Community Opportunity ..	NYCH: Talent Ppln:CE and OJT, PON3981 Round 10	69,955	
Weston Bros.	NYCH: Talent Ppln:CE and OJT, OJT	9,002	
WFHA Brooklyn LP	Multifam Performance Pgm, Multifamily	12,000	
Whitmore Court Apartments LLC	Tech Assistanc Multifamily LMI, FT13173 - 82 Crescent - PON	10,000	
Wildlife Conservation Society.	Environmental Research, Cetaceans Baseline in NY Bight	176,830	
Willdan Energy Solutions	Clean Energy Communities, RFP 4478	24,029	
	Code to Zero, SA.106_TWO#5-CPS_Sr. PM	85,482	
	Commercial Real Estate Ten, Umbrella Agreement	63,012	

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Contractor	Contract Description	Total Expended Amount
Willdan Energy Solutions	Industrial Process Effic, Technical Review and Program S	1,668
	K-12 SCHOOLS, RFP 3788 P-12 Benchmarking	34,000
Willdan Lighting & Electric, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	13,848
	Talent Pipeline:CE and OJT, PON3981 Round 10	25,787
Williams Equities Asset Management ..	Technical Services, OsEM78-C-ColliersInternational	50,237
Windels Marx Lane & Mittendorf, LLP	RFP 12 - NYGB Legal Services	14,401
WinnDevelopment Company LP	LMI Multifamily Demos, Stovroff Towers: EBC Cohort 3	90,000
Wise Home Energy, LLC	NYCH: Talent Ppln:CE and OJT, OJT	11,315
	OJT	14,944
Wolf Solar LLC	>200KW PV, NY Sun	504,933
Woodcrest Dairy, LLC	ANAEROBIC DIGESTER, PON 2828 - Woodcrest	65,548
World Energy Innovations LLC	Technical Services, FT14726 - MSKCC - 1275 York	117,637
Worley Group, Inc.	OREC: Technical Support, Determination Study Buy Americ	11,899
	REC:CES REC System Dev Costs, TWO #1 Buy American study 2024	44,294
WOTC Tenants Corporation	NYCH: Technical Assistance, FT14061 - 73-10 220th - PON	12,278
WSP USA Corp.	Clean Energy Communities, TA Community Support Services	233,683
	Environmental Research, ENV & Fisheries Rsrch for OSW	44,060
	FT14624-Brooklyn Hospital Cen	42,516
	OREC: Technical Support, Suppt Svcs for Solar Dev & Ag	122,105
	OREC: Technical Support, TWO#1- Offshore Wind Cable	88,127
	OREC: Technical Support, TWO#6 M-TWG Support	35,480
	Technical Services, FT14624-Brooklyn Hospital Cen	-19,288
Wyoming County Community Action, I..	Multifam Performance Pgm, Multifamily	2,600
Wythe Partners LLC	NYCH: Innovation, Panelized Systems - Cycle	82,800
Yale University	Environmental Research, Aerosol Speciation Monitoring	29
	Environmental Research, Source Apportionment VOC-SVOC	38,820
Yardi Systems, Inc.	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	5,478
Yellow 3 LLC	>200KW PV, NY Sun	134,363
	NY-SUN, NY Sun	165,370
Yellow 4 LLC	>200KW PV, NY Sun	89,643
Yellow 12 LLC	>200KW PV, NY Sun	107,760
	NY-SUN, NY Sun	44,372
Yeshiva University	Technical Services, OsEM113-C - Yeshiva University	42,300
ZBF Geothermal LLC	NYCH: District, PON 4614 Round #5	462,841
	PON 4614 Round #5	198,361
ZDJ Hudson Yards LLC	New Construction Housing, NCP Housing 2022	135,730
	New Construction- Commercial, NCP Housing 2022	0
Grand Total		295,422,897

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Expended Amount
AB Capital Assets, LLC	EMPOWER NY, Single Family Residential	873
	Home Perf w Energy Star, Single Family Residential	3,749
	NYCH: Comfort Home, Single Family Residential	60,050
	Single Family Residential	605,019
Accelerate Wind LLC	Workforce Dev & Training	5,585
Accord Power, Inc.	Workforce Dev & Training	7,099
ADL Ventures LLC	Workforce Dev & Training	6,394
Albany, City of,	Workforce Dev & Training	11,450
Allen Power, Inc.	CLEAN TRANSPORTATION, Clean Transportation	27,000
	EV Charging and Engagement, Clean Transportation	56,000
alpha-En Corporation	Workforce Dev & Training	10,373
American Clean Power Association	OREC: Technical Support, Events Management	3,500
Arch Street Communications, Inc.	Workforce Dev & Training	45,774
Association for Energy Affordability, In	Multifam Performance Pgm, Events Management	3,000
	Single Family Residential	10,787
Bedford 2030	Workforce Dev & Training	3,550
Bettery Corporation	Workforce Dev & Training	11,261
Binghamton Regional	Workforce Dev & Training	3,737
Bliss Solar, LLC	Workforce Dev & Training	2,455
Breathe Easy of CNY Inc.	Single Family Residential	5,960
Buffalo Solar Solutions Inc	Workforce Dev & Training	5,554
Cadence OneFive Inc.	Workforce Dev & Training	7,130
CEC Stuyvesant Cove, Inc.	Workforce Dev & Training	17,809
CG Global Management Solutions, LLC	Workforce Dev & Training	50,913
City of Hudson	Clean Energy Communities, Communities & Local Government	20,000
City of Utica	Clean Energy Communities, Communities & Local Government	25,000
Climate Solutions Accelerator of the	Workforce Dev & Training	3,736
Columbia County	Clean Energy Communities, Communities & Local Government	15,000
Comrie Enterprises, LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	5,814
County Heat & AC, LLC	NYCH: Comfort Home, Single Family Residential	242,400
CVENT, Inc.	Electric Vehicles - Innovation, Events Management	3,475
	OREC: Technical Support, Events Management	2,503
Dollaride, Inc.	Workforce Dev & Training	6,039
Ecosave, Inc.	Workforce Dev & Training	3,580
EME Consulting Engineering Group, LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	11,651
Empire State Realty OP, LP	Technical Services, Efficiency Plan & Engineering	172,405
Empower Equity Inc	Workforce Dev & Training	17,889
Energy Catalyst LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	12,240
Energy EDC Corp.	Workforce Dev & Training	25,344
Energy Management Solutions, LLC	EMPOWER NY, Single Family Residential	7,400
	Home Perf w Energy Star, Single Family Residential	36,186
	NENY:CHGE Empower Electric, Single Family Residential	451
	NENY:CHGE Empower Gas, Single Family Residential	23,936
	NENY:Con Ed Empower Gas, Single Family Residential	40,445
	NENY:O&R Empower Electric, Single Family Residential	484
	NENY:O&R Empower Gas, Single Family Residential	63,439
	NYCH: Comfort Home, Single Family Residential	105,450
	NYCH: Technical Assistance, Single Family Residential	1,800
	Single Family Residential	436,274
Energy Savers Inc	Workforce Dev & Training	3,868
Energy Savers Inc	EMPOWER NY, Single Family Residential	15,325

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
 Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Expended Amount
Energy Savers Inc	Home Perf w Energy Star, Single Family Residential	39,789
	NENY:NIMO Empower Gas, Single Family Residential	78,659
	NENY:NYSEG Empower Electric, Single Family Residential	11,577
	NENY:NYSEG Empower Gas, Single Family Residential	11,758
	NYCH: Comfort Home, Single Family Residential	595,200
	Single Family Residential	1,313,651
Enervee Corporation	NENY:NYSEG Empower Electric, Single Family Residential	3,877
	Single Family Residential	14,239
Ferrario Ford Inc	CLEAN TRANSPORTATION, Clean Transportation	5,000
Finger Lakes Comfort, Inc	EMPOWER NY, Single Family Residential	17,400
	Home Perf w Energy Star, Single Family Residential	16,135
	NENY:NYSEG Empower Electric, Single Family Residential	942
	NENY:NYSEG Empower Gas, Single Family Residential	6,209
	Single Family Residential	434,041
Fishtech Energy Partners LLC	Workforce Dev & Training	7,344
Foam It Insulation, LLC	EMPOWER NY, Single Family Residential	2,800
	Home Perf w Energy Star, Single Family Residential	50,842
	NENY:NYSEG Empower Electric, Single Family Residential	22,575
	NENY:NYSEG Empower Gas, Single Family Residential	63,306
	NYCH: Comfort Home, Single Family Residential	27,950
	NYCH: Consumer Awareness, Community Thermal Networks	34,473
	NYCH: Technical Assistance, Single Family Residential	9,200
	Single Family Residential	2,260,403
	Workforce Dev & Training	7,344
Friello and Sons Heating and Cooling, In	Home Perf w Energy Star, Single Family Residential	4,393
	Single Family Residential	12,055
G.R.O. Energy Solutions, LLC	EMPOWER NY, Single Family Residential	1,900
	Home Perf w Energy Star, Single Family Residential	28,234
	NYCH: Comfort Home, Single Family Residential	12,000
	NYCH: Technical Assistance, Single Family Residential	1,800
	Single Family Residential	802,234
Geatain Engineering PLLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	7,344
	Workforce Dev & Training	3,534
Goldman Copeland Associates, P.C.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	11,750
Green Home Logic, Inc.	EMPOWER NY, Single Family Residential	3,893
	Healthy Homes VB Payment Pilot, Energy & Climate Equity	58,754
	Home Perf w Energy Star, Single Family Residential	58,527
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	200
	NENY:Con Ed Empower Gas, Single Family Residential	58,575
	NENY:NIMO Empower Gas, Single Family Residential	44
	NYCH: Comfort Home, Single Family Residential	36,650
	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	1,346
	NYCH: Technical Assistance, Single Family Residential	21,800
	Single Family Residential	321,838
	Green Light New York, Inc.	Workforce Dev & Training
Green Machine Equipment Inc	Workforce Dev & Training	35,345
Group-S LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	14,688
Guth Deconzo Consulting Engineers	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	7,344
	Workforce Dev & Training	20,257
Halcyon Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	5,258
	EMPOWER NY, Single Family Residential	52,791

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Expended Amount
Halcyon Inc.	Healthy Homes VB Payment Pilot, Energy & Climate Equity	26,261
	Home Perf w Energy Star, Single Family Residential	59,421
	NENY:NIMO Empower Gas, Single Family Residential	8,670
	NENY:NYSEG Empower Electric, Single Family Residential	63,880
	NENY:NYSEG Empower Gas, Single Family Residential	28,666
	NYCH: Comfort Home, Single Family Residential	162,613
	NYCH: Technical Assistance, Single Family Residential	4,200
	Single Family Residential	3,004,527
HALO Branded Solutions, Inc.	POLICY DEVELOPMENT, Events Management	1,018
Harris Energy Solutions LLC	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	14,317
Hytech Solar Inc	NYCH: Technical Assistance, Single Family Residential	200
John Betlem Heating & Cooling Inc	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	4,434
	EMPOWER NY, Single Family Residential	55,610
	Home Perf w Energy Star, Single Family Residential	140,019
	NENY:NFG Empower Gas, Single Family Residential	384
	NENY:NYSEG Empower Electric, Single Family Residential	810
	NENY:NYSEG Empower Gas, Single Family Residential	16,649
	NYCH: Comfort Home, Single Family Residential	14,450
	NYCH: Technical Assistance, Single Family Residential	200
	Single Family Residential	1,943,006
Kaitlin Moody	NY Green Bank	941
Kasselman Solar LLC	Workforce Dev & Training	9,100
KC Management Holdings LLC	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	5,203
	EMPOWER NY, Single Family Residential	3,480
	Home Perf w Energy Star, Single Family Residential	27,544
	NENY:NFG Empower Gas, Single Family Residential	21,432
	NENY:NYSEG Empower Electric, Single Family Residential	528
	NYCH: Comfort Home, Single Family Residential	371,800
	Single Family Residential	1,121,101
Lamico Enterprises, LLC	Home Perf w Energy Star, Single Family Residential	14,163
	NENY:NIMO Empower Gas, Single Family Residential	32,551
	NYCH: Comfort Home, Single Family Residential	3,500
	Single Family Residential	207,321
Livingston Energy Group	Workforce Dev & Training	7,344
Long Island Power Authority	GJGNY REVOLVING LOAN FUND, Single Family Residential	83,772
Long Island Progressive Coalition	Energy & Climate Equity	3,223
Malcarne Contracting, Inc.	Home Perf w Energy Star, Single Family Residential	13,159
	NYCH: Comfort Home, Single Family Residential	4,300
	NYCH: Consumer Awareness, Community Thermal Networks	15,935
	Single Family Residential	16,652
Meltek Inc.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	765
	Workforce Dev & Training	30,942
MicroEra Power, Inc.	Workforce Dev & Training	22,032
Mid-Hudson Energy Transition	Workforce Dev & Training	36,902
MR. AIR NYC Corp.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	7,344
New York Geothermal Energy Organization	POLICY DEVELOPMENT, Events Management	1,200
New York State Foam & Energy LLC	Home Perf w Energy Star, Single Family Residential	5,402
	NENY:NYSEG Empower Electric, Single Family Residential	5,402
	NENY:O&R Empower Gas, Single Family Residential	8,153
	NYCH: Comfort Home, Single Family Residential	46,600
	Single Family Residential	50,995

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Expended Amount
Noco Energy Corp.	CLEAN TRANSPORTATION, Clean Transportation	8,000
	EMPOWER NY, Single Family Residential	1,577
	Home Perf w Energy Star, Single Family Residential	6,825
	NYCH: Comfort Home, Single Family Residential	8,000
	NYCH: Consumer Awareness, Community Thermal Networks	6,016
	NYCH: Technical Assistance, Single Family Residential	2,200
	Single Family Residential	49,432
	Workforce Dev & Training	1,976
NYC & Lower Hudson Valley Clean Communit	Workforce Dev & Training	3,213
NYS Energy Audits, Inc.	Healthy Homes VB Payment Pilot, Energy & Climate Equity	3,990
	Home Perf w Energy Star, Single Family Residential	6,851
	NENY:Con Ed Empower Gas, Single Family Residential	2,042
	NENY:NIMO Empower Gas, Single Family Residential	9,991
	NENY:O&R Empower Electric, Single Family Residential	7,842
	NENY:O&R Empower Gas, Single Family Residential	23,409
	Single Family Residential	250,161
Orange and Rockland Utilities, Inc.	GJGNY REVOLVING LOAN FUND, Single Family Residential	2,066
Otsego County Conservation Association	Clean Energy Communities, Communities & Local Government	10,000
Patriot Energy Solutions Corp	EMPOWER NY, Single Family Residential	32,114
	Home Perf w Energy Star, Single Family Residential	20,381
	NENY:Con Ed Empower Gas, Single Family Residential	81,641
	NENY:NIMO Empower Gas, Single Family Residential	10,020
	Single Family Residential	2,205,379
Plugin Stations Online, LLC	CLEAN TRANSPORTATION, Clean Transportation	8,000
	EV Charging and Engagement, Clean Transportation	8,000
Public Utility Law Project of New York,	Energy & Climate Equity	1,800
Pure Performance Renewable Energy Soluti	CLEAN TRANSPORTATION, Clean Transportation	25,000
Resilience Education Training and Innova	Workforce Dev & Training	1,270
Rockland County	Clean Energy Communities, Communities & Local Government	15,000
Ross Energy Consulting, LLC	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Training	17,855
	Workforce Dev & Training	8,300
Ryan Plumbing Heating Air Conditioning	EMPOWER NY, Single Family Residential	7,371
	Home Perf w Energy Star, Single Family Residential	6,722
	NYCH: Talent Ppln:CE and OJT, Workforce Dev & Training	1,908
	Single Family Residential	1,602,595
Sage Realty Corp.	Technical Services, Efficiency Plan & Engineering	31,051
SANFILIPPO SOLUTIONS INC.	EMPOWER NY, Single Family Residential	9,422
	Home Perf w Energy Star, Single Family Residential	6,091
	NENY:NFG Empower Gas, Single Family Residential	17,289
	NENY:NYSEG Empower Electric, Single Family Residential	176
	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Training	4,831
	Single Family Residential	810,902
Soulful Synergy, LLC	OREC: Technical Support, Offshore Wind	800
Stanley Ruth Co., LLC	NYCH: Talent Ppln:Intern Pgm, Workforce Dev & Training	29,376
Sunlight General Capital LLC	Workforce Dev & Training	6,630
Supreme Green Energy Inc	EMPOWER NY, Single Family Residential	1,692
	Home Perf w Energy Star, Single Family Residential	1,621
	NENY:NYSEG Empower Electric, Single Family Residential	1,209
	NENY:O&R Empower Electric, Single Family Residential	56,061
	NENY:O&R Empower Gas, Single Family Residential	133,811
	NYCH: Comfort Home, Single Family Residential	150

Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Expended Amount
Supreme Green Energy Inc	NYCH: Technical Assistance, Single Family Residential	200
	Single Family Residential	163,260
Sustainable Energy Developments Inc.	Workforce Dev & Training	11,530
Sustainable Finger Lakes Inc	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	15,292
	Workforce Dev & Training	5,141
Sustainable Hudson Valley, Inc.	Workforce Dev & Training	17,082
Sustainable Westchester	Workforce Dev & Training	7,929
Syracuse University	Heat Recovery, Events Management	458
Taitem Engineering, P.C.	NYCH: Talent Ppln: Intern Pgm, Workforce Dev & Training	2,781
TBL Technologies Inc.	Workforce Dev & Training	5,141
The Business Council of NYS, Inc.	Events Management	4,000
The Insulation Man LLC	EMPOWER NY, Single Family Residential	1,383
	Home Perf w Energy Star, Single Family Residential	6,213
	NENY: NYSEG Empower Electric, Single Family Residential	759
	NENY: NYSEG Empower Gas, Single Family Residential	10,052
	NYCH: Technical Assistance, Single Family Residential	3,800
	Single Family Residential	273,392
The Top Gun Group, LLC	Home Perf w Energy Star, Single Family Residential	9,381
	NENY: CHGE Empower Electric, Single Family Residential	66
	NENY: NIMO Empower Gas, Single Family Residential	10,893
	NENY: NYSEG Empower Electric, Single Family Residential	666
	NENY: NYSEG Empower Gas, Single Family Residential	14,412
	NYCH: Comfort Home, Single Family Residential	499,850
	NYCH: Consumer Awareness, Community Thermal Networks	5,753
	NYCH: Technical Assistance, Single Family Residential	800
Single Family Residential	984,876	
Town of Hector	Clean Energy Communities, Communities & Local Government	20,000
Town of Rhinebeck	Clean Energy Communities, Communities & Local Government	5,000
Town of Roseboom	Clean Energy Communities, Communities & Local Government	9,870
University of Rochester	Environmental Research, Environmental Research	6,770
	REV Campus Challenge, Efficiency Plan & Engineering	13,623
Urban Green Council	Low Carbon Tech Demos, Events Management	2,500
Village of Croton-on-Hudson	Clean Energy Communities, Communities & Local Government	65,000
Village of Hastings on Hudson	Clean Energy Communities, Communities & Local Government	62,500
Village of Montour Falls	Workforce Dev & Training	14,022
Village of New Paltz	Clean Energy Communities, Communities & Local Government	15,000
Village of Nyack	Clean Energy Communities, Communities & Local Government	10,000
Wendel Energy Services, LLC	Workforce Dev & Training	19,959
West Harlem Environmental Action, Inc.	Energy & Climate Equity	600
Wise Home Energy, LLC	Eval MCDC: Heat Pump Experiment, Market Char & Evaluation	4,000
	Healthy Homes VB Payment Pilot, Energy & Climate Equity	1,401
	Home Perf w Energy Star, Single Family Residential	35,700
	NENY: NFG Empower Gas, Single Family Residential	43,702
	NENY: NYSEG Empower Electric, Single Family Residential	198
	NYCH: Comfort Home, Single Family Residential	40,150
Single Family Residential	895,966	
WL Concepts & Productions, Inc	POLICY DEVELOPMENT, Events Management	3,154
Grand Total		25,508,561

NYSERDA

Public Authority Law Report

April 1, 2024 to September 30, 2024

Section Break

Contracts Executed
Period 4/1/2024 through 9/30/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
22nd Century Technologies, Inc.	4/22/2024	NYSERDA ADMINISTRATION, SA.021_TWO# 3_SO_Training ..	93,184
	4/29/2024	Market Support Tools &Activity, SA.022_TWO# 4_SFR_BA	24,494
		SA.022_TWO# 4_SFR_BA	97,976
	5/23/2024	ENERGY ANALYSIS, SA.027_TWO# 5_EM_PC	189,164
	6/7/2024	Tech Assistanc Multifamily LMI, SA.006_TWO# 1_EPE_APM	10,000
8/7/2024	Equitable Engagement, SA.017_TWO# 6_ECE_PM1	160,744	
142 Fifth Avenue	9/25/2024	Technical Services, FT17185 - 142 5th Avenue - FTC	18,000
179 East 70th Street Corp	7/17/2024	Technical Services, FT14582 - Douglas Elliman Prop	18,500
375 Riverside Drive Owners	7/11/2024	Technical Services, FT14741 - Douglas Elliman Prop	21,100
770 Electric Corp.	5/6/2024	<200KW PV, NY-Sun	41,292
		>200KW PV, NY-Sun	68,820
	8/7/2024	>200KW PV, PON 2112 NY SUN	42,680
	8/8/2024	>200KW PV, PON 2112 NY SUN	15,520
2005 Jerome Avenue LDG LLC	8/15/2024	New Construction Housing, NCP Housing 2022	352,000
		New Construction- Commercial, NCP Housing 2022	13,852
AASPEN HVAC	4/26/2024	NYCH: Talent Ppln:CE and OJT, OJT	7,680
AB Capital Assets, LLC	4/5/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,400
Abt Global Inc	5/8/2024	DAC Indicator Updates	45,000
Abundant Solar Power Inc.	9/3/2024	NY-SUN, NY-Sun ICSA	245,981
Accelerate Wind LLC	6/4/2024	Talent Pipeline:CE and OJT, OJT	10,240
Accord Power, Inc.	4/24/2024	>200KW PV, PON 2112 NY SUN	32,485
	5/2/2024	<200KW PV, PON 2112 NY SUN	7,216
	5/6/2024	<200KW PV, NY-Sun	275,656
		>200KW PV, NY-Sun	68,914
	6/6/2024	<200KW PV, PON 2112 NY SUN	5,576
	6/12/2024	<200KW PV, PON 2112 NY SUN	15,416
	6/13/2024	<200KW PV, PON 2112 NY SUN	5,184
	6/14/2024	>200KW PV, PON 2112 NY SUN	8,505
	6/18/2024	>200KW PV, NY-Sun	569,875
		NY-SUN, NY-Sun	113,975
	6/26/2024	<200KW PV, NY-Sun	7,209
		>200KW PV, NY-Sun	12,015
	7/16/2024	<200KW PV, PON 2112 NY SUN	5,120
	7/18/2024	>200KW PV, PON 2112 NY SUN	20,000
	7/19/2024	<200KW PV, PON 2112 NY SUN	14,296
	7/24/2024	<200KW PV, PON 2112 NY SUN	64
	8/7/2024	<200KW PV, PON 2112 NY SUN	5,440
	8/8/2024	<200KW PV, NY-Sun	32,980
		>200KW PV, NY-Sun	32,980
	8/13/2024	<200KW PV, NY-Sun	11,640
		>200KW PV, NY-Sun	19,400
	9/4/2024	>200KW PV, NY-Sun	80,025
		>200KW PV, PON 2112 NY SUN	20,000
NY-SUN, NY-Sun		16,005	
9/5/2024	<200KW PV, NY-Sun	87,780	
	>200KW PV, NY-Sun	74,034	
	>200KW PV, PON 2112 NY SUN	23,040	
9/17/2024	NY-SUN, PON 2112 NY SUN	111,695	
9/18/2024	>200KW PV, PON 2112 NY SUN	8,000	
ACE Development Company LLC	6/26/2024	REC:CES REC Contracts, RESRFP22-1	352,668,641
ACE Development Company, LLC	6/26/2024	REC:CES REC Contracts, RESRFP22-1	162,109,089
	9/3/2024	REC:CES REC Contracts, RESRFP23-1	230,188,948
ACEEE	4/24/2024	Prof & Expert Engagement, 2024 Ally Membership	12,000
Adam C. Boese	4/12/2024	Technical Services, FT14863 - NOSTRAND GARDENS CO	23,265
	4/22/2024	K-12 SCHOOLS, FT17102 The Lorge School (1)_E	12,115
	4/24/2024	Technical Services, AEAP 1502 - Thomas Curtis	6,000

Contracts Executed
Period 4/1/2024 through 9/30/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Adam C. Boese	4/24/2024	Technical Services, AEAP 1566 - High Grove Farm	5,330
	6/11/2024	Technical Services, AEAP 1717 - Jessica Heim	5,610
		Technical Services, AEAP 1718 - MT Pockets	6,000
		Technical Services, AEAP 1720 - Seven View Farm	5,340
		Technical Services, FT17293 Green-Wood Cemetery -	16,793
	7/8/2024	Technical Services, AEAP 1621 - Purdy Family Farms	6,000
		Technical Services, AEAP 1701 - Richard Pugh	6,000
		Technical Services, AEAP 1702 - Rush Around Acres	6,000
		Technical Services, AEAP1627 - Thornapple Dairy	6,000
	9/4/2024	Technical Services, FT14824 - 401 Park Ave South A	9,676
	9/17/2024	Technical Services, GH 22 - Early Bird Farm	6,500
	9/20/2024	Technical Services, AEAP 1740 - Envision Dairy	6,000
		Technical Services, AEAP 1741 - Jessica Heim-Dairy	6,000
	9/24/2024	Technical Services, AEAP 1742 - R&D Adams Dairy	6,000
		Technical Services, AEAP 1748 - Lawtons Jersey Far	6,000
Adam Hinge	4/8/2024	Empire Building Challenge, Sustainable Energy Partnership	20,000
		EVALUATION, Sustainable Energy Partnership	80,000
		LMI Multifamily Demos, Sustainable Energy Partnership	20,000
Adirondack North Country Association	5/2/2024	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
Advanced Energy Group L.L.C.	4/2/2024	RTEM and Tenants, AEG - CRE Owner and Tenant RT	50,000
Advanced Radiant Design, Inc.	4/29/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	5/22/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	6/13/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,560
Advanced Solar Solutions	6/17/2024	>200KW PV, PON 2112 NY SUN	32,155
	9/4/2024	>200KW PV, PON 2112 NY SUN	24,200
AECOM USA INC.	5/31/2024	Tech Assistanc Multifamily LMI, Tech Review_Program Support	62,500
		Technical Services, Tech Review_Program Support	62,500
AETS OH 2024 LLC	4/19/2024	>200KW PV, NY Sun	730,884
Afp 101 Corp	9/18/2024	Clean Energy Communities, 2024 CEC Coordinator Meeting	15,000
Agarabi Engineering, PLLC	7/24/2024	Tech Assistanc Multifamily LMI, FT - 0000769789 - 388 Halsey S	10,125
	8/22/2024	Talent Pipeline:CE and OJT, OJT	22,846
	9/4/2024	Technical Services, FT - 0000769783 - Newswalk Con	32,625
	9/12/2024	NYCH: Technical Assistance, FT15187 - 77 Bleecker Street	54,938
		Tech Assistanc Multifamily LMI, FT - 0000769790 - Cooper Squ..	111,000
	9/24/2024	Technical Services, FT - 0000789751 - Kibel Compan	20,000
	9/25/2024	Technical Services, FT - 0000797665 - Willowtown A	9,000
		Technical Services, FT - 0000797970 - 760 West End	27,500
	9/26/2024	Technical Services, FT - 0000797961 - The Towers C	22,063
	Technical Services, FT - 0000805037 - Plymouth Own	15,500	
Ai Air Conditioning Corp	5/24/2024	NYCH: Talent Ppln:CE and OJT, OJT	13,680
	5/28/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,120
	6/13/2024	NYCH: Talent Ppln:CE and OJT, OJT	25,920
	7/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	19,200
	7/22/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,800
	9/3/2024	NYCH: Talent Ppln:CE and OJT, OJT	18,000
	9/25/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,800
	AI-ALT STRUCTURAL ENGINEERING P..	9/27/2024	OJT
AIA - New York Chapter	4/24/2024	New Construction Housing, BoE Rnd. 4 Award Event	40,000
		New Construction- Commercial, BoE Rnd. 4 Award Event	10,000
AKF-engineers	5/1/2024	Technical Services, FT17044 AKAM - 10 Park	31,147
	5/24/2024	Technical Services, FT14752 - Mount Sinai Queens -	19,208
	6/10/2024	Technical Services, FT14800 - Mount Sinai Advanced	7,320
	7/1/2024	Tech Assistanc Multifamily LMI, FT17085 Related Affordable - 1	60,600

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
AKF-engineers	7/19/2024	Technical Services, FT17130 Vornado Office Managem	48,425
	8/20/2024	Technical Services, FT - 0000762638 - NYPH New Yor	966,099
Albany Community Land Trust	9/13/2024	IEDR Env Justice Working Group	19,800
Albany County	8/28/2024	Clean Energy Communities, Communities & Local Government	125,000
Albany County Airport Authority	5/8/2024	PON 4614 - Round 9	500,000
Albany Solar Solutions L.L.C.	6/28/2024	<200KW PV, PON 2112 NY SUN	5,280
All-State Air Control Sales & Service In	6/13/2024	NYCH: Talent Ppln:CE and OJT, OJT	16,560
Allied Microbiota Inc	5/13/2024	Cleantech Ignition, PON 3871 Ignition Grants	100,000
alpha-En Corporation	4/18/2024	Talent Pipeline:CE and OJT, OJT	15,360
Alta Electrical Vehicles North East, LLC	9/11/2024	CLEAN TRANSPORTATION, NYTVIP - GTG Albany LLC	1,075,000
Altanova LLC	8/22/2024	NYCH: Technical Assistance, FT - 0000784458 - EBMG - 710 R	9,650
AltPOWER, Inc.	6/18/2024	>200KW PV, NY-Sun	144,480
Amazon Web Services , INC.	9/24/2024	Consumer Ed and Market Support, Amazon Connect SFR Call ..	7,844
AMERESCO, Inc.	4/17/2024	<200KW PV, NY-Sun	70,800
	6/18/2024	<200KW PV, PON 2112 NY SUN	69,905
	6/25/2024	<200KW PV, PON 2112 NY SUN	13,061
Amergy Solar Inc.	4/5/2024	<200KW PV, PON 2112 NY SUN	5,372
	5/29/2024	>200KW PV, PON 2112 NY SUN	12,640
	6/14/2024	<200KW PV, PON 2112 NY SUN	5,688
	6/25/2024	<200KW PV, PON 2112 NY SUN	6,320
	7/29/2024	<200KW PV, PON 2112 NY SUN	7,900
	8/7/2024	>200KW PV, PON 2112 NY SUN	44,000
American Clean Power Association	7/23/2024	American Clean Power '24 Spon	2,429
		INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ame..	6,071
American Concert & Entertainment Ser..	8/12/2024	Clean Energy Hub, AV services for Hubs Meeting	7,873
American Council for an Energy Efficient	4/2/2024	Prof & Expert Engagement, ACEEE NASEMC	10,000
	7/31/2024	Subscription/Data Access, ACEEE 2024 Cosponsored Researc	96,000
American Energy Care, Inc.	4/26/2024	Talent Pipeline:CE and OJT, OJT	10,560
	9/4/2024	<200KW PV, PON 2112 NY SUN	10,512
American Solar Partners, LLC	9/3/2024	<200KW PV, NY-Sun	196,020
Ames Goldsmith Corp.	5/8/2024	CI Carbon Challenge, Accelerated Efficiency & Elect	636,786
Ampersand Electric	5/22/2024	NYCH: Talent Ppln:CE and OJT, OJT	11,520
	5/24/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,120
	7/17/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,160
AMS Construction Corp	6/20/2024	>200KW PV, NY-Sun	65,960
	7/17/2024	>200KW PV, NY-Sun	31,040
		NY-SUN, NY-Sun	6,208
	7/18/2024	>200KW PV, NY-Sun	225,780
		NY-SUN, NY-Sun	45,156
	7/24/2024	>200KW PV, NY-Sun	83,420
		NY-SUN, NY-Sun	16,684
	8/22/2024	>200KW PV, NY-Sun	48,500
NY-SUN, NY-Sun		9,700	
9/4/2024	>200KW PV, NY-Sun	131,920	
	NY-SUN, NY-Sun	26,384	
Annsville Solar 1, LLC	4/1/2024	NY Sun	937,500
		NY-SUN, NY Sun	525,000
Annsville Solar 2, LLC	4/1/2024	NY Sun	937,500
		NY-SUN, NY Sun	525,000
Annsville Solar 3, LLC	4/1/2024	NY Sun	303,875
		NY-SUN, NY Sun	170,170
Antares Group, Inc.	7/1/2024	K-12 SCHOOLS, CGSI-130E- Campbell Savona CSD	95,662
Aon Risk Consultants, Inc.	6/21/2024	Risk consulting for e2i	25,000
Apex Clean Energy Holdings, LLC	9/27/2024	REC:CES REC Contracts, RESRFP23-1	396,526,301
Apex Energy Tek LLC	8/21/2024	<200KW PV, PON 2112 NY SUN	28,058

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
APPEXTREMES, LLC	4/16/2024	NYSERDA ADMINISTRATION, Conga Composer Maintenance ..	17,424
APX Inc.	4/16/2024	REC:CES REC System Dev Costs, NYGATS	157,830
	5/15/2024	REC:CES REC System Dev Costs, NYGATS	636,694
Aramark Management Srvc Ltd Prtnshp	9/25/2024	Technical Services, OsEM146-C - BronxCare Health S	200,000
Arcadis of New York, Inc.	4/22/2024	CGSI-100CT - Groton CSD (1)_CT	44,810
	5/6/2024	K-12 SCHOOLS, CGSI-116E - Walton CSD (3)_E	46,151
	5/7/2024	Technical Services, AEAP 1674 - Dog Wood Farm LLC	6,000
		Technical Services, AEAP 1682 - Gettysville Farm	6,000
	5/23/2024	REC:CES REC System Dev Costs, Tech Supp NYGATS - TWO..	100,000
	5/24/2024	CGSI-98 - Odessa-Montour CSD	44,810
		NEW YORK GREEN BANK, Climate Risk Resilience	291,700
	5/31/2024	CGSI-117 - Union-Endicott CSD	44,810
		CGSI-120 - Susquehanna Valley	44,810
	6/25/2024	CGSI-151 -Hyde Park CSD (1)_CT	44,810
	7/24/2024	Technical Services, AEAP 1736 - Demko Dairy LLC	3,000
	7/29/2024	CGSI-118 - Seneca Falls CSD	44,810
	8/14/2024	Technical Services, AEAP 1747 - Landview Farms	3,000
	8/20/2024	Technical Services, AEAP 1736 - Demko Dairy LLC	3,000
	8/27/2024	K-12 SCHOOLS, CGSI-222E -Odessa-Montour CSD	58,976
	9/12/2024	Technical Services, AEAP 1764 - Kent Countryside N	3,000
	9/18/2024	Technical Services, AEAP 1789 - New Moon Farmstead	3,000
9/27/2024	Technical Services, AEAP 1797 - Hicks Orchard LLC	3,000	
	Technical Services, AEAP 1798 - Taida Orchid	3,000	
	Technical Services, GH 23 - Taida Orchids NY	6,500	
Arch Street Communications, Inc.	7/19/2024	OTHER PROGRAM AREA, RFP4459 Marketing Support	15,000
	9/2/2024	Future Energy Econ Summit	234,000
Arctic Air Mechanical Corp	4/4/2024	NYSERDA ADMINISTRATION, HVAC Preventative Maintenance	11,200
Argus Media Inc.	4/18/2024	ENERGY ANALYSIS, Argus Renewal - 2024-2025	20,909
Armory Plaza Housing, L.P.	4/26/2024	Low Carbon Tech Demos, Low Carbon Pathways	208,000
Arnot Ogden Medical Center	9/3/2024	Technical Services, OsEM143-C - Arnot Ogden Med	132,013
Articulate Global Inc	5/29/2024	NYSERDA ADMINISTRATION, Articulate Software License 3y	1,193
Arup US, Inc.	9/5/2024	Technical Services, FT - 0000760165 - Mitsui Fudos	110,750
Aspire Technology Partners LLC	4/22/2024	NYSERDA ADMINISTRATION, Cisco Cloud Calling	478,650
	5/23/2024	NYSERDA ADMINISTRATION, Cisco Cloud Calling	3,004
	7/3/2024	NYSERDA ADMINISTRATION, Cloud Calling Migration Servic	38,610
Association for Energy Affordability, In	4/4/2024	Tech Assistanc Multifamily LMI, FT17122 3520 Tryon Avenue	14,230
	4/18/2024	Low Carbon Tech Demos, Low Carbon Pathways	85,750
	5/1/2024	Tech Assistanc Multifamily LMI, FT17144 - NY Affordable Housin	41,930
	5/6/2024	Tech Assistanc Multifamily LMI, FT17099 Marion Avenue Redev..	16,848
	5/23/2024	Clean Energy Hub, Regional Clean Energy Hub	100,000
		NYCH: Communities, Regional Clean Energy Hub	1,620,000
		Regional Clean Energy Hub	195,000
		Translation Services, Regional Clean Energy Hub	10,000
	5/31/2024	Tech Assistanc Multifamily LMI, FT17142 LRF Housing Associat..	18,179
	6/25/2024	Tech Assistanc Multifamily LMI, FT17123 Sanford Plaza - 144-64	14,250
	7/24/2024	Technical Services, FT17108 - Turing Housing Devel	16,669
	8/5/2024	Tech Assistanc Multifamily LMI, FT17219 - Woodysun HDFC - 4..	12,023
	8/16/2024	Tech Assistanc Multifamily LMI, FT - 0000756431 - HOBBS CIE..	18,585
	8/22/2024	Tech Assistanc Multifamily LMI, FT - 0000766850 - Sanford Apar	15,065
		Tech Assistanc Multifamily LMI, FT - 0000770456 - SANDALE ..	12,545
	9/3/2024	Tech Assistanc Multifamily LMI, FT - 0000756289 - Imperial San	18,743
		Tech Assistanc Multifamily LMI, FT - 0000756504 - 230 Kingston	17,831
9/18/2024	Technical Services, FT - 0000794171 - 404 Condomin	6,940	
Atlas Public Policy	8/16/2024	Electric Vehicles - Innovation, MHD EV Grid Impact Cat 2	185,377
Aurora Ridge Dairy LLC	5/31/2024	Anaerobic Digesters, PON 3739 CAT C	529,000
Aztech Geothermal, LLC	9/25/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360

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B&H Foto & Electronics Corp.	4/26/2024	WEST VALLEY DEVELOPMENT PROGRAM, Drone for West V..	7,357
Banyan Infrastructure Corporation	8/27/2024	NEW YORK GREEN BANK, Reporting Covenant Servicing	150,000
Bard College	5/8/2024	New Construction- Commercial, Commercial NCP 2022	47,000
Bashing Panels LLC	6/6/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/26/2024	<200KW PV, PON 2112 NY SUN	5,000
Battelle Memorial Institute	5/22/2024	Code to Zero, TWO #3 NYStretch Res Modeling	125,441
Bay Ridge Preparatory School	5/7/2024	New Construction- Commercial, Commercial NC OFLT	50,412
BDO USA LLP	5/14/2024	Independent Evaluation	15,000
	5/24/2024	Background Investigation Servi	54,600
	6/10/2024	Background Investigation Servi	1,500
	6/26/2024	Background Investigation Servi	4,500
Bell Mechanical, LLC	4/26/2024	NYCH: Talent Ppln:CE and OJT, OJT	24,000
	6/13/2024	NYCH: Talent Ppln:CE and OJT, OJT	35,040
	7/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	16,560
	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
Belmont Cove LLC	6/4/2024	<200KW PV, NY-Sun	32,883
		>200KW PV, NY-Sun	54,805
Bergmann Associates, Architects,	5/6/2024	Tech Assistanc Multifamily LMI, REQ 5288 - Bergmann Cross-P..	337,500
		Technical Services, REQ 5288 - Bergmann Cross-Prog	112,500
	5/24/2024	Technical Services, AEAP 1681 - Dickman Farms LLC	6,000
	5/31/2024	Tech Assistanc Multifamily LMI, Program Support_QAQC	37,500
		Technical Services, AEAP 1671 - City Line Farms	5,500
		Technical Services, Program Support_QAQC	37,500
7/9/2024	Technical Services, AEAP 1535 - Glenna Colaprete	2,026	
Bernheimer Architecture PLLC	8/12/2024	Buildings of Excellence, RFP3928 Bernheimer TWO # 1	85,153
Best Energy Power	6/4/2024	>200KW PV, PON 2112 NY SUN	140,940
	6/10/2024	>200KW PV, PON 2112 NY SUN	78,975
	6/17/2024	<200KW PV, NY-Sun	14,337
		>200KW PV, NY-Sun	23,895
	6/26/2024	>200KW PV, PON 2112 NY SUN	202,500
	7/2/2024	>200KW PV, PON 2112 NY SUN	78,975
	7/18/2024	>200KW PV, NY-Sun	62,775
		NY-SUN, NY-Sun	12,555
	7/25/2024	>200KW PV, PON 2112 NY SUN	101,250
	7/29/2024	<200KW PV, NY-Sun	82,215
		>200KW PV, NY-Sun	82,215
	8/7/2024	<200KW PV, NY-Sun	78,540
		>200KW PV, NY-Sun	78,540
	8/13/2024	<200KW PV, NY-Sun	180,009
>200KW PV, NY-Sun		227,385	
8/14/2024	>200KW PV, PON 2112 NY SUN	390	
8/15/2024	NY-SUN, PON 2112 NY SUN	35,200	
Bettergy Corporation	6/6/2024	Hydrogen Innovation, Clean Hydrogen Innovation	399,991
Bliss Solar, LLC	4/12/2024	>200KW PV, PON 2112 NY SUN	361,010
BlocPower LLC	9/4/2024	IEDR Env Justice Working Group	19,800
Board of Education - Ossining Union Fr..	8/14/2024	CGSI-51E - Ossining SD (6)_E	281,730
Bokland Photography Inc	7/15/2024	POLICY DEVELOPMENT, 2024 DPS_NYSF Promo Fund	20,000
Bond, Schoeneck & King, PLLC	4/4/2024	NYSERDA ADMINISTRATION, TWO 5 Cybersecurity Counsel	5,000
	5/2/2024	BR: Program Implementation, TWO 10 - Caswell Project	10,000
	7/11/2024	NYSERDA ADMINISTRATION, TWO 12 - HR Invest	58
	7/30/2024	NYSERDA ADMINISTRATION, TWO 12 - HR Invest	4,543
	8/27/2024	NYSERDA ADMINISTRATION, TWO 6 HR Counsel Services	25,000
Booz Allen Hamilton, Inc.	7/11/2024	Building Envelope Systems, TWO 18 - CEF 2.0 Petition	128,435
		Cleantech Ignition, TWO 18 - CEF 2.0 Petition	128,435
		Energy Storage Tech/Prod Dev, TWO 18 - CEF 2.0 Petition	128,435
		Future Grid Perf. Challenges, TWO 18 - CEF 2.0 Petition	128,435

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Booz Allen Hamilton, Inc.	7/11/2024	Hydrogen Innovation, TWO 18 - CEF 2.0 Petition	128,435
BPP Kips Bay Holding LLC	8/1/2024	Technical Services, FT17147 - 490 2 - FTC	29,088
Breathe Easy of CNY Inc.	4/18/2024	NYCH: Talent Ppln:CE and OJT, OJT	14,400
Bright Power Associates, LLC	5/24/2024	Tech Assistanc Multifamily LMI, FT17167 - Settlement Housing	12,000
Bright Power, Inc.	4/9/2024	Technical Services, FT15108 - Related - 405 Main	20,250
	5/6/2024	Tech Assistanc Multifamily LMI, FT17087 Breaking Ground - 133	22,500
		Technical Services, FT17179 Eleven Riverside Drive	32,000
	5/7/2024	Technical Services, FT17100 - 35 East Associates	10,000
	5/8/2024	Technical Services, FT17177 Gramercy Park Residenc	10,900
	5/14/2024	Tech Assistanc Multifamily LMI, FT17017 C+C Apartment Mana..	21,000
		Tech Assistanc Multifamily LMI, FT17118 Catholic Charities - 5	16,500
	5/24/2024	Technical Services, FT17197 Newmark Management - 1	17,000
		Technical Services, FT17243 Riverdale House Owners	11,000
	5/31/2024	Tech Assistanc Multifamily LMI, FT17181 New Sea Park - 2828 ..	10,500
		Tech Assistanc Multifamily LMI, FT17182 New Sea Park - 2930 ..	16,500
		Tech Assistanc Multifamily LMI, FT17183 New Sea Park - 2970 ..	16,500
	6/4/2024	Technical Services, FT15170 Douglas Elliman - 251	30,000
	6/13/2024	Tech Assistanc Multifamily LMI, FT17175 - Settlement Housing	14,250
		Tech Assistanc Multifamily LMI, FT17203 Settlement Housing - 1	11,625
		Tech Assistanc Multifamily LMI, FT17222 The Dermot Company..	27,000
	6/18/2024	Tech Assistanc Multifamily LMI, FT17209 Settlement Housing - 1	14,250
		Tech Assistanc Multifamily LMI, FT17282 Catholic Charities Pro	12,150
		Technical Services, FT17165 Hoffman Management - 4	10,300
	6/25/2024	Tech Assistanc Multifamily LMI, FT17016 Cleo Realty Associates	13,875
		Technical Services, FT17199 Allied Partners - 970	8,000
	7/1/2024	Technical Services, FT - 0000758788 - Cushman and	13,000
		Technical Services, FT17168 Kaufman Astoria Studio	17,000
	7/3/2024	Tech Assistanc Multifamily LMI, FT17236 ELH Mgmt - 1105 Jer..	15,225
		Tech Assistanc Multifamily LMI, FT17283 Catholic Charities Pro	12,150
		Technical Services, FT17229 Solstice Residential G	7,200
		Technical Services, FT17238 Briarwood Owners Corp	8,000
	7/11/2024	Tech Assistanc Multifamily LMI, FT17069 Settlement - 1206	19,500
		Tech Assistanc Multifamily LMI, FT17254 Diego Beekman Mutu..	13,875
	7/17/2024	Tech Assistanc Multifamily LMI, FT15193 Glenwood Manageme..	27,000
		Technical Services, FT - 0000759576 - Punia & Marx	11,000
		Technical Services, FT - 0000762053 - Catholic Cha	7,800
		Technical Services, FT17233 3299 Cambridge Apt Cor	13,000
	7/19/2024	Technical Services, FT - 0000762416 - Bow Tie Part	13,000
	7/22/2024	K-12 SCHOOLS, FT14873 - Town School (2)E	10,125
	7/24/2024	Technical Services, FT - 0000759461 - Punia & Marx	12,000
		Technical Services, FT17230 - 601 Pelham Pkwy Nort	8,000
		Technical Services, FT17253 - Hoffman Management -	8,000
	7/29/2024	Technical Services, FT15097 - The Dermot Company	23,250
	7/30/2024	Technical Services, FT17180 - PLUN Tenants Corp	9,500
		Technical Services, FT17218 - 365 W 20 Apartments	6,750
		Technical Services, FT17287 - Monadnock Property	13,650
	8/5/2024	Tech Assistanc Multifamily LMI, FT17252 - River View Garden ..	14,625
		Technical Services, FT - 0000759236 - Narrows Mana	6,000
		Technical Services, FT17198 - Douglas Elliman Prop	15,000
	8/13/2024	Tech Assistanc Multifamily LMI, FT17288 - Monadnock Property	13,350
	8/16/2024	Technical Services, FT - 0000769283 - AKAM - 160 W	7,650
	8/22/2024	NYCH: Technical Assistance, FT17192 - AKAM - 40 West 72 -	16,000
		NYCH: Technical Assistance, FT17193 - AKAM - 41 West 72 -	12,000
		Tech Assistanc Multifamily LMI, FT - 0000777937 - Breaking Gro	15,000
		Tech Assistanc Multifamily LMI, FT17244 - Project FIND - 141 W	19,500
		Tech Assistanc Multifamily LMI, FT17255 - Diego Beekman Mut..	14,100

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	8/22/2024	Tech Assistanc Multifamily LMI, FT17268 - ELH Mgmt - 2363 S..	13,950
		Technical Services, FT - 0000758789 - New Bedford	9,500
		Technical Services, FT - 0000759881 - Terris Realt	8,150
		Technical Services, FT - 0000782081 - Punia & Marx	10,050
		Technical Services, FT17190 41-31 Cooperative Owne	14,000
	9/3/2024	Technical Services, FT - 0000781868 - Lovett Realt	10,000
	9/4/2024	Tech Assistanc Multifamily LMI, FT - 0000762787 - Selfhelp Rea	15,300
		Tech Assistanc Multifamily LMI, FT - 0000762845 - Selfhelp Rea	17,550
	9/25/2024	Technical Services, FT - 0000777832 - Metro Manage	18,650
		Technical Services, FT - 0000799261 - Akam Associa	11,000
	9/26/2024	Technical Services, FT - 0000781954 - Argo Real Es	15,350
		Technical Services, FT - 0000782075 - Argo Real Es	13,850
		Technical Services, FT - 0000791315 - Related Luxu	14,000
		Technical Services, FT - 0000793115 - Argo Real Es	7,650
Brightcore Energy, LLC	4/30/2024	NYCH: Innovation, End Use Energy Innovation	39,239
BronxWorks, Inc.	9/16/2024	BronxWorks supportive services	353,349
Brooklyn SolarWorks LLC	4/5/2024	>200KW PV, PON 2112 NY SUN	17,000
	4/12/2024	>200KW PV, PON 2112 NY SUN	54,210
	4/15/2024	>200KW PV, PON 2112 NY SUN	5,265
	4/24/2024	>200KW PV, PON 2112 NY SUN	26,675
	5/28/2024	>200KW PV, PON 2112 NY SUN	14,175
	6/4/2024	>200KW PV, PON 2112 NY SUN	6,375
	6/7/2024	>200KW PV, PON 2112 NY SUN	8,500
	7/16/2024	>200KW PV, PON 2112 NY SUN	5,832
	7/17/2024	>200KW PV, NY-Sun	14,550
		NY-SUN, NY-Sun	2,425
	7/23/2024	>200KW PV, NY-Sun	44,135
		NY-SUN, NY-Sun	8,827
	8/9/2024	>200KW PV, PON 2112 NY SUN	18,158
	8/14/2024	>200KW PV, PON 2112 NY SUN	10,064
	8/20/2024	>200KW PV, PON 2112 NY SUN	8,748
	9/4/2024	>200KW PV, NY-Sun	29,585
		>200KW PV, PON 2112 NY SUN	50,775
NY-SUN, NY-Sun		5,917	
9/5/2024	>200KW PV, PON 2112 NY SUN	61,110	
9/18/2024	>200KW PV, PON 2112 NY SUN	43,456	
BrowserStack Inc	4/25/2024	NYSERDA ADMINISTRATION, BrowserStack Live - Team	10,500
BST Systems, Inc.	4/5/2024	Hydrogen Innovation, Clean Hydrogen Innovation	398,523
Buffalo Geothermal Heating	6/13/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	26,400
Buffalo Solar Solutions Inc	6/18/2024	<200KW PV, PON 2112 NY SUN	1,966
	7/18/2024	<200KW PV, PON 2112 NY SUN	10,369
Buro Happold Consulting Engineers, P.C.	4/18/2024	Heat Recovery, HeatRec C1_BuroHap_Powerhouse	28,908
	6/19/2024	INDUSTRIAL PROCESS EFFICIENCY, FT17220 - Powerhouse..	43,257
	9/25/2024	Technical Services, FT - 0000777101 - Empire State	94,749
BVG Associates LLC	8/13/2024	REC:CES REC System Dev Costs, RESRFP24-1 TEP IE_Mike ..	38,000
	9/3/2024	OREC: Technical Support, ORECRFP24-1 Ind Eval	50,000
	9/24/2024	OREC: Technical Support, Offshore Wind Solicitation	50,000
BW Research Partnership	8/22/2024	NYS Clean Energy Transition, Economic Impact Analysis	49,980
BWBP Sand Brook, LLC	8/30/2024	NY-SUN, NY-Sun ICSA	420,523
C & B Mechanical	5/22/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,055
	7/11/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,061
	7/16/2024	Talent Pipeline:CE and OJT, OJT	7,715
	7/17/2024	Talent Pipeline:CE and OJT, OJT	12,166
C.J. Brown Energy, P.C.	4/18/2024	Talent Pipeline:CE and OJT, OJT	11,078
	4/22/2024	Technical Services, AEAP 1680 - Zimpfer's Maple Pr	3,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
C.J. Brown Energy, P.C.	4/24/2024	Technical Services, AEAP 1643 - Zeliff Farms	5,997
	5/3/2024	Housing Agencies Support, TWO #7 -HCR Churchview Commo..	50,000
		Housing Agencies Support, TWO #8 - HCR True North Apts	50,000
	5/7/2024	Technical Services, AEAP 1711 - CM Maple	3,000
	5/8/2024	Housing Agencies Support, TWO #9 – HCR Beechwood	50,000
	5/14/2024	Technical Services, FT17169 Upstate Niagara Cooper	6,978
	7/1/2024	K-12 SCHOOLS, CGSI-208E - Buffalo PS (2)_E	41,939
	8/6/2024	K-12 SCHOOLS, FT17257 Spencerport CSD (9)_E	64,012
	8/12/2024	Technical Services, AEAP 1678 - Belle Hollow Farms	5,997
	8/13/2024	K-12 SCHOOLS, CGSI-101_E - Sweet Home MS	175,676
	9/12/2024	Technical Services, AEAP 1644 - Joseph Meyer	5,997
	9/16/2024	Technical Services, AEAP 1680 - Zimpfer's Maple Pr	2,997
	9/25/2024	Technical Services, AEAP 1648 - All Day Acres	2,997
C&R Housing Inc.	9/9/2024	Talent Pipeline:CE and OJT, OJT	9,600
	9/12/2024	Talent Pipeline:CE and OJT, OJT	5,760
C&S Engineers, Inc.	4/22/2024	CGSI-92 - Northville CSD(1)_CT	46,909
	7/3/2024	CGSI-114 - DeRuyter CSD (1)_CT	53,926
		CGSI-214CT -Brushton-Moira CS	38,760
8/13/2024	CGSI-215CT -East Syracuse-Min.	68,089	
Cadence OneFive Inc.	6/13/2024	Talent Pipeline:CE and OJT, OJT	15,360
	8/20/2024	NEW YORK GREEN BANK, NYGB Momentum Subscription	15,000
Camelot Energy Group LLC	9/25/2024	Rmve Barriers Dist Enrgy Storg, TWO 1 - Peer reviews of ES pro	450,000
Cameron Engineering & Associates LLP	4/4/2024	NYCH: Technical Assistance, FT14538-5 Tudor City-FTC-MF-M..	41,250
	5/3/2024	Technical Services, FT14807 - 28 Laight - FTC	26,251
	5/24/2024	NYCH: Technical Assistance, FT14539 - 360 West 22nd - FTC	45,955
		Technical Services, FT14304 - 265 Riverside - FTC	14,726
	7/24/2024	Technical Services, FT14809 - Maxwell-Kates - 2 Co	22,500
	9/24/2024	Technical Services, FT - 0000768566 - First Servic	27,700
Canajoharie Central School District	7/9/2024	K-12 SCHOOLS, CGSI-29_O - Canajoharie - PON	125,000
	9/25/2024	K-12 SCHOOLS, CGSI-113E - Canajohaire CSD	507,900
Carahsoft Technology Corporation	4/9/2024	NEW YORK GREEN BANK, NYGB Cloud Content Management	21,675
	4/10/2024	NYSERDA ADMINISTRATION, Salesforce Licensing 2024	73,788
	4/11/2024	NYSERDA ADMINISTRATION, Social Media Job Postings	45,537
	6/20/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Sa..	3,788
	7/16/2024	NYSERDA ADMINISTRATION, CIS Albert Monitoring Sensor	12,840
	7/19/2024	NYSERDA ADMINISTRATION, Salesforce Licensing 2024	31,624
	8/28/2024	EVALUATION, Qualtrics Software (2024-2025)	70,262
Carter Ledyard & Milburn LLP	9/24/2024	OREC: Technical Support, TWO 11 - Port RFQL Attestation	50,000
Carver Bancorp, Inc.	4/2/2024	NY Green Bank, Carver (RFP 23)	25,000,000
Cary Institute of Eco System Studies	4/2/2024	ENVIRONMENTAL RESEARCH, Ecosystem Studies	49,999
Castleton Pharmacy Corp	7/9/2024	>200KW PV, NY-Sun	31,525
Catalyze Holdings, LLC	7/11/2024	NY-SUN, NY-Sun ICSA	342,014
	8/21/2024	NY-SUN, NY-Sun ICSA	434,711
	9/26/2024	NY-SUN, NY-Sun ICSA	3,392,016
Catholic Charities Progress of People	5/17/2024	Buildings of Excellence, BoE Rnd.3	850,000
Catskill Mountain Foundation, Inc.	6/6/2024	Net Zero Energy for Eco Dev, CNCED 2023 - CMF Dance Studio	940,545
CEC Stuyvesant Cove, Inc.	8/27/2024	CLEAN TRANSPORTATION, RFP4641 CECC Downstate	349,538
		CLEANER GREENER COMMUNITIES, RFP4641 CECC Down..	500,000
Central New York Regional Planning and	7/10/2024	CI Engy Siting & Soft Cost Red, Clean Energy Communities	330,000
		Clean Energy Communities, Clean Energy Communities	1,034,347
CG Global Management Solutions, LLC	7/24/2024	PON 4772 R3 (Nishal Sundarrama)	40,000
		PON 4772 R3 (Saket Prem)	40,000
CH4 Generate Cayuga, LLC	5/7/2024	Anaerobic Digesters, PON 3739 CAT C	545,583
CHA Consulting Inc.	4/26/2024	On-Site Energy Manager, OsEM136-I - Lotte Biologics	200,000
	5/24/2024	K-12 SCHOOLS, CHC Design Guidance - P12	49,000
Chiassons Heating and Air Conditioning	9/17/2024	Talent Pipeline:CE and OJT, OJT	5,600

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Cipriani Energy Group Corp.	9/18/2024	>200KW PV, NY Sun	310,284
		NY Sun	775,710
CIR ELECTRICAL CONSTRUCTION CO..	6/14/2024	<200KW PV, PON 2112 NY SUN	37,466
Citizens Global Albany LLC	7/11/2024	NY-SUN, NY-Sun ICSA Round 2	297,216
Citrine Power, LLC	7/25/2024	>200KW PV, NY Sun	359,547
		NY Sun	898,869
City of Beacon	9/5/2024	Clean Energy Communities, Rooftop Solar at DPW 100K	150,000
City of Canandaigua	8/21/2024	NYCH: Communities, Police Station ASHP Conversion	175,000
City of Cortland	8/26/2024	Clean Energy Communities, Fire Station Building Upgrades	15,000
City of Kingston	7/12/2024	Clean Energy Communities, First Avenue Ground Mount Sola	807,500
City of Peekskill	8/14/2024	Clean Energy Communities, City of Peekskill Preschool He	10,000
City of Rochester	7/3/2024	Clean Energy Communities, CEC Projects	80,000
Clarkson University	7/26/2024	Future Grid Perf. Challenges, Power Grid Innovation	399,911
Clean Communities of Central New York	4/2/2024	CLEAN TRANSPORTATION, NYTVIP Outreach - CC of CNY	14,777
CleanFiber LLC	4/5/2024	Talent Pipeline:CE and OJT, OJT	6,000
	4/18/2024	Talent Pipeline:CE and OJT, OJT	8,520
CleanTech IQ, Inc.	4/2/2024	Low Carbon Tech Demos, Transition IQ 2024 Forum	3,750
		Transition IQ 2024 Forum	3,750
CLEAResult Consulting, Inc.	5/14/2024	EVPRZ:Implementation, Implementation Support for NYS	1,071,926
	6/28/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Pr..	84,778
		NENY:CHGE Empower Electric, Program Ops & Tech Support ..	6,415
		NENY:CHGE Empower Gas, Program Ops & Tech Support SFR	14,035
		NENY:Con Ed Empower Electric, Program Ops & Tech Support ..	22,308
		NENY:Con Ed Empower Gas, Program Ops & Tech Support SFR	69,317
		NENY:KEDNY Empower Gas, Program Ops & Tech Support SF..	10,725
		NENY:NFG Empower Gas, Program Ops & Tech Support SFR	290,154
		NENY:NIMO Empower Electric, Program Ops & Tech Support S..	49,499
		NENY:NIMO Empower Gas, Program Ops & Tech Support SFR	257,303
		NENY:NYSEG Empower Electric, Program Ops & Tech Support..	63,980
		NENY:NYSEG Empower Gas, Program Ops & Tech Support SF..	150,095
		NENY:O&R Empower Electric, Program Ops & Tech Support S..	30,420
		NENY:O&R Empower Gas, Program Ops & Tech Support SFR	63,375
		NENY:RGE Empower Electric, Program Ops & Tech Support S..	30,740
		NENY:RGE Empower Gas, Program Ops & Tech Support SFR	72,401
CLEAResult Energetics LLC	9/3/2024	CLEAN TRANSPORTATION, RFP5570 Mobility Support	1,799,998
		Pub Transit & Elect Rail, RFP5570 Mobility Support	1,199,999
Climate Solutions Accelerator of the	5/14/2024	Translation Services, Regional Clean Energy Hub	50,000
	9/13/2024	IEDR Env Justice Working Group	19,800
Code Green Solutions, Inc.	5/8/2024	Technical Services, FT17136 - ESA Property Managem	42,500
Collins + Scoville Architecture, Enginee	8/13/2024	K-12 SCHOOLS, CGSI-198E -Saranac CSD (6)_E	240,385
Columbia County	6/28/2024	Clean Energy Communities, Combined grants - EVs-,Charger	322,500
	9/5/2024	NYCH: Communities, CEC410027 - CEC 3.0 ASHP	300,000
CommentManagement.com LLC	5/9/2024	NYCI Comment Management	7,650
	7/15/2024	Public Comment Software P.O.	7,650
	9/17/2024	ENERGY ANALYSIS, Management Software P.O.	7,650
Commercial Cleaning NY Sunshine, Inc.	7/8/2024	NYSERDA ADMINISTRATION, Green Bank Office Cleaning	57,600
	7/18/2024	NYSERDA ADMINISTRATION, Cleaning for the NYC Office	83,160
Commercial Investigations LLC	5/31/2024	NYSERDA ADMINISTRATION, Background Checks for New Hire	15,000
Community Development Long Island	5/23/2024	NY Green Bank, CDC LI (RFP 23)	5,000,000
Concur Technologies, Inc.	8/30/2024	NYSERDA ADMINISTRATION, Concur Services 2024-2025	30,000
Consortium for Energy Efficiency, Inc.	4/26/2024	Prof & Expert Engagement, 2024 CEE Membership	48,000
	5/9/2024	Market Support Tools &Activity, 2024 CEE Integrated Homes C..	50,000
Convergent Energy and Power LP	9/4/2024	ESTOR:Retail Storage Incentive, Retail Storage Incentives	2,500,000
Cooper Square Community Developme..	4/29/2024	NY-SUN, PON 3414 - LES Res Solar	95,000
Cordelio Development LLC	7/10/2024	REC:CES REC Contracts, RESRFP22-1	20,650,043
Cornell Cooperative Ext. Dutchess	9/23/2024	Clean Energy Hub, Regional Clean Energy Hub	305,000

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Cornell Cooperative Ext. Dutchess County	9/23/2024	NYCH: Communities, Regional Clean Energy Hub	250,000	
		Translation Services, Regional Clean Energy Hub	50,000	
Cornell Cooperative Extension - Tompk..	5/2/2024	Translation Services, Regional Clean Energy Hub	50,000	
Cornell Cooperative Extension of Oneida	6/24/2024	Clean Energy Hub, Regional Clean Energy Hub	304,999	
		NYCH: Communities, Regional Clean Energy Hub	250,000	
		Translation Services, Regional Clean Energy Hub	50,000	
Cornell University	6/10/2024	Heat Recovery, HeatRec C2_Cornell U_2083	80,000	
	8/26/2024	Technical Services, CG Hosp Decision-Making Matrix	70,767	
Cornice Technology, LLC	5/1/2024	CGSI-102CT - Corinth CSD	66,525	
	5/24/2024	CGSI-122CT - Broadalbin-Perth	53,925	
		CGSI-131CT - Greece CSD (1)_CT	97,455	
		CGSI-139CT -Copenhagen CSD (1)	53,925	
	5/31/2024	CGSI-167CT -Gates-Chili CSD	53,925	
	6/13/2024	CGSI -133CT -Peru CSD(1)_CT	53,925	
		CGSI-134CT -Oxford CSD (1)_CT	53,925	
		CGSI-135CT -Sidney CSD (1)_CT	53,925	
		CGSI-136CT- Greenwich CSD (1)	53,925	
		CGSI-137CT -North Collins CSD	53,925	
		CGSI-138CT -Lowville CSD (1)	53,925	
		CGSI-140CT -Cincinnatus CSD	53,925	
		7/3/2024	CGSI -132CT -Hudson Falls CSD	53,925
	7/19/2024	CGSI-207CT Thousand Islands CS	53,925	
		CGSI-217CT -Naples CS (1)_CT	53,925	
		CGSI-219CT -Berlin CSD (1)_CT	53,925	
		CGSI-200CT - Webster CSD	79,465	
	7/23/2024	CGSI-202CT - Whitney Point CSD	53,925	
		CGSI-209CT - Laurens CS (1)_CT	53,925	
		CGSI-218CT -East Bloomfield CS	53,925	
		FT17245 - Pittsford CSD (1)_CT	40,444	
	8/13/2024	CGSI-203 -Windsor CSD (1)_CT	53,925	
		CGSI-216CT -Cato Meridian CSD	53,925	
	8/21/2024	CGSI-243 - Remsen CSD (1)_CT	53,925	
		CGSI-147CT - Holland Patent	53,925	
	9/13/2024	FT17246 - Burnt Hills Ballston	40,444	
		CGSI-234 - Hannibal CSD (1)_CT	53,925	
		CGSI-258 - Pawling CSD	53,925	
	9/27/2024	FT - 0000765453 - Warwick Vall	40,444	
	9/27/2024	CGSI-253CT - Schenevus CS (1)	53,925	
	CoStar Realty Information, Inc.	7/18/2024	NEW YORK GREEN BANK, CoStar Procurement	36,000
	Couch White, LLP	5/28/2024	ENERGY ANALYSIS, TWO 7 - FERC Order 1920	12,000
6/14/2024		ENERGY ANALYSIS, TWO 7 - NIETC Comments	10,000	
7/15/2024		ENERGY ANALYSIS, TWO 8 - TEN Regs	25,000	
County Cooling, Corp.	5/28/2024	NYCH: District, TWO 8 - TEN Regs	25,000	
		NYCH: Talent Ppln:CE and OJT, OJT	14,400	
County Heat & AC, LLC	7/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,679	
County of Ulster	4/12/2024	Talent Pipeline:CE and OJT, Christina Mary Lael Van Dyke	40,000	
COUNTY ROUTE 93 NY LLC	8/30/2024	NY-SUN, NY-Sun ICESA	207,360	
COWI Consulting Inc	8/16/2024	OREC: Technical Support, TWO#1 OSWSCRFP24-1 IndEval MA	50,000	
CP Lynoaken LLC	8/21/2024	<200KW PV, NY-Sun	48,870	
CPL Architects, Engineers, Landscape	4/22/2024	CGSI-87CT - Scio CSD	30,000	
		CGSI-93 - Cassadaga Valley CSD	40,000	
	5/24/2024	CGSI-96- Mexico CSD (1)_CT	55,000	
	6/11/2024	CGSI-163CT -Olean CSD (1)_CT	35,000	
		CGSI-164CT -Portville CSD	40,000	
	6/13/2024	FT17250 - Wells CSD (1)_CT	26,250	
	6/19/2024	CGSI-172CT -Andover CSD (1)_CT	30,000	

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CPL Architects, Engineers, Landscape	6/25/2024	CGSI-106 - Poughkeepsie CitySD	35,000	
		CGSI-107 - Pine Valley CSD	40,000	
	7/1/2024	Technical Services, FT17237 - United PMR - PON	16,000	
	7/19/2024	CGSI-178CT - Wellsville CSD	40,000	
	8/13/2024	CGSI-229 -Johnstown CSD (1)_CT	40,000	
	8/20/2024	CGSI-181D - Bradford CSD (1)_D	120,740	
	8/27/2024	CGSI-125CT- Friendship CSD (1)	30,000	
		CGSI-232CT - Fort Plain CSD	30,000	
	9/12/2024	CGSI-230 - Fonda-Fultonville	30,000	
	9/13/2024	CGSI-259CT - Ulster BOCES	40,000	
Crossfield Home Energy Solutions	7/29/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,080	
	9/12/2024	Talent Pipeline:CE and OJT, OJT	5,760	
Crown Castle Fiber LLC	8/13/2024	NYSERDA ADMINISTRATION, Crown Castle Primary Internet	11,121	
CTI Energy Services, LLC	7/3/2024	Technical Services, FT17272 - Highland Terrace Own	27,000	
	8/22/2024	Tech Assistanc Multifamily LMI, FT17096 - 237 West 230 - PON -	22,340	
	9/5/2024	Tech Assistanc Multifamily LMI, FT17178 - The Waring Hall Cond	39,150	
	9/25/2024	Tech Assistanc Multifamily LMI, FT - 0000772038 - HSC Manag..	39,000	
CubeSmart TRS Inc	5/23/2024	>200KW PV, PON 2112 NY SUN	358,272	
	6/3/2024	>200KW PV, PON 2112 NY SUN	249,300	
	7/5/2024	>200KW PV, PON 2112 NY SUN	206,748	
Cutone & Company Consultants, LLC	7/22/2024	Technical Services, OsEM144-C - NW 100 Broadway	200,000	
	8/12/2024	Technical Services, OsEM149-C - New York Design Ce	200,000	
	9/3/2024	Technical Services, OsEM122-C - 1370 Avenue of Ame	200,000	
	9/17/2024	Talent Pipeline:CE and OJT, OJT	9,600	
CVENT, Inc.	6/25/2024	OREC: Technical Support, 2024 State of the Science	10,750	
	6/26/2024	NYSERDA ADMINISTRATION, Event Management Platform	173,562	
D2D Green Architecture, PLLC	4/23/2024	NYSERDA ADMINISTRATION, New Office Floor Plan	9,650	
Dailey Electric Inc	5/3/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,120	
Dalkia Energy Solutions	9/25/2024	Technical Services, FT - 0000785506 - 306 Gold Str	28,713	
Dandelion Energy Inc	5/9/2024	NYCH: Talent Ppln:CE and OJT, OJT	14,400	
	9/25/2024	NYCH: Talent Ppln:CE and OJT, OJT	21,600	
David Bruns	7/19/2024	New Construction Housing, NCP Housing 2022	420,000	
DCF Energy Group, LLC	8/13/2024	<200KW PV, PON 2112 NY SUN	6,480	
Delaware River Solar, LLC	8/23/2024	>200KW PV, NY Sun	224,595	
		NY Sun	561,488	
Deloitte Consulting LLP	6/3/2024	IEDR: Program Manager, IEDR Program Manager RFP CM	4,615,827	
Developed Well Group	8/21/2024	NYCH: District, Geothermal drilling support	50,000	
DG New York CS, LLC	7/1/2024	NY-SUN, NY Sun	490,490	
	7/11/2024	NY Sun	875,875	
Discover Green Renewable Energy LLC	6/26/2024	>200KW PV, PON 2112 NY SUN	15,300	
DNV Energy Insights USA Inc.	5/16/2024	Concierge Services - DNV - TWO	50,000	
		NYCH: District, Concierge Services - DNV - TWO	200,000	
		REV Campus Challenge, Concierge Services - DNV - TWO	50,000	
	5/23/2024	Multifam Performance Pgm, TWO 6 - MPP Impact Eval	384,957	
	6/6/2024	Eval MCDC: Ind Potential Study, TWO 1- Indust Decarb Potential	468,016	
	6/13/2024	Combined Heat and Power, TWO 1 On Site Res Power	100,000	
	9/27/2024	Rmve Barriers Dist Enrgy Storg, TWO 2 - Peer Review for ES	500,000	
	Doherty Electric, LLC	9/18/2024	<200KW PV, PON 2112 NY SUN	6,720
	Dollaride, Inc.	5/10/2024	Talent Pipeline:CE and OJT, PON 4772 R3 Winston Williams	40,000
Dom Belle Services LLC	6/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	11,520	
Dow Jones & Company Inc	9/27/2024	ENERGY ANALYSIS, OPIS Subscription 2024-2025	8,256	
DSM Engineering Assoc, P.C.	4/24/2024	Technical Services, FT17138 - New York Presbyteria	20,809	
	8/5/2024	CGSI-211E -South Country CSD	43,660	
	8/20/2024	Technical Services, FT17214 - AKAM Associates - 25	27,093	
	8/26/2024	Technical Services, FT17213 - AKAM Associates - 12	25,436	
		Technical Services, FT17235 - AKAM Associates - 33	12,966	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Duke University	4/1/2024	OREC: Technical Support, WOW Proposal Funding Support	20,000
Dunsky Energy Consulting	7/10/2024	NEW YORK GREEN BANK, NYGB Financial Market Transfor	91,487
E-Zinc US Inc	5/24/2024	Energy Storage Tech/Prod Dev, Long Duration Energy Storage	352,500
Eastern Research Group, Inc.	4/4/2024	Environmental Research, TWO 1 - CIA Web Maintenance	50,000
Eckholm Studios	5/24/2024	OTHER PROGRAM AREA, Climate Technology Solutions	302,000
Eclaro International	4/8/2024	Clean Energy Communities, SA.012_TWO# 1_Communities_P..	318,680
		Market Support Tools &Activity, SA.02_TWO# 2_SFR_APM	24,960
		SA.02_TWO# 2_SFR_APM	99,840
	4/22/2024	Heat Recovery, SA.015_TWO# 3_AES_PM2	477,530
		Pub Transit & Elect Rail, SA.009_TWO# 4_CT_PM1	326,680
5/17/2024	NYCH: District, SA.010_TWO# 5_CHC_PM1	318,680	
ecoLong LLC	7/3/2024	Talent Pipeline:CE and OJT, OJT	7,200
ECOncrete Inc	6/10/2024	OREC: Technical Support, Eval of Eco Scour Protection	10,000
Ecosystem Energy Services USA Inc.	7/3/2024	Low Carbon Tech Demos, Low Carbon Pathways	126,000
Eden Renewables, LLC	6/20/2024	>200KW PV, NY Sun	375,000
		NY Sun	937,500
Educational & Cultural Trust Fund	8/19/2024	Talent Pipeline:OSW Training, Workforce Dev & Training	2,309,033
Egg Geo, LLC	9/12/2024	Tech Assistanc Multifamily LMI, FT - 0000759962 - Village East	62,644
EirCo Sustainability Inc.	5/8/2024	Technical Services, FT17156 - 119 State Street	7,500
	7/12/2024	INDUSTRIAL PROCESS EFFICIENCY, FT17206 - Anheuser - ..	35,000
Electric Power Research Institute	5/24/2024	Future Grid Perf. Challenges, Power Grid Innovation	800,000
	7/19/2024	Future Grid Perf. Challenges, Dynamic Line Rating Systems	1,589,108
Electricade LLC	6/10/2024	<200KW PV, PON 2112 NY SUN	7,452
	6/14/2024	<200KW PV, PON 2112 NY SUN	6,320
	6/17/2024	<200KW PV, PON 2112 NY SUN	10,076
EMCOR Services Betlem	6/18/2024	Technical Services, FT17217 Finger Lakes Community	15,117
	6/19/2024	INDUSTRIAL PROCESS EFFICIENCY, FT17269 - Kodak Co - ..	112,232
	7/25/2024	Technical Services, FT - 0000780193 - Rochester Mu	12,492
	8/20/2024	On-Site Energy Manager, OsEM151-I - Pennant Ingredient	100,000
	9/11/2024	Technical Services, FT - 0000801953 - SUNY Finger	20,539
	9/25/2024	Technical Services, FT 0000811630 - Newcut Inc-FTC	15,415
EMCOR Services New York/New Jersey..	6/19/2024	Technical Services, FT17009 Verizon Communications	137,569
EME Consulting Engineering Group, LLC	4/22/2024	Tech Assistanc Multifamily LMI, EME FlexTech MF Study Analy..	25,000
		Technical Services, EME FlexTech MF Study Analysis	25,000
	4/24/2024	Technical Services, OsEM121-C - NYU Hosp Brooklyn	200,000
	4/29/2024	K-12 SCHOOLS, SA.024_TWO# 2_EPE_PM1	1,001,000
		K-12 SCHOOLS, SA.025_TWO# 1_EPE_PM2	930,000
		REV Campus Challenge, SA.025_TWO# 1_EPE_PM2	408,961
		Technical Services, SA.024_TWO# 2_EPE_PM1	429,000
		Technical Services, SA.025_TWO# 1_EPE_PM2	211,039
	5/7/2024	Technical Services, FT17200 Global 36th Street -	5,000
	5/8/2024	K-12 SCHOOLS, FT17002 - Jewish Institute of	14,685
	5/14/2024	Technical Services, FT14765 - Fordham University	31,800
	5/24/2024	FT17163 Fordham University - M	127,338
		FT17164 Fordham University - M	170,800
	6/27/2024	Market Tests, SA.043_TWO# 3_AES_PM2	403,128
	6/28/2024	RTEM and Tenants, Minibid EBC & RTEM PrgmSupport	50,000
	7/3/2024	NYCH: Technical Assistance, FT17223 Orsid Realty - 895 Wes	10,405
		Technical Services, FT17281 Douglas Elliman - 1160	20,075
	7/10/2024	Technical Services, FT17210 NYU Langone Hospital B	1,000,000
	7/26/2024	RTEM and Tenants, SA.043_TWO# 4_AES_PM1	422,129
	8/5/2024	Tech Assistanc Multifamily LMI, FT17201 Lafayette Boynton - 82	30,000
8/21/2024	Tech Assistanc Multifamily LMI, SA.054_TWO# 5_EPE_APM	354,363	
	Technical Services, FT - 0000783535 - Jetro Restau	11,775	
	Technical Services, FT - 0000783543 - Jetro Restau	13,300	
	Technical Services, SA.054_TWO# 5_EPE_APM	192,637	

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
EME Consulting Engineering Group, LLC	8/22/2024	NYCH: Technical Assistance, FT - 0000781832 - 161 West 16t	10,098
		Tech Assistanc Multifamily LMI, FT - 0000779754 - Nelson Man..	30,000
		Technical Services, FT17195 320 East 35th Owenrs C	8,750
	8/26/2024	Tech Assistanc Multifamily LMI, FT17234 Woodlawn Veterans ..	15,000
	9/11/2024	Buildings of Excellence, RFP3928 TWO #1	100,000
	9/12/2024	Tech Assistanc Multifamily LMI, FT17232 - Morningside Housing	15,000
	9/23/2024	Commercial New Construc, SA.053-1_TWO# 6_NC _PM1	234,385
		Low Rise New Construction, SA.053-1_TWO# 6_NC _PM1	48,761
		Multifam New Construction, SA.053-1_TWO# 6_NC _PM1	204,431
Emes Solar	4/18/2024	>200KW PV, PON 2112 NY SUN	31,040
	4/24/2024	>200KW PV, PON 2112 NY SUN	6,230
	4/25/2024	>200KW PV, PON 2112 NY SUN	192,240
	5/22/2024	<200KW PV, PON 2112 NY SUN	6,232
	6/11/2024	<200KW PV, NY-Sun	68,094
		>200KW PV, NY-Sun	764,360
	6/27/2024	>200KW PV, PON 2112 NY SUN	149,380
	7/17/2024	>200KW PV, PON 2112 NY SUN	82,935
	8/7/2024	<200KW PV, NY-Sun	33,174
>200KW PV, NY-Sun		55,290	
8/22/2024	>200KW PV, PON 2112 NY SUN	245,216	
Empire Offshore Wind LLC	5/31/2024	OREC: OSW Solicitations, OSW2023-1_Empire Wind 1	7,897,110,390
Empire Solar Solutions LLC	4/8/2024	<200KW PV, PON 2112 NY SUN	5,000
	4/9/2024	<200KW PV, PON 2112 NY SUN	5,000
	4/15/2024	<200KW PV, PON 2112 NY SUN	5,000
	4/22/2024	<200KW PV, PON 2112 NY SUN	5,000
	5/13/2024	<200KW PV, PON 2112 NY SUN	5,000
	5/28/2024	<200KW PV, PON 2112 NY SUN	5,000
	5/31/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/21/2024	<200KW PV, PON 2112 NY SUN	6,888
	6/28/2024	<200KW PV, PON 2112 NY SUN	5,000
	7/16/2024	<200KW PV, PON 2112 NY SUN	7,872
	7/31/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/20/2024	<200KW PV, PON 2112 NY SUN	5,576
	8/21/2024	<200KW PV, PON 2112 NY SUN	5,000
	9/23/2024	<200KW PV, PON 2112 NY SUN	5,888
Empire State Realty OP, LP	5/24/2024	Heat Recovery, HeatRec C2_EmpireState_501 7th	71,250
	9/6/2024	Technical Services, OsEM155-C - ESRT LLC	200,338
Employee Leasing of Greater NY	4/4/2024	NYSERDA ADMINISTRATION, TS.029-SO_Training Specialist	120,900
	8/29/2024	NYSERDA ADMINISTRATION, TS.039-Web Ops_Web Content..	135,225
Empower CES, LLC	4/19/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/25/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/2/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/7/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/20/2024	ENERGY STORAGE, PON 2112 NY SUN	12,500
	5/21/2024	ENERGY STORAGE, PON 2112 NY SUN	12,500
	6/28/2024	<200KW PV, PON 2112 NY SUN	10,080
	7/1/2024	ENERGY STORAGE, PON 2112 NY SUN	3,375
	7/9/2024	ENERGY STORAGE, PON 2112 NY SUN	12,500
	7/18/2024	<200KW PV, PON 2112 NY SUN	6,460
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	7/24/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/7/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/13/2024	ENERGY STORAGE, PON 2112 NY SUN	12,500
	8/30/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
Encore Redevelopment, LLC	6/11/2024	>200KW PV, NY Sun	375,000
		NY Sun	937,500

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
enDevelopment LLC	6/4/2024	NYSERDA ADMINISTRATION, Job Posting	58,800
Energy and Environmental Economics Inc.	4/22/2024	ENERGY ANALYSIS, TWO 11 - Mkt Price Forecasting	150,000
		OREC: Technical Support, TWO 11 - Mkt Price Forecasting	60,000
		REC:CES REC System Dev Costs, TWO 11 - Mkt Price Foreca..	90,000
	7/16/2024	ENERGY ANALYSIS, TWO#7 Future of Gas Planning	136,068
	7/19/2024	ENERGY ANALYSIS, TWO #10: E3 Integration Analys	448,218
	8/7/2024	Electric Vehicles - Innovation, MHD EV Grid Impact Cat 1&3	384,222
	8/14/2024	REC:CES REC System Dev Costs, TWO 1 -RESRFP24-1 TEP ..	50,000
9/16/2024	ENERGY ANALYSIS, TWO 12 - NYS Energy Plan Supp	255,000	
Energy Catalyst LLC	5/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
	9/5/2024	NYCH: Innovation, Ground Source Heat Pump Cost	172,668
Energy EDC Corp.	5/31/2024	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Jazmin Filpi	40,000
	8/27/2024	Talent Pipeline:CE and OJT, PON 4772 R3 Anikka Carter	40,000
	9/3/2024	Talent Pipeline:CE and OJT, OJT	15,360
Energy Management Solutions, LLC	5/1/2024	Talent Pipeline:CE and OJT, OJT	9,773
	6/4/2024	Talent Pipeline:CE and OJT, OJT	5,760
	6/19/2024	Talent Pipeline:CE and OJT, OJT	5,760
	7/16/2024	Talent Pipeline:CE and OJT, OJT	6,080
	9/13/2024	Talent Pipeline:CE and OJT, OJT	10,560
Energy One Consulting LLC	6/25/2024	On-Site Energy Manager, OsEM 140-I - General Mills	198,055
Energy Savers Inc	4/25/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,512
Energy Service Technologies, LLC	7/3/2024	Talent Pipeline:CE and OJT, OJT	7,520
	9/11/2024	Talent Pipeline:CE and OJT, OJT	6,720
Energy Storage Response Group LLC	9/25/2024	Rmve Barriers Dist Enrgy Storg, TWO 2 - Peer Review for ES	550,000
Energy Technology Savings, Inc.	8/16/2024	Workforce Industry Partnership, PON 5357	122,150
Enica Engineering, PLLC	4/12/2024	Technical Services, OsEM130-C - 85 Tenth Ave	113,616
	8/14/2024	Technical Services, FT17286 New York Presbyterian	183,380
Enlarged City School District of Troy,	7/10/2024	K-12 SCHOOLS, CGSI-124O - Troy CSD (9)_O	186,560
Environ Energy Holdings LLC	7/22/2024	Technical Services, OSEM138-C - Maimonides Medical	200,000
		Technical Services, OsEM142-C - White Plains Hosp	200,000
	9/3/2024	Technical Services, FT17225 - Maimonides Medical	248,465
Environet Systems, LLC	6/13/2024	Talent Pipeline:CE and OJT, OJT	17,309
ePlus inc	5/16/2024	NYSERDA ADMINISTRATION, VEEAM Support (Software Only)	11,712
	7/1/2024	NYSERDA ADMINISTRATION, Veeam Protect Microsoft 365	11,049
Eponymous Associates, LLC	8/19/2024	>200KW PV, NY-Sun	799,668
ESRI, Incorporated	9/20/2024	NYSERDA ADMINISTRATION, ArcGIS Desktop and Server 1 yr	26,250
Essense Partners Inc.	7/3/2024	OREC: Technical Support, TWO #1 - LSR/OSW	500,000
Evercloak Inc	4/25/2024	Building Envelope Systems, Refrigerants - Evercloak	350,000
EVERGREEN ENERGY	9/6/2024	>200KW PV, NY-Sun	717,800
		NY-SUN, NY-Sun	179,450
EVGO OPCO, LLC	6/20/2024	CLEAN TRANSPORTATION, EVgo Services LLC DCFC Round..	1,044,716
Experis US LLC	4/8/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, SA..	20,290
		SA.020_TWO# 1_SFR_PM1	81,160
	4/11/2024	Code to Zero, SA.011_TWO# 2_Codes_Sr.PM	569,021
	5/17/2024	CLCPA Support, SA.030_TWO# 3_NC_PM1	29,288
		New Construction Housing, SA.030_TWO# 3_NC_PM1	165,756
		New Construction- Commercial, SA.030_TWO# 3_NC_PM1	98,761
		SF CN Competition, SA.030_TWO# 3_NC_PM1	29,996
		Single Family New Construction, SA.030_TWO# 3_NC_PM1	118,765
	6/19/2024	NYSERDA ADMINISTRATION, SA.021a_TWO# 5_SO_TS	99,440
	6/26/2024	Multifam Performance Pgm, SA.038_TWO# 4_MF_PM1	359,890
	6/27/2024	New Construction Housing, SA.040_TWO# 6_NC_PM1	258,396
		New Construction- Commercial, SA.040_TWO# 6_NC_PM1	110,741
	7/12/2024	New Construction Housing, SA.028a_TWO# 7_NC_PM1	352,935
		New Construction- Commercial, SA.028a_TWO# 7_NC_PM1	39,215
8/2/2024	SA.041_TWO# 8_GOV_PM1	428,320	

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount	
Experis US LLC	8/7/2024	Equitable Engagement, SA.018_TWO# 9_ECE_PM1	162,554	
	8/29/2024	NYSERDA ADMINISTRATION, SA.056_TWO# 12_SO_TW	50,437	
	9/2/2024	RTEM and Tenants, SA.046_TWO# 10_AES_PM2	491,545	
	9/5/2024	EVALUATION, SA.039_TWO# 11_PM_PC	210,038	
	9/27/2024	Commercial New Construc, SA.053_TWO#13_PM1_NC Low Rise New Construction, SA.053_TWO#13_PM1_NC Multifam New Construction, SA.053_TWO#13_PM1_NC	24,220 48,760 204,370	
FAC CLUSTER HOUSING DEVELOPME..	6/28/2024	Direct Injection Program, FACSMP	851,871	
Ferrario Ford Inc	8/14/2024	Purchase of a 2024 Chrysler Pa	48,148	
Fifth Avenue Committee, Inc.	5/30/2024	Retrofit NY, RetroFitFifth Avenue Committee	690,000	
	9/13/2024	IEDR Env Justice Working Group	19,800	
Finger Lakes Comfort, Inc	4/25/2024	Talent Pipeline:CE and OJT, OJT	7,040	
	5/24/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,640	
	6/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,240	
	7/11/2024	NYCH: Talent Ppln:CE and OJT, OJT Talent Pipeline:CE and OJT, OJT	8,160 9,120	
	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,160	
	9/13/2024	Talent Pipeline:CE and OJT, OJT	5,760	
	FINGER LAKES POWER SYSTEMS LLC	7/19/2024	<200KW PV, PON 2112 NY SUN	10,400
Fingerlakes Renewables	8/8/2024	<200KW PV, PON 2112 NY SUN	5,629	
Finishing Trades Institute of New York	9/23/2024	Talent Pipeline:CE and OJT, PON 5437	555,528	
Firomar	8/19/2024	Building Envelope Systems, Panelized Systems -Firomar	1,529,740	
First Columbia Property Services, LLC	6/3/2024	NYSERDA ADMINISTRATION, Property Management	258,456	
Fishtech Energy Partners LLC	4/12/2024	Heat Recovery, HeatRec C1_Fishtech_375Park Heat Recovery, HeatRec C1_Fishtech_477Madison	39,427 39,427	
	5/6/2024	Heat Recovery, HeatRec C1_Fishtech_MSKCC CLM Heat Recovery, HeatRec C1_Fishtech_MSKCC Kimm Heat Recovery, HeatRec C1_Fishtech_MSKCCBAIC	39,427 39,427 39,427	
	5/23/2024	Heat Recovery, HeatRec C1_Fishtech_Pier57 Heat Recovery, HeatRec C1_Fishtech_UniClub	39,427 39,427	
	5/24/2024	Technical Services, FT17067 RXR Co Property Manage	192,658	
	6/4/2024	Talent Pipeline:CE and OJT, OJT	11,722	
	7/3/2024	Technical Services, FT - 0000761131 - HR REIT - 42	39,000	
	7/22/2024	Technical Services, FT - 0000757234 - An Armful Co	8,000	
	7/23/2024	Workforce Industry Partnership, PON 5357	319,156	
	8/7/2024	Workforce Industry Partnership, PON 5357	317,656	
	8/28/2024	Heat Recovery, HeatRec C1_Fishtech_Juilliard	39,427	
	9/17/2024	Heat Recovery, HeatRec C2_Fishtech_375 Park	80,000	
	9/18/2024	Heat Recovery, HeatRec C2_Fishtech_StarLehi	80,000	
	Flamingos Clean Energy, LLC	6/28/2024	>200KW PV, NY-Sun	26,460
	Flatiron Fifth Ave Condo	9/12/2024	Technical Services, FT17186 - 140 5th Avenue - FTC	14,000
	Florenton River LLC	5/23/2024	>200KW PV, PON 2112 NY SUN	199,600
6/17/2024		>200KW PV, PON 2112 NY SUN	61,110	
6/18/2024		>200KW PV, PON 2112 NY SUN	12,610	
6/20/2024		<200KW PV, PON 2112 NY SUN	5,000	
Foam It Insulation, LLC	4/12/2024	NYCH: Talent Ppln:CE and OJT, OJT	7,200	
	5/1/2024	NYCH: Talent Ppln:CE and OJT, OJT	7,200	
	5/24/2024	Talent Pipeline:CE and OJT, OJT	14,400	
	6/13/2024	Talent Pipeline:CE and OJT, OJT	25,920	
	7/3/2024	Talent Pipeline:CE and OJT, OJT	7,200	
	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	7,200	
	9/11/2024	Talent Pipeline:CE and OJT, OJT	15,082	
Foley & Lardner LLP	6/18/2024	RFP 12: NYGB Legal Services	57,500	
	7/18/2024	RFP 12: NYGB Legal Services	146	
	9/17/2024	RFP 12: NYGB Legal Services	976	
Fordham Hill Owners Corp.	6/13/2024	Technical Services, FT15054 - Fordham Hill Owners	20,314	

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Fordham Hill Owners Corp.	7/11/2024	Technical Services, FT15042 - Fordham Hill Owners	23,404
Franklin Plaza Apartments	5/24/2024	Tech Assistanc Multifamily LMI, FT15197 - Franklin Plaza Apart	31,973
		Technical Services, FT15096 - Franklin Plaza Apart	31,973
Freedom Solar LLC	6/6/2024	<200KW PV, PON 2112 NY SUN	32,495
		>200KW PV, PON 2112 NY SUN	864,852
Freedom Solutions Group, LLC	6/20/2024	NEW YORK GREEN BANK, Litera Compare Software	2,295
		NYSERDA ADMINISTRATION, Litera Compare Software	2,295
Friello and Sons Heating and Cooling, In	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,120
Frontier Energy, Inc.	5/11/2024	REC:CES REC System Dev Costs, DER Data System Support	11,340
	5/24/2024	REC:CES REC System Dev Costs, Frontier Energy/ Technical ..	49,448
	5/30/2024	ESTOR: Implementation Support, TWO 2 Cat. 3 Energy Storage	250,000
Fund for Public Health in New York, Inc.	4/2/2024	Environmental Research, Assessment for Energy Policy	98,356
Fund for the City of New York, Inc.	8/14/2024	Talent Pipeline:CE and OJT, NYCETC 2024 Conf Sponsorship	10,000
Fusco Personnel, Inc.	4/1/2024	NYSERDA ADMINISTRATION, Recruitment Outsourcing	100,000
	7/29/2024	OREC: Technical Support, TS.007 - LSR_Office Admin	16,200
		REC:CES REC System Dev Costs, TS.007 - LSR_Office Admin	16,200
	8/15/2024	NYSERDA ADMINISTRATION, Temp Services-Counsel-FOIL A..	17,280
REC:CES REC System Dev Costs, Temp Services-Counsel-FO..		17,280	
Fusion Energy Services LLC	7/24/2024	<200KW PV, NY-Sun	7,500
	7/29/2024	<200KW PV, PON 2112 NY SUN	5,000
	9/12/2024	<200KW PV, PON 2112 NY SUN	5,000
G.R.O. Energy Solutions, LLC	6/4/2024	Talent Pipeline:CE and OJT, OJT	8,000
G&S Operations LLC	5/30/2024	>200KW PV, NY-Sun	1,280
		NY-SUN, NY-Sun	320
	8/26/2024	NY-SUN, NY-Sun ICSA	185,652
Gabrielli Truck Sales, LTD	7/26/2024	CLEAN TRANSPORTATION, NYTVIP - M.R.Z. Trucking Corp.	215,000
GarageWORKS Studios LLC	5/23/2024	Net Zero Energy for Eco Dev, CNCED 2023-GarageWorks Stud..	1,983,156
Garrison Associates Inc	6/10/2024	EVALUATION, DPS Tech Supp for 2024 GB Eval	50,000
Gary E Phetteplace	9/27/2024	NYCH: District, Enter into a less than direct	50,000
GBA Commissioning Services, Inc	5/8/2024	Technical Services, FT14759 - LaGuardia Corp Ctr	78,294
	5/24/2024	Technical Services, FT17216 University of Rocheste	999,277
	7/29/2024	NYCH: Technical Assistance, FT14574 - 77 W 24th	41,079
	8/13/2024	NYCH: Technical Assistance, FT14635 - The Verdesian - FTC	43,683
GE Vernova International LLC	7/25/2024	REC:CES REC System Dev Costs, Transmission Services on D..	384,250
Geatrain Engineering PLLC	4/18/2024	Technical Services, OsEM126- C - Moxy Hotel	54,000
Generate Capital Inc.	5/20/2024	>200KW PV, NY Sun	336,960
		NY Sun	842,400
Genie Solar, Inc.	9/19/2024	>200KW PV, NY Sun	303,156
		NY Sun	757,891
Geotherm Inc.	8/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
GI Endurant LLC	8/6/2024	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000
	8/7/2024	ESTOR:Retail Storage Incentive, Retail Storage	3,600,000
	9/4/2024	ESTOR:Retail Storage Incentive, Retail Storage - Incentives	1,072,500
Gillig LLC	4/9/2024	CLEAN TRANSPORTATION, NYTVIP - BC Transit	1,540,000
Global Asset Positioning, LLC	4/5/2024	CSE Supply Chain Attraction	102,930
		NYS Clean Energy Transition, CSE Supply Chain Attraction	116,070
Go Solar, LLC	9/4/2024	<200KW PV, PON 2112 NY SUN	12,480
God's Love We Deliver	9/25/2024	Technical Services, FT - 0000779888 - God's Love W	18,750
Goldman Copeland Associates, P.C.	4/17/2024	Heat Recovery, HeatRec C1_GoldmanC_205-9E23St	23,976
	4/24/2024	Technical Services, FT17146 - SL Green Realty Corp	31,975
	5/6/2024	Heat Recovery, HeatRec C1_GoldmanC_StVartan	38,956
	5/22/2024	Technical Services, FT17119 SL Green Realty - 810	13,470
		Technical Services, FT17120 SL Green Realty - 100	18,990
	5/24/2024	Technical Services, FT15072 - Lighthouse Guild	8,007
	5/28/2024	Heat Recovery, HeatRec C1_GoldmanC_303E83	26,974
	6/11/2024	Technical Services, FT17113 Empire State Realty Tr	18,990

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Goldman Copeland Associates, P.C.	7/31/2024	Technical Services, FT - 0000771872 - Racquet and	15,988
	8/12/2024	Heat Recovery, HeatRec C2_GoldmanC_180montag	69,000
	8/21/2024	Technical Services, FT - 0000784307 - Crowne Plaza	25,999
	8/22/2024	Technical Services, FT - 0000781895 - CBRE - 717 F	33,822
	8/26/2024	Technical Services, FT755842 - LeFrak - 180 Broadw	13,988
		Technical Services, FT755928 - LeFrak - 98-01 67th	12,994
		Technical Services, FT755935 - LeFrak - 84-20 Aust	7,478
		Technical Services, FT755938 - LeFrak - 64-20 Saun	10,996
		Technical Services, FT755944 - LeFrak - 48-30 40th	7,499
		Technical Services, FT755947 - LeFrak - 42-42 80th	9,990
		9/25/2024	Heat Recovery, HRC1_GoCo_NYACK
	9/26/2024	Technical Services, FT - 0000795380 - 44 Prospect	10,987
Good Carbon Curation LLC	5/22/2024	Low Carbon Tech Demos, Low Carbon Pathways	1,639,400
Gordon International Holdings LLC	7/26/2024	HPD Direct Injection, 1415 Ogden	850,000
Graphic Grace Design LLC	5/24/2024	NYSERDA ADMINISTRATION, Contracted Graphic Designer	50,000
Gree Mechanical Yonkers LLC	5/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	13,680
	6/4/2024	NYCH: Talent Ppln:CE and OJT, OJT	14,400
	6/13/2024	NYCH: Talent Ppln:CE and OJT, OJT	17,280
	7/11/2024	NYCH: Talent Ppln:CE and OJT, OJT	30,720
Green Ducklings A/S	4/29/2024	OREC: Technical Support, Tech assist OSW development	50,000
Green Hybrid Energy Solutions Inc.	4/25/2024	<200KW PV, PON 2112 NY SUN	712
	6/17/2024	>200KW PV, PON 2112 NY SUN	23,280
	7/26/2024	>200KW PV, PON 2112 NY SUN	78,000
	9/3/2024	>200KW PV, PON 2112 NY SUN	49,395
Green Light New York, Inc.	4/10/2024	Tech Assistanc Multifamily LMI, Pratt Ice Box Challenge Event	5,000
		Technical Services, Pratt Ice Box Challenge Event	5,000
	4/24/2024	Capital Planning, BE-Ex 2024 Membership Dues	10,000
		Empire Building Challenge, BE-Ex 2024 Membership Dues	10,000
		Heat Recovery, BE-Ex 2024 Membership Dues	10,000
		New Construction Housing, BE-Ex 2024 Membership Dues	10,000
	RTEM and Tenants, BE-Ex 2024 Membership Dues	10,000	
9/25/2024	Workforce Industry Partnership, TWO EBC Training Series	250,000	
Green Team USA, LLC	7/22/2024	OJT	18,000
	8/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	18,000
GreenLogic, LLC	5/14/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/12/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	8/27/2024	ENERGY STORAGE, PON 2112 NY SUN	550
Greenstar Home Services	6/13/2024	Talent Pipeline:CE and OJT, OJT	7,680
	7/11/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	8/21/2024	Talent Pipeline:CE and OJT, OJT	9,280
Greycourt Road NY LLC	8/30/2024	NY-SUN, NY-Sun ICESA	306,072
Group-S LLC	4/12/2024	NYCH: Technical Assistance, FT15145 - Metro Mgmt - 170-180	54,225
	4/18/2024	Technical Services, FT15161 - JSB Properties - 208	28,343
	4/24/2024	NYCH: Technical Assistance, FT15151 - Vaux Condo - 372 Cen	31,500
		Technical Services, FT17038 Friedman Management -	14,996
	5/3/2024	Technical Services, FT17039 Akam - 400 East 85	12,480
	5/6/2024	NYCH: Technical Assistance, FT15175 Dermer Management - ..	25,700
		Technical Services, FT15173 - Akam - 50 Central	22,983
	5/7/2024	Technical Services, FT17158 TF - Cornerstone - 33	20,149
	5/8/2024	Technical Services, FT15179 Dolphin Property - 820	35,633
		Technical Services, FT15181 Akam - 252 West 85	11,638
		Technical Services, FT17105 Douglas Eliman Propert	13,504
		Technical Services, FT17159 TF Cornerstone - 45 Wa	16,354
	5/9/2024	Technical Services, FT15086 - 680-714 Montauk Ave	9,150
	5/24/2024	Heat Recovery, HeatRec C1_ENPG_1Hanson	38,936
		Heat Recovery, HeatRec C1_ENPG_45-45CenterBlv	38,936

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Group-S LLC	6/18/2024	Technical Services, FT15063 - 1010 Sherman - FTC	19,500
		Technical Services, FT15153 - C&C Apartment - 871	22,976
		Technical Services, FT17036 500 Park Tower - 500 P	14,479
		Technical Services, FT17063 AKAM - 215 West 95	24,514
	6/19/2024	Heat Recovery, HeatRec C2_ENPG_The Victoria	77,996
	7/3/2024	NYCH: Technical Assistance, FT15110 NRG - 2630 Cropsey	43,500
		Technical Services, FT15115 - Evans Tower - 171 E	31,185
		Technical Services, FT15189 Wavertree - 136 Waverl	22,478
	7/8/2024	Technical Services, FT17259 Pennbus Realities - 575	14,486
	7/10/2024	Technical Services, FT17157 TF Cornerstone - 2 Gol	28,890
	7/17/2024	Technical Services, FT15191 Alameda Condo - 255 We	25,611
	7/18/2024	Heat Recovery, App 062 C2_EN-PG_92NY	77,996
	7/24/2024	Technical Services, FT17020 Merritt House - 167 E	8,500
	7/25/2024	Technical Services, FT15062 -330-340 Haven - FTC	16,950
	7/26/2024	INDUSTRIAL PROCESS EFFICIENCY, FT17160 - TF Cornerst..	36,486
	8/1/2024	Technical Services, FT17278 Century - 69 West 9	8,445
	8/5/2024	Technical Services, FT17273 TKR Property Services	8,490
	8/13/2024	NYCH: Technical Assistance, FT14686 - 422 East 72 - FTC	55,500
	8/16/2024	Technical Services, FT17045 Westwind Corp - 175 We	7,493
		Technical Services, FT17275 John B Lovett and Asso	8,985
		Technical Services, FT17276 Douglas Elliman - 400	11,483
	8/20/2024	NYCH: Technical Assistance, FT14869 - Turner Towers - FTC	42,000
		Technical Services, FT17274 Sherry Netherland - 78	14,500
	8/21/2024	Heat Recovery, HeatRec C1_ENPG_315East65thSt	38,936
		NYCH: Technical Assistance, FT15176 Brodsky - 360 West 43	35,640
	8/22/2024	Technical Services, FT17037 North Shore Preservati	14,291
	8/26/2024	Technical Services, FT17277 Douglas Elliman - 1 Le	7,988
	8/28/2024	Technical Services, FT17258 Cushman & Wakefield -	13,035
	9/3/2024	Technical Services, FT - 0000782560 - Orsid - 37 W	11,895
	9/4/2024	NYCH: Technical Assistance, FT - 0000779968 - Rosebud - 22	20,985
		Technical Services, FT17040 AKAM - 58 West 58	11,475
	9/5/2024	Technical Services, FT17055 The 230 Riverside Cond	12,480
	9/12/2024	Heat Recovery, HeatRec C2_ENPG_201East66thSt	77,996
Heat Recovery, HeatRec C2_ENPG_EastRiverHouse		77,996	
GSI Development Corp.	4/29/2024	>200KW PV, NY Sun	636,661
		NY Sun	1,591,650
		NY-SUN, NY Sun	891,323
Guidehouse Inc.	7/19/2024	Landlord Outreach	198,000
	8/16/2024	SFR Operations Risk Analysis	198,000
Gupta Advisory	4/30/2024	OREC: Technical Support, Tech assist NYS OSW pre-devmt	49,900
Gutami Inc	9/11/2024	>200KW PV, NY Sun	360,360
		NY Sun	900,900
H2M Architects, Engineers, Land Surve..	8/7/2024	OTHER PROGRAM AREA, Haverstraw JT Planning Study	160,000
H.E.L.P Development Corp.	4/11/2024	HPD Direct Injection, HELP One – Building C	368,900
Hahn Kook Center U.S.A., Inc.	5/24/2024	Technical Services, FT17121 Hahn Kook Center - 460	36,590
Halcyon Inc.	5/9/2024	Talent Pipeline:CE and OJT, OJT	9,600
	7/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	8/21/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	9/27/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Halcyon, Inc.	6/27/2024	<200KW PV, PON 2112 NY SUN	7,380
	8/7/2024	<200KW PV, PON 2112 NY SUN	7,056
HALO Branded Solutions, Inc.	7/16/2024	POLICY DEVELOPMENT, 2024 DPS JCB_HALO PO	75,000
Hanwha Q Cells America Inc	9/4/2024	ESTOR:Retail Storage Incentive, Retail Storage Incentives	5,000,000
Harris Beach PLLC	4/1/2024	NYSERDA ADMINISTRATION, TWO 6 - Real Estate Issues	5,000
	7/11/2024	SARATOGA TECHNOLOGY & ENERGY PARK, TWO 1 STEP ..	25,000
Harris Energy Solutions LLC	5/8/2024	CGSI-162E - NYC DOE District 7	468,102

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Harris Energy Solutions LLC	5/13/2024	CGSI-173E - NYC DOE District 8	423,692
		CGSI-174E - NYC DOE District 9	347,168
	5/14/2024	CGSI-175E -NYC DOE District 10	527,832
		CGSI-176E -NYC DOE District 11	541,032
		CGSI-177E -NYC DOE District 12	541,032
	7/17/2024	Technical Services, AEAP 1715 - Finding Home Farms	3,000
9/18/2024	Technical Services, AEAP 1715 - Finding Home Farms	2,964	
Harvest Power, LLC	4/17/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/9/2024	COMMUNITY SOLAR, NY-Sun	5,040
	5/24/2024	>200KW PV, NY-Sun	605,184
		NY-SUN, NY-Sun	151,296
	7/17/2024	>200KW PV, PON 2112 NY SUN	155,775
	7/18/2024	>200KW PV, PON 2112 NY SUN	34,100
	8/20/2024	COMMUNITY SOLAR, PON 2112 NY SUN	7,224
	Hawn Heating & Energy Services LLC	4/2/2024	NYCH: Talent Ppln:CE and OJT, OJT
6/13/2024		NYCH: Talent Ppln:CE and OJT, OJT	9,600
6/19/2024		NYCH: Talent Ppln:CE and OJT, OJT	11,040
8/6/2024		NYCH: Talent Ppln:CE and OJT, OJT	11,592
9/16/2024		NYCH: Talent Ppln:CE and OJT, OJT	9,600
9/25/2024		NYCH: Talent Ppln:CE and OJT, OJT	12,960
Healthy Home Energy & Consulting, Inc.	5/24/2024	Talent Pipeline:CE and OJT, OJT	5,760
Heat Keepers, Inc.	5/24/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	7/31/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	9/11/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,840
Hecate Energy Group LLC	6/28/2024	REC:CES REC Contracts, RESRFP23-1	713,971,794
Henningson, Durham & Richardson PC	8/16/2024	OREC: Technical Support, TWO#2 OSWSCRF24-1 IndEval JG	50,000
	8/22/2024	OREC: Technical Support, Offshore Wind	50,000
	9/17/2024	CI Engy Siting & Soft Cost Red, TWO #1	400,000
Hewitt Young Electric,LLC	6/28/2024	<200KW PV, PON 2112 NY SUN	12,920
High Peaks Solar	8/13/2024	<200KW PV, PON 2112 NY SUN	187,440
	9/4/2024	<200KW PV, PON 2112 NY SUN	7,560
HiHello, Inc.	6/10/2024	NYSERDA ADMINISTRATION, Digital BCard Subscription	37,570
Hilton Albany	7/3/2024	NYSERDA ADMINISTRATION, Hotel Room Block	15,960
Hodgson Russ LLP	7/30/2024	RFP 12 - NYGB Legal Services	811
Holcim US Inc	6/20/2024	CI Carbon Challenge, C&I Carbon Challenge	5,000,000
Holland & Knight LLP	4/3/2024	RFP 12 - NYGB Legal Services	2,870
	4/25/2024	RFP 12 - NYGB Legal Services	4,664
	6/4/2024	OREC: Technical Support, TWO 12 - ORECRFP24-1 (NY5)	75,000
	6/10/2024	OREC: Technical Support, TWO 11 - LSR Labor Law Matters	50,000
	6/17/2024	RFP 12 - NYGB Legal Services	3,875
	7/3/2024	RFP 12 - NYGB Legal Services	17,093
	7/30/2024	OREC: Technical Support, TWO 9 - ORECRFP23-1 OSW Solici	29,401
	7/31/2024	RFP 12 - NYGB Legal Services	17,649
	8/27/2024	OREC: Technical Support, TWO 9 - ORECRFP23-1 OSW Solici	80,000
	9/26/2024	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	5,553
Home Energy Solutions	5/22/2024	OJT	12,480
HomeCycle Technologies, Inc.	8/26/2024	REC:CES REC System Dev Costs, RESRFP24-1 TEP IE_Mark ..	42,500
Honeywell International Inc.	4/8/2024	NYCH: Comfort Home, TWO #1 Comfort Home SQA	9,200
	6/6/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, T..	96,200
		EMPOWER NY, TWO #2 - Field Inspection	5,000
		Home Perf w Energy Star, TWO #2 - Field Inspection	10,000
		NENY:CHGE Empower Electric, TWO #2 - Field Inspection	3,275
		NENY:CHGE Empower Gas, TWO #2 - Field Inspection	8,950
		NENY:Con Ed Empower Electric, TWO #2 - Field Inspection	11,750
		NENY:Con Ed Empower Gas, TWO #2 - Field Inspection	36,400
		NENY:KEDNY Empower Gas, TWO #2 - Field Inspection	13,700

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Honeywell International Inc.	6/6/2024	NENY:NFG Empower Gas, TWO #2 - Field Inspection	260,500
		NENY:NIMO Empower Electric, TWO #2 - Field Inspection	28,100
		NENY:NIMO Empower Gas, TWO #2 - Field Inspection	127,000
		NENY:NYSEG Empower Electric, TWO #2 - Field Inspection	34,500
		NENY:NYSEG Empower Gas, TWO #2 - Field Inspection	105,100
		NENY:O&R Empower Electric, TWO #2 - Field Inspection	26,500
		NENY:O&R Empower Gas, TWO #2 - Field Inspection	51,000
		NENY:RGE Empower Electric, TWO #2 - Field Inspection	16,500
		NENY:RGE Empower Gas, TWO #2 - Field Inspection	49,500
		TWO #2 - Field Inspection	326,025
	6/7/2024	NYCH: Comfort Home, TWO #1 Comfort Home SQA	148,000
Horseheads Central School District	8/21/2024	K-12 SCHOOLS, CGSI-1940 - Horseheads CSD	266,180
Housing Trust Fund Corporation	7/11/2024	Direct Injection Program, HCR 2021	23,000,000
		HCR 2021	9,750,000
		HCR Direct Injection, HCR 2021	9,250,000
Hudson River Renewables	4/12/2024	<200KW PV, PON 2112 NY SUN	3,800
	5/14/2024	<200KW PV, PON 2112 NY SUN	4,300
	7/16/2024	<200KW PV, PON 2112 NY SUN	5,000
Hudson Valley Wind Energy, LLC	9/19/2024	<200KW PV, PON 2112 NY SUN	10,000
Hydropore Technologies	7/26/2024	Hydrogen Innovation, Clean Hydrogen Innovation	400,000
Hytech Solar Inc	4/2/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/30/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/16/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,400
	9/3/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
IBC Engineering PC	4/22/2024	CGSI-83E - Solvay UFSD	8,633
	8/20/2024	K-12 SCHOOLS, CGSI-204ED - North Syracuse	886,386
	9/12/2024	FT17127 Bemus Point CSD (3)_CT	6,584
ICF Incorporated LLC	6/18/2024	ENERGY ANALYSIS, TWO 3 - NYS NG Infrastructure	40,000
ICF Resources, LLC	7/2/2024	TWO 4 - CTS Study Support	400,000
Ichor Strategies LLC	6/13/2024	CLEAN TRANSPORTATION, ESB Public Relations	420,060
	8/29/2024	NYSERDA ADMINISTRATION, Public Relations Services	500,000
IGM Holdings, Inc.	4/5/2024	NYCH: Talent Ppln:CE and OJT, OJT	25,600
Illume Advising LLC	4/29/2024	Eval MCDC Statewide MultiF LMI, Statewide Multifamily Evaluati	370,159
IMK Partners LLC	9/24/2024	Low Carbon Tech Demos, Low Carbon Pathways	44,000
Inclusive Prosperity Capital, Inc	8/28/2024	Clean Energy Hub, Financing Strategy for RCEH	50,000
Indotronix International Corporation	6/13/2024	Carbontech Development, SA.033_TWO# 2_IN_APM	69,884
		Grid ClimateTech Ready Capital, SA.033_TWO# 2_IN_APM	72,001
		Thermal Energy Storage, SA.033_TWO# 2_IN_APM	69,884
	6/28/2024	ESTOR: Implementation Support, SA.034_TWO# 3_DER_ADV	855,989
	7/26/2024	NYSERDA ADMINISTRATION, TWO#4-CM-PC-Kijuana Owens	100,464
Industrial Economics, Incorporated	4/29/2024	CEL049: Process Evaluation, TWO 7 - Process Evals	525,018
INF Associates LLC	4/12/2024	Talent Pipeline:CE and OJT, OJT	9,232
	5/24/2024	Heat Recovery, HeatRec C1_INF_ShorehamHotel	25,905
	6/19/2024	Technical Services, FT17064 First Service Resident	13,128
	7/3/2024	Technical Services, OSEM141-C - P.C. Richard	200,000
	8/13/2024	CGSI-210CT -Schenectady CSD	123,354
	8/14/2024	Talent Pipeline:CE and OJT, OJT	17,309
	9/12/2024	K-12 SCHOOLS, FT - 0000784709 - The Spence S	35,600
	9/13/2024	CGSI-110 - Warrensburg CSD	48,800
	9/18/2024	FT - 0000767235 - Lakeland Cen	64,370
	Infinity Solar Systems, LLC	4/11/2024	<200KW PV, PON 2112 NY SUN
4/12/2024		<200KW PV, PON 2112 NY SUN	6,560
4/16/2024		<200KW PV, PON 2112 NY SUN	42,783
4/17/2024		<200KW PV, PON 2112 NY SUN	5,178
5/29/2024		<200KW PV, PON 2112 NY SUN	5,000
6/14/2024		<200KW PV, PON 2112 NY SUN	5,248

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Infinity Solar Systems, LLC	6/21/2024	<200KW PV, PON 2112 NY SUN	9,512
	6/28/2024	<200KW PV, PON 2112 NY SUN	6,253
	7/19/2024	<200KW PV, PON 2112 NY SUN	1,640
	7/25/2024	>200KW PV, PON 2112 NY SUN	13,120
	9/17/2024	<200KW PV, PON 2112 NY SUN	5,000
Inglese Architecture + Engineering	4/12/2024	LMI Multifamily Demos, Savoy Park EBC Cohort 3	100,000
Institute for Building Technology and Sa	6/21/2024	NY-SUN, TWO 4 NYSUN Res NonRes	2,000,000
Integrated Energy Concepts Engineerin..	9/6/2024	Heat Recovery, HeatRec C1_NRG_Gateway	67,500
Integrated Energy Service Corp	5/31/2024	RTEM and Tenants, IES-51W52-RTEM+T	113,904
	6/19/2024	RTEM and Tenants, IES-250Vesey-RTEM+T	400,000
Integrated Staffing Corporation	4/29/2024	SA.016_TWO# 2_SQA_Coordinator	185,870
	5/3/2024	NYSERDA ADMINISTRATION, TS.028 - Marketing_Coordinator	95,174
	6/6/2024	Tech Assistanc Multifamily LMI, SA.036_TWO#3_EPE_PM-1	266,500
		Technical Services, SA.036_TWO#3_EPE_PM-1	266,500
	8/27/2024	Thermal Energy Storage, TEMP_IN_EA	24,000
	9/3/2024	ENERGY ANALYSIS, TS.032 - EEA_Coordinator	74,763
INTEGRATION APPLIANCE, INC.	6/14/2024	NEW YORK GREEN BANK, CRM Platform Deal Cloud	523,441
Integrity Solar Solutions, LLC	9/4/2024	<200KW PV, PON 2112 NY SUN	5,000
Intelligent NRG Solutions LLC	4/1/2024	Future Grid Perf. Challenges, Power Grid Innovation	399,974
	8/23/2024	Future Grid Perf. Challenges, Power Grid Innovation	598,824
International Code Council, Inc.	5/23/2024	Code to Zero, ICC Code Books	1,426,633
Invenergy Renewables Holdings LLC	7/15/2024	REC:CES REC Contracts, RESRFP23-1	1,917,047,788
Irrational Labs LLC	9/16/2024	Empire Building Challenge, MF Bldg Owner Decision Mapping	320,701
		NYCH: Empire Build Challenge, MF Bldg Owner Decision Mappi..	44,299
IWS Services Inc.	8/16/2024	OREC: Technical Support, TWO #3	50,000
		OREC: Technical Support, TWO#2 OSWSCRFP24-1 IndEval KR	50,000
	8/26/2024	OREC: Technical Support, Offshore Wind	50,000
	9/13/2024	OREC: Technical Support, TWO #4 - Generic OSW project	50,000
J Synergy Solar LLC	4/2/2024	<200KW PV, PON 2112 NY SUN	22,480
	4/23/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,328
	6/25/2024	<200KW PV, PON 2112 NY SUN	5,100
	6/27/2024	<200KW PV, PON 2112 NY SUN	11,152
	6/28/2024	<200KW PV, PON 2112 NY SUN	7,480
	7/23/2024	<200KW PV, PON 2112 NY SUN	7,820
	9/4/2024	>200KW PV, PON 2112 NY SUN	21,420
James Douglas Werner	7/29/2024	WEST VALLEY DEVELOPMENT PROGRAM, WernerBird Strat..	55,000
Jaros, Baum & Bolles	4/25/2024	Technical Services, FT17131 277 Park Avenue LLC	79,500
	5/22/2024	Technical Services, FT17112 - Rudin Management Com	49,500
	5/24/2024	Technical Services, FT14884 - Vornado Realty	9,500
	5/28/2024	Technical Services, FT17285 GSA Hotel - 102 North	158,500
JBI Construction Group	4/5/2024	<200KW PV, PON 2112 NY SUN	7,128
	4/16/2024	<200KW PV, PON 2112 NY SUN	10,044
		>200KW PV, PON 2112 NY SUN	16,490
	5/17/2024	<200KW PV, PON 2112 NY SUN	21,060
	5/23/2024	<200KW PV, PON 2112 NY SUN	51,016
	6/11/2024	<200KW PV, PON 2112 NY SUN	17,608
	6/26/2024	<200KW PV, PON 2112 NY SUN	9,180
	6/27/2024	<200KW PV, PON 2112 NY SUN	2,624
	6/28/2024	<200KW PV, PON 2112 NY SUN	7,216
	7/1/2024	>200KW PV, PON 2112 NY SUN	199,650
	7/8/2024	<200KW PV, PON 2112 NY SUN	7,360
	7/19/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,068
	8/20/2024	<200KW PV, PON 2112 NY SUN	12,136
		>200KW PV, PON 2112 NY SUN	65,500
	8/27/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,440
9/23/2024	<200KW PV, PON 2112 NY SUN	6,888	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Jefferson-Lewis BOCES	4/15/2024	K-12 SCHOOLS, BOCES2 - TWO Umbrella Jeff-Lew	73,570
Jetway Heating Cooling And Refrigeration	8/8/2024	Talent Pipeline:CE and OJT, OJT	14,400
	8/22/2024	Talent Pipeline:CE and OJT, OJT	14,400
John B Warren	5/1/2024	RENEWABLE HEAT NY, Wood Combustion Nanoparticles	10,005
John Wiley & Sons, Inc.	8/27/2024	Environmental Research, CIA Open Source Publication	48,400
Johnson Controls, Inc. (Syracuse)	7/10/2024	K-12 SCHOOLS, CGSI-183E - Ausable Valley CSD	121,325
Jones Lang LaSalle Americas, Inc.	6/19/2024	Technical Services, OsEM120-C - Goldman Sachs	200,000
Jordan Energy and Food Enterprises LLC	6/13/2024	<200KW PV, PON 2112 NY SUN	22,713
	7/1/2024	<200KW PV, PON 2112 NY SUN	42,559
	7/9/2024	<200KW PV, PON 2112 NY SUN	17,760
	7/10/2024	<200KW PV, PON 2112 NY SUN	49,834
	9/18/2024	<200KW PV, PON 2112 NY SUN	7,830
Joseph W Novak	8/15/2024	BR: Screening, Engineering Services	50,000
Joy Gree LLC	8/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	13,200
JP Bus & Truck Repair LTD	6/5/2024	NYSBIP - NYC SD	199,500
	6/20/2024	NYSBIP - NYC SD	3,990,000
	7/1/2024	NYSBIP - Katonah Lewisboro SD	171,000
	7/9/2024	NYSBIP - NYC SD	199,500
	8/28/2024	NYSBIP - Kings Park SD	400,000
	9/27/2024	NYSBIP - Croton Harmon SD	1,323,000
		NYSBIP - NYC SD	1,000,000
	NYSBIP NYC SD	250,000	
JPMorgan Chase Bank National Associ..	7/5/2024	NYSERDA ADMINISTRATION, Depository Banking Services	28,158
JR & SONS EXCAVATING INC.	8/19/2024	WEST VALLEY DEVELOPMENT PROGRAM, Ops and Mainten..	280,000
Kaeyer, Garment & Davidson Architects..	8/20/2024	K-12 SCHOOLS, CGSI-168ED - Clarkstown CSD	952,920
KAM Cleanup LLC	7/22/2024	New Construction- Commercial, NC-C Incentives	369,122
Kamtech Restoration Corp	4/2/2024	<200KW PV, PON 2112 NY SUN	28,464
	4/17/2024	<200KW PV, PON 2112 NY SUN	11,424
	4/25/2024	<200KW PV, PON 2112 NY SUN	18,352
	6/11/2024	<200KW PV, PON 2112 NY SUN	8,000
	6/12/2024	<200KW PV, PON 2112 NY SUN	7,392
	6/17/2024	<200KW PV, PON 2112 NY SUN	24,864
	6/18/2024	<200KW PV, PON 2112 NY SUN	38,688
	6/20/2024	<200KW PV, PON 2112 NY SUN	5,376
	6/27/2024	<200KW PV, PON 2112 NY SUN	17,932
	6/28/2024	<200KW PV, PON 2112 NY SUN	5,712
	7/1/2024	<200KW PV, PON 2112 NY SUN	21,944
	7/16/2024	<200KW PV, PON 2112 NY SUN	5,000
	7/19/2024	<200KW PV, PON 2112 NY SUN	15,760
		COMMUNITY SOLAR, PON 2112 NY SUN	8,624
	8/8/2024	<200KW PV, PON 2112 NY SUN	10,956
	8/14/2024	<200KW PV, PON 2112 NY SUN	29,284
	9/3/2024	>200KW PV, PON 2112 NY SUN	19,740
	9/5/2024	>200KW PV, PON 2112 NY SUN	8,715
	9/20/2024	<200KW PV, PON 2112 NY SUN	19,404
9/30/2024	<200KW PV, PON 2112 NY SUN	5,120	
Karp Strategies, LLC	7/12/2024	OREC: Technical Support, TWO1 NYNJ OSW train website	271,250
Karpman Consulting, LLC	4/18/2024	Code to Zero, MWBE Direct Award to Karpman C	190,000
	5/8/2024	New Construction- Commercial, TWO #1 - Tech Support for NC..	50,000
Kasselman Solar LLC	4/10/2024	<200KW PV, PON 2112 NY SUN	8,200
	4/15/2024	<200KW PV, PON 2112 NY SUN	8,528
	4/25/2024	<200KW PV, PON 2112 NY SUN	22,056
	4/26/2024	<200KW PV, PON 2112 NY SUN	20,000
	6/12/2024	<200KW PV, PON 2112 NY SUN	6,150
	6/18/2024	<200KW PV, PON 2112 NY SUN	27,840
	6/21/2024	<200KW PV, PON 2112 NY SUN	5,000

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kasselman Solar LLC	7/2/2024	<200KW PV, PON 2112 NY SUN	15,723
	7/29/2024	<200KW PV, PON 2112 NY SUN	5,508
	8/13/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/14/2024	<200KW PV, PON 2112 NY SUN	5,780
	8/15/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/23/2024	<200KW PV, PON 2112 NY SUN	5,000
	9/5/2024	<200KW PV, PON 2112 NY SUN	1,968
	9/6/2024	<200KW PV, PON 2112 NY SUN	1,000
Kawi Energy Group Corp.	9/4/2024	Technical Services, FT14977 - Times Square Hospita	5,924
KC Management Holdings LLC	4/18/2024	NYCH: Talent Ppln:CE and OJT, OJT	16,000
	5/22/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,000
	5/24/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,000
	6/25/2024	NYCH: Talent Ppln:CE and OJT, OJT	16,000
	7/3/2024	Talent Pipeline:CE and OJT, OJT	8,000
	7/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,000
	7/17/2024	Talent Pipeline:CE and OJT, OJT	8,000
	8/8/2024	NYCH: Talent Ppln:CE and OJT, OJT	16,000
	8/13/2024	Talent Pipeline:CE and OJT, OJT	6,442
Kearns & West, Inc.	4/25/2024	Working Group Facilitation	50,000
	9/19/2024	OREC: Technical Support, Large-Scale Renewables	50,000
	9/25/2024	Market Support Tools &Activity, TWO 1 - RMAG Facilitator	215,724
Kelliher Samets LTD	4/5/2024	NYSERDA ADMINISTRATION, TWO 22 - Website User Exp	49,980
	4/22/2024	Electric Vehicles - Innovation, TWO 40 - Strategic Mktg Sup	10,000
		NYSERDA ADMINISTRATION, TWO 40 - Strategic Mktg Sup	70,000
		TWO 40 - Strategic Mktg Sup	50,000
		TWO 41 - Global Paid Search	250,000
	6/5/2024	TWO 42 - Holistic Res Mktg	4,103,000
	6/28/2024	TWO 39 - C&I Spon Content	310,260
	7/3/2024	CLEAN TRANSPORTATION, TWO 35 - Clean Trans Mktng	387,000
	7/26/2024	TWO 42 - Mission Video	110,000
	7/30/2024	NYCH: Talent Ppln:CE and OJT, TWO 17 - Workforce Dev Mark	50,000
		Talent Pipeline:OSW Training, TWO 17 - Workforce Dev Mark	25,000
		TWO 17 - Workforce Dev Mark	450,000
	Workforce Industry Partnership, TWO 17 - Workforce Dev Mark	100,000	
9/27/2024	TWO 44: Nuclear Survey	23,000	
Kenneth O. Willie & Associates, Inc.	6/13/2024	Talent Pipeline:CE and OJT, OJT	10,000
	8/5/2024	Tech Assistanc Multifamily LMI, FT - 0000756767 - Sisters of C	12,000
		Tech Assistanc Multifamily LMI, FT - 0000756784 - Sisters of C	12,000
		Tech Assistanc Multifamily LMI, FT - 0000756788 - Sisters of C	12,000
	8/13/2024	Tech Assistanc Multifamily LMI, FT - 0000777913 - Kenneth O. ...	11,625
		Tech Assistanc Multifamily LMI, FT - 0000777924 - Kenneth O. ...	9,669
	8/16/2024	Tech Assistanc Multifamily LMI, FT - 0000756781 - Sisters of C	12,000
		Tech Assistanc Multifamily LMI, FT - 0000757081 - RSE Manag..	11,250
		Tech Assistanc Multifamily LMI, FT - 0000757098 - RSE Manag..	11,250
		Tech Assistanc Multifamily LMI, FT - 0000757108 - RSE Manag..	11,250
9/26/2024	Tech Assistanc Multifamily LMI, FT - 0000794408 - JGV Manag..	72,000	
Kent Steiner, LLC	8/19/2024	>200KW PV, NY-Sun	799,668
KeRi Engineering PC	4/22/2024	Technical Services, FT17001 - Verizon - 50 Thayer	28,395
	7/26/2024	Technical Services, FT17171 - Verizon NY- 1106 Hoe	31,285
		Technical Services, FT17172 - Verizon New York - 8	41,530
Kilowatt Engineering, Inc.	5/6/2024	Heat Recovery, HeatRec C1_kwEng_StRegisNY	28,569
Kinetic Communities Consulting Corpo..	9/13/2024	IEDR Env Justice Working Group	19,800
Kingston City School District	8/20/2024	K-12 SCHOOLS, CGSI-213D -Kingston CSD (1)_D	265,060
Kruger Energy Inc.	5/1/2024	>200KW PV, NY Sun	135,228
		NY Sun	338,070
	5/31/2024	>200KW PV, NY Sun	140,184

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kruger Energy Inc.	5/31/2024	NY Sun	350,460
L&S Energy Services, Inc.	6/5/2024	Housing Agencies Support, HCR TWO - Troy HA Catherine	50,000
		Housing Agencies Support, HCR TWO - Troy HA Margaret	50,000
	7/1/2024	Housing Agencies Support, HCR TWO - 210 Wade	50,000
		Housing Agencies Support, HCR TWO - Clinton Square	50,000
		Housing Agencies Support, HCR TWO - South Street	50,000
	7/26/2024	Housing Agencies Support, HCR TWO - Southridge	50,000
	7/26/2024	INDUSTRIAL PROCESS EFFICIENCY, FT772640 - Townsend ..	8,795
8/19/2024	CLEANER GREENER COMMUNITIES, L&S GJGNY Energy Au..	400,000	
LaBella Associates, P.C.	4/22/2024	K-12 SCHOOLS, FT17126 Oakwood Friends School	32,000
	5/24/2024	Tech Assistanc Multifamily LMI, FT17162 AME Zion-Trinity - 21	30,000
	6/19/2024	Technical Services, FT17189 NYS OGS - 333 E Washin	16,273
	6/25/2024	Tech Assistanc Multifamily LMI, FT17260 Hudson River Housin..	5,085
	7/26/2024	Technical Services, FT - 0000755917 - Office of Ge	27,830
	7/29/2024	CGSI-206CT -Kendall CSD (1)_CT	40,660
	8/6/2024	K-12 SCHOOLS, CGSI-171E - Royalton Hartland	50,850
	8/14/2024	New Construction- Commercial, Commercial NCP 2022	5,000
	8/29/2024	K-12 SCHOOLS, CGSI-212E -Clyde Savannah CSD	65,580
9/3/2024	K-12 SCHOOLS, CGSI-225E - Highland Falls-FM	30,000	
Lactalis American Group, Inc	7/1/2024	On-Site Energy Manager, OsEM135-I - Lactalis	214,000
Lamico Enterprises, LLC	4/26/2024	Talent Pipeline:CE and OJT, OJT	6,400
	7/3/2024	Talent Pipeline:CE and OJT, OJT	5,760
	9/27/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,080
Lawless & Mangione	9/27/2024	Technical Services, FT17135 - Douglas Elliman Prop	9,000
Lenovo Inc.	4/2/2024	NYSERDA ADMINISTRATION, Lenovo mini desktops Qty. 50	29,750
	4/5/2024	NYSERDA ADMINISTRATION, Carbon X1 laptops matching doc	7,990
	4/9/2024	NYSERDA ADMINISTRATION, Lenovo Thinkvision monitors	7,080
	8/14/2024	NYSERDA ADMINISTRATION, Lenovo Thinkvision monitors	5,100
Leonard Bus Sales, Inc.	4/9/2024	NYSBIP - Moriah SD	514,500
		NYSBIP Beacon SD	514,500
		NYSBIP Goshen SD	514,500
		NYSBIP Hyde Park SD	514,500
	4/18/2024	NYSBIP - Edwards-Knox SD	257,250
		NYSBIP Chenango Valley SD	257,250
		NYSBIP Copenhagen SD	257,250
		NYSBIP Gouverneur SD	514,500
	5/8/2024	NYSBIP Johnson City SD	45,000
	6/19/2024	NYSBIP - East Greenbush SD	882,000
	7/24/2024	NYSBIP - Bemus Point SD	318,500
		NYSBIP - Queensbury SD	159,250
	9/27/2024	NYSBIP Burnt Hills SD	441,000
Leonard Carl Neckers Jr	5/22/2024	Anaerobic Digesters, PON 3739 CAT C	312,925
Level 3 Communications, LLC	5/24/2024	NYSERDA ADMINISTRATION, Century Link_Extend Level 3	72,000
Leviathan Solar Inc	5/3/2024	COMMUNITY SOLAR, PON 2112 NY SUN	9,234
	6/17/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,056
	8/7/2024	COMMUNITY SOLAR, PON 2112 NY SUN	13,972
	9/30/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,080
Levitan & Associates, Inc.	4/2/2024	OREC: Technical Support, OSW Solicitation Support 2023	175,000
	6/11/2024	CI Engy Siting & Soft Cost Red, TWO 4 - Tax Model Tech Supp..	34,543
	7/3/2024	OREC: Technical Support, Offshore Wind Solicitation (OR	50,000
	9/18/2024	OREC: Technical Support, OSW RFP24-1 TEP Support	100,000
LexisNexis	5/7/2024	NYSERDA ADMINISTRATION, Online Legal Research Tool	59,988
Liberty Park Senior L.P.	8/22/2024	Tech Assistanc Multifamily LMI, FT - 0000772599 - Liberty Park	17,860
Lincoln Life & Annuity Company of NY	6/13/2024	NYSERDA ADMINISTRATION, Insurance SL/LT/PFL 2021-22	175,000
LinkedIn	4/9/2024	NYSERDA ADMINISTRATION, Social Media Job Postings	45,537
Lionshead Energy LLC	8/7/2024	>200KW PV, PON 2112 NY SUN	46,410

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Little Sisters of the Assumption Family	5/24/2024	Heat Recovery, HeatRec C2_LSA_333E115	65,000
Livingston Energy Group	4/9/2024	Talent Pipeline:CE and OJT, OJT	9,232
	6/13/2024	Talent Pipeline:CE and OJT, OJT	16,152
	7/3/2024	CLEAN TRANSPORTATION, Livingston Energy DCFC Round 3	1,538,907
LM Language Services, Inc.	5/3/2024	Translation of EmPower+ and Ag	305
	9/5/2024	Talent Pipeline:CE and OJT, translation of CJF docs	7,361
Lodestar Energy	7/15/2024	NY-SUN, NY-Sun ICSA	225,389
	8/19/2024	>200KW PV, NY Sun NY Sun	362,394 905,985
Long Island Power Authority	4/29/2024	NY-SUN, Clean Energy& Efficiency MOU	20,000,000
Long Island Power Solutions	4/5/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,100
	4/12/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,384
	4/16/2024	<200KW PV, PON 2112 NY SUN	620
	4/25/2024	<200KW PV, PON 2112 NY SUN	16,590
	5/8/2024	<200KW PV, PON 2112 NY SUN	5,000
	5/16/2024	<200KW PV, PON 2112 NY SUN	5,000
	5/17/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,100
	5/20/2024	<200KW PV, PON 2112 NY SUN	5,000
	5/21/2024	<200KW PV, PON 2112 NY SUN	8,400
	6/11/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/18/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,888
	7/31/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/14/2024	<200KW PV, PON 2112 NY SUN	9,860
	8/16/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/29/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,412
	9/5/2024	>200KW PV, PON 2112 NY SUN	7,380
9/25/2024	<200KW PV, PON 2112 NY SUN	5,000	
Long Island Progressive Coalition	7/26/2024	NY-SUN, PON 3414 - Islip Housing Autho	145,000
Loring Consulting Engineers, Inc.	5/9/2024	Technical Services, FT17129 1675 Broadway 52nd Str	55,000
Lotte Hotel New York Palace, LLC	4/30/2024	Technical Services, OsEM91-C - Lotte New York Pala	69,085
Lumsden & McCormick, LLP	6/10/2024	NYSERDA ADMINISTRATION, Tax Research Services	10,000
Lycee Francais de New York School	8/5/2024	K-12 SCHOOLS, FT17280 Lycée Français de New	44,250
M/E Engineering, P.C.	4/22/2024	CGSI-115 - Sherburne Earlville	64,405
	5/9/2024	Technical Services, FT17107 East Hill Medical Cent	9,425
	5/24/2024	Technical Services, FT17056 Cornell University - M	236,966
		Technical Services, FT17184 - 445 Tremont - FTC	52,970
	5/31/2024	Technical Services, FT17166 Catholic Health - 2157	68,619
	6/6/2024	Technical Services, FT17152 Kaleida Health - 100 H	89,615
	7/8/2024	Technical Services, AEAP 1684 - Hints Red Roof Map	6,000
	7/31/2024	Technical Services, AEAP 1685 - Kist Maple Syrup	6,000
	8/13/2024	INDUSTRIAL PROCESS EFFICIENCY, FT - 0000781324 - Baril..	28,875
	Magnusson Architecture and Planning ..	6/13/2024	Buildings of Excellence, BoE Rnd. 3 DTL
Management Solutions, LLC	7/23/2024	REC4:CES REC4 Tech Support, RFP5481 Design Services	490,627
Manufacturers' Assn. of Central NY (MA..	6/19/2024	Prof & Expert Engagement, 2024 Membership	5,368
Marcor Construction, Inc	5/29/2024	COMMUNITY SOLAR, NY-Sun	5,376
Mark MaGrann Associates	5/24/2024	Housing Agencies Support, HCR TWO - Homesteads on Grand	50,000
		Housing Agencies Support, HCR TWO - Hooper Road Apts	50,000
		Housing Agencies Support, HCR TWO – Golden Hill	50,000
	7/3/2024	Technical Services, FT17153 TKR Property Services	13,500
	8/16/2024	Technical Services, FT - 0000755042 - 4445 Post Ro	13,750
Marshall & Sterling, Inc.	4/23/2024	NYSERDA ADMINISTRATION, RFP 4301 Insurance	510,286
Matthews Buses Incorporated	4/9/2024	NYSBIP - Jamestown SD	514,500
		NYSBIP - Tioga SD	771,750
		NYSBIP Marcellus SD	441,000
	5/8/2024	NYSBIP Bethlehem SD	661,500
		NYSBIP Brushton-Moira SD	57,250

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Matthews Buses Incorporated	5/8/2024	NYSBIP Clifton Fine SD	257,250
		NYSBIP Dansville SD	257,250
		NYSBIP Newfield SD	257,250
		NYSBIP Pine Valley SD	57,250
		NYSBIP Springville-Griffith SD	514,500
		NYSBIP Sweet Home SD	61,500
	6/5/2024	NYSBIP - Cassadaga Valley SD	1,543,500
	6/19/2024	NYSBIP - Cairo-Durham SD	514,500
		NYSBIP - Canajoharie SD	196,000
	6/20/2024	NYSBIP - Pine Valley SD	1,935,500
	7/10/2024	NYSBIP - Jefferson-Lewis BOCES	220,500
7/24/2024	NYSBIP - Bethlehem SD	661,500	
8/19/2024	NYSBIP - Tarrytown SD	1,163,750	
McKinsey & Company, Inc.	5/3/2024	ENERGY ANALYSIS, RFP5293 GHG Cap & Invest Eval	450,000
		RFP5293 GHG Cap & Invest Eval	420,000
MDS MT LLC	8/14/2024	Future Energy Economy Summit	75,000
Meltek Inc.	9/17/2024	Talent Pipeline:CE and OJT, OJT	6,154
MicroEra Power, Inc.	6/4/2024	Talent Pipeline:CE and OJT, OJT	7,040
	6/12/2024	Building Envelope Systems, Multi-mode TES & Commercial He	396,500
MicroGrid Networks LLC	9/4/2024	ESTOR:Retail Storage Incentive, Retail Storage Incentives	5,000,000
Mid-Bronx Senior Citizens Council, Inc	8/8/2024	New Construction- Commercial, Commercial NCP 2022 Incentiv..	248,558
Mid-Hudson Energy Transition	6/11/2024	PON 4772 R3 (Kyra Shassberger)	40,000
Milliman, Inc.	4/1/2024	NYSERDA ADMINISTRATION, GASB74 Liab GASB75 OPEB 3..	12,600
Minetto Associates, LP	8/16/2024	Tech Assistanc Multifamily LMI, FT - 0000767797 - Rock Propert	6,779
Mintz, Levin, Cohn, Ferris, Glovsky and	4/11/2024	Cleantech Ignition, RFP 12 - NYGB Legal Services	930
	6/18/2024	Cleantech Ignition, RFP 12 - NYGB Legal Services	717
	8/13/2024	Cleantech Ignition, RFP 12 - NYGB Legal Services	3,897
	9/13/2024	Cleantech Ignition, RFP 12 - NYGB Legal Services	1,393
	9/24/2024	Cleantech Ignition, RFP 12 - NYGB Legal Services	8,304
Mintzer Mauch PLLC	4/19/2024	NYSERDA ADMINISTRATION, TWO 5 - Agency Preservation Of	12,000
	7/31/2024	NYSERDA ADMINISTRATION, TWO 5 - Agency Preservation Of	5,000
Mission Power Corp.	9/13/2024	Talent Pipeline:CE and OJT, OJT	25,920
	9/25/2024	Talent Pipeline:CE and OJT, OJT	15,360
MJW Technical Services, Inc.	7/19/2024	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protect..	910,850
Montgomery Street Projects LLC	8/27/2024	Net Zero Energy for Eco Dev, CNCED 2023 - Montgomery St K..	1,526,168
MOUNT AIRY NY LLC	7/15/2024	NY-SUN, NY-Sun ICSA	301,860
Mount Sinai Medical Center	7/23/2024	Technical Services, OsEM132-C - Mount Sinai Hosp	176,000
MR. AIR NYC Corp.	6/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	7/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	9/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
MRO Tech NY LLC	7/23/2024	Technical Services, FT17196 - Prestige Management	31,839
	8/5/2024	Tech Assistanc Multifamily LMI, FT17161 - Franklin Plaza Apart	52,820
Mzansi Clean Energy LLC	6/28/2024	NYCH: LMI, Inflation Reduction Act (IRA)	250,000
NASEO	7/3/2024	Prof & Expert Engagement, NASEO Renewal 2024-2025	18,063
National Grid	4/1/2024	BR: Interconnection, BR Facility 3 - Vincent Welch	16,000
	4/2/2024	BR: Interconnection, BR Facility 4 - Witmer 1	25,000
		BR: Interconnection, BR Facility 5 - Witmer 2	25,000
		BR: Interconnection, BR Facility 3 - Vincent Welch	16,000
	4/3/2024	BR: Interconnection, BR Facility 4 - Witmer 1	25,000
		BR: Interconnection, BR Facility 5 - Witmer 2	25,000
National Solar Technologies	9/19/2024	>200KW PV, NY Sun	796,621
		NY Sun	497,887
Natural Resources Defense Council, Inc.	8/7/2024	NEW YORK GREEN BANK, 2024 GBN Membership	8,000
Navistar, Inc.	9/27/2024	NYSBIP - Buffalo SD	3,920,000
		NYSBIP Buffalo SD	980,000
		NYSBIP Middletown SD	2,572,500

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NECEC Institute	6/19/2024	76 West, NECEC Sponsorship 2024	50,000
	7/3/2024	Sponsorship of the ICC 2024	10,000
Neighborhood Housing Services of Queens	8/1/2024	Clean Energy Hub, Regional Clean Energy Hub	105,000
		NYCH: Communities, Regional Clean Energy Hub	900,000
		Regional Clean Energy Hub	200,000
		Translation Services, Regional Clean Energy Hub	50,000
NeoCharge, Inc.	7/30/2024	Intelligent Buildings, Intelligent Buildings	120,190
Netgains Engineering P.C.	7/11/2024	Technical Services, FT17208 Dunnolly Owners Corp -	59,626
	7/25/2024	INDUSTRIAL PROCESS EFFICIENCY, FT17170 - Soiefer Bros..	22,500
	9/17/2024	K-12 SCHOOLS, FT - 0000762834 - Lion Charter	20,200
Network Experts of New York, Inc.	6/20/2024	NYSERDA ADMINISTRATION, NetXNY Consulting	9,000
Neuro Building Systems	7/3/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,960
	9/3/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
New Buildings Institute, Inc.	8/23/2024	Code to Zero, TWO1-Energy Code Rule Making S	249,680
New Leaf Energy, Inc.	7/17/2024	>200KW PV, NY Sun	238,625
		NY Sun	596,563
	9/4/2024	ESTOR:Retail Storage Incentive, Retail Storage - Incentives	2,000,000
		ESTOR:Retail Storage Incentive, Retail Storage Incentives	2,500,000
	9/6/2024	ESTOR:Retail Storage Incentive, Retail Storage Incentives	2,500,000
New Paltz, Town of	8/9/2024	Clean Energy Communities, Town of New Paltz 150k	150,000
New York Association of Training and E..	7/1/2024	Talent Pipeline:CE and OJT, 2024 NYATEP Fall Conf Sponsor	10,000
New York Battery and Energy Storage	4/2/2024	The Battery Show 2024	45,000
New York Bus Sales LLC	4/2/2024	CLEAN TRANSPORTATION, NYTVIP - Livonia CSD	200,000
	5/8/2024	NYSBIP Arlington SD	171,000
		NYSBIP Ithaca SD	225,000
	5/9/2024	NYSBIP Penfield SD	1,323,000
	7/9/2024	NYSBIP - Alexandria SD	392,000
	7/11/2024	NYSBIP - Ithaca SD	1,029,000
	9/27/2024	NYSBIP Evans-Brant SD	1,764,000
	New York Engineers, P.C.	6/18/2024	Technical Services, FT17006 - Seward Park Cooperat
6/25/2024		K-12 SCHOOLS, CGSI-119E - East Ramapo CSD	284,752
7/1/2024		Technical Services, FT17187 - Seward Park Coop	13,238
8/6/2024		CGSI-153E - White Plains CSD	281,052
		CGSI-160E - New Rochelle CSD	302,248
8/13/2024		INDUSTRIAL PROCESS EFFICIENCY, FT17139 - Capitol Distr..	47,250
8/16/2024		Tech Assistanc Multifamily LMI, FT17145 Lutheran Social Servic	16,816
		Tech Assistanc Multifamily LMI, FT17240 425 Claremont Partne..	8,412
		Tech Assistanc Multifamily LMI, FT17241 Sandy Lane Partners -	24,425
8/20/2024		Tech Assistanc Multifamily LMI, FT17242 VIP 1 Partners - 2028	8,009
	CGSI-154O -White Plains CSD	170,873	
	K-12 SCHOOLS, CGSI-142E - Margaretville CSD	373,685	
9/5/2024	CGSI-161O - New Rochelle CSD	170,570	
	9/11/2024	Low Carbon Tech Demos, Regenerative Metropolis Sympos	5,000
New Construction Housing, Regenerative Metropolis Sympos		5,000	
New York Power Authority	6/11/2024	Technical Services, FT17188 NYPA - NYS OGS - 328 S	29,712
New York Power Authority,	6/12/2024	High Performing Grid, NYPA GEMINI	8,000,000
New York Presbyterian Hospital	9/12/2024	Technical Services, FT17265 - New York Presbyteria	381,350
New York Real Estate Chamber, Inc	6/14/2024	NEW YORK GREEN BANK, NYREC Membership for NYGB	10,000
New York State Ag & Markets	6/5/2024	NYSERDA ADMINISTRATION, 2024 State Fair Booth	20,310
		POLICY DEVELOPMENT, 2024 NYS Fair DPS Booth	16,790
New York State Foam & Energy LLC	4/5/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,400
	5/22/2024	Talent Pipeline:CE and OJT, OJT	6,400
	7/19/2024	Talent Pipeline:CE and OJT, OJT	6,400
	9/12/2024	Talent Pipeline:CE and OJT, OJT	6,720
New York State Forum for IRM	9/6/2024	NYSERDA ADMINISTRATION, NYS Forum Membership 24 - 25	5,000
New York State Solar Farm Inc.	4/2/2024	<200KW PV, PON 2112 NY SUN	5,000

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
New York State Solar Farm Inc.	4/12/2024	<200KW PV, PON 2112 NY SUN	45,400
	4/26/2024	<200KW PV, PON 2112 NY SUN	7,968
	6/17/2024	<200KW PV, PON 2112 NY SUN	6,615
New York Univeristy	7/2/2024	Pub Transit & Elect Rail, DELIVERY WORKER STUDY	50,000
New York University	9/13/2024	Technical Services, FT - 0000773971 - New York Uni	34,113
Newlab	8/27/2024	Cleantech POCC, 2024 Climatefest Sponsorship	7,500
Newmark Partners LP	9/16/2024	Newmark Appraisal Albany Hyatt	6,500
Nexamp Inc.	6/11/2024	>200KW PV, NY Sun	325,728
		NY Sun	814,320
	7/25/2024	>200KW PV, NY Sun	315,184
		NY Sun	787,962
	8/19/2024	>200KW PV, NY Sun	605,393
		NY Sun	1,513,486
9/18/2024	>200KW PV, NY Sun	334,854	
		NY Sun	837,135
Next Generation Solar, LLC	4/25/2024	<200KW PV, PON 2112 NY SUN	9,840
	7/1/2024	<200KW PV, PON 2112 NY SUN	12,608
	8/29/2024	<200KW PV, PON 2112 NY SUN	13,776
Nexus Labs	5/8/2024	RTEM and Tenants, NexusCon 2024 Sponsorship	48,500
NIC Holding Corp	6/18/2024	FUEL NY, NYS Strategic Gasoline Reserve	529,500
NineDot Energy, LLC	4/26/2024	Talent Pipeline:CE and OJT, OJT	15,360
	6/13/2024	Talent Pipeline:CE and OJT, OJT	23,040
	7/16/2024	Talent Pipeline:CE and OJT, OJT	23,040
	8/22/2024	ESTOR:Retail Storage Incentive, Retail Storage	2,500,000
	8/26/2024	ESTOR:Retail Storage Incentive, Retail Energy Storage	3,100,750
		ESTOR:Retail Storage Incentive, Retail Storage	2,500,000
	9/4/2024	ESTOR:Retail Storage Incentive, Retail Energy Storage	1,550,375
		ESTOR:Retail Storage Incentive, Retail Storage Incentives	12,076,625
9/25/2024	Talent Pipeline:CE and OJT, OJT	15,360	
NineDot IX Borrower, LLC	6/28/2024	NY Green Bank, NineDot Upsize	25,000,000
Nixon Peabody LLP	9/17/2024	RFP 12 - NYGB Legal Services	1,869
NMR Group, Inc.	9/6/2024	Product Standards, TWO 1 - PAS Impact & Eval	3,054,103
Noresco LLC	7/29/2024	Technical Services, FT17226 Jamaica Hospital Medic	840,820
	8/20/2024	INDUSTRIAL PROCESS EFFICIENCY, FT - 0000787052 - Tow..	25,978
	8/22/2024	Technical Services, FT14742-The New School-FTC-CU	1,711
	9/4/2024	Technical Services, FT - 0000766527 - Hackman Capi	87,776
	9/16/2024	Code to Zero, Energy Modeling and Cost Effec	249,200
	9/27/2024	Technical Services, FT - 0000794300 - Fisher Realt	31,078
North American Passive House Networ..	9/2/2024	Talent Pipeline:CE and OJT, RFQL4145 Workforce Development	300,000
North East Offshore, LLC	5/31/2024	OREC: OSW Solicitations, OSW2023-1_Sunrise Wind	9,390,269,848
North Shore Long Island Jewish Health ..	7/3/2024	Technical Services, FT17271 - Northwell Health	284,560
Northeast Energy Efficiency Partnerships	6/6/2024	Code to Zero, 2024 NEEP Membership	10,000
		Market Support Tools &Activity, 2024 NEEP Membership	30,000
		NYCH: LMI, 2024 NEEP Membership	40,000
		Product Standards, 2024 NEEP Membership	50,000
		Prof & Expert Engagement, 2024 NEEP Membership	50,000
Norton Rose Fulbright US LLP	7/2/2024	NEW YORK GREEN BANK, RFP 12: NYGB Legal Services	836
NSF EPC LLC	5/20/2024	>200KW PV, NY Sun	375,000
		NY Sun	937,500
	7/25/2024	>200KW PV, NY Sun	732,792
		NY Sun	1,831,982
NSF IX, LLC	5/29/2024	NY Green Bank, Norbut Solar Farm	8,000,000
NY Building Systems Consultant Inc.	5/6/2024	Technical Services, FT17149 50-05 43 Ave Corp	12,600
	5/7/2024	Technical Services, FT17154 111-15 75th Avenue Own	9,650
	6/13/2024	Technical Services, FT754409 - The Jewish Theologi	73,500
	6/25/2024	INDUSTRIAL PROCESS EFFICIENCY, FT754479 - ALPHAPOI..	37,350

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NY Building Systems Consultant Inc.	7/11/2024	Technical Services, FT17256 63 Pitt Street	8,500
	7/24/2024	Technical Services, FT - 0000762334 - Firstservice	11,550
		Technical Services, FT - 0000762891 - FirstService	28,450
	8/22/2024	Talent Pipeline:CE and OJT, OJT	12,960
	9/4/2024	NYCH: Technical Assistance, FT - 0000790323 - First Serv	19,500
	9/25/2024	Technical Services, FT - 0000804092 - Douglas Elli	16,000
	9/26/2024	Technical Services, FT - 0000783258 - First Serv	12,850
NY CDG 006 LLC	9/6/2024	NY-SUN, NY-Sun ICSA	45,101
NY CDG 007 LLC	9/6/2024	NY-SUN, NY-Sun ICSA	101,579
NY CDG 008 LLC	7/15/2024	NY-SUN, NY-Sun ICSA	51,943
NY CDG 010 LLC	9/5/2024	NY-SUN, NY-Sun ICSA	166,873
NY CDG 011 LLC	7/30/2024	NY-SUN, NY-Sun ICSA	61,160
NYC & Lower Hudson Valley Clean Communit	4/2/2024	CLEAN TRANSPORTATION, NYTVIP Outreach - ECC	15,036
	9/13/2024	IEDR Env Justice Working Group	19,800
NYC Energy Efficiency Corporation (NYCEEC)	5/30/2024	NY Green Bank, NYCEEC SHF Coney Island	1,800,000
		NY Green Bank, NYCEEC SHF Melrose Concourse	1,300,000
NYC School Bus Umbrella Services Inc.	4/2/2024	Talent Pipeline:CE and OJT, PON 4772 R3 (Hannah Stauss)	40,000
	6/19/2024	PON 4772 R3 Karunya Sabapathy	40,000
NYCEEC	5/8/2024	NY Green Bank, NYCEEC Subordinate Loan Upsize #2	5,000,000
NYS Association for Affordable Housing	4/26/2024	Tech Assistanc Multifamily LMI, 2024 NYSAFAH Conference	5,000
NYS Energy Audits, Inc.	4/2/2024	Talent Pipeline:CE and OJT, OJT	30,960
	4/26/2024	Talent Pipeline:CE and OJT, OJT	15,120
	6/13/2024	Talent Pipeline:CE and OJT, OJT	22,500
	7/19/2024	Talent Pipeline:CE and OJT, OJT	12,000
	7/29/2024	Talent Pipeline:CE and OJT, OJT	9,600
	9/13/2024	Talent Pipeline:CE and OJT, OJT	18,000
NYS Essential Power	4/2/2024	<200KW PV, PON 2112 NY SUN	11,040
	4/5/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,214
	4/12/2024	<200KW PV, PON 2112 NY SUN	13,600
	4/16/2024	<200KW PV, PON 2112 NY SUN	8,960
	4/25/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
	5/3/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
	5/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
	6/4/2024	<200KW PV, PON 2112 NY SUN	8,960
	6/11/2024	<200KW PV, PON 2112 NY SUN	6,400
	6/12/2024	<200KW PV, PON 2112 NY SUN	5,120
	6/13/2024	<200KW PV, PON 2112 NY SUN	11,840
	6/14/2024	<200KW PV, PON 2112 NY SUN	11,016
	6/27/2024	<200KW PV, PON 2112 NY SUN	6,232
	6/28/2024	<200KW PV, PON 2112 NY SUN	16,216
		COMMUNITY SOLAR, PON 2112 NY SUN	5,576
	7/1/2024	<200KW PV, PON 2112 NY SUN	5,248
	7/12/2024	<200KW PV, PON 2112 NY SUN	20,664
	7/16/2024	<200KW PV, PON 2112 NY SUN	13,487
	7/25/2024	<200KW PV, PON 2112 NY SUN	11,480
	8/8/2024	<200KW PV, PON 2112 NY SUN	11,270
	8/9/2024	<200KW PV, PON 2112 NY SUN	6,560
	8/14/2024	<200KW PV, PON 2112 NY SUN	5,248
	8/15/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,248
	8/20/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,256
	8/22/2024	<200KW PV, PON 2112 NY SUN	5,904
	9/4/2024	<200KW PV, PON 2112 NY SUN	6,888
	9/5/2024	>200KW PV, PON 2112 NY SUN	16,400
9/18/2024	<200KW PV, PON 2112 NY SUN	14,040	
NYS Office for Technology	4/9/2024	NYSERDA ADMINISTRATION, Advanced eDiscovery - 800	42,432
	7/31/2024	NYSERDA ADMINISTRATION, Office 365: 4/1/23 - 3/31/24	10,000

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NYS Office of Information Technology ..	7/22/2024	NYSERDA ADMINISTRATION, Office 365: 4/1/24 - 3/31/25	345,600	
NYSS LLC	4/2/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,720	
	4/4/2024	<200KW PV, PON 2112 NY SUN	12,304	
	4/5/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,248	
	4/10/2024	<200KW PV, PON 2112 NY SUN	32,344	
	4/12/2024	<200KW PV, PON 2112 NY SUN	11,480	
	4/15/2024	<200KW PV, PON 2112 NY SUN	12,136	
	4/24/2024	<200KW PV, PON 2112 NY SUN	5,248	
	4/25/2024	<200KW PV, PON 2112 NY SUN	31,816	
	4/26/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,740	
	4/30/2024	COMMUNITY SOLAR, PON 2112 NY SUN	8,000	
	5/2/2024	<200KW PV, PON 2112 NY SUN	7,680	
	5/7/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,248	
	5/8/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,576	
	5/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,888	
	6/4/2024	COMMUNITY SOLAR, PON 2112 NY SUN	7,544	
	6/5/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,576	
	6/6/2024	<200KW PV, PON 2112 NY SUN	34,440	
	6/12/2024	<200KW PV, PON 2112 NY SUN	23,296	
	6/14/2024	<200KW PV, PON 2112 NY SUN	18,653	
	6/18/2024	<200KW PV, PON 2112 NY SUN	5,904	
	6/20/2024	<200KW PV, PON 2112 NY SUN	6,888	
	6/26/2024	<200KW PV, PON 2112 NY SUN	29,520	
			COMMUNITY SOLAR, PON 2112 NY SUN	11,644
	7/2/2024	<200KW PV, PON 2112 NY SUN	5,576	
	7/18/2024	COMMUNITY SOLAR, PON 2112 NY SUN	8,640	
	7/23/2024	<200KW PV, PON 2112 NY SUN	10,496	
	7/25/2024	<200KW PV, PON 2112 NY SUN	8,200	
8/7/2024	<200KW PV, PON 2112 NY SUN	6,560		
9/20/2024	<200KW PV, PON 2112 NY SUN	20,008		
ODS Management, Inc.	5/1/2024	Low Carbon Tech Demos, MF Low Carbon Pathways	50,750	
OLA Consulting Engineers, P.C.	6/4/2024	Technical Services, FT17151 Biltmore Towers - 30 L	19,842	
	9/17/2024	K-12 SCHOOLS, FT - 0000783583 - Haldane Cent	28,868	
Old Myers NY LLC	8/30/2024	NY-SUN, NY-Sun ICESA	159,588	
Onsite Energy, Inc.	4/5/2024	<200KW PV, PON 2112 NY SUN	5,000	
Onyx Development Group LLC	7/9/2024	ESTOR:Retail Storage Incentive, Retail Storage	2,156,280	
OPAL ENERGY GROUP LLC	4/4/2024	<200KW PV, PON 2112 NY SUN	17,400	
Opinion Dynamics Corporation	4/17/2024	Remote Energy Management, RFQ3183 Umbrella Agreement	15,285	
	8/29/2024	EVALUATION, TWO 2 - CEC Impact Eval	499,544	
Orion Polymer Corp	7/18/2024	Hydrogen Innovation, Clean Hydrogen Innovation	400,000	
Orrick Herrington & Sutcliffe LLP	8/13/2024	Cleantech Ignition, RFP 12: NYGB Legal Services	1,392	
Owahgena Consulting, Inc.	4/5/2024	NYCH: LMI, TWO 3 Tech Support Heat Pump	200,000	
Paradise Energy Solutions, LLC	4/11/2024	<200KW PV, PON 2112 NY SUN	5,578	
Parc Vendome Condominium	5/31/2024	Tech Assistanc Multifamily LMI, FT17097 Parc Vendome Condo..	8,000	
Partridge Venture Engineering, P.C.	5/24/2024	Tech Assistanc Multifamily LMI, FT17205 Aldus Green - 1032 Ald	15,070	
	7/1/2024	Tech Assistanc Multifamily LMI, FT17207 Aldus Green - Multiple	33,975	
Passive House Accelerator LLC	7/1/2024	New Construction Housing, 2024-2025 General Marketing	40,000	
		New Construction- Commercial, 2024-2025 General Marketing	10,000	
	9/18/2024	New Construction Housing, New Construction	40,000	
		New Construction- Commercial, New Construction	10,000	
Passive House Center Inc	9/16/2024	Talent Pipeline:CE and OJT, OJT	34,000	
Pathfinder Engineers & Architects, LLP	9/18/2024	CGSI-223 - Colton-Pierreport	56,980	
		CGSI-224 - Ogdensburg CSD	56,980	
Paths Construction LLC	5/24/2024	Buildings of Excellence, Buildings of Excellence R1	112,500	
Pathstone Corporation	8/20/2024	Tech Assistanc Multifamily LMI, FT - 0000767849 - PathStone ..	9,331	
Patriot Energy Solutions Corp	4/2/2024	<200KW PV, PON 2112 NY SUN	10,560	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Patriot Energy Solutions Corp	6/6/2024	<200KW PV, PON 2112 NY SUN	1,533
	8/20/2024	<200KW PV, PON 2112 NY SUN	4,599
	9/18/2024	<200KW PV, PON 2112 NY SUN	7,480
Paul Smith's College	5/16/2024	Community Climate Resilience	49,999
Pecan Street Inc.	8/16/2024	IEDR: Program Manager, IEDR Utility Data Advisor	470,700
Performance Systems Development	4/18/2024	Market Support Tools &Activity, Model calibration for IRA HER	87,993
	6/27/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Co..	37,000
		Compass 7/1/24-12/31/25	300,000
		EMPOWER NY, Compass 7/1/24-12/31/25	37,000
	NYCH: Comfort Home, Compass 7/1/24-12/31/25	146,000	
Pierre-Louis & Associates CPA PC	9/5/2024	REC:CES REC System Dev Costs, LSR Proposal Evaluation	65,750
Pivotal 180, LLC	5/7/2024	NYSERDA ADMINISTRATION, Pivotal180 Tax Equity Training	4,300
	8/30/2024	NYSERDA ADMINISTRATION, Pivotal180 Modeling Class 2024	42,000
Plains Road NY LLC	8/30/2024	NY-SUN, NY-Sun ICSA	194,696
Plankton Energy LLC	7/24/2024	<200KW PV, PON 2112 NY SUN	73,235
Plugin Stations Online, LLC	5/23/2024	CLEAN TRANSPORTATION, Charge Ready 2.0 Inspections	105,000
		EV Charging and Engagement, Charge Ready 2.0 Inspections	95,000
PlugPV, LLC	4/1/2024	<200KW PV, PON 2112 NY SUN	9,720
	4/2/2024	<200KW PV, PON 2112 NY SUN	21,384
	4/4/2024	<200KW PV, PON 2112 NY SUN	9,396
	4/12/2024	<200KW PV, PON 2112 NY SUN	41,446
	4/16/2024	<200KW PV, PON 2112 NY SUN	10,368
	4/23/2024	<200KW PV, PON 2112 NY SUN	15,876
	4/24/2024	<200KW PV, PON 2112 NY SUN	11,340
	4/25/2024	<200KW PV, PON 2112 NY SUN	6,804
	5/6/2024	<200KW PV, PON 2112 NY SUN	6,480
	5/22/2024	<200KW PV, PON 2112 NY SUN	4,698
	5/23/2024	<200KW PV, PON 2112 NY SUN	11,016
	5/29/2024	<200KW PV, PON 2112 NY SUN	72,808
	5/30/2024	<200KW PV, PON 2112 NY SUN	1,296
	6/7/2024	<200KW PV, PON 2112 NY SUN	14,094
	6/13/2024	<200KW PV, PON 2112 NY SUN	6,720
	6/14/2024	<200KW PV, PON 2112 NY SUN	15,460
	6/20/2024	<200KW PV, PON 2112 NY SUN	17,920
	6/26/2024	<200KW PV, PON 2112 NY SUN	11,860
	7/1/2024	<200KW PV, PON 2112 NY SUN	10,368
	7/9/2024	<200KW PV, PON 2112 NY SUN	24,620
	7/10/2024	<200KW PV, PON 2112 NY SUN	87,560
	7/11/2024	<200KW PV, PON 2112 NY SUN	9,648
	7/16/2024	<200KW PV, PON 2112 NY SUN	20,432
	7/18/2024	<200KW PV, PON 2112 NY SUN	26,912
	7/24/2024	<200KW PV, PON 2112 NY SUN	21,072
	7/25/2024	<200KW PV, PON 2112 NY SUN	8,362
	7/26/2024	<200KW PV, PON 2112 NY SUN	17,808
	7/29/2024	<200KW PV, PON 2112 NY SUN	6,720
	8/7/2024	<200KW PV, PON 2112 NY SUN	6,080
	8/14/2024	<200KW PV, PON 2112 NY SUN	8,320
	8/20/2024	<200KW PV, PON 2112 NY SUN	15,120
	8/21/2024	<200KW PV, PON 2112 NY SUN	19,824
	8/22/2024	<200KW PV, PON 2112 NY SUN	8,736
	8/27/2024	<200KW PV, PON 2112 NY SUN	5,000
9/3/2024	<200KW PV, PON 2112 NY SUN	65,233	
9/11/2024	<200KW PV, PON 2112 NY SUN	5,000	
9/18/2024	<200KW PV, PON 2112 NY SUN	52,762	
9/20/2024	<200KW PV, PON 2112 NY SUN	7,360	
9/23/2024	<200KW PV, PON 2112 NY SUN	39,084	

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Potsdam Sensors LLC	9/17/2024	Talent Pipeline:CE and OJT, OJT	8,000
Power Advisory LLC	7/10/2024	BR: Program Implementation, BR RFP Support	50,000
	9/19/2024	OREC: Technical Support, TWO 2	50,000
	9/23/2024	REC:CES REC System Dev Costs, TWO 1	600,000
Power to Hydrogen LLC	6/28/2024	Hydrogen Innovation, Clean Hydrogen Innovation	974,606
PowerFlex Solar, LLC	8/26/2024	ESTOR:Retail Storage Incentive, Retail Energy Storage	242,375
		ESTOR:Retail Storage Incentive, Retail Storage Incentive	387,625
		ESTOR:Retail Storage Incentive, Retail Storage Incentives	630,000
Powerlutions, LLC	6/12/2024	<200KW PV, PON 2112 NY SUN	344
Pratt Area Community Council	4/23/2024	>200KW PV, NY-Sun	38,580
Pratt Institute	7/31/2024	Talent Pipeline:CE and OJT, OJT	22,152
Provantage, LLC	5/6/2024	NYSERDA ADMINISTRATION, Surface Laptop 5s - Provantage	87,975
Public Utility Law Project of New York,	5/3/2024	PULP 2023-24 Budget Approp	1,400,000
	9/13/2024	IEDR Env Justice Working Group	19,800
Pulaski Hwy Solar 1, LLC	4/11/2024	Rmve Barriers Dist Enrgy Storg, Energy Storage+COmmunity S..	1,238,966
Pure Performance Renewable Energy Soluti	5/28/2024	Talent Pipeline:CE and OJT, OJT	6,400
	6/13/2024	Talent Pipeline:CE and OJT, OJT	6,400
	8/6/2024	Talent Pipeline:CE and OJT, OJT	6,400
Pvilion Technologies, LLC	9/24/2024	Talent Pipeline:CE and OJT, OJT	12,000
Quantum DPI Group Inc	7/10/2024	>200KW PV, NY Sun	346,528
		NY Sun	866,320
	9/19/2024	>200KW PV, NY Sun	320,892
		NY Sun	802,230
Queensbury Union Free School District ..	7/3/2024	FT17128 Queensbury USFD (1)_CT	31,425
Quest Home Improvement Inc	9/27/2024	Talent Pipeline:CE and OJT, OJT	12,240
RAC Holdings Corp.	8/14/2024	Clean Energy Hub, Catering for Hubs Meeting	31,200
Rains Consulting Inc.	9/24/2024	Low Carbon Tech Demos, Low Carbon Pathways	18,750
Raj Technologies Inc.	6/27/2024	NYSERDA ADMINISTRATION, Content Delivery Network Renew	122,185
	7/8/2024	NYSERDA ADMINISTRATION, Raj / Hypergen Peoplesoft	868,790
Ramboll Americas Engineering Solutio..	8/19/2024	OREC: Technical Support, TWO OSWSCRFP24-1 IndEval JV	50,000
Ramboll Americas Engineering Solutio..	8/1/2024	INDUSTRIAL PROCESS EFFICIENCY, FT-765135 - Artone - F..	37,672
Randall Road Solar I, LLC	7/26/2024	NY-SUN, NY-Sun ICSA Round 2	327,499
Randstad North America, Inc.	5/10/2024	NYSERDA ADMINISTRATION, Intern - Gov Affairs	5,801
RANGAM CONSULTANTS INC	5/17/2024	SA.026_TWO# 1_LSR_PM1	567,758
	9/16/2024	SA.051_TWO# 2_MF_PM1	385,016
RBW Studio LLC	4/12/2024	Talent Pipeline:CE and OJT, OJT	23,040
	4/18/2024	Talent Pipeline:CE and OJT, OJT	15,360
	5/9/2024	Talent Pipeline:CE and OJT, OJT	12,307
	6/13/2024	Talent Pipeline:CE and OJT, OJT	15,360
	9/17/2024	Talent Pipeline:CE and OJT, OJT	23,040
RCAM Technologies Inc	4/22/2024	Energy Storage Tech/Prod Dev, Long Duration Energy Storage	1,000,000
RCPI Landmark Properties, LLC	6/10/2024	RTEM and Tenants, Smart Build Demo Roundtables	13,718
RE Tech Advisors LLC	4/4/2024	Empire Building Challenge, JP Morgan EBC Cohort 3 TA	100,000
RED-Rochester LLC	9/23/2024	Workforce Industry Partnership, PON 5357	500,000
REDAPTIVE, INC.	6/4/2024	<200KW PV, PON 2112 NY SUN	104,760
Regeneron Pharmaceuticals Inc.	8/7/2024	>200KW PV, NY-Sun	145,500
Regional Economic Models, Inc	8/5/2024	ENERGY ANALYSIS, REMI User License and Fee	44,000
ReJews	9/13/2024	IEDR Env Justice Working Group	19,800
Renovus Energy, Inc.	5/2/2024	<200KW PV, PON 2112 NY SUN	7,410
	5/21/2024	<200KW PV, PON 2112 NY SUN	5,250
	6/3/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/25/2024	<200KW PV, PON 2112 NY SUN	5,000
	7/15/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/14/2024	<200KW PV, PON 2112 NY SUN	5,000
Research Foundation of The City	7/1/2024	NYCH: Industry Partnerships, RTBOT - CUNY BPL	250,000
		Real Time Enrgy Management, RTBOT - CUNY BPL	250,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Research Foundation of The City	7/1/2024	RTEM and Tenants, RTBOT - CUNY BPL	250,000
		Workforce Industry Partnership, RTBOT - CUNY BPL	250,000
Reshape Infrastructure Strategies LTD	7/25/2024	NYCH: District, Thermal Energy Regulations	50,000
Reynolds Architecture Engineering LLC	8/12/2024	BR: Interconnection, Build Ready - RAE	40,000
		BR: Screening, Build Ready - RAE	60,000
RIC Development, LLC	5/20/2024	>200KW PV, NY Sun	350,196
		NY Sun	875,490
	9/9/2024	>200KW PV, NY Sun	203,034
		NY Sun	507,585
Richair Mechanical Inc.	4/5/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,080
	4/26/2024	NYCH: Talent Ppln:CE and OJT, OJT	17,280
	5/24/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,080
Rise to Equity Excellence, LLC	4/23/2024	NYSERDA ADMINISTRATION, DEI Training Plan	38,000
	8/30/2024	NYSERDA ADMINISTRATION, Mgmt Training and Deveopment	16,475
Riverside Towers Corp.	7/12/2024	Technical Services, FT17212 - Time Equities - 150	12,500
	9/12/2024	Technical Services, FT17140 - Brown Harris Stevens	20,525
Robert Derector Associates	4/18/2024	Heat Recovery, HeatRecC1_RDerector_GodsLove	13,000
	5/14/2024	Technical Services, FT14760 - Downtown NYC Owner	5,625
	6/13/2024	Heat Recovery, HeatRecC1_RDerector_60W55	20,194
	7/17/2024	Technical Services, FT17194 60 West 55 Corp - 56 W	17,500
	9/5/2024	Heat Recovery, HeatRecC1_RDerector_51Madison	40,000
	9/11/2024	Technical Services, FT14760 - Downtown NYC Owner	1,000
	9/25/2024	Heat Recovery, HRC1_RDA_787 7TH	40,000
Robert Ettinger PE, PC	7/1/2024	Buildings of Excellence, RFP3928 ETT TWO#1	100,000
	7/10/2024	Housing Agencies Support, HCR TWO - Locust Hill	50,000
		Housing Agencies Support, HCR TWO - Reservoir Place	50,000
		Housing Agencies Support, HCR TWO - Rockville Manor	50,000
		Housing Agencies Support, HCR TWO Harmony Hall	50,000
Robin Powered, Inc.	4/18/2024	NYSERDA ADMINISTRATION, Hoteling Software	41,210
Rochester Institute of Technology	4/2/2024	Technical Services, FT15087 - Rochester Institute	17,135
	7/11/2024	Net Zero Energy for Eco Dev, CNCED 2022 - RIT/RRH-Planning	2,000,000
Rosenblum Property Services, LLC	6/11/2024	SARATOGA TECHNOLOGY & ENERGY PARK, TWO 2	93,443
	8/15/2024	SARATOGA TECHNOLOGY & ENERGY PARK, TWO 2	38,804
Ross Energy Consulting, LLC	4/18/2024	Workforce Industry Partnership, PON 5357	169,822
	7/3/2024	Talent Pipeline:CE and OJT, OJT	9,600
	7/11/2024	Tech Assistanc Multifamily LMI, FT17211 - 668 Riverside Condo	29,250
	7/22/2024	Technical Services, FT17291 Union Club NYC - 101 E	32,450
	9/12/2024	Technical Services, FT17292 - 130 W 16 Owners - 13	11,250
	9/18/2024	Tech Assistanc Multifamily LMI, FT17298 - Pinnacle NY - 40-66	11,025
		Tech Assistanc Multifamily LMI, FT17303 - Pinnacle NY - 142-20	12,420
		Tech Assistanc Multifamily LMI, FT17304 - Pinnacle NY - 308-31	19,440
		Tech Assistanc Multifamily LMI, FT17308 - Pinnacle NY - 835 Ri	27,000
		Technical Services, FT17300 - Pinnacle NY - 132-40	15,180
		Tech Assistanc Multifamily LMI, FT17299 - Pinnacle NY - 69 Ben	24,330
		Tech Assistanc Multifamily LMI, FT17309 - Pinnacle NY - 877 Ba	19,925
	9/20/2024	Tech Assistanc Multifamily LMI, FT17310 - Pinnacle NY - 880 68	19,925
		Tech Assistanc Multifamily LMI, FT17311 - Pinnacle NY - 885 10	28,500
		Technical Services, FT17296 - Pinnacle NY - 12 Cro	12,240
		Technical Services, FT17301 - Pinnacle NY - 133-17	14,923
		Tech Assistanc Multifamily LMI, FT17295 - Pinnacle NY - 7-9 E	14,250
	9/24/2024	Tech Assistanc Multifamily LMI, FT17313 - Pinnacle NY - 97-25	37,740
		Technical Services, FT17297 - Pinnacle NY - 40-05	14,760
		Technical Services, FT17312 - Pinnacle NY - 3202 N	25,850
	9/25/2024	Tech Assistanc Multifamily LMI, FT17289 - 1845 Hobart Realty -	28,500
		Technical Services, FT - 0000797166 - Pinnacle - 1	16,040
	9/26/2024	Tech Assistanc Multifamily LMI, FT17307 - Pinnacle NY - 750 Ri	22,673

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Ross Energy Consulting, LLC	9/27/2024	Tech Assistanc Multifamily LMI, FT17305 - Pinnacle NY - 441 Co	32,033
RUHL TecConsult LLC	8/22/2024	Tech Assistanc Multifamily LMI, FT15195 - Lefrak Estates	19,307
RUHL TecDesign	4/12/2024	Heat Recovery, HeatRec C1_Ruhl_4310Crescent	39,920
	7/23/2024	Heat Recovery, HeatRecC1_Ruhl_HaydenApartment	39,920
	8/12/2024	Heat Recovery, HeatRecC2_Ruhl_200Water	79,868
	9/25/2024	Heat Recovery, HRC2_Ruhl_4705	79,868
Rural Generation & Wind (Rodney Weaver)	4/25/2024	<200KW PV, PON 2112 NY SUN	7,680
	9/12/2024	<200KW PV, PON 2112 NY SUN	5,000
Rural Housing Coalition of New York	4/18/2024	Multifam Performance Pgm, 2024 Rural Housing Coalition	5,000
RWE Renewables Development LLC	7/10/2024	REC:CES REC Contracts, RESRFP23-1_Baron Winds II	340,729,920
Ryan Plumbing Heating Air Conditioning	4/5/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	5/24/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	6/13/2024	Talent Pipeline:CE and OJT, OJT	7,680
	9/12/2024	Talent Pipeline:CE and OJT, OJT	14,400
S&P Global Inc.	4/4/2024	ENERGY ANALYSIS, 2024-2025 PointLogic Subscrip.	67,450
S&P Global Market Intelligence, Inc.	5/9/2024	NEW YORK GREEN BANK, S&P CapIQ Pro Subscription	40,950
SafariNY Corp.	5/8/2024	New Construction- Commercial, Commercial NCP 2022 TWO	187,760
	6/4/2024	Talent Pipeline:CE and OJT, OJT	12,000
	8/8/2024	Talent Pipeline:CE and OJT, OJT	12,000
	8/21/2024	Talent Pipeline:CE and OJT, OJT	29,280
	9/17/2024	Talent Pipeline:CE and OJT, OJT	13,920
Saint-Gobain Gypsum USA, Inc.	5/23/2024	CI Carbon Challenge, Accelerated Efficiency & Elect	3,101,350
Salary.com, LLC	4/4/2024	NYSERDA ADMINISTRATION, HR Data Subscription	6,000
SANFILIPPO SOLUTIONS INC.	4/25/2024	Talent Pipeline:CE and OJT, OJT	18,880
	5/22/2024	Talent Pipeline:CE and OJT, OJT	8,320
	5/28/2024	Talent Pipeline:CE and OJT, OJT	6,512
	7/3/2024	Talent Pipeline:CE and OJT, OJT	8,640
Sanitation Equipment Corporation	8/13/2024	CLEAN TRANSPORTATION, NYTVIP - City of White Plains	198,381
		CLEAN TRANSPORTATION, NYTVIP - City of Yonkers	198,381
SCE DevCo, LLC	7/29/2024	REC:CES REC Contracts, RESRFP22-1	321,163,757
Sea Bright Solar, LLC	6/13/2024	<200KW PV, PON 2112 NY SUN	7,040
		>200KW PV, PON 2112 NY SUN	8,730
	6/18/2024	>200KW PV, NY-Sun	12,150
	8/7/2024	<200KW PV, PON 2112 NY SUN	5,120
	8/8/2024	<200KW PV, PON 2112 NY SUN	4,857
Seaboard Solar Holdings LLC	9/27/2024	>200KW PV, NY Sun	684,399
		NY Sun	1,711,001
Senate Residence Owners, Inc.	6/17/2024	Direct Injection Program, New Senate HPD	1,000,000
Shenker Russo & Clark LLP	7/23/2024	Talent Pipeline:CE and OJT, Union Advisory Services	200,000
SHI, Inc.	5/24/2024	NYSERDA ADMINISTRATION, Keeper Security - 70 users	5,436
		NYSERDA ADMINISTRATION, Tableau Desktop Maintenance 1	107,037
	6/13/2024	NYSERDA ADMINISTRATION, Adobe Acrobat licenses - 1 yea	7,597
Siemens Industry, Inc.	4/22/2024	RTEM Small/Medium Business, Siemens-OneidaHealth-RTEM	154,319
	5/24/2024	RTEM Small/Medium Business, Siemens-337NMain-RTEM	72,355
	7/1/2024	RTEM Small/Medium Business, Siemens-LeMoyneCollege-RTE..	170,000
	8/6/2024	RTEM Small/Medium Business, Siemens-1856 New Boston-RT..	76,415
SiteCapture, Inc	8/21/2024	CLEAN TRANSPORTATION, SiteCapture Licenses	5,280
		Combined Heat and Power, SiteCapture Licenses	9,680
		Low Carbon Tech Demos, SiteCapture Licenses	9,680
		Multifam Performance Pgm, SiteCapture Licenses	9,680
		NYCH: Comfort Home, SiteCapture Licenses	9,680
Sive Paget & Riesel PC	5/14/2024	RFP 12: NYGB Legal Services	1,795
	5/20/2024	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - West V..	125,000
	5/24/2024	BR: Program Implementation, TWO 10 - BR/Auction prep	50,000
	6/3/2024	BR: Program Implementation, TWO 3 - Build Ready Auction	35,000
	7/3/2024	REC:CES REC System Dev Costs, TWO 10 - BR/Auction prep	35,000

Contracts Executed
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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sive Paget & Riesel PC	7/22/2024	REC4:CES REC4 Tech Support, TWO 9 - Tier 4 solicitation	75,000
	8/7/2024	RFP 12: NYGB Legal Services	14,504
	8/8/2024	RFP 12: NYGB Legal Services	2,585
	8/9/2024	TWO 7 - CAC/Cap and Invest	500,000
	8/27/2024	REC:CES REC System Dev Costs, TWO #4 - Standard Form A..	25,000
	9/4/2024	BR: Program Implementation, TWO 3 - Build Ready Auction	15,643
	9/9/2024	REC:CES REC System Dev Costs, TWO 8 - Tier 1 Program Le..	50,000
	9/12/2024	REC:CES REC System Dev Costs, TWO 11 - Tier 1 RESRFP 2..	100,000
	9/24/2024	RFP 12: NYGB Legal Services	933
Slipstream Group, Inc.	8/2/2024	GJGNY REVOLVING LOAN FUND, GJGNY Loan Origination	31,078
Smart Roofs Solar, Inc.	4/25/2024	>200KW PV, PON 2112 NY SUN	43,200
	6/17/2024	>200KW PV, PON 2112 NY SUN	34,560
	6/27/2024	>200KW PV, PON 2112 NY SUN	109,920
Smith Engineering PLLC	5/1/2024	Technical Services, FT17148 CBRE - 1166 Avenue of	64,534
	5/24/2024	Technical Services, FT17173 WFP Tower A Co LP - 20	149,290
	6/7/2024	Workforce Industry Partnership, PON 5357 Rudin WFT 3	297,769
	6/10/2024	Technical Services, OsEM133-C -Rudin Mngmt Port 1	179,760
		Technical Services, OsEM134-C -Rudin Mngmt Port 2	179,760
	6/26/2024	NYCH: District, PON 4614 - Round 9	290,695
	7/3/2024	Workforce Industry Partnership, PON 5357	69,441
	8/2/2024	Workforce Industry Partnership, PON 5357	988,833
	8/22/2024	Technical Services, FT - 0000779895 - Brookfield P	74,441
	9/18/2024	Technical Services, FT - 0000788517 - Brookfield P	129,331
Socotec, Inc	4/24/2024	NYCH: Technical Assistance, FT15064 - 42-12 28 - FTC	55,721
		Technical Services, FT15060 Heatherwood Luxury Re	33,206
	5/1/2024	Technical Services, FT15067 - 568 Union - FTC	32,621
	7/11/2024	Technical Services, FT754403 - Women National Repu	19,800
	7/17/2024	Technical Services, FT754382 - Teachers College at	20,130
	8/20/2024	Technical Services, FT14889 - Princeton - 44-20	11,994
Software People, Inc.	9/23/2024	NYSERDA ADMINISTRATION, TWO 3 Salesforce System Adm..	114,400
Sol Developments, LLC	6/13/2024	Housing Agencies Support, HCR TWO - Unicorn Drive	50,000
	7/31/2024	Housing Agencies Support, HCR TWO - Playter Gardens	50,000
		Housing Agencies Support, HCR TWO - Silver Creek	50,000
		Housing Agencies Support, HCR TWO - The Nest	50,000
Sol Source Power, LLC	6/11/2024	>200KW PV, NY Sun	276,225
		NY Sun	690,563
	8/19/2024	>200KW PV, NY Sun	749,999
		NY Sun	1,875,001
	9/12/2024	>200KW PV, NY Sun	343,200
		NY Sun	858,000
9/26/2024	>200KW PV, NY Sun	189,254	
		NY Sun	473,135
SOLANTA CORP	4/25/2024	>200KW PV, PON 2112 NY SUN	10,560
	5/1/2024	<200KW PV, PON 2112 NY SUN	5,832
	6/4/2024	<200KW PV, PON 2112 NY SUN	29,856
	6/27/2024	<200KW PV, PON 2112 NY SUN	5,508
	7/9/2024	<200KW PV, PON 2112 NY SUN	12,768
		>200KW PV, PON 2112 NY SUN	23,562
	7/19/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,270
	8/22/2024	<200KW PV, PON 2112 NY SUN	7,392
		>200KW PV, PON 2112 NY SUN	48,200
	8/26/2024	<200KW PV, PON 2112 NY SUN	13,244
	8/27/2024	<200KW PV, PON 2112 NY SUN	9,976
	9/19/2024	>200KW PV, PON 2112 NY SUN	7,920
	Solar Liberty Energy Systems, Inc	6/12/2024	<200KW PV, PON 2112 NY SUN
6/14/2024		>200KW PV, PON 2112 NY SUN	145,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Solar Liberty Energy Systems, Inc	6/18/2024	<200KW PV, PON 2112 NY SUN	10,000
	6/26/2024	<200KW PV, NY-Sun	73,660
	6/27/2024	<200KW PV, PON 2112 NY SUN	7,584
	8/7/2024	<200KW PV, PON 2112 NY SUN	6,380
Solar One, Inc.	8/7/2024	>200KW PV, PON 2112 NY SUN	50,370
Solar Pro Inc	6/4/2024	<200KW PV, PON 2112 NY SUN	7,776
	6/6/2024	<200KW PV, PON 2112 NY SUN	9,240
	7/19/2024	>200KW PV, PON 2112 NY SUN	8,800
	9/3/2024	<200KW PV, PON 2112 NY SUN	5,000
		>200KW PV, PON 2112 NY SUN	8,800
	9/6/2024	>200KW PV, NY-Sun	8,720
	9/13/2024	>200KW PV, PON 2112 NY SUN	8,800
9/23/2024	<200KW PV, PON 2112 NY SUN	5,720	
SolarCommunities Inc.	4/17/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/11/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/13/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/28/2024	<200KW PV, PON 2112 NY SUN	9,072
	8/7/2024	<200KW PV, PON 2112 NY SUN	37,060
	9/16/2024	<200KW PV, PON 2112 NY SUN	19,200
Solarize Plus Inc	7/25/2024	<200KW PV, PON 2112 NY SUN	8,208
	8/13/2024	>200KW PV, PON 2112 NY SUN	36,860
Solect Energy Development LLC	9/18/2024	>200KW PV, PON 2112 NY SUN	228,000
Solitude Solar LLC	8/23/2024	>200KW PV, NY Sun	436,980
		NY Sun	1,092,451
Soltage, LLC	9/4/2024	ESTOR:Retail Storage Incentive, Retail Storage Incentives	2,500,000
Southbridge Towers Inc	7/24/2024	Technical Services, FT17066 Century Management Ser	72,775
Southern Tier Environments for Living, I	9/3/2024	Tech Assistanc Multifamily LMI, FT - 0000762936 - STEL, Inc. -	7,428
Spackenkill Union Free School District	8/13/2024	FT17051 - Spackenkill UFSD (6)	28,125
Spectivate LLC	7/26/2024	Electric Vehicles - Innovation, NYSBIP Calculator Development	49,941
Speridian Technologies LLC	7/11/2024	NYSERDA ADMINISTRATION, Speridian - UiPath addition Se	50,000
St. Luke's School	6/13/2024	K-12 SCHOOLS, FT17095 - St. Lukes School (1)	18,000
St. Nicks Alliance	7/5/2024	Buildings of Excellence, BoE Rnd. 2 - Cooper Park Bld.2	850,000
	7/24/2024	New Construction Housing, 2019 MFCNP	50,000
	7/26/2024	New Construction Housing, 2019 MFCNP	550,000
Stanley Ruth Co., LLC	4/26/2024	NYCH: Talent Ppln:CE and OJT, OJT	10,560
	5/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	21,120
	8/6/2024	NYCH: Talent Ppln:CE and OJT, OJT	27,360
	9/9/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	9/25/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Stantec Consulting Services, Inc.	4/10/2024	WEST VALLEY DEVELOPMENT PROGRAM, WVSMP ENV. S..	156,165
Staples, Inc.	6/7/2024	NYSERDA ADMINISTRATION, Staples Office Supplies	15,000
Steve A. Cohen	9/17/2024	NYCH: Technical Assistance, FT757035 - Hyde Park Owners Co	14,001
Steven Winter Associates, Inc.	7/17/2024	Technical Services, FT14565-1109 Fifth-FTC-COM	36,350
	7/29/2024	Technical Services, FT17068 Left Bank Apartment -	43,010
Stock Studios Photography	7/15/2024	NYSERDA ADMINISTRATION, Tom Stock Photography	3,180
	8/13/2024	NYSERDA ADMINISTRATION, Tom Stock Photography	1,400
Stone Tablet, LLC	7/23/2024	NYSERDA ADMINISTRATION, Employee & Labor Relations Sof	21,940
Stonewall Solar LLC	8/19/2024	REC:CES REC Contracts, RESRFP22-1	250,410,870
Stony Brook University	9/25/2024	OREC: Technical Support, 2024 State of the Science	133,699
Storm King Art Center	5/8/2024	Net Zero Energy for Eco Dev, CNCED 2021 - Storm King Art	600,000
STRATCO PROPERTY GROUP INC	9/25/2024	NYCH: Talent Ppln:CE and OJT, OJT	19,037
Suffolk County	9/23/2024	CLEANER GREENER COMMUNITIES, Yaphank Jail Solar	187,500
Sun Source Technologies	5/6/2024	<200KW PV, PON 2112 NY SUN	5,000
	6/18/2024	<200KW PV, PON 2112 NY SUN	6,056
	9/13/2024	<200KW PV, PON 2112 NY SUN	5,000
SuNation Solar Systems, Inc.	4/2/2024	COMMUNITY SOLAR, PON 2112 NY SUN	11,320

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SuNation Solar Systems, Inc.	4/5/2024	COMMUNITY SOLAR, PON 2112 NY SUN	7,392
	4/8/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/11/2024	<200KW PV, PON 2112 NY SUN	8,000
		ENERGY STORAGE, PON 2112 NY SUN	6,250
	4/16/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,888
	4/17/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,440
	4/25/2024	COMMUNITY SOLAR, PON 2112 NY SUN	11,984
	4/26/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,208
	5/1/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,048
	5/3/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,120
	5/8/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,760
	5/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	13,272
	5/16/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	5/29/2024	<200KW PV, PON 2112 NY SUN	6,720
	6/4/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,440
	6/6/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,216
	6/12/2024	<200KW PV, PON 2112 NY SUN	7,392
		COMMUNITY SOLAR, PON 2112 NY SUN	15,288
	6/13/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	6/14/2024	<200KW PV, PON 2112 NY SUN	5,376
		COMMUNITY SOLAR, PON 2112 NY SUN	7,560
	6/17/2024	COMMUNITY SOLAR, PON 2112 NY SUN	19,320
		ENERGY STORAGE, PON 2112 NY SUN	5,400
	6/18/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,208
	6/25/2024	>200KW PV, NY Sun	97,038
		ENERGY STORAGE, PON 2112 NY SUN	6,250
		NY Sun	242,595
	6/26/2024	COMMUNITY SOLAR, PON 2112 NY SUN	8,960
		ENERGY STORAGE, PON 2112 NY SUN	5,400
	6/27/2024	<200KW PV, PON 2112 NY SUN	9,300
		COMMUNITY SOLAR, PON 2112 NY SUN	22,864
	6/28/2024	<200KW PV, PON 2112 NY SUN	7,056
	7/1/2024	<200KW PV, PON 2112 NY SUN	7,360
	7/2/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,400
	7/10/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,216
	7/11/2024	<200KW PV, PON 2112 NY SUN	5,325
	7/16/2024	<200KW PV, PON 2112 NY SUN	6,400
		COMMUNITY SOLAR, PON 2112 NY SUN	7,728
	7/18/2024	COMMUNITY SOLAR, PON 2112 NY SUN	14,787
		ENERGY STORAGE, PON 2112 NY SUN	5,400
7/19/2024	COMMUNITY SOLAR, PON 2112 NY SUN	11,424	
8/22/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250	
9/16/2024	COMMUNITY SOLAR, PON 2112 NY SUN	9,120	
9/17/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,048	
9/20/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,040	
Sunkeeper Solar LLC	4/30/2024	<200KW PV, NY-Sun	200
		>200KW PV, NY-Sun	300
	6/17/2024	>200KW PV, PON 2112 NY SUN	74,690
	6/18/2024	<200KW PV, NY-Sun	115,668
		>200KW PV, NY-Sun	192,780
	6/28/2024	<200KW PV, NY-Sun	51,030
		>200KW PV, NY-Sun	85,050
8/20/2024	COMMUNITY SOLAR, PON 2112 NY SUN	66,640	
Sunlight General Capital LLC	4/16/2024	<200KW PV, NY-Sun	100,740
		>200KW PV, NY-Sun	25,185
Sunnova Energy Corp	5/24/2024	<200KW PV, PON 2112 NY SUN	5,000

Contracts Executed
 Period 4/1/2024 through 9/30/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
SunPower Capital, LLC	4/12/2024	<200KW PV, PON 2112 NY SUN	7,040
	4/25/2024	<200KW PV, PON 2112 NY SUN	8,000
	5/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,270
	6/12/2024	<200KW PV, PON 2112 NY SUN	8,640
	6/13/2024	<200KW PV, PON 2112 NY SUN	5,120
	6/14/2024	<200KW PV, PON 2112 NY SUN	12,224
	6/17/2024	<200KW PV, PON 2112 NY SUN	13,024
		COMMUNITY SOLAR, PON 2112 NY SUN	7,040
	6/18/2024	<200KW PV, PON 2112 NY SUN	9,072
	6/20/2024	<200KW PV, PON 2112 NY SUN	12,800
	6/25/2024	<200KW PV, PON 2112 NY SUN	5,120
	6/27/2024	<200KW PV, PON 2112 NY SUN	13,120
	6/28/2024	<200KW PV, PON 2112 NY SUN	6,048
	7/19/2024	<200KW PV, PON 2112 NY SUN	12,160
		>200KW PV, PON 2112 NY SUN	7,920
	7/29/2024	<200KW PV, PON 2112 NY SUN	8,800
	8/14/2024	<200KW PV, PON 2112 NY SUN	16,992
	8/22/2024	<200KW PV, PON 2112 NY SUN	10,560
	9/4/2024	>200KW PV, PON 2112 NY SUN	35,670
	SUNRISE ELECTRICAL SERVICES	5/29/2024	<200KW PV, PON 2112 NY SUN
8/20/2024		<200KW PV, NY-Sun	75,000
Sunrise Energy Corp.	6/18/2024	COMMUNITY SOLAR, PON 2112 NY SUN	6,080
Sunrise Solar Solutions, LLC	8/13/2024	<200KW PV, NY-Sun	20,250
	9/11/2024	<200KW PV, NY-Sun	161,865
		>200KW PV, NY-Sun	161,865
9/16/2024	>200KW PV, PON 2112 NY SUN	31,766	
SunRun, Inc	8/1/2024	<200KW PV, PON 2112 NY SUN	5,000
SUNY Cortland	7/3/2024	Technical Services, OsEM137-C - SUNY Cortland	213,671
SUNY Maritime College	5/31/2024	REV CAMPUS CHALLENGE, OsEM125C - SUNY Maritime	173,600
SUNY Oswego	7/3/2024	New Construction- Commercial, Commercial New Construction	265,400
Super Cool HVAC LLC.	6/4/2024	Talent Pipeline:CE and OJT, OJT	11,040
	7/3/2024	NYCH: Talent Ppln:CE and OJT, OJT	17,280
Supportive Housing Network of New Yo..	5/1/2024	Tech Assistanc Multifamily LMI, 2024 SHNNY Conference	6,000
Sure Temp Company Inc.	7/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	21,600
	9/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	13,680
Surf Clean Energy Inc	4/12/2024	<200KW PV, PON 2112 NY SUN	13,608
	5/14/2024	COMMUNITY SOLAR, PON 2112 NY SUN	5,976
	6/11/2024	<200KW PV, PON 2112 NY SUN	27,584
		COMMUNITY SOLAR, PON 2112 NY SUN	7,052
	7/12/2024	<200KW PV, PON 2112 NY SUN	9,628
	7/23/2024	<200KW PV, PON 2112 NY SUN	1,992
	9/27/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
	9/30/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
SUSTAIN RESILIENCE LLC	6/6/2024	Code to Zero, Technical support	500,000
Sustainable Comfort, Inc	4/25/2024	Buildings of Excellence, RFP3928 SCI TWO #4	100,000
	5/24/2024	Housing Agencies Support, HCR TWO #6 – Colvin Ave Apts	50,000
		Housing Agencies Support, HCR TWO#7 - Cold Spring	50,000
		Housing Agencies Support, HCR TWO#8 - Juniper Apts	50,000
	9/12/2024	Buildings of Excellence, TFP3928 TWO # 5	42,250
Sustainable CUNY CUNY/RF	7/3/2024	Solar + Storage Summit June 24	15,000
Sustainable Energy Advantage, LLC	5/24/2024	OREC: Technical Support, TWO#1 MP2.0 Workforce study	150,000
	8/30/2024	REC:CES REC System Dev Costs, REMO Subscription	24,724
Sustainable Energy Developments Inc.	4/23/2024	<200KW PV, PON 2112 NY SUN	115,188
	6/18/2024	<200KW PV, NY-Sun	7,200
	7/9/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/8/2024	<200KW PV, PON 2112 NY SUN	22,553

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sustainable Energy Developments Inc.	8/12/2024	<200KW PV, NY-Sun	7,200
	8/20/2024	<200KW PV, NY-Sun	103,040
	8/21/2024	<200KW PV, NY-Sun	41,225
	8/22/2024	<200KW PV, PON 2112 NY SUN	13,260
Sustainable Energy Holdings LLC	8/21/2024	ESTOR:Retail Storage Incentive, Retail Storage	385,000
	8/26/2024	ESTOR:Retail Storage Incentive, Retail Storage Incentives	385,000
Sustainable Hudson Valley, Inc.	8/27/2024	Talent Pipeline:CE and OJT, PON 4772 R3 Joanne Louis-Paul	40,000
Sustainable Investment Group	4/1/2024	Heat Recovery, HeatRec C1_SIG_1501Bway	39,920
	7/1/2024	Technical Services, FT17137 Longacre Square Manage	91,919
Sustainable Westchester	5/16/2024	Talent Pipeline:CE and OJT, OJT	11,539
	5/31/2024	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Clarke Littlejohn	40,000
	9/3/2024	Talent Pipeline:CE and OJT, OJT	8,461
SWBR Architecture, Engineering & Lan..	7/29/2024	CGSI-166CT - Cuba-Rushford CSD	56,195
Syracuse Community Hotel Restoration Com	4/16/2024	Clean Energy Communities, 2024 CEC Coordinator Meeting	10,000
	8/2/2024	Future Energy Economy Summit	75,000
Syracuse University	4/8/2024	Natural Carbon Solutions, A1 - Building Challenge	846,316
	7/31/2024	NYCH: Innovation, NextGen HVAC Innovation	428,451
	9/19/2024	Intelligent Buildings, Intelligent Buildings	305,658
Syska Hennessy Group	5/31/2024	Technical Services, FT17202 - New York-Presbyteria	1,000,000
	9/4/2024	Technical Services, FT - 0000763878 - Mount Sinai	118,009
T. F. Obrien	6/13/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
	6/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Taitem Engineering, P.C.	4/4/2024	New Construction Housing, M&V - Arthaus	16,247
	5/7/2024	Technical Services, AEAP 1704 - Damiani Wine	3,000
	5/8/2024	Housing Agencies Support, HCR TWO - Eastwood Heights	50,000
		Housing Agencies Support, HCR TWO - Olympia Terrace	50,000
		Housing Agencies Support, HCR TWO - Apartments Mill&Main	50,000
	6/4/2024	K-12 SCHOOLS, CGSI-43E - Alfred-Almond CSD	37,999
	6/13/2024	Talent Pipeline:CE and OJT, OJT	9,280
	6/19/2024	Technical Services, FT17239 Ithacare Center Servic	16,122
	6/21/2024	TWO CH4A M&V Services	21,029
	6/24/2024	Low Carbon Tech Demos, Multifamily SQA	25,000
		Multifam Performance Pgm, Multifamily SQA	100,000
	7/3/2024	Talent Pipeline:CE and OJT, OJT	9,280
	8/5/2024	Low Carbon Tech Demos, Multifamily Technical Assistan	108,450
	8/12/2024	Technical Services, AEAP 1710 - Ripple Road Maple	5,202
	8/13/2024	K-12 SCHOOLS, CGSI-149E - Cincinnati CSD	32,480
	8/20/2024	Technical Services, AEAP 1656 - Maybury Hill Maple	2,202
	8/22/2024	Technical Services, AEAP 1704 - Damiani Wine	2,931
	9/27/2024	Technical Services, OsEM131-C - Cayuga Medical	186,922
		Technical Services, OsEM139-C - Schuylter Hospital	94,813
	TAP, Inc.	9/20/2024	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 (Ethan Sedano)
TBL Technologies Inc.	7/26/2024	Talent Pipeline:CE and OJT, OJT	15,360
Tech Valley Talent, LLC	4/5/2024	NYSERDA ADMINISTRATION, TWO #30 Tableau Dev. Alfred	194,025
	4/11/2024	NYSERDA ADMINISTRATION, TWO #31 Network Voice Engin..	185,250
	5/2/2024	NYSERDA ADMINISTRATION, TWO #26 Software QA - Nafisha	63,375
	5/23/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, T..	62,400
		TWO #32 SFR. Staff Aug Dev.- P	124,800
	6/28/2024	Market Support Tools &Activity, TWO #33 Technical BA - Tony..	64,675
		TWO #33 Technical BA - Tonya W	129,350
	7/1/2024	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, T..	73,775
		TWO 28 .Net Software Dev. - Bi	147,550
	7/3/2024	NYSERDA ADMINISTRATION, TWO #21 Salesforce Dev. Mag..	210,080
	8/13/2024	NYSERDA ADMINISTRATION, TWO #11 Info Security Services	218,400
	9/25/2024	REC4:CES REC4 Tech Support, SA.037a_TWO# 1_PM1_LSR	172,240
	9/27/2024	NYSERDA ADMINISTRATION, TWO #14 Salesforce BA.- Robl..	224,640

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TechniArt, Inc.	7/2/2024	Clean Energy Hub, Regional Energy Hub Kits	292,500
Technology Professionals Group Inc.	4/12/2024	NYSERDA ADMINISTRATION, TWO 3 Sr. SharePoint Dev.	26,166
	5/3/2024	NYSERDA ADMINISTRATION, TWO # 5 Service Desk Tech Al..	87,750
	9/23/2024	Informat. Products & Brokering, TWO 6 Tableau Dev. - Fayaz	169,650
Terri Hartwell Easter Consulting LLC	5/3/2024	NYSERDA ADMINISTRATION, DEI Consultant - TH Easter	200,000
Tesla, Inc.	6/12/2024	CLEAN TRANSPORTATION, Tesla DCFC PON 4509 Round 3	1,542,894
Tetra Tech Engineers, Architects and Lan	6/5/2024	Housing Agencies Support, TWO #4 - Luna Green	50,000
	6/13/2024	Housing Agencies Support, HCR TWO #5 - Beeches	50,000
		Housing Agencies Support, HCR TWO #6 - 1546 East	50,000
The Brattle Group Inc.	8/7/2024	TWO 4 - Zero Emission Technolo	196,000
	9/3/2024	Grid ClimateTech Ready Capital, TWO - 5 NYS Grid of the Futu..	1,726,372
The Business Council of NYS, Inc.	6/4/2024	Prof & Expert Engagement, Business Council 24 Membership	7,040
The Cadmus Group, LLC	4/24/2024	Eval MCDG EE Master Soft Cost, TWO#4 Soft Cost study	111,875
	6/10/2024	ENERGY ANALYSIS, BEEM Redevelopment: Phase 2	50,000
		NYSERDA ADMINISTRATION, TWO 1 - Green NY Reporting	24,000
	7/8/2024	Eval MCDG Cross Cutting, Statewide Multifamily Baseline	200,000
	8/13/2024	ENERGY ANALYSIS, TWO #1 BEEM Revision	157,389
	9/16/2024	Electric Vehicles - Innovation, MHD EV Grid Impact Cat 4	656,225
	9/17/2024	ENERGY ANALYSIS, TWO 2 -State Energy Plan Draft	49,973
	9/23/2024	ENERGY ANALYSIS, TWO 2 - Phase 2B: BEEM Redev	241,841
	Product Standards, TWO 2 - Phase 2B: BEEM Redev	26,700	
The Forte Condominium	6/10/2024	Low Carbon Tech Demos, Low Carbon Pathways	81,000
The Fulcrum Group	9/3/2024	Technical Services, FT - 0000758166 - Lincoln Cent	500,000
The Insulation Man LLC	7/19/2024	Talent Pipeline:CE and OJT, OJT	12,960
	9/3/2024	NYCH: Talent Ppln:CE and OJT, OJT	12,960
The Leviticus 25:23 Alternative Fund, In..	4/5/2024	NY Green Bank, Leviticus Fund (RFP 23)	18,300,000
The Mobility House	6/7/2024	Pub Transit & Elect Rail, PON 5109 - EV bus smart charge	150,236
The Research Foundation for the State	4/25/2024	Clean & Resilient Buildings	50,000
		OTHER PROGRAM AREA, Clean & Resilient Buildings	50,000
	6/28/2024	Environmental Research, Low-Cost AQ Sensors	105,963
The Revere Condominium	9/3/2024	Technical Services, FT14864 -The Reverse Condo-PON	11,500
The RF of SUNY Binghamton University	4/1/2024	Future Grid Perf. Challenges, Power Grid Innovation	400,000
	6/7/2024	Hydrogen Innovation, Clean Hydrogen Innovation	332,598
The Small Business Solution Center	5/22/2024	Talent Pipeline:CE and OJT, 2024 Career Jam Sponsor	7,500
The Standard Hydrogen Corporation	7/19/2024	Hydrogen Innovation, Long Duration Energy Storage	2,000,000
The Top Gun Group, LLC	4/12/2024	NYCH: Talent Ppln:CE and OJT, OJT	8,640
	4/25/2024	Talent Pipeline:CE and OJT, OJT	5,760
	5/1/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,400
	5/3/2024	NYCH: Talent Ppln:CE and OJT, OJT	6,080
	7/3/2024	Talent Pipeline:CE and OJT, OJT	5,760
	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
The Trustees of Columbia University	4/5/2024	ENVIRONMENTAL RESEARCH, Attribution of anthro methane	259,995
The WVI Dolphin Foundation	4/1/2024	Talent Pipeline:Internship Pgm, 2024 WVI Dolphin Foundation	5,000
Therese Myers	5/16/2024	NYSERDA ADMINISTRATION, Contracted Editor	20,000
Thermal Associates, LLC	7/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,360
ThunderCat Technology LLC	4/8/2024	NYSERDA ADMINISTRATION, Workspace One Enterprise - 1yr	104,766
	4/30/2024	NYSERDA ADMINISTRATION, Asana project mgt. cloud	177,123
	5/22/2024	NYSERDA ADMINISTRATION, Cisco Umbrella Renewal	57,477
	5/24/2024	NYSERDA ADMINISTRATION, Sitecore CMS License 2024-20..	95,507
	6/7/2024	NYSERDA ADMINISTRATION, Atlassian Cloud Migration	219,032
	9/23/2024	NYSERDA ADMINISTRATION, Atlassian Cloud 2024-2025	309,960
		NYSERDA ADMINISTRATION, Docusign 2024 - 2025	180,427
	9/26/2024	NYSERDA ADMINISTRATION, Pyramid Consulting	8,800
Times Square Hospitality II, LLC	7/19/2024	Technical Services, FT14978 - Times Square Hospita	6,120
Tioga Opportunities Inc.	4/25/2024	Talent Pipeline:CE and OJT, OJT	8,400
TM Montante Solar Developments, LLC	5/20/2024	<200KW PV, NY-Sun	149,600

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TM Montante Solar Developments, LLC	7/17/2024	>200KW PV, NY Sun	82,320
		NY Sun	205,800
	7/23/2024	<200KW PV, PON 2112 NY SUN	99,138
Tompkins County	6/4/2024	BR: Program Implementation, Tompkins County LOA	19,500
Total Webcasting, Inc.	9/4/2024	ENERGY ANALYSIS, NYS Energy Board Pln Mtg	5,270
TotalEnergies Distributed Generation U..	8/22/2024	ESTOR:Retail Storage Incentive, Energy Storage	1,224,000
Town of Albion	8/16/2024	Clean Energy Communities, Audit/Implementation Project	11,600
Town of Alexander	7/10/2024	Clean Energy Communities, Town of Alexander Audit/Implem	6,600
Town of Big Flats	8/14/2024	Clean Energy Communities, Town of Big Flats 1-star desig	6,600
Town of Brighton	9/27/2024	Clean Energy Communities, Solar Expansion & Heat Pump Co	100,000
Town of Catskill	9/4/2024	Clean Energy Communities, EV Vehicle & Heat pumps	44,570
		NYCH: Communities, EV Vehicle & Heat pumps	30,430
Town of Chatham	9/20/2024	Clean Energy Communities, Chatham Photovoltaic Installat	50,000
Town of Clifton Park	8/16/2024	Clean Energy Communities, CEC400011 - Building Upgrades	77,900
Town of East Bloomfield	6/18/2024	Clean Energy Communities, Energy Audit/Implementation Pr	6,600
Town of Gardiner	7/15/2024	Clean Energy Communities, CEC500684 - 3 Star 3.0 Grant	100,000
		Clean Energy Communities, CEC500684 - Building Upgrades	6,600
Town of Geneva	8/28/2024	Clean Energy Communities, CEC300344 - 3.0 Solar Install	175,000
Town of Germantown	6/11/2024	Clean Energy Communities, Communities & Local Government	40,000
Town of Ghent	7/24/2024	Clean Energy Communities, Communities & Local Government	10,000
Town of Gorham	8/26/2024	Clean Energy Communities, Audit/Implementation Project	6,600
Town of Hector	8/13/2024	Clean Energy Communities, Town of Hector 50K grant	50,000
Town of Highlands	8/28/2024	Clean Energy Communities, CEC500728 - 3.0 Build. Upgrade	10,000
Town of Humphrey	8/14/2024	Clean Energy Communities, Energy Study and Upgrades	6,600
Town of Kendall	7/22/2024	Clean Energy Communities, DPW Energy Study/Implementatio	6,600
Town of Kinderhook	9/17/2024	Clean Energy Communities, Solar Array	50,000
Town of LaFayette	8/5/2024	Clean Energy Communities, CEC200185 - Building Upgrades	10,000
Town of Lewisboro	9/3/2024	Clean Energy Communities, CEC500648- CEC 3.0 Grant	50,000
Town of Mamaroneck	7/23/2024	Clean Energy Communities, CEC500645 - CEC 3.0 Build. Up.	100,000
Town of Marletown	8/16/2024	Clean Energy Communities, NYPA Project at RMC and EVs	362,500
Town of Marion	9/26/2024	Clean Energy Communities, Energy Study Implementation	10,000
Town of Mount Pleasant	6/11/2024	Clean Energy Communities, Communities & Local Government	15,000
Town of Naples	6/19/2024	Clean Energy Communities, Energy Audit/Implementation Pr	6,600
Town of Nelson	9/3/2024	Clean Energy Communities, Town of Nelson 2 Star Designat	50,000
Town of New Castle	9/16/2024	Clean Energy Communities, Solar at the Chappaqua Perform	275,000
Town of New Lebanon	7/26/2024	Clean Energy Communities, \$175000 NL Town garage CEC gra	175,000
Town of Philipstown	7/2/2024	Clean Energy Communities, CEC500794 LR & 3.0 Grants	174,800
		Clean Energy Communities, CEC500794 - Combined Grants	370,000
Town of Red Hook, NY	7/17/2024	Clean Energy Communities, Phase 1 Community Solar Projec	100,000
Town of Rhinebeck	5/24/2024	Clean Energy Communities, CEC EV Project	10,000
Town of Richmond	8/5/2024	Clean Energy Communities, Audit/Implementation Project	6,600
Town of Roseboom	6/5/2024	Clean Energy Communities, Roseboom Grant 2	50,000
Town of Saugerties	9/13/2024	Clean Energy Communities, Town of Saugerties 100K Truck	100,000
Town of Taghkanic	8/15/2024	Clean Energy Communities, Solar & Heat Pumps at Town HW	36,570
		NYCH: Communities, Solar & Heat Pumps at Town HW	13,430
Town of Union	7/3/2024	Clean Energy Communities, CEC Project	51,600
Town of Webb	7/29/2024	Clean Energy Communities, North St Recreation Center Bui	50,000
Trane	4/2/2024	Heat Recovery, HeatRec C2_Trane_1CPW	80,000
	5/24/2024	Technical Services, FT14989 - Lewis County Court	6,375
	6/4/2024	K-12 SCHOOLS, CGSI-129E - Canisteo-Greenwood	50,928
	9/3/2024	Heat Recovery, HeatRec C1_Trane_SKAE Power	39,750
	9/11/2024	Technical Services, FT - 0000762382 - Prologis - 5	12,500
Transect Inc.	5/24/2024	BR: Program Implementation, BR Subscription - Transect	19,000
Travertine Technologies, Inc.	7/10/2024	Hydrogen Innovation, Clean Hydrogen Innovation	3,170,033
TRC Companies, Inc.	7/26/2024	NYCH: LMI, TWO #3 Landlord Outreach	200,000
TRC Energy Services	4/16/2024	Technical Services, AEAP 1672 - River Bend Tree	3,000

Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
TRC Energy Services	4/16/2024	Technical Services, AEAP 1673 - Childs Maple Farm	3,000
	5/14/2024	Technical Services, AEAP 1672 - River Bend Tree	3,000
	9/17/2024	Technical Services, AEAP 1667 - Lillie Valley Farm	3,000
		Technical Services, AEAP 1673 - Childs Maple Farm	3,000
TRC Engineers, Inc.	6/13/2024	Technical Services, TRC Project Mgr Training Sup	17,000
	7/24/2024	Product Standards, TWO #8 IRA POS Retail SS	50,000
	8/7/2024	BR: Environmental, BRVW - Solar Permitting - TRC	236,000
TRC Environmental Corporation	4/2/2024	SA.008_TWO# 3_CT_PM1	427,240
	4/22/2024	Heat Recovery, SA.013_TWO# 4_AES_PM2	488,076
	5/8/2024	Low Carbon Tech Demos, SA.029_TWO# 5_MF_PM1	390,461
	5/17/2024	New Construction Housing, SA.031_TWO# 6_NC_PM1	508,688
	5/23/2024	CLEAN TRANSPORTATION, SA.035_TWO# 7_CT_PM2	539,355
	6/13/2024	Energy Storage Tech/Prod Dev, SA.032_TWO# 8_IN_APM	110,055
		Hydrogen Innovation, SA.032_TWO# 8_IN_APM	110,055
		Natural Carbon Solutions, SA.032_TWO# 8_IN_APM	113,390
	7/30/2024	EVAL MCD: TRM Support, TRM Membership	77,000
	8/8/2024	Housing Agencies Support, SA.042_TWO# 9_MF_PM1	395,258
	9/16/2024	SA.048_TWO# 10_MF_PM1	410,350
9/23/2024	SA.060_TWO# 11_MF_PM1	396,086	
Tri State Solar Services	4/11/2024	<200KW PV, PON 2112 NY SUN	11,016
	6/4/2024	<200KW PV, PON 2112 NY SUN	18,668
	6/14/2024	<200KW PV, PON 2112 NY SUN	9,600
	6/27/2024	<200KW PV, PON 2112 NY SUN	7,776
	7/12/2024	<200KW PV, PON 2112 NY SUN	20,000
	7/16/2024	<200KW PV, PON 2112 NY SUN	5,000
	8/14/2024	<200KW PV, PON 2112 NY SUN	9,512
	8/22/2024	<200KW PV, PON 2112 NY SUN	17,056
	9/17/2024	<200KW PV, PON 2112 NY SUN	15,616
	9/18/2024	<200KW PV, PON 2112 NY SUN	14,760
	9/30/2024	<200KW PV, PON 2112 NY SUN	5,576
Trinity Solar Inc	5/29/2024	ENERGY STORAGE, PON 2112 NY SUN	6,250
Tryfacta, Inc.	8/14/2024	SA.047_TWO# 1_SFR_Sr BA	10,080
	9/16/2024	NYCH: LMI, SA.050_TWO# 2_MF_PM1	404,017
	9/24/2024	SA.047_TWO# 1_SFR_Sr BA	120,960
Turner Construction Company	4/12/2024	RTEM and Tenants, DevelopQuarterly Pricing Index	50,000
U.S. Geological Survey	7/2/2024	A3 - Measurement, Monitoring,	654,536
Underground Railroad History Project of	8/6/2024	Net Zero Energy for Eco Dev, CNCED 2023 - Underground Railr	1,107,457
Union College	9/16/2024	NYCH: District, PON 4614 - Round 10	487,918
Unique Comp Inc.	5/8/2024	NYSERDA ADMINISTRATION, TWO #10 Service Desk Tech. P..	136,500
	8/21/2024	NYSERDA ADMINISTRATION, TWO #3 Database Admin. Vina..	203,840
Unique Electric Solutions of NYS LLC	7/9/2024	NYSBIP - NYC SD	855,000
University of Massachusetts Amherst	7/3/2024	Environmental Research, DOE Project Co-Funding	20,000
University of Rochester	5/21/2024	ENVIRONMENTAL RESEARCH, Changes in PM Composition	148,658
	7/23/2024	CI Carbon Challenge, C&I Carbon Challenge	982,145
Urban Electric Power, Inc.	7/9/2024	Energy Storage Tech/Prod Dev, Long Duration Energy Storage	993,944
Urban Energy Inc	6/4/2024	>200KW PV, NY-Sun	340,470
		NY-SUN, NY-Sun	68,094
	6/17/2024	>200KW PV, PON 2112 NY SUN	75,060
Urban Green Council	5/3/2024	Code to Zero, Codes, Products, & Standards	48,410
US Green Building Council	7/12/2024	New Construction Housing, 2024 USGBC Upstate Forum	5,000
		New Construction- Commercial, 2024 USGBC Upstate Forum	5,000
USGS National Center MS270	5/28/2024	ENVIRONMENTAL RESEARCH, Soil Carbon Stocks and PV	49,999
VC Renewables Holdings LLC	7/10/2024	REC:CES REC Contracts, RESRFP22-1	23,194,501
		REC:CES REC Contracts, RESRFP22-1_Clearview Solar	23,241,638
Ventolines B.V.	8/22/2024	OREC: Technical Support, Offshore Wind	50,000
		OREC: Technical Support, OSWSCRFP24-1 TEP Specialist Re	50,000

Contracts Executed

Period 4/1/2024 through 9/30/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Venture Home Solar LLC	4/2/2024	<200KW PV, PON 2112 NY SUN	7,480
Vermont Energy Investment Corporation	5/1/2024	NYCH: LMI, Pre-pilot support	50,000
	7/18/2024	INDUSTRIAL PROCESS EFFICIENCY, FT760700 - SRC Inc - .. NYCH: LMI, Program Design Support	56,250 485,000
VGC0M LLC	5/14/2024	Tech Assistanc Multifamily LMI, FT17204 - White Plains Court	29,948
	6/6/2024	Technical Services, FT17150 - Jamaica Hospital Med	68,870
	9/3/2024	Technical Services, FT - 0000764008 - Jamaica Hosp	147,020
Village of Avon	7/29/2024	Clean Energy Communities, Audit/Implementation Project	6,600
Village of Bronxville	8/13/2024	Clean Energy Communities, Village Hall & Library Energy	50,000
Village of Camillus	7/15/2024	Clean Energy Communities, CEC 3.0 - 1 Star Designation	10,000
Village of Canisteo	9/12/2024	Clean Energy Communities, Energy Study/Improvements	6,600
Village of Cayuga Heights	9/3/2024	Clean Energy Communities, WWTP Solar Project	50,000
Village of Cold Spring	7/11/2024	Clean Energy Communities, EV truck heat pumps landscap	100,000
Village of Croton-on-Hudson	6/28/2024	Clean Energy Communities, Croton-on-Hudson Solar & Pumps	425,000
	7/23/2024	Clean Energy Communities, Communities & Local Government	17,500
Village of Elmira Heights	9/27/2024	Clean Energy Communities, Village of Elmira Heights 2-St	75,000
Village of Irvington	7/16/2024	Clean Energy Communities, 2024 EV Purchases	100,000
Village of Mamaroneck	8/14/2024	Clean Energy Communities, Village of Mamaroneck- \$50K- R	56,600
Village of Medina	9/12/2024	Clean Energy Communities, Audit/Implementation Project	6,600
Village of Montour Falls	8/2/2024	Clean Energy Communities, Village of Montour Falls 4-Sta	175,000
Village of Naples	7/3/2024	Clean Energy Communities, Energy Audit/Implementation Pr	6,600
Village of Nelsonville	9/25/2024	Clean Energy Communities, CEC500832 - 3.0 Grant	6,600
Village of New Hartford	8/20/2024	Clean Energy Communities, Village of New Hartford Energy	6,600
Village of Nyack	5/30/2024	Clean Energy Communities, Communities & Local Government	150,000
Village of Owego	9/25/2024	Clean Energy Communities, Village of Owego 2-3-Star Proj	225,000
Village of Painted Post	9/18/2024	Clean Energy Communities, Village of Painted Post 1-Star	6,600
Village of Palmyra	8/22/2024	Clean Energy Communities, Audit/Implementation Project	6,600
Village of Rhinebeck	9/27/2024	Clean Energy Communities, Police Building Phase 2	50,000
Village of Sherburne	9/20/2024	CLEANER GREENER COMMUNITIES, Village of Sherburne La..	50,000
Village of Silver Springs	8/14/2024	Clean Energy Communities, Village Hall Energy Study/Impl	6,600
Village of Sodus	4/30/2024	Clean Energy Communities, CEC300347 - Building Upgrades	6,600
Village of Solvay	6/12/2024	CLEANER GREENER COMMUNITIES, Village of Solvay 1-Star..	11,600
Village of Tarrytown	8/26/2024	Clean Energy Communities, Electric Vehicle for Rec Dept	10,000
Village of West Winfield	8/22/2024	Clean Energy Communities, Village of West Winfield Build	50,000
Voice Buffalo	9/26/2024	PON 4772 R3 (Moet Grooms)	40,000
Voltaic Solaire LLC	4/12/2024	<200KW PV, PON 2112 NY SUN	15,876
	5/2/2024	<200KW PV, PON 2112 NY SUN	6,720
	5/23/2024	<200KW PV, PON 2112 NY SUN	5,904
	5/28/2024	<200KW PV, PON 2112 NY SUN	2,050
	5/29/2024	<200KW PV, PON 2112 NY SUN	6,150
	6/5/2024	<200KW PV, PON 2112 NY SUN	5,376
	6/6/2024	<200KW PV, PON 2112 NY SUN	9,133
	6/11/2024	<200KW PV, PON 2112 NY SUN	4,030
	6/12/2024	<200KW PV, PON 2112 NY SUN	4,674
	6/26/2024	<200KW PV, PON 2112 NY SUN	6,888
	6/28/2024	<200KW PV, PON 2112 NY SUN	6,560
	7/1/2024	<200KW PV, PON 2112 NY SUN	6,232
	7/18/2024	<200KW PV, PON 2112 NY SUN	7,872
	7/19/2024	<200KW PV, PON 2112 NY SUN	19,352
	7/25/2024	<200KW PV, PON 2112 NY SUN	12,464
	8/21/2024	<200KW PV, PON 2112 NY SUN	5,248
9/16/2024	>200KW PV, PON 2112 NY SUN	107,185	
9/17/2024	<200KW PV, PON 2112 NY SUN	10,824	
Voltpost Inc	7/23/2024	Grid ClimateTech Ready Capital, Charging Lamppost Conduit	775,013
VTC Specialties Inc	9/11/2024	AV - Future Energy Econ Summit	20,000
W. B. Mason Co. Inc	6/12/2024	NYSERDA ADMINISTRATION, W. B. Mason Office Supplies	24,000

Contracts Executed

Period 4/1/2024 through 9/30/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Waldron Engineering of New York, P.C.	9/4/2024	ESTOR:Retail Storage Incentive, Energy Storage	1,958,375
		ESTOR:Retail Storage Incentive, Retail Storage Incentives	6,364,750
Wall Street Prep, Inc.	5/6/2024	NYSERDA ADMINISTRATION, Wall Street Prep	13,000
	7/2/2024	NYSERDA ADMINISTRATION, Wall Street Prep	1,437
Walrath Recruiting, Inc.	4/16/2024	Clean Energy Communities, TS.036-Communities_PM-1	246,400
	5/8/2024	NYSERDA ADMINISTRATION, Temp Services-NYC Receptioni..	5,850
	9/17/2024	Thermal Energy Storage, Temp Services-Innovation-EA	23,000
Watchtower Bible &	4/1/2024	New Construction- Commercial, Commercial New Construction	412,548
WBP Development LLC	9/23/2024	<200KW PV, NY-Sun	361,865
		>200KW PV, NY-Sun	361,865
Weave Grid, Inc.	6/26/2024	Grid ClimateTech Ready Capital, Distribution-Optimized EV	999,911
Wendel Energy Services, LLC	4/22/2024	CGSI-97CT - Willsboro CSD	49,585
		CGSI-103 - Gowanda CSD (1)_CT	46,825
		CGSI-105 - General Brown CSD	40,470
		CGSI-112CT - Tully CSD (1)_CT	56,910
		FT17078 Schodack CSD (4)_CT	39,386
	4/30/2024	CGSI-108CT - LaFayette CSD	39,350
	5/10/2024	Technical Services, FT17134 - New York State Depar	22,146
	5/31/2024	FT17247 Nassau BOCES (1)_CT	95,863
	6/6/2024	Technical Services, FT17115 Jack D. Weiler Hospita	360,389
	6/20/2024	CGSI-31_CT - Rochester - FTC	9,450
	6/25/2024	CGSI-155CT - Lake Shore CSD	48,384
		Technical Services, FT17114 Montefiore Medical - M	530,075
	7/1/2024	CGSI-180CT - South Huntington	47,990
	7/19/2024	CGSI-233 - Cambridge CSD	42,680
	7/24/2024	Technical Services, FT - 0000763494 - Albert Einst	402,925
	7/29/2024	CGSI-126CT - AuSable CSD	49,390
		CGSI-127CT Crown Point CSD	39,600
		CGSI-236 - Manchester-Shorts	47,575
	8/6/2024	NYCH: Technical Assistance, FT - 0000763470 - Montefiore M	263,809
	8/13/2024	INDUSTRIAL PROCESS EFFICIENCY, FT - 0000754621 - Livi..	52,000
		INDUSTRIAL PROCESS EFFICIENCY, FT - 0000779727 - One..	44,242
	8/21/2024	FT - 0000765982 - Williamson C	34,526
		FT - 0000768085 - Eden CSD - 8	29,910
	8/27/2024	CGSI-91 - Sackets Harbor CSD	14,460
	9/13/2024	CGSI-257CT - West Babylon UFSD	51,170
		FT - 0000768112 - North Tonawa	29,910
		FT17174CT - Deer Park UFSD	44,228
9/18/2024	FT17270 - Jericho SD (5)_CT	34,526	
West Harlem Environmental Action, Inc.	9/13/2024	IEDR Env Justice Working Group	19,800
West Monroe Partners, LLC	5/14/2024	NYCH: Comfort Home, NYHEP UAT Support	24,750
		NYHEP UAT Support	24,750
	8/2/2024	RFP4886 RES Market Engagement	3,273,236
Westchester Marriott	8/29/2024	EVPRZ:Contingency, NY Clean Transportation Prizes	100,000
Westminster House Owners, Inc.	6/18/2024	Technical Services, FT17228 Westminster House Owne	11,000
Weston Bros.	4/5/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
Willdan Lighting & Electric, Inc.	6/4/2024	Talent Pipeline:CE and OJT, OJT	15,000
Wilson Engineering Services, PC	9/25/2024	Heat Recovery, HRC1_Wilson_Lactalis	40,000
Windels Marx Lane & Mittendorf, LLP	5/14/2024	RFP 12 - NYGB Legal Services	7,000
	7/23/2024	RFP 12 - NYGB Legal Services	7,401
Wise Home Energy, LLC	6/19/2024	NYCH: Talent Ppln:CE and OJT, OJT	15,840
	6/25/2024	Talent Pipeline:CE and OJT, OJT	7,040
	7/29/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
	9/16/2024	NYCH: Talent Ppln:CE and OJT, OJT	9,600
WL Concepts & Productions, Inc	7/3/2024	NYSERDA ADMINISTRATION, 2024 WL Concepts_NYSF_NY..	178,813
	8/8/2024	POLICY DEVELOPMENT, 2024 DPS WL Concepts for NYSF	152,825

Contracts Executed

Period 4/1/2024 through 9/30/2024

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Women of Renewable Industries and S..	5/13/2024	NYSERDA ADMINISTRATION, Membership Renewal '24-'25	5,000
Wood Mackenzie Power & Renewables, Inc.	8/5/2024	OREC: Technical Support, WoodMac 2024 Subscription	35,937
		REC:CES REC System Dev Costs, WoodMac 2024 Subscription	35,937
Workforce Development Institute, Inc.	9/12/2024	Talent Pipeline:CE and OJT, PON 4772 R3 (Renee Whittick)	40,000
Working Power BAT Manager LLC	9/23/2024	NY-SUN, PON 3414 - Sunset Park Solar	200,000
Worley Group, Inc.	5/24/2024	REC:CES REC System Dev Costs, TWO #1 Buy American stud..	50,000
Xenolith Partners LLC	9/4/2024	Technical Services, FT17264 - Xenolith Partners -	7,519
Xerox Corp	6/24/2024	NYSERDA ADMINISTRATION, Facilities Management	76,390
Grand Total			22,593,046,576

NYSERDA

Public Authority Law Report

April 1, 2024 to September 30, 2024

Section Break

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
1st Light Energy, Inc.	>200KW PV, PON 2112 NY SUN	287,980
2G Energy Inc.	Combined Heat and Power, CHPA - 2070-2080 Housing Corp	714,043
	Combined Heat and Power, CHPA - 2100 1st Avenue Bldg BC	981,527
	Combined Heat and Power, CHPA - Building D	714,043
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, TWO #3 Service Desk Tech.	84,825
	Tech Assistanc Multifamily LMI, SA.006_TWO# 1_EPE_APM	520,000
64 Solar LLC	<200KW PV, PON 2112 NY SUN	66,360
100 Flatbush Developer, LLC	New Construction- Commercial, Commercial NCP 2022 - Path D	624,000
212 Solar Development, LLC	Energy Storage Tech/Prod Dev, Site 1 - PON4169 Round #1	1,346,172
	Energy Storage Tech/Prod Dev, Site 2 - PON4169 Round #1	1,346,172
375 Park Avenue Investors LP	Technical Services, FT14317 - 375 Park - PON	16,998
444 East 86th Owners Corp	Technical Services, FT14349 - 444 E 86th - FTC	45,525
705 Broadway Hotel, LLC	New Construction- Commercial, Commercial New Construction	147,262
733 Portland Properties	Low Carbon Tech Demos, MF Low Carbon Pathways	181,500
745 Broadway Albany, LLC	New Construction Housing, NCP Housing 2022	206,000
770 Electric Corp.	<200KW PV, NY-Sun	85,356
	>200KW PV, NY-Sun	142,260
	>200KW PV, PON 2112 NY SUN	76,540
AASPEN HVAC	NYCH: Talent Ppln:CE and OJT, OJT	36,480
AB Capital Assets, LLC	NYCH: Talent Ppln:CE and OJT, OJT	29,466
	OJT	15,706
Abt Global Inc	DAC Indicator Updates	45,000
Abt Global LLC	ENERGY ANALYSIS, TWO#1 Pathways Health	245,000
	ENVIRONMENTAL RESEARCH, TWO#1 Pathways Health	280,000
Abundant Solar Power Inc.	>200KW PV, NY Sun	1,954,368
	NY-SUN, NY Sun	427,518
Abundant Solar Power Sk1 LLC	>200KW PV, NYSun CI Full/Payee assignment	252,288
Accelerate Wind LLC	Talent Pipeline:CE and OJT, OJT	10,240
Accord Power, Inc.	<200KW PV, NY-Sun	44,530
	<200KW PV, PON 2112 NY SUN	44,472
	>200KW PV, NY-Sun	114,756
	>200KW PV, PON 2112 NY SUN	51,575
ACEEE	Market Support Tools &Activity, Single Family Residential	40,000
	Prof & Expert Engagement, 2024 Ally Membership	12,000
	Subscription/Data Access, 2023 Cosponsored ACEEE Researc	72,000
	Subscription/Data Access, Industrial Heat Pump Phase 2	35,000
Actalent Inc	NYCH: District, SA.005_TWO #2_CHC_PM	50,000
Action Research Inc.	Subscription/Data Access, Behavior Consulting Services	50,000
Active Solar Development, LLC	<200KW PV, PON 2112 NY SUN	94,008
	>200KW PV, NY Sun	1,539,648
	NY-SUN, NY Sun	718,503
Adam C. Boese	K-12 SCHOOLS, FT14858 - Bronxville UFSD (1)E	26,820
	K-12 SCHOOLS, FT17102 The Lorge School (1)_E	12,115
	Technical Services, AEAP 1404 - Balsam View Dairy	5,380
	Technical Services, AEAP 1435 - Maple Lane Dairy	6,000
	Technical Services, AEAP 1493 - Brotherton Farms	5,880

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Adam C. Boese	Technical Services, AEAP 1502 - Thomas Curtis	6,000
	Technical Services, AEAP 1566 - High Grove Farm	5,330
	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 1621 - Purdy Family Farms	6,000
	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
	Technical Services, AEAP 1701 - Richard Pugh	6,000
	Technical Services, AEAP 1702 - Rush Around Acres	6,000
	Technical Services, AEAP 1717 - Jessica Heim	5,610
	Technical Services, AEAP 1718 - MT Pockets	6,000
	Technical Services, AEAP 1720 - Seven View Farm	5,340
	Technical Services, AEAP1627 - Thornapple Dairy	6,000
	Technical Services, FT13554 - Agricul. Best - FTC	16,200
	Technical Services, FT14778 - Manhattan Mini	10,080
	Technical Services, FT14779 - Tower 39 Associates	13,655
	Technical Services, FT14780 - 171 Madison DE - 171	9,445
	Technical Services, FT14782 - Joffee - 333 West 39	15,545
	Technical Services, FT14797 - 4525 & 4555 - FTC	14,805
	Technical Services, FT14806 - Ludlow Street - FTC	25,710
	Technical Services, FT14810 - Lechar 1441	20,390
	Technical Services, FT14838 - 535 Eighth Avenue	16,935
	Technical Services, FT14848 - 115 W 27th Street	8,285
	Technical Services, FT17103 Sapphire Center for Re	14,400
Adirondack Battery & Solar, LLC	<200KW PV, PON 2112 NY SUN	5,550
Adirondack Farms LLC	ANAEROBIC DIGESTER, RPS ADG - Adirondack	2,000,000
Adirondack North Country Association	Cat B - Renewables and Innovat	151,906
ADK Solar	OJT	9,600
Advanced Radiant Design, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	8,640
Advanced Solar Solutions	>200KW PV, PON 2112 NY SUN	56,355
AES Distributed Energy, Inc.	>200KW PV, NY-Sun C&I	1,456,407
Ai Air Conditioning Corp	NYCH: Talent Ppln:CE and OJT, OJT	12,000
AIA - New York Chapter	New Construction Housing, BoE Rnd. 4 Award Event	40,000
	New Construction- Commercial, BoE Rnd. 4 Award Event	10,000
AKF-engineers	Flexible Tech Assistance, FT12239-MetropolitanClub-FTC	29,600
	Technical Services, FT13101 - 333 W 34th - FTC	22,050
Albany Housing Authority	Tech Assistanc Multifamily LMI, FT14842 - Albany Housing - PON	22,475
Albany Solar Solutions L.L.C.	<200KW PV, PON 2112 NY SUN	7,040
Albany, City of,	Talent Pipeline:CE and OJT, PON 4772 R3 Desmond Volmar	40,000
Alfred University	Commercial New Construc, 2019 CNCP	5,696
Allen Power, Inc.	<200KW PV, PON 2112 NY SUN	104,800
Alliance to Save Energy	Prof & Expert Engagement, 2024 Board of Director Dues	50,000
Allied Microbiota LLC	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Altanova LLC	Commercial New Construc, Commercial New Construction	145,770

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Altanova LLC	New Construction- Commercial, Commercial New Construction	39,999
Alternative Carbon Energy Systems Inc	NYCH: Talent Ppln:CE and OJT, OJT	18,720
Alternative Power Solutions of NY, LLC	<200KW PV, PON 2112 NY SUN	8,632
AltPOWER, Inc.	<200KW PV, NY-Sun	174,551
	>200KW PV, PON 2112 NY SUN	134,320
Amazon Capital Servies, Inc.	Consumer Ed and Market Support, Amazon Connect SFR Call Center	12,000
AMERESCO, Inc.	<200KW PV, PON 2112 NY SUN	587,505
Ameresco, Inc.	>200KW PV, NY Sun Assignment	1,166,880
Amergy Solar Inc.	<200KW PV, PON 2112 NY SUN	31,748
	>200KW PV, PON 2112 NY SUN	19,930
American Clean Power Association	American Clean Power '24 Spon	2,429
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, American ..	81,071
American Concert & Entertainment Service	Clean Energy Hub, AV services for Hubs Meeting	7,873
American Council for an Energy Efficient	Prof & Expert Engagement, ACEEE NASEMC	10,000
	Subscription/Data Access, ACEEE 2022 Sponsored Research	40,000
American Energy Care, Inc.	<200KW PV, PON 2112 NY SUN	6,240
	OJT	10,560
American Solar Partners, LLC	<200KW PV, NY-Sun	3,312,404
	>200KW PV, NY-Sun	1,269,876
AMP US HoldCo Inc.	>200KW PV, NY Sun	4,188,292
Ampersand Electric	NYCH: Talent Ppln:CE and OJT, OJT	20,640
	OJT	7,680
Antares Group, Inc.	Technical Services, FT14513 - API Delvan - FTC	6,390
Apex Energy Tek LLC	<200KW PV, PON 2112 NY SUN	11,858
APPEXTREMES, LLC	NYSERDA ADMINISTRATION, Conga Composer Maintenance - 1	17,424
Appleton Solar 1, LLC	>200KW PV, NY Sun	1,274,816
	NY-SUN, NY Sun	1,649,762
Apprise, Incorporated	Eval MCDC: MF Building Stock, TWO 3 - Baseline Study Survey	350,693
	TWO 1 LMI Commun. Solar survey	63,638
AR NY CDG 001 LLC	>200KW PV, NY Sun	350,298
	NY Sun	875,745
Arcadis of New York, Inc.	Commercial New Construc, PON 3525 Umbrella Agreement	159,737
	Low Rise New Construction, PON 3525 Umbrella Agreement	386,848
	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	181,036
	New Construction Housing, PON 3525 Umbrella Agreement	177,558
	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, PON 3525 Umbrella Agreement	159,737
	New Construction- Commercial, SA.039_TWO #2_New Con_PM	8,000
	New Construction- Commercial, SA.039_TWO #3_New Con_PM	6,500
	OTHER PROGRAM AREA, SA.093_TWO #5_Innovation PM-2	446,870
	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
	Technical Services, AEAP 1636 - Echo Farm	5,975

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Arcadis of New York, Inc.	Technical Services, FT13596-Monroe NQWRRF - FTC	24,933
	Technical Services, GH1 - Sustainable Aquafarms	6,500
Argus Media Inc.	ENERGY ANALYSIS, Argus Renewal - 2024-2025	20,909
Arlington Central School District	K-12 SCHOOLS, P12GC-91D- Arlington CSD (1)_D	150,000
ASANA, Inc.	NYSERDA ADMINISTRATION, Asana 2023 licenses (initial)	29,994
Association for Energy Affordability, In	Low Carbon Tech Demos, Low Carbon Pathways	85,750
	Tech Assistanc Multifamily LMI, FT14909 - Brighton - 3161	17,224
	Tech Assistanc Multifamily LMI, FT14996 - HPHD - 663-67 - FTC	11,050
	Tech Assistanc Multifamily LMI, FT15013 - Hunts Point Housing	10,000
	Tech Assistanc Multifamily LMI, FT15014 - Hunts Point Housing	10,000
	Tech Assistanc Multifamily LMI, FT15017 - Hunts Point Housing	8,000
	Tech Assistanc Multifamily LMI, FT15018 - Hunts Point Housing	8,000
	Tech Assistanc Multifamily LMI, FT15019 - Hunts Point Housing	8,000
	Tech Assistanc Multifamily LMI, FT15024 - Westbeth Corp Housin	25,811
	Tech Assistanc Multifamily LMI, FT15069 - 1220 Seneca - FTC	9,500
Atlas Public Policy	Electric Vehicles - Innovation, TWO No. 1 EvaluateNY	399,620
Autronic Plastics, Inc.	ADVANCED BUILDINGS, LED Lighting	299,365
B&H Foto & Electronics Corp.	WEST VALLEY DEVELOPMENT PROGRAM, Drone for West Valley ..	7,357
Baker Engineering, LLC	Technical Services, FT14638 -T-C 780 Third Avenue	26,900
Baldwin Real Estate Development, Corp.	Multifam Performance Pgm, Multifamily	65,800
Bantam Solar, LLC	>200KW PV, NY Sun	1,108,026
Banyan Infrastructure Corporation	NEW YORK GREEN BANK, Reporting Covenant Servicing	595,625
Bartram Solar, LLC	>200KW PV, NY Sun	1,198,125
Bashing Panels LLC	<200KW PV, PON 2112 NY SUN	10,000
BDO USA LLP	Background Investigation Servi	15,000
	Independent Evaluation	15,000
	NYCH: Critical Tools, TWO Analysis of CTEN Ownership	50,000
Beaver Dam Solar 1, LLC	>200KW PV, NY Sun	1,124,604
	NY-SUN, NY Sun	1,349,525
Bell Mechanical, LLC	NYCH: Talent Ppln:CE and OJT, OJT	11,040
Belmonte Builders	Single Family New Construction, NCP Housing	13,200
Benchmark Printing, Inc.	CLEAN TRANSPORTATION, Printing Services - EV Rebate	44,500
	Electric Vehicles - Innovation, Printing DMV EV mailer inserts	17,347
Bergmann Associates, Architects,	Flexible Tech Assistance, Bergmann Tech Review TWO	57,098
	K-12 SCHOOLS, Bergmann Tech Review TWO	20,617
	REV Campus Challenge, Bergmann Tech Review TWO	108,000
	Technical Services, AEAP 1535 - Glenna Colaprete	5,026
	Technical Services, AEAP 1671 - City Line Farms	5,500
	Technical Services, Bergmann Tech Review TWO	121,034
	Technical Services, GH 2 - Wheatfield Gardens	6,500
Technical Services, GH 4 - Kenneth A Henry Son Inc	6,500	
Best Energy Power	<200KW PV, NY-Sun	79,056
	>200KW PV, NY-Sun	232,956
	>200KW PV, PON 2112 NY SUN	570,337
	NY-SUN, NY-Sun	17,820
Black Mountain Architecture, PLLC	Buildings of Excellence, BoE Rnd. 2 - DTL Solara III	112,500

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Bliss Solar, LLC	>200KW PV, NY-Sun	190,960
	>200KW PV, PON 2112 NY SUN	66,420
	NY-SUN, NY-Sun	47,740
Bloomberg Finance LP	NY-SUN, '24 Bloomberg Anywhere	24,130
	NY-SUN, Bloomberg Datafeed DPS Staff	54,974
Blue Barns Solar, LLC	>200KW PV, NY Sun	187,684
	NY-SUN, NY Sun	262,757
Bond, Schoeneck & King, PLLC	NYSERDA ADMINISTRATION, TWO 12 - HR Invest	14,602
Bonded Energy Solutions Corp.	NYCH: Talent Ppln:CE and OJT, OJT	12,240
	OJT	38,400
Booz Allen Hamilton, Inc.	OTHER PROGRAM AREA, TWO 9 Climate Resilience	724,002
	TWO 14- H2 Hubs	1,227,853
BOP SE, LLC	Commercial New Construc, SF106901 2 Manhattan West	219,348
Borrego Energy Holdings, LLC	Rmve Barriers Dist Enrgy Storg, Energy Storage +CommunitySolar	96,598
Breathe Easy of CNY Inc.	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Bright Building LLC	NYCH: Innovation, Discretionary Contract with Br	99,693
Bright Power, Inc.	<200KW PV, NY Sun	5,760
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	374,975
	Tech Assistanc Multifamily LMI, FT14409 - 951 Prospect - FTC	16,000
	Tech Assistanc Multifamily LMI, FT14473 - 39 Hegeman - FTC	7,950
	Tech Assistanc Multifamily LMI, FT14519 - 1454 Grand Concourse	8,000
	Tech Assistanc Multifamily LMI, FT14566 - 350 St. Ann's - FTC	21,000
	Tech Assistanc Multifamily LMI, FT14641 -Brighton 12th St -FTC	10,000
	Tech Assistanc Multifamily LMI, FT14644 - 140 Lawrence - FTC	10,875
	Tech Assistanc Multifamily LMI, FT14677 - 330 W 45th St. - FTC	16,500
	Tech Assistanc Multifamily LMI, FT14706 - 443-45 St Ann's -FTC	8,400
	Tech Assistanc Multifamily LMI, FT14712 - WFHA St Albans - FTC	7,550
	Tech Assistanc Multifamily LMI, FT14740 - 455 East 148 - FTC	11,180
	Tech Assistanc Multifamily LMI, FT14747 - 300 W 128th St	13,500
	Tech Assistanc Multifamily LMI, FT14859-SEBCO Development-FTC	8,150
	Tech Assistanc Multifamily LMI, FT14865-Settlement Housing-FTC	7,000
	Tech Assistanc Multifamily LMI, FT14906 - The Balton-311 W 127	19,500
	Tech Assistanc Multifamily LMI, FT14928 - OUB Housing - 370	11,550
	Tech Assistanc Multifamily LMI, FT14975 - 212 S Oxford	19,500
	Tech Assistanc Multifamily LMI, FT15016 - Fred Doug 117 - 279	21,000
	Tech Assistanc Multifamily LMI, FT15029 - The Hudson Companies	7,850
	Tech Assistanc Multifamily LMI, FT15073 - 4112 Hamilton - FTC	8,500
	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, FT15084 - 105-20 Liver - FTC	7,350
	Tech Assistanc Multifamily LMI, FT15107 - The Times Square	12,500
	Tech Assistanc Multifamily LMI, FT15144 - Catholic - 72 Lewis	6,500
	Tech Assistanc Multifamily LMI, FT17118 Catholic Charities - 5	16,500
	Tech Assistanc Multifamily LMI, FT17209 Settlement Housing - 1	14,250
	Tech Assistanc Multifamily LMI, FT17236 ELH Mgmt - 1105 Jerome	15,225
	Technical Services, FT14195 – 529-535 W 20th – FTC	8,600

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Bright Power, Inc.	Technical Services, FT14216 - 23 E 22 - FTC	12,000
	Technical Services, FT14387 - 255 West 94th - FTC	18,000
	Technical Services, FT14453-Akam - FTC	39,750
	Technical Services, FT14457-Akelius- 1274 5th-FTC	11,625
	Technical Services, FT14462- Maxwell- Kates- FTC	21,750
	Technical Services, FT14514-40-50 Brighton 1st-FTC	28,500
	Technical Services, FT14548 - Akam-5700, 5800, 590	45,750
	Technical Services, FT14550- 85 Adams - FTC-MF-LCC	18,000
	Technical Services, FT14595 - 3635 Johnson - FTC	15,000
	Technical Services, FT14627 - Hawthorne Court -FTC	25,500
	Technical Services, FT14628-Glenwood Managemen-FTC	24,000
	Technical Services, FT14629 - 45 W 60th St. - FTC	24,000
	Technical Services, FT14630 - 1755 York Ave. - FTC	24,000
	Technical Services, FT14653 - 139 East 94 - FTC	12,000
	Technical Services, FT14683 - Edge 1211 - FTC	39,000
	Technical Services, FT14687 - 57 West 93 - FTC	10,000
	Technical Services, FT14689 - 2465 Palisade - FTC	14,250
	Technical Services, FT14713 - 160 East 38 - FTC	24,000
	Technical Services, FT14746 - 125 East 84th -FTC	12,375
	Technical Services, FT14750 - 609 West Owners -FTC	9,000
	Technical Services, FT14768 - 22 Riverside - FTC	10,000
	Technical Services, FT14770 - 211 W 71 St	12,000
	Technical Services, FT14787 - 1405 Prospect - FTC	10,000
	Technical Services, FT14793 - AvalonBay - FTC	24,750
	Technical Services, FT14805 - 530 Park Ave - FTC	20,250
	Technical Services, FT14813 - The Luminiere - FTC	16,500
	Technical Services, FT14844 - Robert E. Hill - FTC	18,375
	Technical Services, FT14851 - 1405 Fifth Ave - FTC	13,500
	Technical Services, FT14867 - 24535 Owners Corp	15,000
	Technical Services, FT14871 - 11 East 86 - FTC	24,000
	Technical Services, FT14881 - AvalonBay -1 Morning	23,250
	Technical Services, FT14917 - 345 Montgomery - FTC	14,250
	Technical Services, FT14991 - Bonafide Estates	11,750
	Technical Services, FT15048 - New Bedford Manage	12,000
	Technical Services, FT15050 - Matthew Adam Prop	21,000
	Technical Services, FT15056 - New York Real Estate	18,000
	Technical Services, FT15068-245 W 104 Street Housi	19,500
	Technical Services, FT15091 - Related Retail Hub	12,000
	Technical Services, FT15138 - 300 West 53rd Condo	18,000
	Technical Services, FT15141 - One Lincoln Plaza	40,500
	Technical Services, FT15160 - Acadia Realty - 640	12,000
	Technical Services, FT15170 Douglas Elliman - 251	30,000
Technical Services, FT17029 140 E 83 St Tenants	7,000	
Technical Services, FT17035 Murray Hill East Suite	10,500	
Technical Services, FT17084 Arlington Owners - 139	14,000	
Technical Services, FT17165 Hoffman Management - 4	10,300	

Contracts Completed

Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Bright Power, Inc.	Technical Services, FT17243 Riverdale House Owners	11,000
Bronx Pro Group, LLC	Multifam New Construction, MFNCP PHI T3-3365 Third Ave	105,000
Brookhaven National Lab	ENVIRONMENTAL RESEARCH, Technical assistance	700,000
	OTHER PROGRAM AREA, Technical assistance	100,000
Brooklyn Solar Partners LLC	>200KW PV, PON 2112 NY SUN	21,600
Brooklyn SolarWorks LLC	>200KW PV, NY-Sun	66,930
	>200KW PV, PON 2112 NY SUN	304,306
	NY-SUN, NY-Sun	11,155
BrowserStack Inc	NYSERDA ADMINISTRATION, BrowserStack Live - Team	10,500
Buffalo Ave Realty LLC	Commercial New Construc, SF106872 - 170 Buffalo Ave	113,628
Buffalo Solar Solutions Inc	<200KW PV, PON 2112 NY SUN	123,446
Building Performance Institute, Inc.	Market Support Tools &Activity, Validate TBP Cert Exam	49,520
	NYCH: Supply Chain, Electrification Audit Procedur	199,970
Bullitt Farm Solar, LLC	>200KW PV, NY Sun	974,130
Burke Solar, LLC	>200KW PV, NY Sun	581,467
Buro Happold Consulting Engineers, P.C.	Technical Services, FT14614 - ESRT - FTC	182,987
	Technical Services, FT14615 - ESRT - FTC	53,995
Business Network for Maryland Offshore W	2024 BNOW Membership	7,550
BVG Associates LLC	OREC: Technical Support, BVG TWO 5 IE Mike Blanch_OSW20	85,000
BW Solar Holding Inc.	>200KW PV, NY Sun	835,703
	NY-SUN, NY Sun	344,113
C & B Mechanical	OJT	11,789
C.J. Brown Energy, P.C.	K-12 SCHOOLS, CGSI-21_E - Brushton - FTC	29,139
	K-12 SCHOOLS, P12GC-99E-Voorheesville CSD	20,079
	Talent Pipeline:CE and OJT, OJT	11,078
	Technical Services, AEAP 1595 - Keems Dairy Farm	5,997
	Technical Services, AEAP 1608 - Wayne County Eggs	5,997
	Technical Services, AEAP 1643 - Zeliff Farms	5,997
	Technical Services, FT13751 - 295-321 Beattie -FTC	7,442
	Technical Services, FT13754 - Bryant Place - FTC	7,092
	Technical Services, FT13757 - 282 Schenck - FTC	6,986
Technical Services, FT14035 - 261 Portage - FTC	8,145	
C&R Housing Inc.	OJT	28,080
Cadence OneFive Inc.	NEW YORK GREEN BANK, NYGB Momentum Subscription	25,000
Calstart	CLEAN TRANSPORTATION, Capital Region Mobility Hubs	250,000
Camden Renewables, LLC	>200KW PV, NY Sun	514,707
	NY-SUN, NY Sun	712,670
CannonDesign	REV Campus Challenge, RM44 - Pace University - FTC	128,999
Capital Projects Energy Solutions Inc.	CGSI-6_E&B - Uniondale - PON	493,945
Carahsoft Technology Corporation	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Salesforc..	3,788
	NEW YORK GREEN BANK, NYGB Cloud Content Management	102,816
	NYSERDA ADMINISTRATION, CIS Albert Monitoring Sensor	12,840
	NYSERDA ADMINISTRATION, Salesforce Licensing 2024	1,985,173
	NYSERDA ADMINISTRATION, Salesforce Marketing Cloud Tex	45,839
	NYSERDA ADMINISTRATION, Social Media Job Postings	45,537
	REC:CES REC System Dev Costs, Salesforce Licensing 2024	24,282

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Carahsoft Technology Corporation	Salesforce licenses CLEAResult	16,801
Carbon Lighthouse	Real Time Enrgy Management, CL-Multisite-RTEM	167,133
Carbon Upcycling Inc	76 West, 76West	250,000
Carrera RS, LLC	Buildings of Excellence, Buildings of Excellence R1	425,000
Catalyze Holdings, LLC	>200KW PV, PON 2112 NY SUN	32,390
CEMC Associates LLC	Multifam Performance Pgm, Multifamily	104,300
Center for Economic Growth	OREC: Technical Support, IPF 2024 NY Pavilion	45,020
Center for Sustainable Energy	CLEAN TRANSPORTATION, ChargeNY ZEV Rebate Imp Contra	554,964
	CLEAN TRANSPORTATION, RFP 3401 Umbrella Agreement	546,910
	CLEAN TRANSPORTATION, TWO #3 - Drive Clean Program	1,315,674
	Electric Vehicles - Rebate, ChargeNY ZEV Rebate Imp Contra	402,007
	Electric Vehicles - Rebate, TWO #3 - Drive Clean Program	1,331,278
Central New York Regional Planning and	Community RH&C, PON3723 RH&C Campaigns	500,000
Centrica Business Solution Services Inc	<200KW PV, PON 2112 NY SUN	90,993
CHA Consulting Inc.	Community Thermal Networks	100,000
	FT14697 - Albany Int Airport	49,975
	NYCH: District, PON 4614 Round 7 Union College	100,000
	PON 4614 Cold Spring Harbor	99,955
	Technical Services, FT 15006 - Byrne Dairy - FTC	8,850
	Technical Services, FT14849 - Byrne Dairy - FTC	14,900
	Technical Services, FT14919 - MKS Instruments- FTC	16,800
Charis Realty Corp.	Multifam Performance Pgm, Multifamily	33,600
CIR ELECTRICAL CONSTRUCTION CORP.	<200KW PV, PON 2112 NY SUN	21,195
Citadel SPV LLC	Financing with CCR	140,000
Citizen Advocates, Inc.	New Construction Housing, 2019 LRNCP	40,000
City Harvest	New Construction- Commercial, Commercial New Construction	37,132
City of Canandaigua	Clean Energy Communities, CEC300331-Cty of Canandaigua	100,000
City of Dunkirk	Code to Zero, PON4600 City of DunkirkDAC	125,000
City of Geneva	Clean Energy Communities, Communities & Local Government	10,000
City of Hudson	CEC400057 City of Hudson	30,000
	Clean Energy Communities, CEC400057 City of Hudson	5,000
City of Utica	NYCH: District, PON4614 Round #1 City of Utica	100,000
City of Yonkers	CLEANER GREENER COMMUNITIES, City of Yonkers	150,000
Claverack Solar 1, LLC	>200KW PV, NY Sun	965,075
	NY-SUN, NY Sun	1,187,784
Clean Power Research	Electric Vehicles - Innovation, Clean Transportation	50,000
	NYCH: Technical Assistance, PON 4423	196,936
CleanFiber LLC	OJT	60,680
	Talent Pipeline:CE and OJT, OJT	22,720
CleanTech IQ, Inc.	Low Carbon Tech Demos, Transition IQ 2024 Forum	3,750
	Transition IQ 2024 Forum	3,750
CLEAResult Consulting, Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, RFP 340..	206,933
	EMPOWER NY, RFP 3401 Umbrella Agreement	528,229
	Healthy Homes VB Payment Pilot, RFP 3401 Umbrella Agreement	20,000
	Home Perf w Energy Star, RFP 3401 Umbrella Agreement	9,613,403
	HOME PERFORMANCE WITH ENERGY STAR, RFP 3401 Umbrella ..	23,815

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
CLEAResult Consulting, Inc.	Multifam Performance Pgm, RFP 3401 Umbrella Agreement	0
	NENY:CHGE Empower Electric, RFP 3401 Umbrella Agreement	6,840
	NENY:CHGE Empower Gas, RFP 3401 Umbrella Agreement	21,810
	NENY:Con Ed Empower Electric, RFP 3401 Umbrella Agreement	20,909
	NENY:Con Ed Empower Gas, RFP 3401 Umbrella Agreement	60,779
	NENY:KEDNY Empower Gas, RFP 3401 Umbrella Agreement	59,027
	NENY:NFG Empower Gas, RFP 3401 Umbrella Agreement	677,674
	NENY:NIMO Empower Electric, RFP 3401 Umbrella Agreement	40,681
	NENY:NIMO Empower Gas, RFP 3401 Umbrella Agreement	87,177
	NENY:NYSEG Empower Electric, RFP 3401 Umbrella Agreement	41,414
	NENY:NYSEG Empower Gas, RFP 3401 Umbrella Agreement	134,783
	NENY:O&R Empower Electric, RFP 3401 Umbrella Agreement	33,291
	NENY:O&R Empower Gas, RFP 3401 Umbrella Agreement	90,239
	NENY:RGE Empower Electric, RFP 3401 Umbrella Agreement	21,070
	NENY:RGE Empower Gas, RFP 3401 Umbrella Agreement	50,289
	RFP 3401 Umbrella Agreement	3,329,282
CMC Energy Services, Inc	Electrification, RFP 4645 Bldg Env Roundtables	197,190
	NYCH: Supply Chain, RFP 4645 Bldg Env Roundtables	162,135
Coastal States Stewardship Foundation	OREC: Technical Support, RWSC Organizing Lead	30,000
Code Green Solutions, Inc.	Technical Services, FT14053 - 545 Madison - FTC	24,000
	Technical Services, FT14377- 605 Third - FTC	25,076
	Technical Services, FT14597 - 240 West End - FTC	18,153
	Technical Services, FT14700 - Super Nova 330 - 330	20,000
	Technical Services, FT14718 - 88 Leonard - FTC	34,650
COGENT Infotech Corporation	NYSERDA ADMINISTRATION, TWO 1 Asst. BA Ops -	405,309
Colliers Engineering & Design, CT, P.C.	SARATOGA TECHNOLOGY & ENERGY PARK, Hermes Rd Paveme..	45,500
Columbia County	Clean Energy Communities, CEC410027 - Columbia County	15,000
Columbia University	Environmental Research, TWO#1 Updating CLIMAID	99,552
Complex Inc	76 West, 76West Clean Energy Business C	500,000
CommentManagement.com LLC	NYCI Comment Management	7,650
	Public Comment Software P.O.	7,650
Commercial Cleaning NY Sunshine, Inc.	NYSERDA ADMINISTRATION, Janitorial Cleaning NYC office	140,760
Commercial Street Partners	New Construction Housing, NCP Housing	437,600
Community Hope Builders CDC, Inc.	New Construction Housing, 2019 LRNCP	55,400
Community Power Group, LLC	>200KW PV, NY Sun	4,184,812
	NY Sun	2,812,454
	NY-SUN, NY Sun	2,834,905
Consortium for Energy Efficiency, Inc.	Prof & Expert Engagement, 2024 CEE Membership	48,000
Convergent Energy and Power LP	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000
Cornell University-Office of Sponsored P	Energy Storage Tech/Prod Dev, CABES	250,000
Cortlandville PV, LLC	>200KW PV, NY Sun	368,768
	NY Sun	921,917
	NY-SUN, NY Sun	516,273
Country Suburban Heating & Air Condition	NYCH: Talent Ppln:CE and OJT, OJT	37,697
County Heat & AC, LLC	NYCH: Talent Ppln:CE and OJT, OJT	17,935
CPL Architects, Engineers, Landscape	Electric Vehicles - Innovation, CGSI-28_CT - Belfast - PON	30,033

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
CPL Architects, Engineers, Landscape	Electric Vehicles - Innovation, CGSI-33 -Silver Creek CSD -PON	40,820
	Electric Vehicles - Innovation, P12GC-88_CT - ByronBergen -PON	22,541
	Electric Vehicles - Innovation, P12GC-92_CT - Allegany - PON	22,524
	Electric Vehicles - Innovation, P12GC-96_CT - Rondout - PON	45,129
Crossfield Home Energy Solutions	OJT	9,600
Cuba Rushford Central School	K-12 SCHOOLS, P12GC-19D - Cuba ESESA - PON	237,090
CubeSmart TRS Inc	>200KW PV, PON 2112 NY SUN	696,240
CVE US E17 Belair, LLC	>200KW PV, NY Sun	1,004,659
	NY-SUN, NY Sun	413,684
CVE US E13 Wheatfield, LLC	>200KW PV, NY Sun	961,411
	NY-SUN, NY Sun	395,876
CVENT, Inc.	OREC: Technical Support, 2024 State of the Science	10,750
D2D Green Architecture, PLLC	NYSERDA ADMINISTRATION, New Office Floor Plan	18,462
Dailey Electric Inc	NYCH: Talent Ppln:CE and OJT, OJT	18,240
Dandelion Energy Inc	NYCH: Talent Ppln:CE and OJT, OJT	90,480
David P Bruns	Low Rise New Construction, New Construction	231,200
Dawn Dzurilla	NYSERDA ADMINISTRATION, Executive Recruiter Services	50,000
Day Automation Systems, Inc.	Real Time Enrgy Management, Day Auto 54 Main	215,203
	Real Time Enrgy Management, Day Auto Multi	589,154
	Real Time Enrgy Management, Day Auto-700 S Manlius - RTEM	97,437
DCF Energy Group, LLC	<200KW PV, PON 2112 NY SUN	6,480
Delaware River Solar, LLC	>200KW PV, NY Sun	6,042,352
	NY-SUN, NY Sun	2,091,382
DePaul Properties, Inc.	New Construction Housing, NCP Housing	69,000
DG New York CS, LLC	>200KW PV, NY Sun	5,334,618
	NY Sun	875,875
	NY-SUN, NY Sun	5,122,114
Discover Green Renewable Energy LLC	<200KW PV, NY-Sun	26,400
	>200KW PV, NY-Sun	44,000
Distributed Solar Development, LLC	>200KW PV, NY Sun	502,875
DNV Energy Insights USA Inc.	Commercial Real Estate Ten, TWO 1 - CRE Tenant MAR Survey	163,589
	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	387,854
	K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	122,465
	OREC: Technical Support, GLW Tech and Economic Review	40,000
	Real Time Enrgy Management, TWO 8 CEF Comm Impact_DNV	445,670
	REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	242,766
	Technical Services, FT14355 - 128 West 29th - FTC	12,500
DNV GL Energy Services USA Inc.	NY Green Bank	13,920
Drinkwater Solar, LLC	>200KW PV, NY-Sun C&I	1,109,185
Dual Fuel Corp	NYCH: Talent Ppln:CE and OJT, OJT	18,000
	Talent Pipeline:CE and OJT, OJT	7,680
E2S Energy Efficiency Services, LLC	Technical Services, FT14753 - Wegmans - 675 Albert	25,089
East Hampton Housing Authority	NY-SUN, East Hampton Community Solar	84,100
East House Corporation	Multifam New Construction, New Construction	93,800
East Point Energy Center, LLC	REC:CES REC Contracts, East Point Energy_RESVCO2021	78,671,086
ECG Engineering, P.C.	K-12 SCHOOLS, CGSI-25_E - Glens Falls Common	12,435

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Ecogy New York IV LLC	>200KW PV, NY-Sun	38,622
Ecogy New York IX LLC	>200KW PV, NY-Sun	491,940
	NY-SUN, NY-Sun	81,990
Ecogy New York XI LLC	>200KW PV, NY-Sun	1,060,128
Ecogy New York XIII LLC	>200KW PV, NY-Sun	429,444
Ecoelectro Inc	Cleantech Ignition, PON 3871 Ignition Grants	98,832
Edison Energy Group Inc	Real Time Enrgy Management, EnerActive-300 E 66th St-RTEM	45,360
Edison Energy, LLC	REV Campus Challenge, FT14404- 515 East 71 - 72 -FTC	72,852
	Technical Services, FT14979 - Verizon - 215 West	84,531
	Technical Services, FT14981 - Verizon - 227 East	72,933
EDPR NA Distributed Generation LLC	>200KW PV, NY Sun	938,006
	NY-SUN, NY Sun	1,154,469
EF NY CDG 001 LLC	>200KW PV, NY Sun	1,123,919
	NY-SUN, NY Sun	1,348,705
EF NY CDG 002 LLC	>200KW PV, NY Sun	1,113,294
	NY-SUN, NY Sun	1,335,953
EF NY CDG 011 LLC	>200KW PV, NY Sun	825,000
	NY-SUN, NY Sun	1,200,000
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	6,272
	<200KW PV, PON 2112 NY SUN	85,321
Electricade LLC	<200KW PV, PON 2112 NY SUN	23,848
EME Consulting Engineering Group, LLC	76 West, TWO #16 - Innovation APM	151,684
	CI Engy Siting & Soft Cost Red, SA.088a_TWO #22-CE Siting_PM-2	486,028
	Cleantech Ignition, TWO #16 - Innovation APM	34,666
	Cleantech Incubator, TWO #16 - Innovation APM	52,697
	Grid ClimateTech Ready Capital, TWO #16 - Innovation APM	87,364
	High Performing Grid, TWO #16 - Innovation APM	37,921
	Home Perf w Energy Star, PON 3525 Umbrella Agreement	576,928
	K-12 SCHOOLS, P12GC-79_E -Trinity School CSD	44,625
	New Construction Housing, SA.099 - New Construction_PM-1	190,000
	New Construction- Commercial, SA.099 - New Construction_PM-1	150,000
	NY-SUN, PON 3525 Umbrella Agreement	10,128
	NYCH: Comfort Home, PON 3525 Umbrella Agreement	16,412
	PON 3525 Umbrella Agreement	731,548
	Renewable Heat NY, PON 3525 Umbrella Agreement	148,333
	Single Family New Construction, SA.099 - New Construction_PM-1	90,000
	Tech Assistanc Multifamily LMI, FT14994 - Clinton Housing Dev.	21,900
	Tech Assistanc Multifamily LMI, SA.108_TWO#21-MF_APM	166,509
	Technical Services, FT14433-335 E 51st - FTC- MF	12,375
	Technical Services, FT14491-445 86 Owners -FTC-MF	17,506
	Technical Services, FT14680 - 40 Ocean Parkway-FTC	12,312
	Technical Services, FT14711 - 126-8 Fifth Avenue	12,475
	Technical Services, FT14812 - StayPineapple	5,250
	Technical Services, FT15002 - Benenson Capital	13,900
	Technical Services, FT17200 Global 36th Street -	5,000
	Technical Services, SA.108_TWO#21-MF_APM	166,509

Contracts Completed

Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Emes Solar	<200KW PV, PON 2112 NY SUN	6,232
	>200KW PV, NY-Sun	1,128,757
	>200KW PV, PON 2112 NY SUN	661,783
	NY-SUN, NY-Sun	48,950
Empire Solar Solutions LLC	<200KW PV, PON 2112 NY SUN	95,912
Empire State Realty OP, LP	Heat Recovery, HeatRec C2_EmpireState_111W33	80,000
Empower CES, LLC	>200KW PV, NY-Sun	505,920
	>200KW PV, PON 2112 NY SUN	632,160
	COMMUNITY SOLAR, PON 2112 NY SUN	6,720
	ENERGY STORAGE, PON 2112 NY SUN	68,750
	NY-SUN, NY-Sun	101,184
Empower Equity Inc	OJT	19,618
	Talent Pipeline:CE and OJT, OJT	10,218
	Talent Pipeline:CE and OJT, OJT Sean O'Neill	13,493
	Talent Pipeline:CE and OJT, PON 4772 (Fellow)	40,000
Encompass Energy LLC	New Construction- Commercial, Commercial NCP 2022	133,761
enDevelopment LLC	NYSERDA ADMINISTRATION, Job Posting	58,800
Energy and Environmental Economics Inc.	>200KW PV, TWO#27 CValue&Solar Wht Papers	492,368
	CLCPA Support, TWO#7 Future of Gas Planning	30,000
	ENERGY ANALYSIS, TWO 2 - BER Scenario Run	554,000
	ENERGY ANALYSIS, TWO#7 Future of Gas Planning	880,135
	Mkt Char: Tech Assist, TWO#27 CValue&Solar Wht Papers	51,000
	NYCH: Roadmap, TWO 2 - BER Scenario Run	396,000
Energy Catalyst LLC	NYCH: Talent Ppln:CE and OJT, OJT	46,080
Energy EDC Corp.	OJT	18,000
	Talent Pipeline:CE and OJT, PON 4772 Round 3 Amira Rachouh	40,000
Energy Management Solutions, LLC	NYCH: Talent Ppln:CE and OJT, OJT	14,400
Energy Savers Inc	NYCH: Talent Ppln:CE and OJT, OJT	28,272
	OJT	6,897
Enervee Corporation	LMI Pilots, Energy & Climate Equity	852,665
	Market Tests, NY Prize (no longer in use)	1,500,001
Enterprise Training Solutions, Inc.	NYSERDA ADMINISTRATION, Training	24,950
Environet Systems, LLC	OJT	15,000
	Talent Pipeline:CE and OJT, OJT	12,538
Environment & Energy Publishing, LLC	NYSERDA ADMINISTRATION, 2023-24 Subscription E&E News	21,782
ePlus inc	NYSERDA ADMINISTRATION, Veeam Protect Microsoft 365	11,049
	NYSERDA ADMINISTRATION, VEEAM Support (Software Only)	11,712
	NYSERDA ADMINISTRATION, WORKSPACE One Enterprise 1 yr.	74,789
Erdman Anthony & Associates, Inc.	Commercial New Construc, Commercial New Construction	55,125
	NYCH: Technical Assistance, FT13533 - City of Rochester	65,368
Erie Boulevard Hydropower LP	REC2:CES REC2 Contracts, T2RFP21-1_Baldwinsville	59,785
	REC2:CES REC2 Contracts, T2RFP21-1_Talcville	97,800
Erin Renewables, LLC	>200KW PV, NY Sun	587,412
EVERGREEN ENERGY	>200KW PV, PON 2112 NY SUN	93,920
Evgateway	CLEAN TRANSPORTATION, DCFC - VW Settlement	717,240
Farm to Flame Energy Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Morgan Condon)	40,000

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Ferrario Ford Inc	2024 Dodge Hornet PHEV OGS	35,134
Fifth Avenue Committee, Inc.	New Construction Housing, 2019 MFCNP	65,600
Finger Lakes Comfort, Inc	NYCH: Talent Ppln:CE and OJT, OJT	36,000
	Talent Pipeline:CE and OJT, OJT	14,880
First Colonie Company	Consumer Ed and Market Support, IRA Stakeholder Meeting	23,408
First Ward Action Council, Inc.	New Construction Housing, NCP Housing	105,000
Fishtech Energy Partners LLC	Heat Recovery, HeatRec C1_Fishtech_375Park	39,427
	Technical Services, FT14432- 365 Fifth - FTC	37,970
	Technical Services, FT14454 - 565 5th - FTC	26,250
	Technical Services, FT14546 -754 5th - FTC	20,571
Flamingos Clean Energy, LLC	>200KW PV, NY-Sun	37,044
Florenton River LLC	>200KW PV, PON 2112 NY SUN	138,945
Foam It Insulation, LLC	NYCH: Talent Ppln:CE and OJT, OJT	7,200
	OJT	43,200
Foley & Lardner LLP	RFP 12: NYGB Legal Services	27,500
Fordham Hill Owners Corp.	Technical Services, FT14879 -Fordham 2400 Sedgwick	27,578
	Technical Services, FT14908 - Fordham - 2431 Webb	31,515
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	27,335
Freedom Solutions Group, LLC	NEW YORK GREEN BANK, Litera Compare Software	4,420
	NYSERDA ADMINISTRATION, Litera Compare Software	4,420
Friello and Sons Heating and Cooling, In	NYCH: Talent Ppln:CE and OJT, OJT	27,360
Frontier Energy, Inc.	K-12 SCHOOLS, P12GC- Tech Support - Frontier	49,000
	NYCH: District, TWO #1 - TEN Support	49,657
Fusco Personnel, Inc.	NYSERDA ADMINISTRATION, TS.015 Contract Mangament Coor	299,715
Fusion Energy Services LLC	<200KW PV, NY-Sun	7,500
	<200KW PV, PON 2112 NY SUN	34,459
G.R.O. Energy Solutions, LLC	OJT	7,040
G&S Operations LLC	>200KW PV, NY-Sun	501,120
	NY-SUN, NY-Sun	125,280
Gabrielli Truck Sales, LTD	CLEAN TRANSPORTATION, NYTVIP - M.R.Z. Trucking Corp.	215,000
Galvan Initiatives Foundation, Inc.	Buildings of Excellence, Buildings of Excellence R1	850,000
	New Construction Housing, NCP Housing	300,000
	New Construction- Commercial, NCP Housing	8,000
GBA Commissioning Services, Inc	Technical Services, FT14407- 3 Bryant Park - FTC	144,705
	Technical Services, FT14408 - 1411 Broadway - FTC	130,873
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce	7,191,135
Geatrain Engineering PLLC	OJT	12,763
	Technical Services, FT14046 - 140 8th - FTC	8,800
	Technical Services, FT14198 - 2520 Kings Hwy - FTC	18,765
	Technical Services, FT14199 - 2654 Valentine - FTC	13,710
	Technical Services, FT14203 - 480 E 21st - FTC	13,988
	Technical Services, FT14218 - 55 Thompson - FTC	8,820
	Technical Services, FT14219 - 77 W 15 - FTC	8,820
	Technical Services, FT14225 - 301 Elizabeth - FTC	8,820
	Technical Services, FT14227 - 363 W 30th - FTC	8,820
	Technical Services, FT14228 - 336 Broadway - FTC	8,820

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Geatrain Engineering PLLC	Technical Services, FT14229 - 81 West River - FTC	8,820
	Technical Services, FT14876 - 133-42 39th Avenue	74,800
General Electric International, Inc.	ENERGY ANALYSIS, Grid Performance Gaps	200,000
	High Performing Grid, Grid Performance Gaps	745,000
	REC:CES REC System Dev Costs, Transmission Services on Deman	464,000
Generate Capital Inc.	<200KW PV, NY-Sun	333,420
	>200KW PV, NY-Sun	100,014
Georgetown University	Analytical & Tech. Support	10,000
Goldman Copeland Associates, P.C.	Heat Recovery, FT14905 - Goldman Copeland-FTC	145,899
	Heat Recovery, HeatRec C1_GoldmanC_303E83	26,974
	Technical Services, FT14021 - 150 W 65th - FTC	11,989
	Technical Services, FT14708 - Rockefeller Group	27,973
	Technical Services, FT14803 - Empire State Realty	28,994
	Technical Services, FT14900 - ROW NYC - 700 Eighth	10,000
	Technical Services, FT14904 - Glorious Sun Blue	13,000
	Technical Services, FT14913 - Vornado Realty - 650	24,961
	Technical Services, FT14951 - SL Green - 215 Park	22,994
	Technical Services, FT14961 - IBM Research- FTC	48,380
GovConnection, Inc.	NYSERDA ADMINISTRATION, Surface Laptops and Docks 100	152,990
Gree Mechanical Yonkers LLC	NYCH: Talent Ppln:CE and OJT, OJT	21,600
Green Ducklings A/S	OREC: Technical Support, Tech assist OSW development	50,000
Green Home Logic, Inc.	OJT	7,360
Green Hybrid Energy Solutions Inc.	>200KW PV, PON 2112 NY SUN	451,476
Green Light New York, Inc.	Capital Planning, BE-Ex 2024 Membership Dues	10,000
	Empire Building Challenge, BE-Ex 2024 Membership Dues	10,000
	Heat Recovery, BE-Ex 2024 Membership Dues	10,000
	New Construction Housing, BE-Ex 2024 Membership Dues	10,000
	RTEM and Tenants, BE-Ex 2024 Membership Dues	10,000
	Tech Assistanc Multifamily LMI, Pratt Ice Box Challenge Event	5,000
	Technical Services, Pratt Ice Box Challenge Event	5,000
Green Machine Equipment Inc	ESTOR:Retail Storage Incentive, Retail Storage	70,500
Green Power Developers, LLC	>200KW PV, NY-Sun	822,960
	NY-SUN, NY-Sun	164,592
Greenhaven Correctional Stormville NY So	>200KW PV, NY Sun Payee Assignment	848,640
GreenLogic, LLC	ENERGY STORAGE, PON 2112 NY SUN	6,250
Grid City Electric Corp	<200KW PV, NY-Sun	36,000
	>200KW PV, NY-Sun	9,000
Group-S LLC	K-12 SCHOOLS, FT13873 - 35 E 125th - FTC	33,200
	K-12 SCHOOLS, P12GC-77_E - Chapin - FTC	26,250
	NYCH: Technical Assistance, FT13847 - 444 W. 35th - FTC	8,000
	NYCH: Technical Assistance, FT13896 - 46-15 Center - FTC	11,600
	NYCH: Technical Assistance, FT13901 - 45-45 Center - FTC	31,600
	Technical Services, FT14118 - 2 River - FTC	5,500
	Technical Services, FT14119 - 107-24 71st - FTC	9,600
	Technical Services, FT14121 - 1 Hanson - FTC	10,000
	Technical Services, FT14126 - 5 E 22nd - FTC	12,825

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Group-S LLC	Technical Services, FT14271 - 311 W 39th - FTC	18,500
	Technical Services, FT14274 - 405 W 23rd - FTC	63,000
	Technical Services, FT14295 - 279 E 3rd - FTC	14,103
	Technical Services, FT14296 - 2545 University -FTC	28,200
	Technical Services, FT14410 - 410 West 53rd - FTC	31,500
	Technical Services, FT14537- 99- 40 63rd-FTC-MF-MR	55,500
	Technical Services, FT14616 -Verizon-125 West 73	20,000
	Technical Services, FT14617-Verizon-2373 Tiebout	20,000
	Technical Services, FT14886 - Bloomingdales	70,205
GSPP 1616 County Route 12, LLC	>200KW PV, NY Sun	710,979
	NY-SUN, NY Sun	920,091
GSPP 4575 State Route 69, LLC	>200KW PV, NY Sun	1,001,042
	NY-SUN, NY Sun	1,295,466
Guidehouse Inc.	NYCH: LMI, Round 3 Stakeholder Engagement	75,000
Habitat Queens Phase II HDFC	Low Rise New Construction, New Construction	5,100
Halcyon Inc.	NYCH: Talent Ppln:CE and OJT, OJT	175,920
	OJT	83,760
Halcyon, Inc.	<200KW PV, PON 2112 NY SUN	28,104
Harris Energy Solutions LLC	Technical Services, FT14837 - MSKCC - 1133 York	71,750
Harvest Power, LLC	COMMUNITY SOLAR, NY-Sun	5,040
	ENERGY STORAGE, PON 2112 NY SUN	12,500
Hawn Heating & Energy Services LLC	NYCH: Talent Ppln:CE and OJT, OJT	43,280
Healthy Home Energy & Consulting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	10,560
Heat Keepers, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	12,000
Hedgehog Solar Lessee, LLC	<200KW PV, NY-Sun	173,502
	>200KW PV, NY-Sun	456,840
Helios Energy New York 11, LLC	>200KW PV, NY Sun	1,124,970
Henkel US Operations Corporation	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	355,304
Henningson, Durham & Richardson PC	OREC: Technical Support, TWO Technical Writing OSW	200,000
Henry Keep Apartment	Tech Assistanc Multifamily LMI, FT14515 - 940 Washington -PON	9,000
Herkimer Affordable Housing	Multifam Performance Pgm, Multifamily	11,200
Highway 233 Solar, LLC	>200KW PV, NY-Sun	1,010,952
HiHello, Inc.	NYSERDA ADMINISTRATION, Digital BCard Subscription	37,570
HK Truck Services Inc.	CLEAN TRANSPORTATION, NYTVIP - City of White Plains	185,000
	CLEAN TRANSPORTATION, NYTVIP - The New York Times	900,000
Hodgson Russ LLP	RFP 12 - NYGB Legal Services	22,630
Holland & Knight LLP	BR: Program Implementation, TWO 4 - BR_Benson MinesFiling	10,000
Home Energy Solutions	OJT	12,480
Home Leasing, LLC	New Construction Housing, NCP Housing 2022	112,000
HomeCycle Technologies, Inc.	REC:CES REC System Dev Costs, RESRFP23-1 TEP IE	40,500
Houghton College	NYCH: District, PON 4614 Houghton College	83,873
HUB Controls USA Inc	NYCH: Innovation, NextGen HVAC Innovation	500,000
Hudson River Renewables	<200KW PV, PON 2112 NY SUN	5,106
Hunter Buffalo Peterbilt	CLEAN TRANSPORTATION, NYTVIP - Keith Titus Corp	185,000
	CLEAN TRANSPORTATION, NYTVIP - Modern Disposal	368,573
Hytech Solar Inc	COMMUNITY SOLAR, PON 2112 NY SUN	6,400

Contracts Completed

Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Hytech Solar Inc	ENERGY STORAGE, PON 2112 NY SUN	12,500
ICF Incorporated LLC	TWO # 11 SESP Consultant	184,000
Illume Advising LLC	Eval MCDC:Climate Act Benefits, TWO #2 - DAC Benefits	452,350
	NYSERDA ADMINISTRATION, Litigation Support	50,000
Indeed Inc.	NYSERDA ADMINISTRATION, Human Resources	76,000
	NYSERDA ADMINISTRATION, Social Media Job Postings	60,000
Industrial Economics, Incorporated	Mkt Char: Tech Assist, TWO#1 BCA study Undergrounding	299,881
INF Associates LLC	NYCH: Technical Assistance, FT13795 - 5 Times Sq. - FTC	80,104
	OJT	14,400
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	27,031
	>200KW PV, PON 2112 NY SUN	153,100
Institute for Market Transformation	NYCH: Innovation, VHE HVAC	635,340
Integrated Energy Concepts Engineering,	NYCH: District, PON 4614 Round #6	55,192
Integrated Staffing Corporation	TS.037 - SQA Coordinator	99,045
International Code Council, Inc.	Code to Zero, NYStretch 2020 Code Book	16,500
IPPsolar Integration LLC	<200KW PV, NY-Sun	28,837
	<200KW PV, PON 2112 NY SUN	160,650
	>200KW PV, PON 2112 NY SUN	154,440
	NY-SUN, NY-Sun	12,359
Isaac TEC LLC	NYCH: Talent Ppln:CE and OJT, PON3981 Round 11	283,738
J Synergy Solar LLC	<200KW PV, PON 2112 NY SUN	64,400
	>200KW PV, PON 2112 NY SUN	27,540
	COMMUNITY SOLAR, PON 2112 NY SUN	5,328
J&A Electrical Construction LLC	<200KW PV, PON 2112 NY SUN	5,310
Jamestown Board of Public Utilities	Cat B - Renewables and Innovat	95,623
Janiak Solar, LLC	>200KW PV, NY Sun	845,093
Jaros, Baum & Bolles	Campus/Technical Assistance, FT14007 - 55 Water - FTC	106,650
	Cleantech POCC, Support Empire Tech Prize	355,000
	Empire Building Challenge, JBB Mini bid 4982 RTEM Support	22,119
	Empire Building Challenge, Support Empire Tech Prize	100,000
	EVALUATION, JBB Mini bid 4982 RTEM Support	6,102
	NYCH: Empire Build Challenge, JBB Mini bid 4982 RTEM Support	22,119
	Real Time Enrgy Management, JBB Mini bid 4982 RTEM Support	27,458
	RTEM and Tenants, JBB Mini bid 4982 RTEM Support	12,203
Technical Services, FT14734- Hines - 1411 Broadway	77,500	
JBI Construction Group	<200KW PV, PON 2112 NY SUN	231,832
	>200KW PV, PON 2112 NY SUN	25,705
	COMMUNITY SOLAR, PON 2112 NY SUN	6,068
JEM ENGINEERING SERVICES	High Performing Grid, Voltage Remediation for DERs	120,000
John B Warren	RENEWABLE HEAT NY, Wood Combustion Nanoparticles	10,005
John Betlem Heating & Cooling Inc	NYCH: Talent Ppln:CE and OJT, OJT	46,080
Jordan Energy and Food Enterprises LLC	<200KW PV, PON 2112 NY SUN	40,473
JouleSmart Solutions, Inc.	Real Time Enrgy Management, Joule Smart-Multisite-RTEM	38,432
Joy Gree LLC	NYCH: Talent Ppln:CE and OJT, OJT	25,200
JPMorgan Chase Bank National Association	Industrial Process Effic, Industrial Process Efficiency	756,614
Kamtech Restoration Corp	<200KW PV, NY-Sun	25,988

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Kamtech Restoration Corp	<200KW PV, PON 2112 NY SUN	218,404
	>200KW PV, NY-Sun	190,900
	>200KW PV, PON 2112 NY SUN	251,755
	NY-SUN, NY-Sun	38,180
Karpman Consulting, LLC	Code to Zero, KARPMAN TWO#1 Training	414,702
Kasselman Solar LLC	<200KW PV, NY-Sun	10,428
	<200KW PV, PON 2112 NY SUN	178,367
KC Management Holdings LLC	NYCH: Talent Ppln:CE and OJT, OJT	79,840
	OJT	8,000
	Talent Pipeline:CE and OJT, OJT	8,000
Kearns & West, Inc.	Energy Storage Tech/Prod Dev, TWO 12-H2 Stakeholder Engagmen	125,000
	Environmental Research, K&W TWO#11 Hudson River WS	49,999
	OREC: Technical Support, TWO #2 Agmt No. 140392	49,954
	RTEM and Tenants, TWO # 2	45,500
	TWO 12-H2 Stakeholder Engagmen	1,160,000
Kelliher Samets LTD	BR: Program Implementation, TWO 43 Build Ready Marketing	200,000
	Clean Energy Hub, TWO44: Clean Energy Hubs Mktg	37,540
	Code to Zero, TWO 26 Codes Marketing	225,000
	Consumer Ed and Market Support, Marketing Support for NYSERDA	2,850,000
	KSV TWO 41 Loan Loss Reserve	158,305
	KSV TWO 42 IPNA Bridge Loan	158,685
	NYCH: District, TWO40:Community Heat Pumps MKT	185,000
	Talent Pipeline:CE and OJT, TWO 21 WFD Talent Pipeline Mkt	500,000
	Talent Pipeline:Internship Pgm, TWO 21 WFD Talent Pipeline Mkt	100,000
	TWO 8 - Induction Cooking	792,060
	TWO 10 - Climate Act Mktg	82,900
	TWO 24 - Predevelopment Loan	100,325
	TWO 32 - Climate Act Website	154,400
	Workforce Industry Partnership, Marketing Support for NYSERDA	434,960
Kings Ford, Inc	CLEAN TRANSPORTATION, NYTVIP - Cintas Corporation	70,234
Knox II PV, LLC	>200KW PV, NY Sun	1,103,299
	NY-SUN, NY Sun	454,301
Kyndryl, INC.	NYSERDA ADMINISTRATION, Kyndryl / Azure Migration	44,140
L&S Energy Services, Inc.	REV Campus Challenge, RM43 - Paul Smith's College	52,590
	Technical Services, AEAP 1633 - Pitney Meadows	6,000
	Technical Services, AEAP 1650 - Wessels Farm	6,000
LaBella Associates, P.C.	NYSERDA ADMINISTRATION, Bldg Condition Assessment 15CC	23,200
	PON 4614 Round #7	100,000
Lake Country Geothermal, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	30,000
Lamico Enterprises, LLC	NYCH: Talent Ppln:CE and OJT, OJT	6,080
	OJT	5,760
	Talent Pipeline:CE and OJT, OJT	6,400
Landau Solar, LLC	>200KW PV, NY Sun	654,947
Lenovo Inc.	NYSERDA ADMINISTRATION, Carbon X1 laptops matching doc	7,990
	NYSERDA ADMINISTRATION, Lenovo Thinkvision monitors	7,080
Leviathan Solar Inc	COMMUNITY SOLAR, PON 2112 NY SUN	34,094

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Levitan & Associates, Inc.	CI Engy Siting & Soft Cost Red, TWO 4 - Tax Model Tech Support	534,543
LexisNexis	NYSERDA ADMINISTRATION, Online Legal Research Access	53,844
LH Niagara Towers LLC	Multifam Performance Pgm, Multifamily	200,000
	NYCH: LMI, Community Thermal Networks	400,000
LH Tonawanda Towers LLC	Multifam Performance Pgm, Multifamily	80,000
	NYCH: LMI, Community Thermal Networks	200,000
LH Urban Park Towers LLC	Multifam Performance Pgm, Multifamily	150,000
	NYCH: LMI, Community Thermal Networks	300,000
Lincoln Center for the Performing Arts	Technical Services, OsEM10-Lincoln Center Perform	210,403
LinkedIn	NYSERDA ADMINISTRATION, Social Media Job Postings	45,537
Little Falls PV, LLC	>200KW PV, NY Sun	183,897
	NY Sun	459,743
	NY-SUN, NY Sun	257,456
Little Sisters of the Assumption Family	Heat Recovery, HeatRec C2_LSA_333E115	65,000
Livingston Energy Group	Talent Pipeline:CE and OJT, OJT	9,232
Livolt Consulting, LLC	Technical Services, FT14477 - Murray Hill House -	11,246
LM Language Services, Inc.	Home Perf w Energy Star, TWO #5 Translation Services	5,019
	Talent Pipeline:CE and OJT, translation of CJF docs	7,361
	Technical Services, Translation of EmPower+ and Ag	29
	Translation of EmPower+ and Ag	5,459
Long Island Power Solutions	<200KW PV, PON 2112 NY SUN	50,894
	>200KW PV, PON 2112 NY SUN	109,416
	COMMUNITY SOLAR, PON 2112 NY SUN	23,640
	ENERGY STORAGE, PON 2112 NY SUN	11,650
Long Island Progressive Coalition	COMMUNITY SOLAR, Long Island Affordable Solar	157,290
Loring Consulting Engineers, Inc.	Technical Services, FT14850 - 215 East 68th - FTC	46,341
	Technical Services, FT17129 1675 Broadway 52nd Str	55,000
Lumsden & McCormick, LLP	NYSERDA ADMINISTRATION, Tax Research Services	10,000
Lysander III PV, LLC	>200KW PV, NY Sun	177,086
	NY Sun	442,715
	NY-SUN, NY Sun	247,920
Lytho Inc	NYSERDA ADMINISTRATION, Lytho DAM 3 additional seats	21,076
M.J. Beck Consulting LLC	REC:CES REC System Dev Costs, RESRFP23-1 TEP IE TWO#6	40,500
M/E Engineering, P.C.	Heat Recovery, HeatRecC2_MEEEng_623SkytopRd	59,648
	K-12 SCHOOLS, CGSI-60 - Morristown CSD (1)_E	18,315
	Technical Services, AEAP 1638 - CSH Wyoming	6,000
	Technical Services, AEAP 1684 - Hints Red Roof Map	6,000
	Technical Services, AEAP 1685 - Kist Maple Syrup	6,000
Machias PV, LLC	>200KW PV, NY Sun	361,998
	NY-SUN, NY Sun	445,536
	NY-SUN, NY-Sun - ICSA	222,768
Malcarne Contracting, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	43,920
Manhattan Avenue Senior LLC	New Construction Housing, 2019 LRNCP	62,000
Manlius Acad LLC	Multifam Performance Pgm, Manlius Academy Apartments,	121,100
Manufacturers' Assn. of Central NY (MAC)	Prof & Expert Engagement, 2024 Membership	5,368
Maple Tap Solar, LLC	>200KW PV, NY Sun	482,501

Contracts Completed

Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Marcor Construction, Inc	COMMUNITY SOLAR, NY-Sun	5,376
Mark MaGrann Associates	Technical Services, FT14631 - 5562 Route 9G -FTC	7,500
Maspeth Park Housing Development Fund Co	Buildings of Excellence, BoE Rnd. 2 - Cooper Park Bld.2	850,000
Matrix Solar OC Newburgh Route 17K, LLC	>200KW PV, NY Sun	992,408
	NY-SUN, NY Sun	1,751,309
Matrix Solar SI 566 Gulf, LLC	>200KW PV, NY-Sun	2,169,000
Matrix Solar SI 586 Gulf, LLC	>200KW PV, NY-Sun	1,623,120
Mayflower Energy Engineering PLLC	Technical Services, FT17012 - Hampton House - 404	15,000
Meadowbrook Reality Holding LLC	Multifam Performance Pgm, Multifamily	63,000
Meltek Inc.	OJT	15,386
	Talent Pipeline:CE and OJT, OJT	17,309
Mexico PV, LLC	>200KW PV, NY Sun	964,384
	NY-SUN, NY Sun	397,100
MicroEra Power, Inc.	OJT	11,520
Microsoft Corporation	NYSERDA ADMINISTRATION, Microsoft Unified Support	85,407
Milea Truck Sales Inc	CLEAN TRANSPORTATION, NYTVIP - Manhattan Beer/NYCD	366,680
Milliman, Inc.	NYSERDA ADMINISTRATION, GASB74 Liab GASB75 OPEB 3/24	12,600
Mintzer Mauch PLLC	BR: Program Implementation, TWO 1 - Build-Ready – Deferiet	27,000
Morristown Solar II, LLC	>200KW PV, NY Sun	1,182,384
	NY-SUN, NY Sun	1,530,144
MR. AIR NYC Corp.	NYCH: Talent Ppln:CE and OJT, OJT	28,382
MRO Tech NY LLC	Technical Services, FT14872 - West 23rd Owners-PON	16,988
Mzansi Clean Energy LLC	Capital Planning, Federal Funding Strategy	50,000
Narragansett HDFC	NYCH: Technical Assistance, FT14067 - 2508 Broadway - PON	15,984
NASEO	Prof & Expert Engagement, NASEO Renewal 2024-2025	18,063
National Grid	BR: Interconnection, BR Facility 3 - Vincent Welch	32,000
	BR: Interconnection, BR Facility 4 - Witmer 1	25,000
	BR: Interconnection, BR Facility 5 - Witmer 2	25,000
National Wind Technology Consortium, Inc	Nat'l OffShWind R&D Consortium, NOWRDC-112-Cable	121,430
	Nat'l OffShWind R&D Consortium, NOWRDC-127-GE Research	157,496
	Nat'l OffShWind R&D Consortium, NOWRDC-129-Drive Technologies	335,546
	NOWRDC-112-Cable	121,430
	NOWRDC-127-GE Research	157,496
NOWRDC-129-Drive Technologies	335,546	
Natural Resources Defense Council, Inc.	NEW YORK GREEN BANK, 2024 GBN Membership	8,000
Nautilus Owner 2021, LLC	>200KW PV, NY Sun	987,034
NECEC Institute	Sponsorship of the ICCC 2024	10,000
NESCAUM	CLEAN TRANSPORTATION, Brand-Neutral EV campaign	25,000
	ENVIRONMENTAL RESEARCH, TWO#12 Sidewash Algorithm	185,000
Nesco Bus and Truck Sales, Inc.	CLEAN TRANSPORTATION, NYTVIP - LB Public Schools	49,372
NESEA	New Construction Housing, 2020 NESEA ProTours	25,000
New Buildings Institute, Inc.	New Construction Housing, NBI- GTZF REQ4185	74,650
	New Construction- Commercial, NBI- GTZF REQ4185	37,350
New Flyer of America, Inc.	CLEAN TRANSPORTATION, NYTVIP - NFTA	5,390,000
New Hope View Farm	ANAEROBIC DIGESTER, PON 2684 - RPS CST ADG-to-Elec	2,000,000
New Leaf Energy, Inc.	>200KW PV, NY Sun	917,328

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
New Leaf Energy, Inc.	ESTOR:Retail Storage Incentive, Retail Storage	8,100,000
	NY Sun	1,628,028
	NY-SUN, NY Sun	1,299,907
	NY-SUN, NY-Sun ESFA	1,574,446
New Leaf Solar LLC	<200KW PV, PON 2112 NY SUN	7,548
New York Association of Training and Emp	Talent Pipeline:CE and OJT, 2024 NYATEP Fall Conf Sponsor	10,000
New York Battery and Energy Storage	The Battery Show 2024	45,000
New York Bus Sales LLC	CLEAN TRANSPORTATION, NYTVIP - Livonia CSD	200,000
	NYSBIP Ithaca SD	225,000
New York Engineers, P.C.	Technical Services, FT14260 - 2299 Ulster - FTC	8,813
	Technical Services, FT14429 - 39 W 56th - FTC	5,045
	Technical Services, FT14870 - WIN - 4612 - FTC	66,002
	Technical Services, FT15021 - United East - 239 E	10,500
New York Foundling Hospital	New Construction Housing, 2019 MFCNP	300,000
New York Power Authority	Technical Services, FT13937 - Rockland - FTC	39,432
New York Power Authority,	CLEAN TRANSPORTATION, Clean Transportation	980,000
	High Performing Grid, PON 3770	510,000
New York Real Estate Chamber, Inc	NEW YORK GREEN BANK, NYREC Membership for NYGB	20,000
New York Soundproofing, LLC	Sound Masking Sys 1359 Broadwa	50,000
New York State Ag & Markets	NYSERDA ADMINISTRATION, 2024 State Fair Booth	20,310
	POLICY DEVELOPMENT, 2024 NYS Fair DPS Booth	16,790
New York State Foam & Energy LLC	NYCH: Talent Ppln:CE and OJT, OJT	6,400
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	142,885
	>200KW PV, PON 2112 NY SUN	52,800
New York University	Technical Services, OsEM55-C - NYU - 370 Jay	110,000
Newburgh Housing Authority	Multifam Performance Pgm, Multifamily	45,500
	Tech Assistanc Multifamily LMI, FT14672 - Newburgh Housing-PON	10,000
Newlab	Cleantech POCC, 2024 Climatefest Sponsorship	7,500
Nexamp Inc.	>200KW PV, NY Sun	752,151
Next Generation Solar, LLC	<200KW PV, PON 2112 NY SUN	9,840
Nextera Energy Capital Holdings, Inc	>200KW PV, NY Sun	1,124,046
	NY-SUN, NY Sun	1,648,601
Nexus Labs	Real Time Enrgy Management, Nexus Labs EM Course	50,000
	RTEM and Tenants, NexusCon 2024 Sponsorship	48,500
Noco Energy Corp.	NYCH: Talent Ppln:CE and OJT, OJT	24,960
Noresco LLC	REV Campus Challenge, FT14266 - 6 Metrotech - FTC	137,285
	Technical Services, FT17014 Beekman Residences - 5	11,138
North East Offshore, LLC	OREC: OSW Solicitations, Large-Scale Renewables	2,320,000,000
Northco Products, Inc.	NYSERDA ADMINISTRATION, Printer/Copier Konica	29,680
	NYSERDA ADMINISTRATION, Program External Printing	12,000
Northeast Energy Efficiency Partnerships	Code to Zero, 2024 NEEP Membership	10,000
	Market Support Tools &Activity, 2024 NEEP Membership	30,000
	NYCH: LMI, 2024 NEEP Membership	40,000
	Product Standards, 2024 NEEP Membership	50,000
	Prof & Expert Engagement, 2024 NEEP Membership	50,000
Northeast States for Coordinated Air Use	ENVIRONMENTAL RESEARCH, TWO 1 - LISTOS 2022-2023	306,270

Contracts Completed

Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Northway Six LLC	New Construction- Commercial, Commercial New Construction	126,900
Nova Bus a Div. of Prevest Car Inc.	CLEAN TRANSPORTATION, NYTVIP - Broome County Transit	1,540,000
NSF Aurelius Site 1, LLC	>200KW PV, NY Sun	1,145,663
	NY-SUN, NY Sun	471,745
NSF Aurelius Site 2, LLC	>200KW PV, NY Sun	1,166,022
	NY-SUN, NY Sun	461,916
NSF Aurelius Site 3, LLC	>200KW PV, NY Sun	1,145,663
	NY-SUN, NY Sun	471,745
NSF Aurelius Site 4, LLC	>200KW PV, NY Sun	1,117,022
	NY-SUN, NY Sun	459,951
NT Port I, LLC	Multifam Performance Pgm, Multifamily	21,000
	NYCH: LMI, Community Thermal Networks	49,000
NY Afton I, LLC	>200KW PV, NY-Sun C&I	896,424
NY Benton I, LLC	>200KW PV, NY Sun	1,034,207
	NY-SUN, NY Sun	1,241,051
NY Building Systems Consultant Inc.	K-12 SCHOOLS, FT14673 - Archbishop Molloy HS	19,125
	OJT	18,720
	Technical Services, FT14936 - Centria Condo -18	22,800
	Technical Services, FT14957 - 301 E 78 St. Owners	24,000
	Technical Services, FT15049 - Chatsworth Realty Co	38,550
	Technical Services, FT15065 - 67 East 11 - FTC	29,550
	Technical Services, FT17000 70 Remsen St Tenants	6,800
	Technical Services, FT17019 The Claremont - 255 W	8,500
	Technical Services, FT17149 50-05 43 Ave Corp	12,600
	Technical Services, FT17154 111-15 75th Avenue Own	9,650
NY CDG Ontario 4 LLC	>200KW PV, NY Sun	310,596
	NY Sun	776,489
	NY-SUN, NY Sun	434,834
NY Pike III, LLC	>200KW PV, NY Sun	837,216
NY Pike IV, LLC	>200KW PV, NY Sun	418,608
NY Portage I, LLC	>200KW PV, NY-Sun C&I	1,029,990
NY Tioga I, LLC	>200KW PV, NY Sun	943,020
	NY-SUN, NY Sun	1,305,720
NY Troupsburg I, LLC	>200KW PV, NY Sun	895,050
NY USLE Glenville Freemans Bridge LLC	>200KW PV, NY Sun	1,044,616
NYS Association for Affordable Housing	Tech Assistanc Multifamily LMI, 2024 NYSFAH Conference	5,000
NYS Energy Audits, Inc.	Talent Pipeline:CE and OJT, OJT	11,520
NYS Essential Power	<200KW PV, PON 2112 NY SUN	187,101
	COMMUNITY SOLAR, PON 2112 NY SUN	32,534
NYS School Facilities Association, Inc.	Workforce Industry Partnership, PON 3715 (BOM)	350,000
NYS Technology Enterprise Corporation	NYSERDA ADMINISTRATION, NEIS Access Audit	35,235
NYSolar03, LLC	>200KW PV, NY Sun	1,102,701
	NY-SUN, NY Sun	454,054
NYSS LLC	<200KW PV, NY-Sun	18,216
	<200KW PV, PON 2112 NY SUN	427,285
	COMMUNITY SOLAR, PON 2112 NY SUN	75,704

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
ODS Management, Inc.	Tech Assistanc Multifamily LMI, FT17047 - 6113 Strauss - PON	11,673
	Tech Assistanc Multifamily LMI, FT17070 - ODS Management - 615	7,048
OLA Consulting Engineers, P.C.	Technical Services, FT14559-Dominican Sisters-FTC	18,583
Omni New York LLC	Buildings of Excellence, Buildings of Excellence R1	212,500
Omni Richland North Solar, LLC	>200KW PV, NY Sun	733,590
On Grid Infrastructure Services, LLC	<200KW PV, PON 2112 NY SUN	5,760
One Sun Power Inc.	>200KW PV, NY Sun	777,504
OnRout Co.	OTHER PROGRAM AREA, Dynamic Pricing for Parcels	766,380
Onsite Energy, Inc.	<200KW PV, PON 2112 NY SUN	5,000
OPAL ENERGY GROUP LLC	<200KW PV, PON 2112 NY SUN	98,040
Opinion Dynamics Corporation	Real Time Enrgy Management, RFQ3183 Umbrella Agreement	527,215
	Remote Energy Management, RFQ3183 Umbrella Agreement	63,253
Oracle America, Inc.	NYSERDA ADMINISTRATION, Oracle Peoplesoft Enterprise	54,308
Orange Avenue Apartments LLC	Multifam New Construction, New Construction	37,400
Oswego City School District	K-12 SCHOOLS, CGSI-62 - Oswego CSD(9)	71,300
OurGeneration LLC	>200KW PV, NY Sun	732,888
	NY Sun	1,832,220
	NY-SUN, NY Sun	1,026,043
Overbite Productions	OREC: Technical Support, OSW EJTWG website dev	50,000
Owahgena Consulting, Inc.	Air Source Heat Pumps, Heat Pump Technical Assistance	236,413
	Campus/Technical Assistance, Heat Pump Technical Assistance	50,000
	Geothermal Incentive Program, Heat Pump Technical Assistance	25,000
	NYCH: Critical Tools, Heat Pump Technical Assistance	188,587
OYA Camillus A LLC	>200KW PV, NY Sun	730,884
OYA Camillus B LLC	>200KW PV, NY Sun	705,012
OYA ELLISBURG SOLAR LLC	>200KW PV, NY Sun	730,884
OYA Independence East LLC	>200KW PV, NY Sun	1,124,760
	NY-SUN, NY Sun	1,349,712
OYA INDEPENDENCE ROAD LLC	>200KW PV, NY Sun	1,270,441
	NY-SUN, NY Sun	1,644,100
OYA State Route 5 LLC	>200KW PV, NY Sun	643,566
	NY-SUN, NY Sun	712,000
OYA State Route 122 LLC	>200KW PV, NY Sun	1,697,800
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	80,091
Passive House Accelerator LLC	New Construction Housing, BOE R4 Award Event	40,000
	New Construction Housing, General Events 2023-2024	40,000
	New Construction Housing, General Marketing 2023-2024	40,000
	New Construction- Commercial, BOE R4 Award Event	10,000
	New Construction- Commercial, General Events 2023-2024	10,000
	New Construction- Commercial, General Marketing 2023-2024	10,000
Pathfinder Engineers & Architects, LLP	Commercial New Construc, RFP3771 Umbrella Contract	114,711
Pathstone Corporation	New Construction Housing, NCP Housing	544,000
PathStone Development Corporation	Multifam Performance Pgm, Multifamily	38,500
Patriot Energy Solutions Corp	<200KW PV, PON 2112 NY SUN	27,012
Pattersonville Solar Facility, LLC	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	20,899,290
Paul A. Castrucci, Architects PLLC	Buildings of Excellence, RFP3928 The Beacon Project #1	174,750

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Pearl Over Look Corporation	Multifam Performance Pgm, Multifamily	268,800
People Inc	New Construction Housing, NCP Housing 2022	336,000
People United for Sustainable Housing In	Community RH&C, Community CH&C Dev in WNY	500,000
	Single Family New Construction, NCP Housing	55,000
Performance Systems Development	NYCH: Comfort Home, TWO 1 - Compass system CH	380,550
Peter M. Lawrence	Electric Vehicles - Innovation, Electric Bus Technical Assist	40,000
Peterboro Road Solar, LLC	>200KW PV, NY Sun	927,846
	NY-SUN, NY Sun	382,054
Pivot Energy Development LLC	>200KW PV, PON 2112 NY SUN	889,812
Pivotal 180, LLC	NYSERDA ADMINISTRATION, Pivotal180 Tax Equity Training	24,300
PlugPV, LLC	<200KW PV, PON 2112 NY SUN	397,203
Point and Ravine, LLC	New Construction Housing, NCP Housing	120,000
Politico LLC	NYSERDA ADMINISTRATION, PO to cover Politico subscript	5,000
Pomfret II PV, LLC	>200KW PV, NY Sun	986,332
	NY-SUN, NY Sun	460,289
Pomfret PV, LLC	>200KW PV, NY Sun	678,730
	NY-SUN, NY Sun	279,477
Ponte Gadea Madison, LLC	Technical Services, FT14423 - 366 Madison - PON	7,550
Popli, Architecture + Engineering & LS,	Technical Services, AEAP 1473 - VanAckers Farm	6,000
Powerlutions, LLC	<200KW PV, PON 2112 NY SUN	14,104
Pratt Area Community Council	>200KW PV, NY-Sun	38,580
Premier Solar Solutions LLC	>200KW PV, PON 2112 NY SUN	83,040
Prescriptive Data	Real Time Enrgy Management, Prescriptive-767 Fifth-RTEM	145,657
Principle Power Inc	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	290,000
	Natl Offshore Wind R&D	290,000
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	5,000
Proenergy Consulting LLC	CLEAN TRANSPORTATION, CTR Market Support	49,995
Prospect Realty Group LLC	Multifam Performance Pgm, Multifamily	95,900
Provantage, LLC	NYSERDA ADMINISTRATION, Surface Laptop 5s - Provantage	87,975
Providence Housing Development Corp	New Construction Housing, 2019 LRNCP	77,600
Pure Performance Renewable Energy Soluti	Talent Pipeline:CE and OJT, OJT	6,400
Putnam Valley, Town of	Code to Zero, PON 4600 Putnam Valley	125,000
QCells Enable LLC	>200KW PV, PON 2112 NY SUN	1,264,800
RAC Holdings Corp.	Clean Energy Hub, Catering for Hubs Meeting	31,200
Radiant Labs, LLC	NYCH: Technical Assistance, Radiant Labs Roadmap Tool	198,500
Rak 1 Solar LLC	>200KW PV, NY Sun	714,820
Ramboll Americas Engineering Solutions,	Gas Innovation Studies, TWO #1 - UTENS	50,000
Randstad North America, Inc.	Clean Energy Communities, Payroll Services	222,072
	Code to Zero, Payroll Services_CPS Sr. PM	483,327
	Community RH&C, PS.056_CHC APM	182,013
	ENERGY ANALYSIS, PS TWO #75 – ER&EP_Intern	21,548
	Environmental Research, TWO #73 - ER_Intern	19,013
	NYSERDA ADMINISTRATION, Intern - DG	16,380
	NYSERDA ADMINISTRATION, Payroll Services	218,382
	NYSERDA ADMINISTRATION, Payroll Services_Web Ops	228,938
	NYSERDA ADMINISTRATION, PS TWO #67 - SO Coordinator	186,089

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Contractor	Contract Description	Total Contract Amount
Randstad North America, Inc.	NYSERDA ADMINISTRATION, TWO #69 - CPS_Intern	17,238
RBW Studio LLC	Talent Pipeline:CE and OJT, OJT	41,091
RCPI Landmark Properties, LLC	RTEM and Tenants, Smart Build Demo Roundtables	13,718
REDAPTIVE, INC.	<200KW PV, PON 2112 NY SUN	290,385
Regional Economic Models, Inc	ENERGY ANALYSIS, REMI User License and Fee	44,000
Regional International Corp.	CLEAN TRANSPORTATION, NYTVIP - Regional Idealease	125,000
Renovus Energy, Inc.	<200KW PV, PON 2112 NY SUN	159,971
	NY-SUN, PON 2112 NY SUN	23,908
Rensselaer Polytechnic Institute-LRC	NextGen HVAC, Luminaire Design	50,000
	NYCH: Innovation, RPI 3D Printed Insulation Asse	50,000
Reos US Inc.	Empire Building Challenge, Facilitation Services&Support	22,000
Research Foundation of SUNY	Workforce Industry Partnership, PON 3715 BOM Training	397,637
Resource Refocus LLC	Code to Zero, TWO 2 NYStretch Res CE	183,721
RFP Enterprises LLC	Cleantech Ignition, RFP Enterprises LLC	25,000
Richair Mechanical Inc.	NYCH: Talent Ppln:CE and OJT, OJT	71,040
Ripley PV LLC	>200KW PV, NY Sun	948,012
	NY-SUN, NY Sun	442,406
Rivercrest Development Corp.	Multifam Performance Pgm, Multifamily	136,500
Rivertown Solar LLC	>200KW PV, PON 2112 NY SUN	132,800
Robert Derector Associates	Technical Services, FT13465 - 2000 Westches. - FTC	27,055
	Technical Services, FT15025 - Beave Equities Group	19,031
	Technical Services, FT15040 - Dutch Land LLC	18,375
	Technical Services, FT15052 - Broadway Equities	19,200
Robin Powered, Inc.	NYSERDA ADMINISTRATION, Hoteling Software	41,210
Roccera, LLC	Energy Storage Tech/Prod Dev, PON4169 Round #1	100,000
Rochester Institute of Technology	New Construction- Commercial, Commercial New Construction	7,350
Rock Property Management Company	Retrofit NY, PON 4026 RetrofitNY Gap Fundin	2,640,000
Rockland County	Code to Zero, PON4600 Rockland/Spring Valley	125,000
Rocky Mountain Institute	Housing Agencies Support, TWO 5-Short -term Tech Support	50,000
	Housing Agencies Support, TWO6-HCREnergyGrants as Source	50,000
Rogers Training & Consulting, Inc.	OJT	9,922
Ross Energy Consulting, LLC	OJT	82,560
	Talent Pipeline:CE and OJT, OJT	15,360
RUHL TecDesign	Heat Recovery, HeatRec C1_Ruhl_747 3rd Ave	39,920
	Heat Recovery, HeatRecC1_Ruhl_200Water	39,920
Rural Generation & Wind (Rodney Weaver)	<200KW PV, PON 2112 NY SUN	11,608
Rural Housing Coalition of New York	Multifam Performance Pgm, 2024 Rural Housing Coalition	5,000
Ryan Plumbing Heating Air Conditioning	NYCH: Talent Ppln:CE and OJT, OJT	44,160
S&P Global Inc.	ENERGY ANALYSIS, 2024-2025 PointLogic Subscrip.	67,450
S&P Global Market Intelligence, Inc.	NEW YORK GREEN BANK, S&P CapIQ Pro Subscription	118,950
SafariNY Corp.	OJT	23,040
	Talent Pipeline:CE and OJT, OJT	15,360
SANFILIPPO SOLUTIONS INC.	NYCH: Talent Ppln:CE and OJT, OJT	5,760
	OJT	11,520
	Talent Pipeline:CE and OJT, OJT	21,872
Saratoga Solar III, LLC	>200KW PV, NY Sun	773,491

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
Saratoga Solar III, LLC	NY-SUN, NY Sun	318,497
Savanna Services, LLC	Flexible Tech Assistance, FT12293 - Savanna - PON	107,625
	NYCH: Technical Assistance, FT13106 -Savanna Multiple- PON	127,925
Schenectady County Solar Projects 2019,	>200KW PV, NY-Sun Assignment	2,625,000
	>200KW PV, NY-Sun C&I Assignment	1,281,120
	ESTOR:Retail Storage Incentive, NY-Sun C&I Assignment	2,500,000
	Solar Plus Energy Storage, NY-Sun Assignment	3,500,000
Schneider Electric Buildings Americas, I	Real Time Enrgy Management, SEBA - 30-19 Crescent St- RTEM	118,389
Sea Bright Solar, LLC	<200KW PV, PON 2112 NY SUN	18,496
	>200KW PV, NY-Sun	77,760
	>200KW PV, PON 2112 NY SUN	20,940
SEA Electric LLC	CLEAN TRANSPORTATION, NYTVIP	1,090,200
Sense Labs, Inc.	NYCH: Technical Assistance, Single Family Residential	197,600
Shared Mobility, Inc.	Talent Pipeline:CE and OJT, PON 4772 R3 (Rebecca Reilly)	40,000
SHI, Inc.	NYSERDA ADMINISTRATION, Adobe Acrobat licenses - 1 yea	126,362
	NYSERDA ADMINISTRATION, Keeper Security - 70 users	5,436
	NYSERDA ADMINISTRATION, Tableau Desktop Maintenance 1	107,037
Siemens Industry, Inc.	>200KW PV, NY Sun	180,289
	Electric Vehicles - Innovation, Meter Integrated EVSE	226,372
	Real Time Enrgy Management, Siemens_21 Institute St-RTEM	50,778
	Real Time Enrgy Management, Siemens-11 Wall Street-RTEM	200,000
SL Evans, LLC	>200KW PV, NY Sun	604,653
	NY-SUN, NY Sun	840,906
Smith Engineering PLLC	Technical Services, FT14385 - 230 Park - FTC	66,490
	Technical Services, FT14843 - 237 Park LH Owner	47,287
Socotec, Inc	Code to Zero, TWO6-NYStretch Overlay Assist	37,746
Sol Customer Solutions LLC	>200KW PV, PON 2112 NY SUN	998,760
Sol Source Power, LLC	>200KW PV, NY Sun	375,000
	NY Sun	937,500
SOLANTA CORP	<200KW PV, NY-Sun	7,296
	<200KW PV, PON 2112 NY SUN	88,596
	>200KW PV, PON 2112 NY SUN	90,860
	COMMUNITY SOLAR, PON 2112 NY SUN	5,270
Solar Energy Systems, LLC	<200KW PV, NY-Sun	58,006
	>200KW PV, NY-Sun	174,018
Solar Liberty Energy Systems, Inc	<200KW PV, NY-Sun	66,920
	<200KW PV, PON 2112 NY SUN	246,893
	>200KW PV, NY-Sun	88,914
Solar One, Inc.	>200KW PV, PON 2112 NY SUN	25,070
Solar Pro Inc	<200KW PV, PON 2112 NY SUN	17,016
	>200KW PV, PON 2112 NY SUN	34,960
SOLAR TROUPSBURG LLC	>200KW PV, NY-Sun C/I Assignment	1,407,672
SolarCommunities Inc.	<200KW PV, PON 2112 NY SUN	47,252
Solarize Plus Inc	<200KW PV, PON 2112 NY SUN	8,208
SOLO at Classic American LLC	Tech Assistanc Multifamily LMI, FT14670 - SOLO at Classic Amer	7,500
SOLO at Orchard Estates LLC	Tech Assistanc Multifamily LMI, FT14669 - SOLO at Orchard -PON	7,500

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Soltage, LLC	ESTOR:Retail Storage Incentive, Retail Storage	1,500,000
Soulful Synergy, LLC	Talent Pipeline:CE and OJT, PON 4772 R3 Troy Thompson	40,000
SSC Cicero LLC	>200KW PV, NY Sun	964,969
	NY-SUN, NY Sun	1,187,654
SSC Scriba LLC	>200KW PV, NY Sun	1,123,874
	NY-SUN, NY Sun	1,648,351
St Johnsville Solar 1 LLC	>200KW PV, NY Sun	375,000
	NY-SUN, NY Sun	525,000
Stanley Ruth Co., LLC	NYCH: Talent Ppln:CE and OJT, OJT	40,080
State Route 52 LLC	>200KW PV, NY Sun	887,348
Sterling and Wilson Cogen Solutions, LLC	Combined Heat and Power, CHPA-Agbotic Project#1 LLC	414,900
Steuben Churchpeople Against Poverty Inc	New Construction Housing, NCP Housing	41,000
Steven Winter Associates, Inc.	Air Source Heat Pumps, TWO 3 - Heat Pump Pattern Book	133,333
	Code to Zero, TWO #5 ANSI IECC NYStretch2023	250,000
	Consumer Ed and Market Support, TWO 3 - Heat Pump Pattern Book	133,334
	Market Tests, TWO 3 - Heat Pump Pattern Book	133,333
	Multifam New Construction, High rise NCP 3716	9,997
	NYCH: Critical Tools, TWO 3 - Heat Pump Pattern Book	100,000
	NYCH: Technical Assistance, FT13626 - 45 E 89th - FTC	20,480
	NYCH: Technical Assistance, FT13657 - 2165 Brigham - FTC	35,000
	NYCH: Technical Assistance, FT13666 - 43-34 Union - FTC	20,000
	NYCH: Technical Assistance, FT13673 - 40 East 94th - FTC	20,541
	NYCH: Technical Assistance, FT13712 - 150 E. 61st - FTC	27,000
	NYCH: Technical Assistance, FT13713 - 515 E. 72nd - FTC	19,875
	NYCH: Technical Assistance, FT13766 - 350 W 42nd - FTC	28,500
	Technical Services, FT14064 - 372 CPW - FTC	30,000
	Technical Services, FT14101 - 104-20 68th - FTC	19,125
	Technical Services, FT14162 - 150 Columbus - FTC	49,500
	Technical Services, FT14164 - 2251 Knapp - FTC	33,000
	Technical Services, FT14531-1065 Park- FTC-MF-MR-L	26,605
	Technical Services, FT14741 - Douglas Elliman -FTC	21,100
	Workforce Industry Partnership, PON 3715 (BOM)	Workforce Industry Partnership, PON 3715 (BOM)
Workforce Industry Partnership, PON 3715 (R5) BOM		572,582
Workforce Industry Partnership, PON 3715 BOM Training		94,127
Workforce Industry Partnership, PON 3715 Workforce Training		250,050
Stillwater Renewables, LLC	>200KW PV, NY Sun	549,548
	NY-SUN, NY Sun	806,006
Stock Studios Photography	NYSERDA ADMINISTRATION, Tom Stock Photography	4,580
Stone Environmental, Inc.	Community RH&C, Westchester Ground Source Heat	243,926
Stone Tablet, LLC	NYSERDA ADMINISTRATION, Employee & Labor Relations Sof	21,940
Stony Creek Energy LLC	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	58,304,617
StormSensor Inc	Pub Transit & Elect Rail, PON 5109 - transit resiliency	146,270
STRATCO PROPERTY GROUP INC	NYCH: Talent Ppln:CE and OJT, OJT	31,728
Sullivan County	Clean Energy Communities, CEC510672 - County of Sullivan	150,000
Sun Source Technologies	<200KW PV, NY-Sun	38,478
	<200KW PV, PON 2112 NY SUN	42,770

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Sun Source Technologies	>200KW PV, NY Sun	523,512
	>200KW PV, NY-Sun	64,130
	NY Sun	1,308,780
	NY-SUN, NY Sun	732,917
SuNation Solar Systems, Inc.	<200KW PV, NY-Sun	9,600
	<200KW PV, PON 2112 NY SUN	50,444
	COMMUNITY SOLAR, PON 2112 NY SUN	264,731
	ENERGY STORAGE, PON 2112 NY SUN	102,850
Sunkeeper Solar LLC	<200KW PV, NY-Sun	165,135
	>200KW PV, NY-Sun	337,185
	>200KW PV, PON 2112 NY SUN	100,396
Sunnova Energy Corp	<200KW PV, PON 2112 NY SUN	5,000
SunPower Capital, LLC	<200KW PV, NY-Sun	9,280
	<200KW PV, PON 2112 NY SUN	127,459
	COMMUNITY SOLAR, PON 2112 NY SUN	12,310
SUNRISE ELECTRICAL SERVICES	<200KW PV, NY Sun	94,320
	<200KW PV, NY-Sun	175,660
Sunrise Solar Solutions, LLC	<200KW PV, NY-Sun	382,115
	<200KW PV, PON 2112 NY SUN	6,930
	>200KW PV, NY-Sun	361,865
	>200KW PV, PON 2112 NY SUN	151,512
SunRun, Inc	<200KW PV, PON 2112 NY SUN	38,768
SUNY Buffalo	New Construction- Commercial, 2019 CNCP	154,176
SUNY Potsdam	Commercial New Construc, New Construction	10,244
SUNY: Polytechnic Institute	Talent Pipeline:CE and OJT, PON3981 Round 7	246,421
Super Cool HVAC LLC.	Talent Pipeline:CE and OJT, OJT	11,040
Supportive Housing Network of New York	Tech Assistanc Multifamily LMI, 2024 SHNNY Conference	6,000
Supreme Green Energy Inc	OJT	6,400
Surf Clean Energy Inc	<200KW PV, NY-Sun	26,384
	<200KW PV, PON 2112 NY SUN	47,930
	COMMUNITY SOLAR, NY-Sun	2,550
	COMMUNITY SOLAR, PON 2112 NY SUN	13,028
	ENERGY STORAGE, NY-Sun	4,800
Sustainable Comfort, Inc	Housing Agencies Support, HCR TWO #1 - Lion Factory	75,000
	New Construction Housing, NCP Housing	8,600
	Single Family New Construction, NCP Housing	6,000
Sustainable CUNY CUNY/RF	Solar + Storage Summit June 24	15,000
Sustainable Energy Advantage, LLC	REC:CES REC System Dev Costs, REMO Subscription	79,624
Sustainable Energy Developments Inc.	<200KW PV, NY-Sun	427,065
	<200KW PV, PON 2112 NY SUN	169,171
Sustainable Investment Group	Workforce Industry Partnership, PON 3715 (R7) BOM	373,025
Sustainable Westchester	NY-SUN, NY-Sun	200,000
	NYCH: Talent Ppln:CE and OJT, PON 4772 R3 Monaeja Porter	40,000
	OJT	21,139
Switched Source LLC	Cat B - Renewables and Innovat	238,560
Syracuse Community Health Center, Inc	New Construction- Commercial, Commercial New Construction	110,800

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Syracuse Community Hotel Restoration Com	Future Energy Economy Summit	75,000
Syracuse University	Environmental Research, Fish Mercury Analysis	49,999
	NYCH: Innovation, On-Site Power	300,000
Taitem Engineering, P.C.	New Construction- Commercial, Commercial New Construction	24,465
	Technical Services, FT14818 - Cortland County	8,351
Tallarna Limited	REV Connect, IMS PON 4359 - Tallarna	1,000,000
TBL Technologies Inc.	NYCH: Technical Assistance, FT13938 - 30 E 37th - PON - MF	7,909
Tech Valley Talent, LLC	NYSERDA ADMINISTRATION, TWO #16 Technical BA –	388,050
	NYSERDA ADMINISTRATION, TWO #17 .Net Software Dev.	384,150
	NYSERDA ADMINISTRATION, TWO #22 Software QA - Adnan	260,000
	NYSERDA ADMINISTRATION, TWO #23 Software QA Shaun H	130,000
	NYSERDA ADMINISTRATION, TWO #26 Software QA - Nafisha	193,375
	TWO #29 Technical BA – Garrett	194,025
Technology Professionals Group Inc.	NYSERDA ADMINISTRATION, TWO 3 Sr. SharePoint Dev.	312,816
	NYSERDA ADMINISTRATION, TWO #1 Salesforce PM Kerollos	448,500
Tecogen	COMBINED HEAT AND POWER, CHPA - Hotel Edison	350,000
Tesla, Inc.	>200KW PV, NY Sun	385,560
The Bonadio Group	OREC: Technical Support, LSR Proposal Eval & Award Proc	62,500
	REC:CES REC System Dev Costs, LSR Proposal Eval & Award Proc	62,500
The Brattle Group Inc.	Mkt Char: Tech Assist, TWO 3 -Prod Cost Modeling Eval	100,000
The Brookings Institution	OTHER PROGRAM AREA, Carbon Management Forum	50,000
The Business Council of NYS, Inc.	Prof & Expert Engagement, 2023 Business Council Mmbrship	7,040
	Prof & Expert Engagement, Business Council 24 Membership	7,040
The Cadmus Group, LLC	Clean Energy Communities, BOB Support Contractor	1,600,000
	NYCH: Critical Tools, TWO 15 - Inclusive	49,750
	REV Campus Challenge, TWO 8 REV Campus Challenge	693,083
The Hudson Companies Incorporated	New Construction Housing, 2019 MFCNP	600,000
The Insulation Man LLC	OJT	21,600
The Research Foundation for the State	Clean & Resilient Buildings	50,000
	OTHER PROGRAM AREA, Clean & Resilient Buildings	50,000
The Small Business Solution Center	Talent Pipeline:CE and OJT, 2024 Career Jam Sponsor	7,500
The Top Gun Group, LLC	NYCH: Talent Ppln:CE and OJT, OJT	22,720
	OJT	21,760
	Talent Pipeline:CE and OJT, OJT	5,760
The Trustees of Columbia University	Cleantech EIR, PON 3819	6,605,000
The WVI Dolphin Foundation	Talent Pipeline:Internship Pgm, 2024 WVI Dolphin Foundation	5,000
Thermodynamix LLC	NYCH: Talent Ppln:CE and OJT, OJT	9,600
ThunderCat Technology LLC	NYSERDA ADMINISTRATION, Asana project mgt. cloud	177,123
	NYSERDA ADMINISTRATION, Cisco Umbrella Renewal	57,477
	NYSERDA ADMINISTRATION, Sitecore CMS License 2024-2025	95,507
	NYSERDA ADMINISTRATION, Workspace One Enterprise - 1yr	104,766
Tioga Opportunities Inc.	OJT	8,160
TITANIUM LINX CONSULTING, INC.	PON 4772 R3 (Steeve Coupeau)	40,000
TJA-NY- 11202 Ridge Rd Medina, LLC	>200KW PV, NY Sun	783,297
	NY-SUN, NY Sun	1,139,341
	NY-SUN, NY-Sun - ICSA	712,088

Contracts Completed
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Contractor	Contract Description	Total Contract Amount
TJA-NY-10761 Buck Rd Remsen, LLC	>200KW PV, NY Sun	637,042
	NY-SUN, NY Sun	784,051
	NY-SUN, NY-Sun - ICSA	490,032
TJA-NY-11074 Ridge Rd Medina, LLC	>200KW PV, NY Sun	460,832
	NY-SUN, NY Sun	670,301
	NY-SUN, NY-Sun - ICSA	418,938
TJA-NY-Paul Rd Castleton, LLC	>200KW PV, NY Sun	1,081,080
TM Montante Solar Developments, LLC	<200KW PV, NY-Sun	165,200
	<200KW PV, PON 2112 NY SUN	93,382
Tompkins Consolidated Area Transit Inc	Pub Transit & Elect Rail, First/Last Mile in Tompkins Co	258,882
Tonawanda Housing Authority	Tech Assistanc Multifamily LMI, FT14722-Tonawanda Housing-PON	10,461
Total Webcasting, Inc.	ENERGY ANALYSIS, NYS Energy Board Pln Mtg	5,270
TotalEnergies Distributed Generation USA	ESTOR:Retail Storage Incentive, Retail Storage	2,156,280
Town of Austerlitz, New York	Clean Energy Communities, CEC400162 - Energy Study	6,600
Town of Hempstead, Department of Conser	CLEANER GREENER COMMUNITIES, CEC910525 - Town of Hemsps..	150,000
Town of Ossining	Code to Zero, PON 4600 Town of Ossining	250,000
Town of Rhinebeck	Clean Energy Communities, CEC EV Project	10,000
Town of Roseboom	Clean Energy Communities, Roseboom Grant 2	50,000
Town of Southampton	CLEANER GREENER COMMUNITIES, CEC910517 - Climate Action ..	50,000
Town of Westport	Clean Energy Communities, Town of Westport	10,000
Trane	K-12 SCHOOLS, CGSI-11_E - Unatego - FTC	56,810
	K-12 SCHOOLS, FT14819 - Millbrook CSD (4)E	39,987
	Real Time Enrgy Management, Trane - 48 E 84 St - RTEM	67,510
	Real Time Enrgy Management, Trane-645 St Nicholas Ave-RTEM	8,181
	Real Time Enrgy Management, Trane-2130 McDonald Ave-RTEM	49,599
	REV Campus Challenge, FT13549 - Lincoln Center - FTC	89,072
Transect Inc.	BR: Program Implementation, BR Subscription - Transect	19,000
TRC Energy Services	Commercial New Construc, SA.040_TWO #36-New Con_PM-1	15,701
	Commercial New Construc, SA.040-M6a - TWO #42 - PM-1	7,831
	Commercial New Construc, SA.040-M6b - TWO #43 - PM-1	1,958
	Electric Vehicles - Innovation, SA.111 - TWO#39 - CT - PM-1	50,048
	ENERGY ANALYSIS, PON 3525 Umbrella Agreement	840,133
	ENERGY ANALYSIS, SA.018_TWO #11_EEA_PM	124,527
	ENERGY ANALYSIS, SA.053a_TWO #20 - EEA	800,401
	ENERGY ANALYSIS, SA.053a_TWO#35-EEA_PM-1	8,000
	Energy Storage Tech/Prod Dev, SA.090 - Innovation APM	66,372
	Hydrogen Innovation, SA.090 - Innovation APM	66,372
	Low Rise New Construction, SA.040_TWO #36-New Con_PM-1	18,842
	Low Rise New Construction, SA.040-M6a - TWO #42 - PM-1	9,397
	Low Rise New Construction, SA.040-M6b - TWO #43 - PM-1	2,349
	Multifam New Construction, SA.040_TWO #36-New Con_PM-1	17,795
	Multifam New Construction, SA.040-M6a - TWO #42 - PM-1	8,875
	Multifam New Construction, SA.040-M6b - TWO #43 - PM-1	2,219
	Nat'l OffShWind R&D Consortium, SA.090 - Innovation APM	194,468
	New Construction Housing, SA.040_TWO #36-New Con_PM-1	45,637
	New Construction Housing, SA.040-M6a - TWO #42 - PM-1	34,772

Contracts Completed

Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
TRC Energy Services	New Construction Housing, SA.040-M6b - TWO #43 - PM-1	7,318
	New Construction- Commercial, SA.040_TWO #36-New Con_PM-1	20,201
	New Construction- Commercial, SA.040-M6a - TWO #42 - PM-1	16,081
	New Construction- Commercial, SA.040-M6b - TWO #43 - PM-1	3,333
	NYCH: Technical Assistance, SA.061_TWO#23 - Multifamily	120,041
	SA.111 - TWO#39 - CT - PM-1	302,504
	Single Family New Construction, SA.040_TWO #36-New Con_PM-1	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
	Tech Assistanc Multifamily LMI, SA.061_TWO#23 - Multifamily	153,062
	Technical Services, AEAP 1476 - North Country	6,000
	Technical Services, AEAP 1560 - Adirondock Maple	6,000
	Technical Services, SA.061_TWO#23 - Multifamily	475,338
TRC Engineers, Inc	NYCH: Innovation, PON3519 Round 1	560,000
TRC Engineers, Inc.	Empire Building Challenge, TRC TWO Mini bid 4982 EBC	221,186
	EVALUATION, TRC TWO Mini bid 4982 EBC	61,017
	NYCH: Empire Build Challenge, TRC TWO Mini bid 4982 EBC	221,186
	Real Time Enrgy Management, TRC TWO Mini bid 4982 EBC	274,577
	RTEM and Tenants, TRC TWO Mini bid 4982 EBC	122,034
Tri State Solar Services	<200KW PV, PON 2112 NY SUN	88,884
U.S. Geological Survey	Environmental Research, Co-chair ETWG Climate Assm't	25,000
Ulster, County of	Clean Energy Communities, CEC510646 Ulster County	148,147
	CLEANER GREENER COMMUNITIES, CEC510646 Ulster County	101,853
Unique Comp Inc.	NYSERDA ADMINISTRATION, TWO #2 Web Content Editor	253,500
Unique Electric Solutions of NYS LLC	CLEAN TRANSPORTATION, NYTVIP - Pioneer Trans Corp	600,000
	CLEAN TRANSPORTATION, NYTVIP - Pride Transportation	240,000
United States Department of the Interior	Environmental Research, ENV & Fisheries Rsrch for OSW	290,205
Urban Architectural Initiatives, RA, P.C	Buildings of Excellence, BoE Rnd 1 - Design Team Incen.	150,000
Urban Energy Inc	>200KW PV, NY-Sun	122,130
	>200KW PV, PON 2112 NY SUN	27,606
	OJT	67,730
	WORKFORCE DEVELOPMENT, OJT	16,560
Urban Green Council	Code to Zero, Urban Green TWO#1 Training	1,539,643
	Talent Pipeline:CE and OJT, PON3981 Round 9	182,170
	Workforce Industry Partnership, PON 3715 (R7) BOM	143,276
Urban Resource Institute	New Construction Housing, NCP Housing	61,000
Utilities Program & Metering, Inc.	Real Time Enrgy Management, Josie Robinson Surgery - RTEM	51,602
Venture Home Solar LLC	<200KW PV, PON 2112 NY SUN	12,480
Vermont Energy Investment Corporation	Electric Vehicles - Innovation, EV Policies and Pilots for LMI	299,992
	Strategic Energy Manager, RFP 3352	3,985,309
VGC0M LLC	Tech Assistanc Multifamily LMI, FT17204 - White Plains Court	29,948
	Technical Services, FT17150 - Jamaica Hospital Med	68,870
Village of Canton	Code to Zero, PON 4600 Village of Canton	125,000
Village of Croton-on-Hudson	Clean Energy Communities, CEC500633-VI Croton-on-Hdsn	90,000
Village of Hastings on Hudson	Code to Zero, PON 4600 Hastings on Hudson	125,000
Village of Irvington	Code to Zero, PON 4600 Village of Irvington	125,000

Contracts Completed
Period 4/1/2024 through 9/30/2024

Contractor	Contract Description	Total Contract Amount
Village of New Paltz	Commercial New Construc, Commercial New Construction	8,839
Village of Nyack	Clean Energy Communities, CEC500668 - EV Purchase	10,000
Village of Tuckahoe	Clean Energy Communities, Communities & Local Government	10,000
Vistar Energy Inc.	NYCH: Technical Assistance, PON 4423	199,930
Volney II PV, LLC	>200KW PV, NY Sun	335,412
	NY-SUN, NY Sun	469,577
Volney PV, LLC	>200KW PV, NY Sun	335,412
	NY-SUN, NY Sun	469,577
Voltaic Solaire LLC	<200KW PV, NY-Sun	6,480
	<200KW PV, PON 2112 NY SUN	109,225
VSE Corporation	EVPRZ:Implementation, Implementation Support for NYS	1,170,758
VTC Specialties Inc	AV - Future Energy Econ Summit	20,000
Wadhams Solar, LLC	>200KW PV, NY Sun	731,130
Wallkill Senior Housing	Tech Assistanc Multifamily LMI, FT14020 - 35 Senior - PON	10,000
Washingtonville Solar LLC	>200KW PV, NY-Sun CI Payee Assignment	611,982
Waste Connections of New York, Inc.	NYSERDA ADMINISTRATION, Trash and Recycling Pickup	15,840
Watershed Assessment Associates, LLC	ENVIRONMENTAL RESEARCH, Aquatic Macroinvertebrate ID	24,000
WB Engineers+Consultants, Inc.	Technical Services, FT14524-Verizon-Multiple-FTC	257,005
We are the New Farmers Inc.	Talent Pipeline:CE and OJT, PON 4772 (R3) Avni Goel	40,000
	Talent Pipeline:CE and OJT, PON 4772 R3 (Christopher Cruz)	40,000
Wendel Energy Services, LLC	CGSI-31_CT - Rochester - FTC	9,450
	CLEAN TRANSPORTATION, NY Truck Voucher Prg. - Wendel	20,000
	Electric Vehicles - Innovation, CGSI-31_CT - Rochester - FTC	95,030
	K-12 SCHOOLS, CGSI-66_E - Lyndonville CSD	46,680
	NYCH: Technical Assistance, FT13743 - South Campus - FTC	431,995
	Technical Services, FT14536 - 20 Ontario - FTC	88,400
Wendel Energy Services, LLC.	NYCH: District, PON 4614 Round #1 NFG	100,000
West 44th Street Hotel	Technical Services, FT14585- InterContinental -PON	8,000
West Henrietta Housing Development Fund	Tech Assistanc Multifamily LMI, FT14972 - Butterfly Fields	6,500
West Monroe Partners, LLC	NYCH: Comfort Home, NYHEP UAT Support	24,750
	NYHEP UAT Support	24,750
WFHA Brooklyn LP	Multifam Performance Pgm, Multifamily	168,000
Whitmore Court Apartments LLC	Tech Assistanc Multifamily LMI, FT13173 - 82 Crescent - PON	10,000
Wildcat Renewables, LLC	>200KW PV, NY Sun	866,311
	NY-SUN, NY Sun	505,348
Willdan Energy Solutions	Code to Zero, SA.106_TWO#5-CPS_Sr. PM	857,850
	Industrial Process Effic, Technical Review and Program S	60,401
Willdan Lighting & Electric, Inc.	NYCH: Talent Ppln:CE and OJT, OJT	13,848
Windels Marx Lane & Mittendorf, LLP	RFP 12 - NYGB Legal Services	14,401
Wise Home Energy, LLC	NYCH: Talent Ppln:CE and OJT, OJT	13,440
	OJT	34,640
Wolf Solar LLC	>200KW PV, NY Sun	524,027
Women of Renewable Industries and Sustai	NYSERDA ADMINISTRATION, Membership Renewal '24-'25	5,000
World Energy Innovations LLC	Technical Services, FT14726 - MSKCC - 1275 York	298,000
WOTC Tenants Corporation	NYCH: Technical Assistance, FT14061 - 73-10 220th - PON	12,278
WSP USA Corp.	Electric Vehicles - Innovation, TWO 5 NYS ZEV Mkt Devel Plan	649,216

Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Wyoming County Community Action, Inc.	Multifam Performance Pgm, Multifamily	36,400
Yardi Systems, Inc.	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	155,000
Grand Total		2,873,127,766